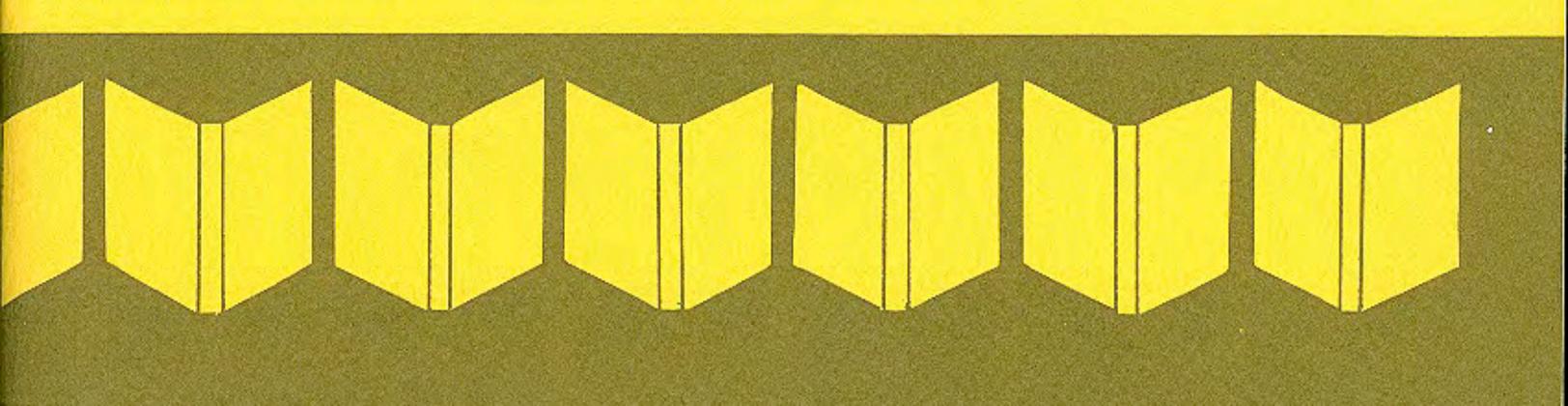


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Comments from the Guest Editor . . .

by Anita M. Pankake
Kansas State University
Manhattan, Kansas

Serving as guest editor for this issue of *Educational Considerations* has been a multi-faceted learning experience. I had anticipated, even looked forward to, the numerous lessons to be learned regarding the logistics of journal publication. I was secure in these activities, however, because of the excellent guidance, counsel, and support provided me by Chad Litz and Dan Hardin—two veterans of such academic adventures. Much of the credit for this final product is due to their excellent coaching.

A lesson reinforced through work on this project has been of the "ask and ye shall receive" nature. A brief scan of the Table of Contents will confirm my assertion that cooperation was necessary in bringing this issue to reality. Each author listed deserves many thanks for agreeing to take time from an already busy schedule to share the wealth of information and insights presented here. Not so obvious are those individuals who did not author an article but who provided information regarding their LEAD projects to those who did write. Again, thanks need to be extended to

the many individuals in LEAD projects across the country who shared their expertise to assure the comprehensiveness you will find in these articles. Finally, special recognition must be given to Hunter Moorman. Hunter not only served as an author for this issue, but was instrumental in every phase of its development.

A third learning area for me was just how much I *didn't* know about LEAD. I have been active in the KanLEAD project for the past year and a half. In my own work environment at Kansas State University I considered myself and have been considered by my colleagues as the "resident expert" on LEAD. However, not long after initiating this project, it became increasingly clear that there was so much more to LEAD than I had ever imagined.

As a group, the articles in this journal tell a story that I would guess few know in the detail presented here. Information on the conceptual background on which LEAD is based, the fascinating story of the initiation of LEAD as legislation and its implementation once passed into law is an excellent "behind the scenes" look at the national level influence on education generally and the training and development of educational administrators specifically. The two works addressing pre-service and in-service development for educational administrators provide a broad background of the continuing concerns and the efforts being employed to address them. Other articles on the development and use of administrative surveys and assessment instruments, various program structures and special focus areas for LEAD projects hint at the scope of the content and delivery of systems tailored to local needs. The "Janus-like" perspective of the final piece presents a summary of where LEAD has been and where it may be headed.

I would hope that reading this issue will give you the sense of discovery that I experienced in requesting and reviewing the works presented.

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LEAD is really a meta-program. No one program model, no common curriculum, delivery methods, or training philosophy defines its collection of projects.

The LEAD (Leadership in Educational Administration Development) Program: An Overview

by Hunter Moorman

Office of Educational Research and Improvement
Washington, D.C.

The LEAD (Leadership in Educational Administration Development) Program is a six-year, \$35 million federal program to improve school leadership. It is the largest federal program for administrator preparation and development to operate since the U.S. Office of Education's National Program for Educational Leadership of many years past and it is the most extensive program for improving administrator in-service development underway in this country. Leadership training and technical assistance centers in each state, the District of Columbia, and several island areas, the program office in the U.S. Department of Education, and related activities of the National LEADership Network make up the program. This article provides an overview of LEAD and a brief description of major themes characterizing the center programs across the country.

Federal Program Characteristics

LEAD was created by act of Congress in 1984 under Title IX of P.L. 98-558 ("the Leadership in Educational Administration Development Act") The genesis of the Act is recounted by Larson elsewhere in this issue. It has since been reauthorized in the Higher Education Amendments of 1986 (P.L. 99-498). LEAD's purpose is

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to improve the level of student achievement in elementary and secondary schools through the enhancement of the leadership skills of school administrators by establishing technical assistance centers for each State to promote the development of the leadership skills of elementary and secondary school administrators with particular emphasis upon increasing access for minorities and women to administrative positions (U.S. Congress, 1984).

Each center receives a grant of approximately \$140,000 per year (1) for a three-year period and may be granted a three-year extension. LEAD centers will not operate with federal funds forever. It is the intention of Congress that many of them will become sufficiently institutionalized with local support to continue as long as the need exists and their services are wanted. By law, centers must put up matching funds to equal the federal grant dollar for dollar. The local contribution must be substantially increased during the centers' second grant period; the federal ante drops by law to one half its original amount, and centers are obligated to take up the slack so the initial level of services continues undiminished.

Centers serve their entire state with programs that include collection of information, skills assessment, training for new and practicing administrators, consultation within school districts, maintenance of training materials and curricula from a broad range of sources, internships and personnel exchanges between education and the private sector, information dissemination, and establishment of model projects.

Such skills as analyzing curriculum, evaluating teachers, applying research findings, and organizing and managing resources—seven in all—are the chief subjects of training programs, although centers have selected other focuses such as Sergiovanni's leadership pyramid, the Benin and Nanus "strategies for taking charge," and the NASSP Assessment Center skill dimensions.

There are now 57 LEAD centers, one in each state, the District of Columbia, American Samoa, Guam, the Northern Mariana Islands, Palau, Puerto Rico, and the Virgin Islands. The state- and D.C.-based centers opened their doors during the spring and summer of 1987; centers in the island areas followed suit during the fall of 1988. Nearly any kind of organization was eligible to apply for a LEAD grant. Very nearly every kind did. Awards were given to a diverse group of sponsoring agencies (fiscal agents): State departments of education (25), colleges and universities (14), administrator associations (12), non-profit organizations (3), local education agencies (2), and area service agencies (1). The true number of such organizations involved is actually far greater, perhaps by a magnitude of five, for most centers are supported by consortia or collaborative partnerships among two or more member organizations.

The term "center" and "program" as they relate to LEAD are somewhat misleading. The LEAD statute seems to prescribe a centralized, fixed operation, but in practice the idea of a center as a concept or enterprise rather than place-bound facility has prevailed. Centers have office space, of course, and staff and (sometimes) letterhead stationery, but their programs are far-flung. Moreover, many centers operate as much as brokers and catalysts of other organizational activities and programs. This is all to the good, as this strategy enables them to provide statewide

The views and opinions expressed herein are solely those of the author and are not intended to reflect the policies or positions of the U.S. Department of Education or the federal government. This material is in the public domain.

programs within the narrow limits of their budgets. It also positions centers to precipitate change, and negotiate consensus and common effort across the numerous competing service providers and offerings in a state.

LEAD is really a meta-program. No one program model, no common curriculum, delivery methods, or training philosophy defines its piebald collection of projects. It is a collection of sub-programs addressing a common problem in ways suitable for states with different resources, experience, traditions, political culture, and demographics. Their greater identity as the LEAD program comes from their common mission—*commitment to improving school administrators' leadership skills*—from the recognition by the federal government of their exceptional capacity to serve their states, from their appointment or self-assertion as *statewide* programs with no exclusive loyalties, and from their needs and abilities to communicate, share, and enhance their good efforts as a nationwide "system."

Underlying Problems

Each center program is based in part upon its sponsor's assessment of the problems of leadership education—as found in the literature and in the experience of each state—or efforts underway in the state to respond, and of needs unfulfilled. What is the aggregate profile to emerge from these assessments?

The various wens and warts of administrator preparation and development programs in this country have been elaborately examined elsewhere (see Cooper and Boyd, 1987; Peterson and Finn, 1986; NCEEA, 1987; among many others). Center grant applications recapitulated the common litany of problems: university preparation is out of date, not germane to the demands of practice, abstract and theoretical, lacking a coherent framework related to the leadership role, self-selected, prone to reward credit over competence, ailing from low entry and exit requirements; in-service development lacks a coherent, career-long logic, depth, coordination across offerings, adequate opportunity for assessment and diagnosis, grounding in principles of adult learning and development, relevance to real problems and on-site applications.

Problems other than content and curriculum also stood out. *Administrator turn-over* was reported—not as the uniform national problem aggregate survey data might suggest, but as a minor problem in some states and a profoundly vexing problem in others. And projects analyzed it as a persistent problem of job burdens, low satisfaction, and inadequate preparation, not simply the consequence of an advancing age cohort.

Information for planning state policies and programs relating to administrator preparation and development was reported to be rarely available.

Norms of professional practice that endorsed *isolation* and *competition* were pointed out as possible targets of improved training and modeling.

Applicants reported "second-order," systemic problems that hobbled reform and undercut more recent efforts to treat the basic problems. Most state education reform legislation had included provisions for more rigorous administrator certification and training by one standard or another. These activities were too often underfunded or had only faint-hearted support. State efforts also were undertaken without a sufficient body of research and materials for their implementation. Even where new ventures were well-conceived and ardently supported, the general dearth of sound materials to translate research to training and practice was impeding progress.

Areas of Emphasis

To address these perceived problems, there are projects as diverse as there are conceptions of leadership, approaches to assessment and development, methods for delivery, and training modules and materials. The National LEADership Network (1988) has catalogued center programs according to 25 descriptors, but even this initial effort falls short of a comprehensive depiction of the variety within and across LEAD projects.

Structurally, LEAD projects include state academies, principals centers, and institutes; most also make some contribution to the regular in-service programs of neighboring administrator associations, particularly by subsidizing newer, leadership-oriented training or underwriting (part of) the cost of cooperative programs involving two or more associations. Projects bearing the LEAD label most often have incorporated preexisting reform or improvement activities with expansions or new undertakings the grant funds make possible.

LEAD's most important contributions to school leadership improvement are being made in five broad areas: *leadership conceptualization and curriculum, assessment and professional development, delivery processes and mechanisms, special problems focuses, and statewide collaboration.*

Leadership Conceptualizations and Curriculum

The LEAD Act lists a set of skills, and the LEAD competition suggested a slightly augmented version of this list as "invitational priorities," but no particular model of school leadership inspires the program or molds the projects. This is appropriate in view of the lack of precision and agreement to be found in the general literature (see Bass, 1981; Karmel, 1984; Mitchell and Scott, 1987), and in education research as well (see Greenfield, 1982; Murphy, 1988; Persell, 1982), and given the rich selection of images available for local experimentation. It seems the wiser course to encourage many lines of development, and sampling from many dishes.

LEAD projects are refining and fleshing out leadership images of several sorts: *instructional leadership, "institutional" leadership, school improvement, and educational executive.*

Perhaps the most widely recognized of the several good LEAD projects to promote instructional leadership is the California School Leadership Academy (CSLA) (2). CSLA trains around 1,300 principals as instructional leaders in a sophisticated three-year program incorporating the best of research and practice in a 16-module sequence. Instructional leaders, in the CSLA version, must be competent in supervision and staff development, but also in creating inspiring visions and translating them into effective school cultures.

I use the term "institutional" leadership to encompass several approaches to leadership as the embodiment and translation of values into the organizational processes and work of the school. The term "institutional" draws on Selznick's (1958) distinction between organizations and institutions, organizations being the temporary means for serving instrumental purposes, and institutions being the embodiment and means of expression of lasting values and commitments. The leader of an institution is responsible for critical decisions that result in embodiment of values and their effectuation in organizational arrangements that can make them real. This seems to me one of the earliest and best of the leadership formulations giving values preeminence. Approaches subsumed in this group are Sergiovanni's (1984) leadership pyramid, Burn's (1978) transfor-

mational leadership, Firestone and Wilson's (1983) "cultural linkages," and Bennis and Nanus's (1985) "strategies for taking charge." One or another of these inspires LEAD projects in Indiana, Michigan, Minnesota, Wyoming, and a few other states.

Programs oriented toward school improvement pull into a rich mixture such elements as: the leaders as manager of change, effective schools characteristics, and site-based, problem-centered learning. In Michigan, teams of administrators, board members, and others are trained in the Bennis and Nanus "strategies" while they develop and implement school improvement plans. Louisiana offers an assessment system and instructional leadership model that helps beginning principals define and solve instructional problems in their schools. Under the aegis of New Hampshire's Alliance for Effective Schools, teams of school staff receive summer training in school improvement and collaboration for implementation at 15 pilot school improvement sites.

The *educational executive* is a master of organizational and managerial skills. Some concern education per se, but most would qualify for leadership of any complex organization. Many LEAD projects work from the NASSP (Hersey, 1986) skill dimensions. One or two centers supplement these with instructional leadership or other skills pertinent to the needs of their clients. Florida's well-known principal competencies (FCEM, 1984) are advanced through team training in regions. Texas has identified essential job functions and skills for the superintendent, principal, and other central office staff.

Assessment and Professional Development

LEAD centers are by and large committed to the values of administrator assessment as a tool for program selection and diagnosis. All are not: some believe that induction, for example, is more important than selection and emphasize nurturing during the induction phase over assessment. The NASSP Assessment Center is a popular model—perhaps one in four LEAD centers is introducing the NASSP process or expanding upon current capacity. Other centers have added the AASA's Executive Development Center assessment and development component. Off-the-shelf approaches do not have any monopoly on LEAD. Promising alternative practices abound. Illinois Leadership Academy's "clinical strand" combines a novel "analysis" with mentoring/peer coaching and school climate assessment. Centers in Kansas, Washington State, Louisiana, and elsewhere employ sophisticated home-grown instruments. Commercially developed "instrumented feedback" systems too numerous to list are common tools at many centers. Eclecticism is the standard; centers have discovered the limitations and particular uses of their tools and learned to mix and match to provide the most comprehensive, insightful picture of each candidate.

Program Delivery

The most important advances contributed by LEAD centers seem to me to be in the delivery practices that acknowledge the following: (1) principles of adult learning and development; (2) contemporary theories of change and implementation; (3) organizational mixes of rationality and irrationality/ambiguity; and (4) alternatives to "expert" and professional epistemologies. Practices that best capture these elements, and that appear most frequently in LEAD centers, include principals centers, school improvement process training, mentoring, peer coaching, simulations, reflective writing, and internships.

The bounty of such practices across sites permits mention of only a fraction of exemplary activities. The New York LEAD center links six principals centers, New York University, the New York City Board of Education, and the Rochester School District in client-centered, site-based development. Principals centers work with mini-grants to local districts and schools to promote innovative approaches to leadership and its development. They also support innovative "Select Seminars," gatherings of administrators whose reflections upon and analysis of problems in educational leadership from their perspectives as practitioner experts contribute significant insights and avenues for solutions to these problems. South Carolina's regional training center at the Citadel (one of several around the state) established the Lowcountry Principals' Center where principals could work and learn together in a setting permitting "practice without penalty."

Sites in at least 16 states offer school improvement training. In some sites, this is training *about* school improvement. In others, like Indiana, Michigan, New York, and Tennessee, it is training *through and about* school improvement—that is, participants develop and implement actual school improvement plans, and undergo related training, as part of the program. Some programs require the participation of *teams*. Michigan's Leadership for School Improvement Project, for example, engages district teams of superintendents, principals, teachers, interested community members, business and industry representatives, and school board members in training and designing and implementing their plans.

Mentoring is a popular method of learning through and from experienced colleagues. Centers use mentors to complement internships, induction year training, and mid-career continuing development. The mentor-protégé relationship is used for superintendents, principals, special education directors, and other administrators. The Ohio program matches selected retired administrators to work with first-year administrators. "Master principals" guide the development of the District of Columbia's pre-service interns during their year-long program. Oregon's Mentor Program for Aspiring Principals supports aspiring minority and women candidates for the principalship. While the mentor relationship as used here emphasizes development of the protégé, mentors report great satisfaction and learning from the experiences themselves.

Peer coaching provides collegial support for training and introduction of innovations, puts craft knowledge to work, and engages participants in learning and development through reflection upon their and their peers' experience. The Peer-Assisted Leadership (PAL) program is particularly widespread. South Carolina, for example, uses PAL to support principals introducing models of instructional leadership into their schools and as a part of its effective schools training. Delaware is one of several centers to have arranged for trainers of trainers at the Far West Laboratory so PAL can be widely provided throughout the state.

Simulations offer individuals and teams opportunities to experience "real" situations, to appreciate their responses and training needs, and to take related training. Assessment Centers in a score of states provide simulation experiences as part of the assessment. The Virginia LEAD program simulates a school system operation as part of a five-day program on administrative theory and leadership skills developed by the Center for Creative Leadership.

Reflective writing engages administrators in reflecting upon and discussing with others the lessons of their experience and developing new-found respect for the "craft wis-

dom" and alternatives to expert knowledge to emerge from their day's work.

Internships allow aspiring administrators to learn as they work in real school settings under the supervision or mentoring of selected experienced administrators. Successful internships often bring together school districts and universities and bridge the gap between them that ails so much current preparation. Because an internship is a substantial investment, districts and training institutions tend to select candidates more carefully than would a conventional program. In the District of Columbia, the internship is one part of a three-phase program. Outstanding elementary and secondary administrator candidates receive pre-internship training, followed with a one-year internship—mentor and training provided—, capped with placement as assistant principals and additional professional development activities. New Mexico's 12-month Principals' Internship Program helps teachers prepare for new roles while school districts select, support, and observe them in action.

All internships are not at the pre-service stage. The Missouri program offers a sabbatical/internship available for either practicing or aspiring administrators. In Pennsylvania, school teams with prior Center training may take one-week internships on topics such as higher-order thinking skills and computer technology. Participants in Virginia's year-long Educational Policy Fellowship Program participate in study and discussion of leadership and public policy issues using their regular workplaces as clinical environments.

Special Focuses

LEAD programs offer assistance for the special needs of women and minorities and, to a lesser extent, administrators in small, isolated, or rural schools. The school administrator ranks are overwhelmingly white and male (Feistritzer, 1988; OERI, 1986), and opportunities for entry and advancement in the profession are few. In states where there is a sore need for more and better administrators, schools either cannot or do not draw upon a substantial reservoir of talented and committed individuals. LEAD projects are helping to change this situation.

The problems are different for each group. For women, training opportunities are generally more widely available, though this varies by location, and the sticking point is at the placement stage. Placement in the elementary schools is more common by far than in the secondary schools. The problems for minorities exist all along the pipeline from preparation to placement. New requirements may well exacerbate problems for either group. For example, where states or districts have made an assessment a requirement of hiring, both women and minorities may be deterred by financial considerations or by selection practices. Internships, with direct and opportunity costs that vary directly with their quality, may have a similarly deterrent effect. LEAD uses subsidies, "jaw-boning," and public information campaigns to combat these problems.

Some states, including Alabama and Mississippi, have developed pools of qualified minority and women candidates and plans for their use. Alaska and Tennessee are among the many states that made special efforts to identify candidates and encourage employers to hire them. State-wide leadership conferences, seminars, and workshops—in Connecticut, Delaware, Kentucky, Missouri, Nevada, and elsewhere—help develop general leadership skills and some particularly pertinent to women and minority administrators. Fellowships for Assessment Centers and other training help minorities and women in Idaho, Kansas, and

North Dakota prepare for future employment. Mentoring may be especially useful in this situation; several centers match candidates with experienced administrators on the inside and help build networks of practicing minorities and women administrators. South Carolina's Minority Administrator Program and Vermont's Aspiring Vermont Women Administrators Group are exemplary of centers that offer "full-service" programs in this area.

There are fewer examples of explicit programs for rural, small school, or isolated administrators, but LEAD projects from Alaska to Maine serve large numbers of these administrators. Centers have developed novel ways to help with their needs, which include more collegial communication and support, encouragement to stay with the profession, access to new information and materials, and more convenient training sites. The University of Alaska-Fairbanks supports a network of practicing rural administrators. The Maine Leadership Consortium is developing the capacity of the state's regional professional development centers to serve its most rural, poorest areas. Other similar activities stretch across the intervening countryside. Colorado's Effective Small Rural Schools program, for example, engages small, rural schools in a strategic planning process to improve student learning opportunities and achievement.

Collaboration

The practice of leadership and the development of leaders suffer in common from the plagues of isolation, competition, and disjointedness. Principals feel remote from their colleagues and uncomfortable communicating with the central office. They sense themselves in competition with their peers, and often are. They move through systems, whether for training or personnel management, with minimal coherence and articulation. Leadership development programs, and those responsible for them, operate as a rule in isolation. Each serves a particular clientele, or competes for a common pool of participants. Lacking well-crafted joints, the various parts of pre-service and in-service content, offerings of alternative training programs, and even events of a single sponsor rub together crudely if they meet at all.

LEAD centers have pioneered innovative collaborations that overcome these problems. They are improving the professional environment for practicing administrators with such practices noted above as team training, peer coaching, mentoring, principals centers, and networking. But perhaps their most significant contribution to the field, and the legacy they leave to future generations of administrators, will emerge from what centers are doing to bring together the state departments, the universities, the school districts, and the professional associations and to forge a common purpose and spirit of collaboration among them.

Excepting the more recently funded island centers, perhaps three projects do not call for the formal collaboration of at least two different organizations. Most centers call for much more. In their most inchoate stages, some of these joint enterprises resemble arrangements between independent parties for splitting up the pie. Perhaps these will never mature beyond this point. The majority started beyond that point and have gone even further. In one state, a participant at one of the multi-organizational pow-wows declared it the most rewarding experience in his career. In the Northeast, Northwest, and other regions, centers are talking among one another to share experiences with collaboration and to develop together even better forms of statewide collaboration. This topic is discussed at greater length in the closing article to this issue—it suffices at this point to bear testimony to the vision and selflessness of the orga-

nizations and in particular to the bottomless zeal of the project managers responsible for this most promising enterprise.

Conclusion

The unfortunate consequence of an overview such as this is to slight the real richness and innovativeness of so many projects. The sort of condensation required here implies a uniformity and generality that betrays the centers' true character. With remarkably small sums of money, these projects—most of them—are performing miracles. Their efforts, and I think successes, testify to the importance of the task and the thirst among school administrators for more effective leadership preparation and development. Our school leaders are out there in society and in the schools. We need only to tap them, through our own examples, through an emphasis on leadership in our selection and evaluation procedures, through organizational environments that encourage and reward leadership, and through preparation and development of the sort supported by the LEAD program.

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The early prescriptive beliefs about the nature of educational leadership and the professional development that would foster that leadership have changed . . .

Historical and Conceptual Underpinnings of Leadership Development Programs: A Quest for Roots

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Recent and persistent scrutiny of education and of schooling has prompted similar attention to educational leadership and the training of leaders. This concern has in

Kent Peterson, an associate professor at the University of Wisconsin-Madison, has studied the work of school principals for the past ten years. Beginning with his early investigation of the daily realities principals face, he has been concerned with understanding the real world of the principalship so that experienced and new principals can better shape what they do for the children. His research has examined the careers of principals, the controls that shape their days, and the ways school cultures are reinforced and developed through principal leadership. In addition, he has worked with school leaders in many academy settings to translate research into practical applications that influence school success.

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part fostered an infusion of federal funding of state based training programs for educational administrators (LEAD programs). These new programs can best be understood within an historical and a conceptual context. This paper will provide a brief, exploratory overview of the historical development of educational leadership training. Following this discussion, a commentary on some of the conceptual changes in professional development as evidenced in current LEAD programs will be presented with some ideas on how to think about professional development in the present period.

An historical analysis of school administration and the types of training important at different periods is found in Tyack and Hansot's *Managers of Virtue* (1982). They posit several important themes in educational administration. These historical themes are: (1) the view of school leadership as a "calling" included as part of a millennial discourse describing a vision of the purpose of education in a democracy; (2) school leadership as a "gospel of efficiency," with "professional" experts conveying business imagery, prescribing traits and behaviors that act to conserve a wide set of traditional values and economies; (3) school leadership as culture building in a crisis setting reflecting conflicting contextual demands. More recently, a fourth "avatar" appears to be emerging in current expectations for the school leader, one which focuses on technology, of leadership of the instructional core (Hallinger and Murphy, 1986).

Each of the themes in the history of school leadership potentially suggests a complementary form of training. In the early nineteenth century common school movement, the mission was to communicate Anglo/Saxon values and a set of homogenized principles in an effort to convert the Midwest and West to the Protestant gospel of Eastern law and order. Tyack and Hansot (1982) refer to these reformers as "evangelists of education" who were seeking national "standardization and quality of schooling." (p. 31)

During the post Civil War period, the revivalist imagery seemed to merge with the theology of the "Gilded Age" and the rationale for the factory model for schooling. Scientific management as revealed by Taylor was explicated by the classic authors of early administrative training texts by Cubberly, Bobbit, and Strayer (Hansot and Tyack, 1982). The emphasis, and no doubt, the training was focused on management, efficiency, and standardization.

In the 1920s and 1930s the early rhetoric of scientific management and Taylor's separation of performance and planning was tempered by the research of the "human relations movement" and the influence of behavioral science through the work of Mayo, Roethlisberger, and Dixon and interpretations by Follet and others. An emphasis on "coordination," planning by the group, and the concept of democratic leadership recognized the influential role of principals and the power of the informal organization. The themes of this concept of leadership revived more intensely in the 1960s and 70s in response to social-psychological theory which encouraged training in group process, democratic decision making and "organizational development." Here training often focused on group dynamics, the communication of feelings, and the ability to work cooperatively with others.

While the "human relations" theme continues to influence contemporary administrative thought and training, the influence of organizational theory has been instrumental in generating new frameworks for the understanding of administration. The work of Barnard (1938), Simon (1945), and Parsons (1937) established the theoretical assumptions for social systems theory applied to educational administration training (see Getzels, Lipham, and Campbell, 1968). The

legacy of this social systems framework is an extensive literature on change theory and staff development which characterizes the interests of the late 1970s and 1980s.

The reliance on organizational imagery continues to affect the training of educational leaders. Weick's (1976) concept of "loose coupling" reaffirmed the need to look beyond traditional theories of planning and control. However, recent research on school culture while building on studies of corporations (Deal and Kennedy, 1982; Deal and Peterson, 1988) has identified new ways of merging managerial and leadership tasks, of viewing work as both instrumental and expressive, technically based and value driven, thus suggesting additional training directions.

Synthesizing this information presents the challenge to practice and training; how to achieve a new agenda for training school and district leaders within current frameworks. The plethora of new forms of preparation, training, and renewal may mirror this challenge.

The result of the changing emphasis from management to leadership at school and district levels has been an increasing focus on problem-solving skills and building more sophisticated frameworks for enacting leadership. Universities now share the responsibility for training with local in-service programs, professional associations, state programs, and principal academies, and, more recently, the federally funded LEAD programs.

The early prescriptive beliefs about the nature of educational leadership and the professional development that would foster that leadership have changed into a more diverse and complex set of ideas about the importance of the duality in managerial tasks and leadership actions and of the influence of diverse school and district contexts on the appropriate pattern of leadership actions. This more diverse set of beliefs is found in the expanding approaches taken by the LEAD programs described in this volume.

Theoretical and Conceptual Considerations

The historical and social orientations of any period of time provide the backdrop for what happens in various organizations. There seems little doubt that the opportunities for professional development of educators have, over time, reflected the availability of resources, beliefs about leadership, goals held for schools, and knowledge of effective training. The present period, as reflected in the myriad of training opportunities, represents an especially supportive and conceptually rich time for those who receive and those who provide professional development.

We know much more now than when Wagstaff and McCollough (1973) wrote of in-service training as "education's disaster area." As Pitner (1987), Barnett (1987), and those in this volume note, professional development is more successful when it is sequential, cumulative, and involves longterm learning activities; when it allows participants to help identify their training needs; when there are norms of improvement among participants and collegial problem solving, reflection, and collaborative learning are used; when there is a match of activities and learning styles; and, finally, when the learning provides a variety of skills, knowledge, and self-reflection. With attention to designing learning situations with these and other features of effective professional development, LEAD and other programs will continue to improve the quality and support the professionalism of administrators leading our schools.

But the recent increase in the number and quality of administrative training programs has raised some interesting conceptual issues for the present historical period. For discussion purposes these have been grouped into (1) Conceptions of Training, (2) Conceptions of Content, and (3) Con-

ceptions of Participants. The LEAD programs nationwide are experimenting with new ways of thinking about and structuring professional development, sometimes with new concepts, sometimes with new combinations of traditional approaches.

Conceptions of Training

Beliefs about administrative training seem to be changing. The California LEAD and school leadership academies (CSLA) have shaped successful programs that blend theory and practice, individual and group work, learning about school culture building and building a culture of development using extensive follow-up and conceptually rich materials. The use of pre-training assessment instruments and activities in Florida, Kansas, Washington, New Jersey, and other states have helped reconceptualize the ways diagnosis is applied prior to professional development. Programs in Wisconsin, Louisiana, and Michigan are refocusing training on school academic improvement, not just improvement of individual administrators. And, places like Colorado and Missouri are seriously working with problems faced by rural school administrators and those in distant corners of the state with structural or programmatic activities for leaders in these settings. These and other LEAD programs in this volume represent some changes in the ways training is conceived, with attention to finding new, more effective structures and programs.

Conceptions of Content

Programs of leadership development seem also to be reconceptualizing content. For example, more programs are presenting specific theoretical models of school change or leadership and shaping training around those models. Other academies are focusing not only on skills, but also helping school and district leaders probe their own educational values and beliefs in an effort to increase personal knowledge of the underpinnings of their leadership. In general, the content of training has expanded considerably from communicating feedback to building successful culture-shaping traditions, from assessing one's educational beliefs to diagnosing the learning styles of teachers, from making the master schedule to fostering master teachers.

Concepts of Participants

Finally, LEAD academies and training programs around the country have developed changing conceptions of participants, changes that make it possible to assess more accurately the needs and abilities of administrators and their opportunities for growth. For example, Washington state and others are taking the career stage of participants into consideration when designing programs. Some programs vary the form of training to reach administrators with different styles of learning.

The "learner unit" is also being redefined. No longer is the individual practitioner the sole unit for training. Increasingly LEAD programs such as those in California, Missouri, and Texas are viewing networks of administrators as the "learning unit." Collaboration with businesses and various administrator associations has changed the conception of who is to be included in the development activities (Texas and others are doing this).

Finally, many programs are understanding the importance of the problems that are school site-specific and contextually rooted so that development activities are designed to view administrators as connected to the historical, cultural, educational, and district context. Here, participants

are redefined as inextricably tied to the school or district they lead and programs designed to attend to the diverse demands on leaders.

The articles in this volume describe an increasingly complex and dispersed institution in education (professional development for administrators) that is experimenting with new ideas and creative recombinations of existing approaches. The articles that follow should provide the beginnings of an important new dialogue about the nature, structure, and purpose of administrator training in the United States.

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Mostly through the efforts of local school administrators mobilized by AASA legislators became familiar and comfortable with LEAD during the Spring and Summer of 1984. Despite these efforts, prospects for passage of LEAD did not look good by Autumn.

The History of a Legislative Proposal

by Edward J. Larson
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Congressional enactment of a new program inevitably requires the cooperation and support of many individuals and organizations, but often a single person or event precipitates the collective activity. For the Leadership in Educational Administration Development (LEAD) Act, that precipitant occurred in late 1983, as Congressman Thomas E. Petri of Wisconsin mused on Federal responses to the education reform movement.

That movement had been gaining momentum nationwide ever since publication of *A Nation At Risk* by the Department of Education in April. Dozens of education bills surfaced in Congress during mid-1983, including the American Defense Education Act (ADEA)—a comprehensive package authorizing massive federal spending to improve education, with much of that spending focused on classroom teachers. By October, the education subcommittee of the House Education and Labor Committee was holding hearings on ADEA and other reform legislation. Petri and other committee members were being encouraged by the National Education Association (NEA) to hop aboard the politically popular education-reform bandwagon by supporting ADEA.

Although Petri generally favored ADEA, he thought that there might be other effective ways to improve education. In particular, he recalled a 1980 education subcommittee hearing in which Dr. Ronald Edmonds of the New York City public schools told of research showing that the single most important key to a good school was, in Edmond's words, "the style of leadership of the principal." This conclusion coincided with Petri's own beliefs regarding the role of leadership for success in business and the military, and

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with a recent study by the Blaney Institute of Wisconsin. Yet none of the pending legislation (including ADEA) focused on helping school principals to become better leaders. Given the relatively small number of principals (as compared to the number of teachers or students), Petri figured that a program to enhance principal leadership skills could significantly improve education at relatively modest cost. This became his goal.

Although Petri still served on the Education and Labor Committee, he had dropped off that body's education subcommittee to become the ranking Republican member of its Subcommittee on Human Resources. Petri's subcommittee did have jurisdiction over a few education programs, such as Head Start, and he directed me, as counsel for that subcommittee, to investigate how the federal government could help improve the leadership skills of principals and other school administrators. He suggested that I pay particular attention to ways that training programs could tap the *practical* experience of successful education, business, and military leaders, and then share it with school administrators in the field. He did not want simply another academic education-school course. He then gave me two other key directions. First, I was to call for ideas from Bruce Hunter, the chief lobbyist for the American Association of School Administrators (AASA) and the person Petri described as "the best source for advice in the field." Second, I was to work with the ranking Republican on the education subcommittee, Rep. William Goodling of Pennsylvania, which was important both because any new principal-training bill would be referred first to the education subcommittee and because Goodling (as a former school teacher, principal, and administrator) was an expert on the subject. These two directives proved to be crucial for the future of LEAD, as did Petri's position on the Human Resources Subcommittee.

Designing the Proposal

My call to Bruce Hunter brought immediate results. A mounting body of recent research was reinforcing the earlier work by Ron Edmonds, Hunter reported. In particular, he cited two 1982 journal articles in *American Education*, Judith Little's "The Effective Principal" and Michael Cohen's "Effective Schools: Accumulating Research Findings." Based on this research, AASA had already decided to actively seek federal legislation aimed at helping to equip school administrators with better leadership skills. Such legislation had not been drafted, however, and no sponsor had been identified. Since Petri was the first member of Congress to express interest, Hunter offered to work together on the project. Soon he was in my office for the first of many meetings during which we hammered out the details of the LEAD proposal. Most of those meetings occurred during the Congressional recess from November of 1983 to January of 1984.

We were not working in isolation. Hunter brought in experts from around the country and Petri kept abreast of developments by attending some meetings. Petri's legislative director, Joe Flader, offered regular advice of a practical nature. Drafts were sent for comment to Dr. Herbert Grover, Wisconsin's able Superintendent of Public Instruction. Further, we were fortunate to have the technical skill of Steve Cope, an experienced bill drafter from the office of Legislative Council, in crafting details of the legislation.

Most important of all, however, two other congressional staffers became regular participants in the drafting meetings. When I discussed the project with Rep. Goodling, he took an immediate interest and assigned his best education aide, Dr. Richard DiEugenio to help out. Rich had

worked closely with both Goodling and education committee chairman Carl Perkins for years, and knew the ins-and-outs of Congressional education policy as well as anyone. Also, shortly after I called Hunter, he received a second unsolicited call from Capitol Hill. Senator John Chafee of Rhode Island had become interested in improving principal training after reading a recent report by the task force on education for economic growth of the Education Commission of the States. That report concluded, "In study after study, it has been shown that one key determinant of excellence in public schooling is the leadership of the individual school principal. . . . Specifically, we urge that every state examine and improve its program for training school principals and aspiring principals."² Chafee wanted legislation to help in this effort, and soon his education aide David Griswold joined the team drafting the LEAD proposal.

The final product reflected the input of all these participants. The original bill, as introduced in early February of 1984, had two main parts. First, separate Regional Technical Assistance Centers would be set up in each of the country's ten federal regions. Each center would assist current and prospective school administrators from the region to assess and improve their leadership skills. The prescribed means of doing this included arranging internships from administrators in businesses and effective schools, making successful business executives and educators available to administrators, collecting and disseminating information on school leadership, and setting up model school administrators projects. Second, similar centers would be established in selected urban areas as Metropolitan Training Centers. Under the LEAD proposal, the federal government would provide up to half of the seed money for starting these centers under a competitively bid grant, and the winners would have to demonstrate a prospect for surviving beyond the six-year period of federal support. Hunter assured us that established projects proven to provide practical leadership skills to school administrators could easily secure continuing funding from foundations and businesses. The abbreviation "LEAD" was adopted by the drafters based on my suggestion, but the final version of the full title fitting that abbreviation was coined by Petri's witty administrative assistant, Gene Kussart.

Introducing the Bill

Petri and Goodling introduced the House version of LEAD as H.R.4775 on February 7, 1984. In remarks made when submitting the bill, Petri expressed his vision that the proposed "centers would become laboratories for training and research in effective school leadership. Seminars, internships, consultation, and a model administrator program would reach out to serve principals throughout the region—much like agricultural experiment stations reach out to serve the farmers." He concluded his remarks with the words, "Everyone is talking about excellence in education. This legislation is one step toward achieving that excellence in a cost-effective manner."³

A day later, Chafee introduced identical legislation in the Senate as S.2275. "We need leaders—those who unify and motivate both faculty and students—in every school building in the country," Chafee declared in offering the proposal. "Good administrative leadership is a key to good schools. The bill I am introducing today can help to improve the climate for learning in American schools without greatly expanding the federal role or unduly interfering with local prerogatives."⁴ The proposal was launched.

The initiators of LEAD promptly went to work garnering support for the legislation. Chafee was perhaps the most successful. He managed to secure three influential Senate

cosponsors for the bill, Appropriations Committee Chairman Mark Hatfield of Oregon and senior Democratic members of the education appropriations subcommittee Lawton Chiles of Florida and Ernest Hollings of South Carolina. Their support, especially that of Chiles and his effective education aide Carnie Hayes, proved invaluable in securing funding for LEAD after it was enacted. These four senators reintroduced the Senate version of LEAD as S.2512 on March 30th.⁵

Meanwhile, Petri and Goodling sent a letter to every member of the House urging them to cosponsor LEAD. The letter stated that "research shows that excellence in education as an expected norm, rather than as extraordinary example, can become a reality only if our schools are energized and guided by effective leaders. That is why we are enthused by this low-cost proposal providing for ten regional and several metropolitan centers that could serve as laboratories for improving, training, and sustaining effective school leadership."⁶ This letter, backed by the persistent lobbying efforts of AASA, secured the cosponsorship of a bipartisan group of six congressmen, including Democratic education committee member Dale Kildee of Michigan. My assistant on the committee staff, Paul McCann, assumed the task of investigating exactly what principal-training programs already existed around the country, and then informing them of the LEAD proposal. Particular attention was paid to programs in states with senators in leadership positions on the education committee, such as Utah where an excellent program was found.

During this period, other education groups also endorsed LEAD and began working with AASA to win its passage. The most help came from the National Association of Secondary School Principals, which saw LEAD as a means for furthering its program of leadership assessment. The powerful NEA took a moderately supportive position on LEAD, which avoided a potential roadblock to passage. But it was mostly through the efforts of local school administrators mobilized by AASA that legislators became familiar and comfortable with LEAD during the Spring and Summer of 1984.

Enacting the Law

Despite these efforts, prospects for passage of LEAD did not look good by Autumn. True, few new programs are enacted on the first try—but it was still disappointing. It was an election year, and the 98th Congress was racing toward final adjournment. We would have to start over with a new bill in a new Congress during 1985. The problem had been that most new legislative programs do not actually pass as free-standing bills, but as amendments to broader legislation dealing with the subject—and differences in philosophy between the Democratic-dominated House and Republican-controlled Senate had stalled most major education bills, including ADEA. Only one likely vehicle remained, legislation needed to continue the popular Head Start program. Such legislation had already passed the House, but was bottled up in the Senate over fears of what might be added to it. Petri had not been able to consider attaching LEAD to the Head Start bill in his subcommittee because of House subcommittee jurisdictional rules, but no such rules limited the Senate or any subsequent House action on the Senate version of the bill—and Petri would be the Republican manager of the legislation if it returned to the House.

The Senate deadlock over the Head Start bill finally broke in a grand election-year compromise late in the night of October 4th. The chairman of the Senate's education committee, Orrin Hatch of Utah, joined with a bipartisan co-

alition of ten senators in offering substitute legislation replacing the narrow, committee-passed version of S.2565 (which would continue three popular programs, including Head Start) with a broad version initiating or continuing ten programs. Politicians have a name for such a bill: it's called an election-year "Christmas Tree" with presents for everyone. Republican senate education-committee member Dan Quayle got a Center for Excellence in Education for Bloomington, Indiana. Democratic Senate leader Robert Byrd added his Federal Merit Scholarship program. Republican Senate education-committee member Robert Stafford added reauthorization of the Follow Through program that serves his state of Vermont. House Democratic education-committee members got a new scholarship program named for their recently deceased chairman, Carl Perkins.⁷

Chafee and Chiles were standing in line with LEAD. Chafee aide David Griswold was out-of-town on election-year business and the House had quit for the day hours earlier, but I was available on short notice from my Capitol Hill apartment. Hatch had been softened up for accepting LEAD by the effective program in his own state—but that program, and others in the home states of the senators negotiating the compromise, would likely benefit only if a LEAD center was funded for each state. The original scheme of regional and metropolitan centers was quickly dropped for state centers—and the deal was struck. Petri opposed the principle of Christmas-tree lawmaking, but agreed to the deal on the basis that, if others were getting their pet projects, then a good program like LEAD should be added as well. All that remained was for House and Senate education staffers to work out the language of the compromise bill within the confines of the general agreement.

The final version of LEAD closely tracked the original proposal. The mission of each center remained the same, but now each would serve a single state and the funding would be split more ways. The \$1.5 million price tag for each regional center was reduced to a minimum of \$150,000 for each state center. Stafford's experienced education aide, Polly Gault, added new language requiring that LEAD centers place "particular emphasis upon increasing access for minorities and women to administrative positions."⁸ LEAD passed the Senate as part of the compromise package on an unrecorded voice vote sometime in the night of October 4th.

This comprehensive legislation, known as the Human Services Reauthorization Act, reached the House for final passage on October 9th, a scant three days before adjournment. Petri acted as Republican floor manager for the bill.

"Perhaps the best new program added to this bill is a revised LEAD Act," he told his colleagues during floor debate. "The measure provides Federal seed money to start—or expand—a nationwide network of LEAD academics where school administrators can receive continuing education in the latest leadership and management techniques drawn from business executives, expert educators, and the military. I know of no more cost-effective way to improve the quality of public education than this modest investment in principal education."⁹ Rep. Goodling then added, "The LEAD program is necessary because we always spend so much time doing a lot of things for teachers but we never do anything about the leaders, and the leaders are the principals."¹⁰

The Human Services Reauthorization Act, including the revised LEAD program, sailed through the House by a margin of 376 to 6. Unquestionably, the vote reflected support for Head Start more than any verdict on LEAD. Yet LEAD had gained enough well-placed supporters (and not attracted any significant opponents) to be appended to a "must-pass" piece of legislation in the waning hours of the session when countless other proposals were left off. Following House passage, the measure went to President Reagan—who signed it into law on October 30, 1984, exactly one week before his own reelection. LEAD had become law only a year after the idea for it was first conceived by Petri, Chafee, and AASA. Clearly, the time was ripe for that idea.

Notes

1. *Congressional Record*, vol. 130, p. E349 (Feb. 7, 1984).
2. *Congressional Record*, vol. 130, p. S1183 (Feb. 8, 1984).
3. *Congressional Record*, vol. 130, p. E349 (Feb. 7, 1984).
4. *Congressional Record*, vol. 130, pp. S1182-83 (Feb. 8, 1984).
5. *Congressional Record*, vol. 130, pp. S3528-29 (March 30, 1984).
6. Thomas E. Petri and William F. Goodling to Dear Colleague, Feb. 23, 1984.
7. *Congressional Record*, vol. 130, pp. S13550-58 (Oct. 4, 1984).
8. *Ibid.*, p. S13557.
9. *Congressional Record*, vol. 130, p. H11645 (Oct. 9, 1984).
10. *Congressional Record*, vol. 130, p. H11649 (Oct. 9, 1984).

Of particular pride to AASA is the eager and open way LEAD centers have sought the best thinking from education and private industry.

A Professional Association's View of the Development of LEAD

by Bruce Hunter
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The passage of the Leadership in Educational Administration Development (LEAD) Act in 1983 signaled a new opportunity for improving the professional leadership of school administrators. But the manner in which the act was passed caused some problems in getting LEAD funded and operational. LEAD progressed from an idea into law so quickly that it had little time to gather support among educators or members of Congress. As a result LEAD has had a rocky early funding history and took longer than usual to get off the ground after it was funded.

The program was an immediate success. And now, although LEAD is operating successfully, there is another funding problem.

Congressional interest in leadership in school administration was stimulated by the effective schools research on the value of good leadership. Edward Larson, the key Congressional staff person in developing the legislation, notes in his legislative history of LEAD that Representatives Thomas Petri (R-WS) and William Goodling (R-PA) and Senator John Chafee (R-RI) were independently impressed with evidence about the importance of leadership from the effective schools literature.

At the same time there was a renewed recognition of the importance of leadership in the business world. The importance of leadership in private industry was dramatically spotlighted by Peters and Waterman in their runaway best seller *In Search of Excellence*. That recognition was most evident when Edward Larson of Representative Petri's office and David Griswold of Senator Chafee's staff went through an early version of LEAD and replaced the word administration with leadership.

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Larson's legislative history of LEAD details how the act came into being through an unusual set of circumstances. The sponsors had an unusual opportunity to move the bill and took it. And LEAD took a shortcut to passage.

After its passage, AASA and LEAD's congressional sponsors were faced with two immediate problems. First, we had to get LEAD funded. LEAD was authorized late in the appropriations cycle for federal fiscal year (FY) 1985. At that time the only chance for funding was to be included in one of the continuing resolutions that Congress was passing in lieu of regular appropriations bills. The continuing resolution is a "stopgap" device used by Congress when they have not passed a regular appropriations bill. Continuing resolutions were used frequently during President Reagan's years in office to avoid vetoes by combining spending the President wanted with spending Congress wanted. LEAD, lacking the support of members of the Education subcommittees and Department of Education, did not receive an appropriation for fiscal 1985.

Missing the fiscal 1985 appropriations cycle was almost the kiss of death for LEAD. Federal funding for elementary and secondary education declined by \$1.4 billion from fiscal 1981 and fiscal 1983. In fiscal 1985, education funding was making a slow comeback despite stiff opposition from the Administration. Funding for a new program which lacked wide congressional support was hard to sell, even to other education groups. Also, the Department of Education strenuously opposed LEAD. The opposition manifested itself in the President's request for zero funding for LEAD for fiscal 1985 and fiscal 1986.

When funds are scarce, every existing program is fighting hard for growth. Lobbying for funding means making hard choices, and then urging congressmen who are being pressed to fund many worthy programs to spend the money on your cause. Such lobbying is difficult—legislative bodies deal with tough choices by creating confusion and roadblocks and making decisions behind closed doors.

Obtaining funding for LEAD required building broad support in Congress for a program after it was authorized, which is a reversal of the usual order. At the same time we were building a base of support in Congress, we had to identify administrators who were willing to go to bat for LEAD.

Senator Lawton Chiles (D-FL), the ranking Democrat on the Senate appropriations subcommittee responsible for education funding, and an original cosponsor of LEAD, had funding included in the Senate version of the fiscal 1986 appropriations bill. However, on the House side LEAD had no champion and was left out of the House version of the 1986 appropriations bill. When the House-Senate conferees met to iron out differences between the two appropriations bills LEAD was deleted, that is, given zero funding.

Once an item in conference is agreed upon by both Houses it becomes part of the interlocking web of deals that constitutes compromise. At a 10:30 p.m. visit with the majority staff director of the subcommittee, AASA staff pleaded our case and were told that the subcommittee would not revisit the issue. LEAD funding seemed dead.

Early that same evening Nick Penning of AASA's government relations staff contacted a Kentucky administrator who was close to Representative William Natcher, chair of the House appropriations subcommittee that refused to fund LEAD. Besides being close to Chairman Natcher, this administrator was very active in professional development activities in Kentucky and was an immediate convert to LEAD. Overnight other Kentucky administrators with similar interests were contacted. Representative Natcher was contacted at home that night on behalf of LEAD and the next day he was swamped with calls. Nick also caused every

other conferee to be contacted by at least one constituent that evening. LEAD funding was restored as the first item of business the next day, to our absolute surprise and delight.

Our second problem then reared its head: The Department of Education was determined not to spend the money. First, the Department asked that funding be rescinded. A rescission message is sent to the Congress and if in the next 45 days either house acts to affirm the rescission the cuts become effective. AASA learned that the rescission message was not going to be acted on, that LEAD was safe. But the Department had an excuse for not acting on LEAD regulations for 45 days.

When the rescission clock ran out the Department of Education assigned LEAD to the Office of Education Research and Information (OERI). This could have been bad news for LEAD but, fortunately there were several career staff in OERI who were committed to making LEAD work.

We waited, but the first step in the regulatory process, the notice of proposed rulemaking, never appeared. Somewhere in the process the regulations had stalled. AASA next went to Representative Petri and Senator Chafee and asked Edward Larson and David Griswold to push OERI to get the regulations out. Both Larson and Griswold were informed by ED that regulations would be out soon. Skeptical, Ed and David began working regularly with AASA and other interested groups to get the regulations out. We waited, but there were still no regulations.

One year after the original appropriation, and following a second appropriation for FY 1987, we met with Bruce Carnes, Deputy Undersecretary of Education and the right hand of Secretary William Bennett. Undersecretary Carnes expressed the official position of opposition to LEAD, but was upset that the law was being circumvented and that funds were in fact being impounded. He promised action and the next day it was announced that LEAD regulations would be issued so funds could finally begin to flow. Finally, a notice of proposed rulemaking was issued and LEAD was on the way to becoming a reality.

There was immediate interest in LEAD among the various state administrator associations. The extent of that interest was first evident when AASA sponsored a seminar on the LEAD program. The purpose of the conference was to

inform potential bidders about the purposes of LEAD and the procedures for application. Over 100 persons representing state associations, universities, nonprofit groups, and some school districts attended the conference.

Nearly all state administrator associations, many universities, state departments of education, private contractors, and at least two school districts applied for funding. Eventually the Department of Education selected a mix of contractors. Most contracts went to consortia of professional associations, universities, and state departments of education. Sixteen state professional groups affiliated with AASA were directly involved in LEAD contracts. Of particular pride to AASA is the eager and open way LEAD centers have sought the best thinking from education and private industry. Developments such as those in Texas where the DuPont Corporation has shared its leadership development knowledge, staff, and facilities with the LEAD center are positive harbingers of the future.

Like most successful programs, LEAD now has many supporters, including the Department of Education. Most LEAD grantees are excited and successful, and want LEAD to go on for the foreseeable future.

Just when things finally seem rosy there are some clouds on the horizon. In the debate leading to the fiscal 1989 appropriations, the Department of Education sought to cut funding for LEAD in half, based on the 50 percent reduction in the federal share of operating costs called for in year four. AASA disputed that logic, arguing that funding could go into a new round of centers or even for expanded activities for ever larger state centers. However, most LEAD centers seemed to accept the department's logic by failing to make a different case to Congress. Hence, federal funding for LEAD may terminate in two years when the law calls for funds to the original centers to be phased out unless we all pull together again.

AASA strongly supports federal funds for administrator preparation and will seek either changes in LEAD or a new program to provide those funds. Too much hard work went into the creation and development of LEAD for our support to flag. The challenge is to others who support improved educational leadership to step forward with good ideas and a willingness to work.

Policy specifications set the directions and boundaries for program implementation and created a set of decision choices that ED had to make in the implementation process.

Implementation of LEAD—Part I: Legislative Analysis and Regulations Development

by Hunter Moorman

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A vision of improved school leadership inspired Congress, professional associations, and many others to work for passage of the Leadership in Educational Administration Development (LEAD) Act. Their vision now finds daily fulfillment in fifty-seven LEAD centers across the country. The new leadership training, expanded assessment opportunities, support for women and minorities aspiring to administrator positions, business and education exchanges, and many other activities written into law are now realities affecting thousands of prospective and practicing administrators, their schools, and students.

This article traces the initial stages of LEAD's implementation within the U.S. Department of Education (ED). A particular perspective on the implementation process is provided, followed by an examination of the LEAD Act's policy specifications, after which the development of the program regulation is discussed. (The stage of implementation involving interaction between the agency and the public is described elsewhere in this issue.)

An Implementation Perspective

The perspective taken here is that *implementation is authorized work done over time to complete public policy*. It occurs in recursive stages. Actors responsible for work at each stage *interpret and refine* policy in light of their understanding of pertinent circumstances (e.g., resources, opportunity, constituent expectations, etc.). The scope, detail, and precise issues they attend to depend upon who they are, their stage in the process, the complexity of the policy, and the nature of the field the policy is intended to change.

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Passage of the Act completed the first stage in a journey toward realization of significant public values through governmental processes. Thereafter, according to a longstanding and in some quarters still cherished formula, "politics done, administration begun." This policy-administration dichotomy, however, constitutes only the "classical" view of implementation. Alexander (in Palumbo, 1987) discerns two others: (1) implementation as an adaptive, evolutionary, and interorganizational process, and (2) implementation as one stage in an overall policy process. At least in the educational arena, implementation can no longer be seen as a separate stage in a linear process from policy to end effect.

It is nowadays understood as an adaptive, interactive process (Berman and McLaughlin, 1977), contingent upon local values, beliefs, and interests, (McDonnell, 1987; McLaughlin, 1987) as well as local means such as knowledge of the policy, capacity to respond, and adequacy of resources and technology (CPRE, 1988; Orland and Goettal, 1982). Organizational ambiguity (Nakamura, 1987) and systems inertia (Weick, 1976; 1979) intervene, and divergent "assumptive worlds" and systems of meaning block, slow, or distort the process of change (Marshall, 1988). "Successful" implementation calls for matching policy tools to intended outcomes (Elmore, 1987; McDonnell and Elmore, 1987), bargaining and adaptation over time (Berman and McLaughlin, 1977), development of shared meaning or understandings (Marshall, 1988), expanded ancillary resources and support systems (CLTES and NCRTE, 1988), and the energies of entrepreneurial local agents (Fuhman, Clune, and Elmore, 1988).

The course of implementation depends, then, upon characteristics of both policy and field of change, and upon the interaction between them. At the local level, notes Marshall (1988), "[p]olicies are distorted during the implementation process by the loose-coupling of schooling, the actions of street-level bureaucrats, and the processes of mutual adaptation and meaning-making" (p. 101). And at the other end, policies can be more or less likely to result in desired outcomes depending upon how control is exerted (Elmore, 1980), the appropriateness of policy instruments (Elmore, 1987; McDonnell and Elmore, 1987), and the complexity and ambiguity inherent in the policy itself.

Overall, the more complex the policy, the greater the number of intervening organizational layers, the more heterogeneous and ambiguous the field environment, and the greater the gap between vision and reality, the more idiosyncratic the policy outcomes.

ED's part in the recursive, interactive implementation of LEAD can be understood in terms of the interaction of *policy specifications* and *administrative routine* (involving regulations, program announcements, competition, and monitoring) and the processes of *policy interpretation and refinement* they entailed.

Policy Specifications

The LEAD Act is a condensed statement about a problem and its solution that directs action. The problem is expressed in the law's statement of purpose:

to improve the level of student achievement in elementary and secondary schools through the enhancement of the leadership skills of school administrators . . . (U.S. Congress, 1984).

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Subsequent provisions of the law communicate a set of *policy specifications* in a series of means-ends relationships that constitute both an argument and a prescription for change: Improved student output results from better school leadership. Leadership in schools consists of the application of skills. These skills are known and can be taught (or developed). A body of knowledge (derived primarily from the literature on effective schools, effective principals, and private sector managerial excellence) is available for the job. Financial support (grants) and organizational capacity (training and technical assistance centers) provide the requisite inducements and resources to apply knowledge and bring about change. It can be expected that centers' internal capacity will have been developed to the point that capacity is self-sustaining within a period of six years at most.

These *policy specifications* set the directions and boundaries for program implementation; they also created a set of decision choices that ED had to make in the implementation process. The most important specifications were *policy instruments, program content and criteria, and institutional choice*.

According to Elmore (1987), "[a] *policy instrument* is an authoritative choice of means to accomplish a purpose" (p. 175, emphasis added). The policy instruments available to legislatures are mandates, inducements, capacity-building, and system-changing. Lacking authority to mandate or directly to change the system for administrator preparation and development, Congress combined in LEAD both *inducements and capacity-building*. The law provided for *grant funds* to be made on a competitive basis, and that awardees should establish or operate *training and technical assistance centers* capable of continuing on after discontinuance of federal funding.

The objectives or substance of policy often also dictate an "*institutional choice*," the selection of an institutional decision maker to further the desired policy aims (Clune, 1987). A given policy might well be served by any of several choices, with significant consequences for the way the policy is pursued. In this case, Congress made two kinds of institutional choice. First, it directed policy through an executive agency of the federal government (i.e., ED); second, it directed funds neither to state governments nor to individuals but to organizations serving state population—and not exclusively to organizations with one or another particular mission or expertise, but to any and all sorts. In tandem with the program content and criteria, these choices opened the way for greater collaboration and innovation but also for more conflict and institutional confusion.

The LEAD Act's *program content and criteria* read almost like a program prospectus. The Act called for programs to upgrade skills in five areas (enhancing the learning environment, evaluating school curriculum, instructional analysis, evaluating teacher performance, and a catch-all communication, problem solving, student discipline, time management, and budgeting). Nine requirements defined an extremely broad scope for center operations, ranging from conduct of training programs for new and practicing administrators, to public-private sector internships and exchanges, to establishing model administrator projects, all of which were to be made "available to school administrators from any of the local education agencies located within the State . . ." (U.S. Congress, 1984, Sec. 903(b)(1), emphasis added). A section on "general criteria" reiterated the emphasis on private sector involvement, set forth numerous provisions to secure long-term impact and self-sufficiency, imposed several conditions to ensure development of "human relations skills," and mandated project evaluations.

At the operational level, the provisions posed a variety of conflicts and contradictions. These called for decision makers at each level of implementation to make choices. At a simple financial level, the appropriated funds (and even the slightly higher authorization target) were inadequate to support the extensive programs called for; applicants could not realistically conduct the required activities within the limits of available funds. The skills list drew from ideas of effective schools/principals and instructional leadership; obligatory input from business schools, private industry, the government, and the military implied possibly quite different notions of leadership. The concept of center-based change—with centralized services, model programs, and uniform training materials—collided with the canons of school-based change, adult learning and development theory, and the latest findings concerning quality and innovation in the private sector. The call to support such practices as labor-intensive, costly assessment centers coexisted uneasily with the call for "particular emphasis upon increasing access for minorities and women to administrative positions" (U.S. Congress, 1984, Sec. 901b). The point is not that this packaging of divergent values and elements in legislative policy is unusual; it is not. The point is that implicit contradictions would call upon the LEAD program office and eventual grantees to make interpretations, choices, and refinements to the statutory ideal in the course of implementing the program.

Developing Program Regulations

Publication of regulations was the first and in some ways most important step in an overall implementation sequence that led next to promulgation of a program announcement, conduct of a grants competition, and making of awards, to monitoring and supporting the funded projects. The development and negotiation of regulations can significantly influence the course of public policy. It is at least as much a political as an administrative process, and it can be maddening, amusing, and intriguing.

Regulations are required by the Administrative Procedure Act (and other subsequent legislation) where any procedures more narrowly prescribed than the law itself are called for to implement a program. Legal awards cannot be made before publication of final regulations. Regulations for the LEAD program were published in draft for public comment September 18, 1986 (OERI, 1986a) and in final form March 24, 1987 (OERI, 1987a).

Two rather unusual, intertwined circumstances affected the implementation process at this stage: limited constituency consultation, and ED's reluctance to support the program.

It would not have been unusual for constituency organizations or Congressional committees to have solicited input or support from the Department in the development of the legislation. A modicum of communication in the initial stages of developing policy can strengthen a bill and smooth the course of its later implementation. At times, the level of communication is quite high. In this instance, consultation was limited. There is no evidence to indicate any with ED during the development of LEAD, and there certainly was none then with the eventual program office. When the program office and Hill sponsors and professional associations did begin to consult, it was not until quite late in the game because responsibility for LEAD and the signal to implement the program were not given to OERI for more than a year after the bill's enactment.

The Department did not at first support LEAD. The Department did not request funds for LEAD in its FY85 budget, and Congress did not appropriate funds for the program that year. There was a Congressional appropriation for

FY86, although again ED had asked for no funds. The Department instead requested a rescission of funds appropriated for LEAD in both FY86 and FY87. It argued that the LEAD legislation was flawed and that its objectives could be accomplished more effectively and more cheaply under the Administration's proposed Teacher Training and Improvement Act (OERI, 1987). (Congress disregarded both rescission requests.) When finally called upon to implement the program, the Department acted in good faith and energetically to do so.

It seems likely, however, that a combination of circumstances—the delay in initial implementation of the program, the Department's initial opposition to the program, and the general lack of consultation—affected the program implementation in some fashion. It surely contributed to a legacy of suspicion about ED's commitment to LEAD that nagged it all through the implementation process, and it created a certain amount of pressure to get the program going that reduced both time and options that might have been used in thinking the program through.

The final publication of regulations occurred almost two and one-half years after enactment of the law and almost one and one-half years after the initial appropriation of funds for LEAD. Three factors accounted for the passage of time. Debate within the Department over whether new regulations were needed or the Department's EDGAR would suffice—behind which was the omnipresent desire to conserve staff effort if possible—delayed the start of eventual drafting for several months. Then, when the actual appropriation of funds brought new urgency to this issue, closer scrutiny of the law indicated that LEAD belonged not under the Office of Postsecondary Education, where it had been assigned on paper, but under either the Office of Elementary and Secondary Education or the Office of Educational Research and Improvement (where it eventually landed). And finally, the regulations document meandered through several drafts, review and clearance of each through as many as 13 ED offices, review and response—including revision where necessary—to a long list of public comments, and clearance through the Office of Management and Budget.

OERI's task was to develop regulations that (1) reflected Congressional intent, (2) interpreted or reconciled problematic issues likely to surface during implementation, (3) referenced or incorporated appropriate provisions from other applicable ED or federal regulations, and (4) included any additional provisions necessary for implementing the program (e.g., application review criteria).

Agencies customarily interpret Congressional intent from the bill itself, from clarification provided by Members of Congress responsible for the legislation, and from the record of legislative deliberations contained in committee reports appended to the bill. In LEAD's case there was no committee report. The bill was enacted without hearings, committee discussion, or substantial floor debate. OERI established intent via legal interpretations of the statutory language provided by the Department's Office of the General Counsel, from the *Congressional Record* inset upon the introduction of an earlier, somewhat obsolete version of the bill, and through discussions with Congressional staff.

The instances where it was necessary to inquire into Congressional intent and clarify statutory provisions were few, and entailed technical, legalistic issues—hardly exalted policy matters, but the stuff of much regulatory development. In one instance, the law specified *contracts* as the funding instrument. After consultation and legal analysis the regulations were written to call for *grants*. In federal regulatory practice, a contract calls for procurement of some-

thing for the government, and government control over the contractor is strict; whereas Congress had intended to provide assistance to accomplish some purpose of the awardee, for which the less controlling and more supportive government posture afforded by a grant would be more appropriate.

In another seemingly minor but consequential instance, OERI's draft regulations changed the word "and" to "or." This was accomplished after suitable consultation and endorsement from Congress and the associations, and with a firm legal opinion that "and" can in fact mean "or." The choice of words did matter. The "and" at issue came in Sec. 903(b)(8) near the end of the list of eight services centers were to provide. Use of the word "and" made the list inclusive; "or" permitted some choice among the list of services. With less than the authorized dollar amount actually available to fund each project, centers could not reasonably be expected to carry out all eight services.

"And" lived a tranquil existence as "or" until the final draft regulation arrived for OMB clearance. OMB authorities, while readily acknowledging the perverse effects on prospective grantees of the use of "and," could not accept the legal justification for the proposed change. In the course of several telephone calls, exchanges of documents, and meetings on this and other subjects, it was finally decided to omit either word and to add a felicitously phrased condition inviting applicants to describe their proposed allocation of resources across the required services and to justify "reasons for seeking minimal or no Federal funding for any service . . ." (OERI, 1987a, Sec. 761.11(B)).

Beyond legal interpretations of statutory intent, the chief ingredient of interpretation and refinement at the agency implementation level was introduced by political conflict and negotiation. Politics enter of course with the separation of powers between legislative and executive branches. They arise as well from different interests within the executive branch—between ED and OMB, for example, across different offices within the Department, and between the federal and state levels of government. Three events illustrate this conflict:

(1) The LEAD Act called in two places for "particular emphasis upon increasing access for women and minorities to administrative positions" (U.S. Congress, 1984, Secs. 901(b) and 903(b)(4)). In one place the language appears merely precatory and in the other more instructive. Early drafts of the regulations implemented these provisions with several conditions that gave emphasis to women and minorities. The conditions were derived primarily from another set of ED regulations called EDGAR, which establish the general administrative provisions for the Department. While drafts of the LEAD regulations were still being revised and reviewed throughout the Department, however, the Department began to overhaul the EDGAR to bring it more into line with the current Administration's views. The revision would entail deleting some provisions relating to women and minorities. It was thereafter noted during the review and clearance process that the LEAD regulations exceeded the scope of EDGAR and should, since some of the LEAD Act's emphasis was merely precatory, be brought into correspondence with the intended changes to EDGAR. The final draft LEAD regulations retained a smaller emphasis, closer to the minimum called for by a strict reading of the law.

(2) The statute identified five skill areas for leadership development. These were listed verbatim, along with two more added by OERI, in the draft regulations sent over for OMB approval. OMB's review revealed that the inclusion of priorities contravened Administration policy, citing a recent domestic policy council memorandum, and requested that

the priorities be dropped. At issue was the Secretary's authority to identify priorities versus OMB's authority to apply policy across the entire Executive Office, each derived from a different legal basis. The confrontation might have had a different outcome had the urgency to publish regulations under pressure from Congress and constituency groups not been so great; but expediency dictated that the priorities be dropped and that the approval process proceed. (The statutory priorities were instead published as "invitational priorities" in the Department's Notice of Closing (OERI, 1986b).

(3) The Notice of Proposed Rulemaking (NPRM) (OERI, 1986a) published in September of 1986 permitted funding for centers serving only the 50 states but not the District of Columbia or any of the island commonwealths or territories. There was some logic and precedent for considering inclusion of these other entities as "states," but a careful and comprehensive legal ruling of the ED lawyers opined, in effect, that if Congress had meant to include these entities it would have said so. Publication of the NPRM unleashed a swell of protest and maneuvering by officials representing the excluded areas at home and in Congress. While the regulations were out for public comment, Congress was prevailed upon to use the Appropriations Act of 1987 (U.S. Congress, 1987) as the vehicle for amending the LEAD Act so that "the term 'State' includes the 50 States and the District of Columbia." The Department revised the final regulations accordingly. But it also determined that this amendment provided even more conclusive evidence that Congress had not originally intended to include the other entities. These areas were left in the cold pending later maneuverings described elsewhere in this issue.

Other public comment was of three sorts (described in detail in OERI, 1987a). Some commenters took exception to provisions of law (e.g., the grant period), which OERI was in no position to alter in regulations. Others challenged the Department's interpretation or approach to implementing statutory provision (e.g., insufficient emphasis to access for women and minorities). Some sought to gain endorsement for their own interpretations of certain regulatory provisions, ones presumably favorable to their cause. And some sought to place on the record objections to possible future ED deviations from Congressional intent, and thus no doubt to head them off at the pass. Some small changes were made in response, but on the whole no serious revision had been called for. The way was cleared for issuance of final regulations, and thereafter for the conduct of the grants competition, award of funds, and commencement of LEAD center operation across the country.

In ways largely hidden to the public, a piece of public policy had become law and taken a major step toward implementation as an operating program. Processes of policy interpretation and refinement engaging the Congress, constituent groups, a panoply of diverse interests in the Department of Education, the Office of Management and Budget, and interested members of the public had kneaded and massaged the policy for nearly two years. What resulted so closely resembled the original policy as to be identical, yet incorporated the subtle touches of the many human hands to work at it. Having reached its present form, this policy would be tested, confirmed, interpreted, and refined often again on its way to being made real through the stages of implementation and program operation ahead.

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The grants announcement was published in October 1986 and mailed to approximately 3,500 colleges and universities, LEAs, SEAs, education associations, private firms, and individuals.

Implementation of LEAD—Part II: Grants Competition and Program Operation

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Public policy and federal grants programs become real through the competition for funds and ensuing program operation. These steps continue in a more public way the policy interpretation and refinement begun with the development of regulations. As with implementation at the regulations stage, new actors and their appreciations of circumstances at these stages introduce new values, interpretations, and perceptions of limitations and opportunity. The conduct of the LEAD grants competition, including preparation of the program announcement, peer review, and early project operation are reviewed here.

Program Announcement

The Office of Educational Research and Improvement (OERI) was obligated by regulation and its own traditions to make grant awards through a competition that was both full, fair, and open, and of the highest substantive and technical quality possible. A start toward these ends had been made with the regulations—with the (it was hoped) appropriate criteria for review, the clear presentation of information, and the "constructive notice" they provided. The program announcement OERI developed to provide guidance for the competition, if well done, would carry this aim a step further.

Program announcements may not legally convey "sub-regulatory" guidance—that is, it may not impose more strin-

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gent conditions upon applicants than established in regulations. But additional clarifying, supporting, or hortatory detail in permissible. The program office decided upon the content of the announcement through an assessment of the *constituent interest, the state of the field, and its own experience and capacities* related to grant competitions and operating programs.

Constituent Interest and Expectations

The ED was dealing not with a piece of legislation or Congressional sponsors alone, but with four Washington-area education associations and their national memberships as well. As Larson notes elsewhere in this issue, several professional associations helped shape and secure passage of the legislation. Their involvement resembles the process Fuhrman, Clune, and Elmore (1988) have called "strategic interaction." In a study of education reform at the state level, these researchers found not the resistance predicted by current implementation theory, but instead that "strategic interactors" seize opportunity, coordinate and expand state policy to meet their needs, and anticipate and actively shape state policy" (p. 17). To one degree or another, the American Association of School Administrators (AASA), National Association of Elementary School Principals (NAESP), National Association of Secondary School Principals (NASSP), and the National School Boards Association (NSBA) had played a strategic interactor role by supporting, contributing to, molding, and generating Congressional support for the LEAD legislation.

They were active after passage of the Act in the eventual appropriation of funds, and they kept their membership informed of progress with the bill and alert to the upcoming funding opportunity as the program took shape. Some of the national and state-affiliate associations operated or were developing programs that could be considered potential beneficiaries or recipients of the grant awards. Passage of LEAD stood to be a significant demonstration of their political leverage and capacity to represent the interests of the field and of their members. These associations had urged the Department not to develop instructions that departed from the law or elaborated unnecessarily from it. They had also reminded the Department that the field was heterogeneous, with myriad alternatives deserving both the chance to compete and support for further development. The associations and their members had earned an influential place in representing their interests and expectations in the implementation of LEAD.

Field Environment

Past OERI experience and research literature suggested that the system LEAD was to help change was loosely-coupled, ambiguity-plagued, complex, unorganized, and lacking a well-developed base of knowledge or technology. *Loosely coupled* in the sense that each sub-element in the system functioned in relative independence of the effects of the others, such that perturbations at one point in the system affected other parts only modestly, if at all, and that sustained, significant intervention would be required to effect changes (Weick, 1976; 1979). Ambiguity of the kind March and Olsen (1976) observed in institutions of higher education prevailed: sources, limits, and targets of power were unclear to the putative wielder of power; organizational purposes were vague or many; lessons of experi-

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ence, meaningful feedback in response to action, were uncertain; and what constituted success was in doubt. *Complex* because many organizations and actors with impinging, overlapping, and divergent missions constituted the preparation and development "system." *Unorganized* in that no unifying principle or consensus on overarching purpose bound the diverse factions together. *Lacking knowledge* in the sense that leadership research remained somewhat conceptually and methodologically flawed and still offered rather contradictory, tautological, and irrelevant findings (Bass, 1984; Karmel, 1984; Mitchell and Scott, 1987; Pfeffer, 1984; see also for example, Bass, 1984, pp. 378, 400-402, 600, and 602; and Schriesheim, Tolliver, and Behling, 1984, pp. 130-131). And lacking *technology* in the sense that there were few materials that translated available knowledge into useful, sound training.

Program Experience and Capacities

The program office's assessment of its own capacities and interests also affected the process. This analysis led away from the direction of the "one best system." The staff's training and experience led it to distrust heavy-handed federal guidance (as did the Administration) and centralized models in favor of local diversity and initiative. Staff most closely involved at this stage also lacked sufficient expertise in school administration and leadership at that time to feel comfortable being too prescriptive.

What the program did feel comfortable doing was serving as a modest sort of exemplar in its drafting of the announcement. It decided to put into the document both the kinds of information and the degree of care it hoped applicants would invest.

And, last, the program paid heed to its division title, "Education Networks Division," and its competence in supporting and encouraging with various means the enhancement of education reform and local improvement through networking among grantees and other appropriate parties.

This composite picture created by constituent interests, field environment, and program office background suggested three large strategic approaches. First, that the competition should be used to the extent feasible to encourage forms of coordination and collaboration that would not likely arise independent of a significant outside inducement. Second, that the kind of improvement envisioned by the Act would be hard-won, and that its achievement would depend as much on provision of other kinds of support beyond the grant funds as on the quality of the competition. And third, that the grants should be viewed as developmental and needing to be encouraged to learn from experience and to recognize and take advantage of more promising opportunities as they arose.

Thus came the crafting of an announcement that communicated the requirements of law and regulations with these key features:

A minimum of intrusiveness and directiveness. There was no leadership model suggested, nor any ideal program design other than the skills and services listed in the law. A bare minimum of reporting and other obligations to the federal funding offices were included.

Softened emphasis on centralized and extensive services. The eight disparate services listed in law and regulation were all included, but they were organized into four categories based on their primary function: information collection and analysis, training, technical assistance and consultation, and dissemination and information utilization.

Attention to key features of program design and operation. Applicants were encouraged to use resources in ways

that provided greatest leverage in the state and that would best organize and improve upon offerings already in place. They were encouraged to form relationships and develop capacity beyond a single organization or narrow base in the state.

Emphasized importance of a sound knowledge base.

The announcement drew attention to the importance of operating on a sound assessment of local needs and problems and thorough understanding of lessons of current research and practice.

Called for participation in a "network" and systematic exchange of information. Projects were encouraged to think in terms of membership in a larger network of projects, to budget funds for participation in a national LEAD meeting annually, and to engage in regular exchanges of information to strengthen their own and other leadership activities.

Encouraged applicants to approach the development of applications with a large investment of care, thought, and competence. The program office modeled as much care, thought, and competence in preparation of the announcement as possible. Care was taken to anticipate stumbling blocks or other problems applicants might encounter or overlook and to prepare applicants for them. Applicants' attention was directed to kinds of information that would help them respond to the review criteria and help expert reviewers best discriminate among competitors.

The Grants Competition

The grants announcement was published in October 1986, and mailed to approximately 3,500 colleges and universities, LEAs, SEAs, education associations, private firms, and individuals. A notice entered in the *Federal Register* on October 6, 1986 (OERI, 1986) advised the public officially of the competition, applicable regulations, source of additional information, and closing date for submission of applications.

A general public information conference held in Washington, D.C. afforded an opportunity for interested or prospective competitors to ask questions and to comment. Several associations also invited program staff to brief their memberships on the competition at national meetings.

One of the program's concerns at this stage was to ensure prospective competitors that the competition was not, in the terminology used to indicate an ostensibly open but fraudulent competition, "wired." Apparently because of the aggressive "strategic interaction" the administrator and board associations had conducted, some other prospective applicants began to assume that the funds were "intended" for these associations' members. This was not so, and it was important that we disabuse the field of this notion. Program staff took every occasion to portray the competition as completely open and fair and to encourage any interested applicant to apply.

Seventy-six applications were submitted for the 51 center "slots." In the case of 35 states, there was only one applicant. There were between two and five for the other 16 states. We have only anecdotal evidence to explain the submission of a single application in these states. In some instances, it appears that a single competitor seemed so overwhelmingly favored to win that others were discouraged from applying. The advantage seemed to lie not with any preferred position in the competition but with the edge of experience and capacity. There are some states where there was but one realistic competitor. And it is probable that the image of a favored competitor group was not wholly dispelled in every state. But the more voiced explanation is that prospective competitors decided to join and split the pot rather than run the all-or-nothing risk of competition.

While it cannot be proven that this was always for the best, it does seem as though it most often worked out in the state's best interest. It provided in effect a competition before the competition, one in which bargaining substituted for choice in the determination of the eventual program. Agencies and organizations that had resisted working together had now come together and developed joint programs. Though these were sometimes merely confederations to preserve individual interests, it appears that true collaborations and consortia are evolving in many cases.

Because the statute provided for funding one center to serve each state, the competition was run essentially as 51 sub-competitions, each seeking to identify a suitable awardee for one state. Applicants from the single- as well as from the multiple-applicant competitions were put through a rigorous peer review. A plan for the review was developed and approved by the OERI Assistant Secretary in accordance with the OERI procedures for peer review (OERI, undated).

Over 100 peer reviewers read and provided extensive comments on applications. Each application was evaluated by 5 readers, among whom were school administrators, policy makers, scholars from disciplines pertinent to leadership and school administration, teachers, and businesspersons. Decisions were made by the Assistant Secretary/OERI on the basis of the field reviews, staff advice, and his own readings. In two cases of the 16, awards were made to the second ranked competitor when scores were extremely close and the readers' commentary justified the choice.

There were in effect two additional competitions to round out the full complement of awards. A follow-up competition was held to fund a center for Indiana, after the one application from that state was withdrawn during the first competition (see 52 FR 16301, dated May 4, 1987). Much later, a second cycle of competition was held to make awards to American Samoa, Guam, the Northern Mariana Islands, Palau, Puerto Rico, and the Virgin Islands—the entities that had been ineligible for the initial competition. Technical Amendments to the Higher Education Amendments of 1986, into which the LEAD program had been reauthorized since the first competition, had made these entities eligible (U.S. Congress, 1987; OERI, 1988). These followed essentially similar procedures, and resulted in one award for each of the jurisdictions.

Program Monitoring and Networking

The last in the many recursive stages of program implementation is the projects' operating phase. Projects encounter a variety of obstacles and opportunities in the course of daily events that could never have been anticipated and provided for in the grant application or project design. Since the funding instrument is a grant, assistance for the grantee's needs and purposes, program adjustments within the overall scope of the original approved grant are acceptable and even encouraged. We are after, after all, the best programs in an ambiguous, changeful world.

The program office is deeply committed to providing a high level of support and encouragement to these projects. We know they will encounter new circumstances. We know they are sometimes operating blind and alone, relying—to

paraphrase William James—only on their faith in an uncertified outcome to ensure the results they seek. We know there is great comfort as well as inspiration and rich new ideas to be gained from working among a community of like-minded, dedicated colleagues. And we know that the additional commitment, effort, and activity that even a small increment of new funding can provide can make a potentially big difference in the project's success. We have tried to create a situation where the 57 LEAD grants have the support, encouragement, community, and extra dollars they need and deserve in order to make their best contributions to the field. Elizabeth Hale describes this undertaking—the National LEADership Network—in a separate article in this issue.

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Little attention has been given to the professional development needs of educational administrators. Administrator surveys offer a comparative advantage for efficient data collection and meaningful process for policy formulation regarding personnel issues.

Administrator Surveys as Alternative Policy Instruments

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The educational reform movement presents a unique opportunity for assessing a number of critical and substantive issues for school districts. Past research efforts, however, have had either a local context focusing on school improvement efforts and the leadership role of principals or a concentration on the effect of federal categorical programs. Little attention has been given to the professional development needs of educational administrators at both the school and district levels. Tied narrowly in many respects to student outcome data, the educational reform movement

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has ignored the importance of addressing the professional development needs of current educational administrators and the preparation and training required for those newly appointed.

To address these shortcomings, the Massachusetts Leadership in Educational Administration Development project crafted a framework for identifying professional development interests and opportunities for educational administrators and the organizational context in which school district, universities, or professional associations must respond. The rationale for the use of administrator surveys is derived from both a theoretical and practical orientation. Of particular importance to the theoretical basis of administrator surveys or what can be referred to as an alternative policy instrument is articulated by one researcher who suggests less reliance upon techniques geared to the analysis of individual or categorical problems (Salamon, 1981). The use of administrator surveys is an attempt to provide a broader perspective by which research agendas are constructed for educational policy reform.

The practical considerations of this approach accrue benefits to educational administrators and policy makers. Since much of the educational reform studies have concentrated on the results of school effectiveness programs, little effort has been made to specify the requirements for a qualitative relationship between the central office and school site. Data from administrator surveys can be helpful in that task. Moreover, the need for school improvement coupled with generally an older building administrator suggest an increased focus for productive professional development programs as well as new recruitment programs. Even more important, any success from educational reforms may add to the existing performance and policy demands of practitioners and policy makers. To maintain quality performance standards, school districts need continued support from universities and State Departments of Education.

This article will discuss the use of administrator surveys and their value in shaping policy recommendations for school districts and their service providers in addition to educational administrators and the professional associations to which they belong. Respondents typically include elementary, middle, and secondary principals and superintendents. Other groups of respondents which can be part of administrator surveys are assistant principals, supervisor/directors, school business administrators, and assistant superintendents. To each of these groups, researchers have assigned varying amounts of responsibility and authority for planning and implementing educational reform strategies. Much of the focus of the educational reform movement and the leadership required to implement district policies or school improvement programs rest with this community of professional educators. Is the importance attached to the role of administrators just cause for the use of administrator surveys? Will the data derived from the survey be of such qualitative value to describe it as an alternative policy instrument?

The value of administrator surveys is not one-dimensional. Data derived from the instrument are an important source of *demographic information*. The characteristics of the respondent groups with respect to the length of time in one's job has significant implications for recruitment and training of new and current personnel. For example, the Massachusetts LEAD Center project School Administrator Survey revealed that more than 40 percent of the administrators expect to leave their jobs within the next five years. With such predictable information, school boards, superintendents, and service providers are able to engage in appropriate activities for planned change.

Another reason for the use of administrator surveys lies with their ability to define *career interests* and identify the direction in which professional development support should be provided. In many ways the career interests of educational administrators particularly at the secondary level, are expected to create a certain degree of change in a school district. The ability to anticipate the locus of change and the personnel impact are fundamental to ensuring effective transitions of professional educators. Unlike roundtable discussions or isolated stakeholder meetings, administrator surveys enable policy makers to assess in a more systematic way the issues in the forefront of the "third wave" of educational reform—decentralization, deregulation, and the professionalization of leadership roles, particularly within the classroom.

Perhaps the most compelling reason for the use of administrator surveys has to do with the *training needs* and opportunities which are not inclined to abate, given two key factors: the growing impact of technology on teaching, learning, and administration and the relationship between the future challenges facing especially high school seniors and the current success or failure with which they meet these challenges. Can improved training and professional development programs blunt the growth or resolve the high school dropout problems? A footnote of caution is offered by Clune (1987) who thinks a paradox exists between the need for indicators of success and the desire to monitor. While further training is obviously needed, school districts must be careful that the training programs do not limit themselves in perspective or purpose. In other words, when training programs result only in more sophisticated ways, for example, to measure or monitor dropouts instead of implementing successful dropout prevention programs, the use of administrator surveys as alternative policy instruments becomes remote.

Sensitivity to this concern is highlighted in the results of a training survey conducted by the Office of Leadership and School Improvement of the State Department of Education in South Carolina. The survey attempted to obtain information from several respondent groups (superintendents, high school principals, middle school principals, and elementary principals) regarding thirty-six areas or topics which were considered to be desirable for training programs. Regardless of respondent group, it was clear that the training programs preferred were not merely new ways to *monitor student performance*. Rather, strategies to *motivate students* were identified among all respondent groups as a highly desirable topic for training programs. Middle and high school principals considered "motivating students" as the most highly desirable topic.

Since carefully articulated training programs are shown to result from administrator surveys, how should organizations proceed in developing their own surveys? What types of surveys should be regarded and for what purpose? These questions are fundamental to the task of constructing meaningful survey instruments.

The tendency not to associate the reason for developing administrator surveys with the manner in which they should be constructed often establishes problems for district policy makers, educational administrators, and service providers. Surveys tend to be derived from one of several perspectives. A review of selected LEAD Projects points to the need for articulation of the survey questionnaire with its intended purpose—*demographic data bank*, *career interest profiles*, and *professional training surveys*. Several examples illustrate this point.

The North Dakota LEAD Center in collaboration with the University of North Dakota Bureau of Educational Re-

search conducted two surveys. One was designed to provide information to the University and LEAD for decision making with regard to the educational administrator activities of *female teachers*. With a reasonable response rate of 47.2 percent, organizers of the project were able to determine the *career interests* and *training needs* of female educators. Respondents who expressed interest in educational administration as a career were asked to rate on a five point scale thirteen topics embracing issues of leadership and management of schools. The topic which received the greatest amount of interest (more than 70 percent of the respondents) was "what it takes to become an effective administrator." Inquiries of this nature provide a good basis for the development of professional training programs. Comparatively, the results of the second survey were equally convincing with regard to topics for professional training. Of the respondents in the second survey, over 70 percent indicated great interest in the same topic—"what it takes to become an effective administrator."

The Virginia LEAD Center also recognized the importance of *collaboration* with professional associations and the State Department of Education. The focus of the survey was to obtain *demographic profiles* of educational administrators and to assess *the professional development needs of school administrators* in the state. The development of the survey instrument was a collaborative endeavor. Responses from the 52 question survey were later reviewed by the Virginia Department of Education and colleges and universities as a formative step in planning in-service and pre-service programs for educational administrators.

It appears that the *collaborative nature* of this project was a conscious effort to maximize the response rate to the survey and to maintain open lines of communication with universities and professional associations. Of the 4,677 survey instruments distributed, 77 percent were retrieved. Of the 3,728 returned, 76 percent were considered to have valid responses. In addition, the Virginia survey identified preferred types of professional development activities and desirable training schedules. One-day regional workshops, visitations to other school divisions and state level conferences were the preferred types of professional development programs, while Thursdays, Wednesdays, and Tuesdays respectively were the most desirable days to hold training activities. Information from the survey results was utilized for both scholarly research in the university community and for the development of promising training programs which enhance leadership and management skills.

Survey results from a variety of LEAD Center projects underscore the benefits of collaboration in designing the instrument and data utilization. Massachusetts, North Dakota, South Carolina, and Virginia LEAD Centers in particular illustrate the value of planning, implementing, and evaluating research projects in concert with the university community and professional associations. The reasons for conducting surveys seem to have sufficient justification. *Demographic information* points to the increasing need to have good data which will allow for timely and responsive policy decisions to problems of administrative turnover rates and the increased age of current administrators. In fact, a recent report of the American Association of School Administrators indicate the number of older administrators has increased, especially for those 55 years of age and over. Increased age coupled with longevity in position (Massachusetts LEAD Project reports that 50 percent of elementary principals have been in their positions for more than 10 years) present serious challenges to the consortium members involved in LEAD Center Projects.

While the recent educational reform movement has focused on such critical issues as student academic achievement, professionalizing teaching as a career and restructuring schools, little attention has been given to the need to attract and develop cadres of talented professionals who seek *career advancement*. The task of deciding on a data gathering instrument or a process to identify issues or concerns regarding career interests could be accomplished in a number of ways. Administrator surveys offer a comparative advantage for efficient data collection and meaningful process for policy formulation regarding personnel issues. Other policy instruments might be chosen on the basis of variables of costs, the bearers of costs and constituents served. This method, while practical in nature, becomes over time more idiosyncratic to the political winds of negotiation. In contrast, administrator survey instruments contribute to the building of generalizable models of policy instruments.

Despite the range of issues identified in the educational reform movement and the number of unanswered questions regarding successful practices of *professional development activities*, the use of administrator surveys is considered to be productive. This approach seeks to develop a link between the needs of practitioners, the goals of policy makers, and the desired effects of reform strategies conceived by service providers. Administrator surveys serve a valuable descriptive function. Yet the ability to provide the policy community with an insightful alternative instrument may be its strongest asset.

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The time for traditional, mechanical administrator training programs has long since run its course.

Preparing Principals: New Directions

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Preparing Principals: New Directions

Long before the release of *Leaders for America's Schools, the Report of the National Commission on Excellence in Educational Administration*, most professionals involved in preparing administrators for public schools knew the wind was changing. In conferences across the country, attendees were repeatedly informed about the growing discontent of school administrators and the low evaluations principals gave their own administrative preparation programs. In one such cathartic session, listeners heard the depressing news that many practicing principals found little relevance between their training and the practice of administration. In a report from the National Center for Educational Information, only 25 percent of principals rated their pre-service preparation as excellent (Feistritzer, 1988).

Leaving aside discussions of the strengths and weaknesses of the Commission report, some of their recommendations bear directly on the subject of preparing principals. The Commission asked that "intellectually superior and capable individuals" be selected as potential administrators and that training programs provide more realistic internships patterned after those of "other professional schools" (NCEEA, 1987). The importance of these recommendations is magnified when the ages and projected retirement of current principals is taken into consideration. If reports are ac-

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curate, within the next five years over 21 percent of principals presently serving will leave their positions (Feistritzer, 1988). How will those positions be filled with "superior and capable individuals?"

The solution should be found in administrator preparation programs that select the best potential administrators for training and then provide, even require, extensive internship experience to balance a research-based curriculum. Unfortunately, too many university-based preparation programs merely allow self-selection of aspiring administrators by requiring minimal entrance requirements into programs and courses. Many university programs are so tradition bound to a sequential progression through numbers of courses and credits and to evidence of knowledge based on test and essay scores that internships become merely another credit-hour duty to be checked off. Still other school administrator training programs have implemented internship or practicum requirements, but the number of hours and quality of experience are not adequate to prepare the novice principal to walk into a school and become its educational leader.

An administrative internship must be more than a haphazardly arranged time for a student in a university graduate program to poke around a principal's office for a few hours each week, watching the principal at work, taking notes, performing a few mundane administrative tasks, asking the principal questions, and reporting back to the university at the conclusion that the internship requirement has been completed. In Daresh's (1987) study of the beginning principal, the respondents' most common observation was that they did not know what the principalship was going to be like before they assumed the position. This finding should cause training institutions to ask sobering questions about their approach to the preparation of principals. While the new principal would not be expected to be prepared for every eventuality, surely major responsibilities and tasks should not come as such a surprise to the novice administrator that they propel him or her into a stupor of thought. How can administrator preparation programs better prepare administrators for their first positions? What kind of selection process for future administrators is needed? What kind of internship should be required? How can the internship and class experience be balanced? How can universities and public schools cooperate to develop new directions for the preparation of future educational leaders?

Six interrelated factors determine the efficacy of the preparation of future school administrators:

- 1) selection process
- 2) internship
- 3) mentor principal
- 4) curriculum
- 5) cohort group
- 6) partnership between universities and school districts

Selection Process

The state of New Jersey recently removed prior teaching experience as a requirement for an administrative credential (Guthrie, 1988). State education officials hoped that this deletion would greatly expand the pool of available candidates for the principalship. Of course a larger pool of candidates will be created through the deletion of any current standard. Requiring no university degree at all would likely create a sea of new applicants. A larger applicant pool, however, is not the answer to the dilemma of poor candidates for the principalship. Preparing a pool of better trained, better *qualified* candidates for principalships is the answer. Such a pool can be created only through the careful selection and

preparation of those identified as potential leaders. Identifying, encouraging, and providing financial support for experienced educators with demonstrated leadership ability and educational insight so that they may be trained in a quality administrator preparation program will accomplish far more toward improving the principalship than fishing in a bigger pond. The processes used in selecting and training administrators have failed us, not the quality or number of potential leaders currently in service in the nation's schools.

Even among the critics of the so-called overburden in school administration, there seems to be agreement that the single most important professional in education is the building principal (Raspberry, 1988). It is the principal who sets the school climate and influences the teamwork and morale of the faculty, thereby affecting the attitude and achievement of students. First-rate schools have first-rate principals. These exceptional principals should serve as models and mentors for aspiring principals.

Most colleges and departments of education do little, if any, screening of students prior to their enrollment in graduate programs in administration. Minimal grade point averages and graduate examination test scores allow admittance to traditional programs, and those students who have decided to pursue their administrative credentials move through the required courses at their own pace. In some states, administrative certification requires only completion of specific courses, and no admittance criteria are imposed because no graduate degree is needed. University departments offer courses semester after semester to students who seek administrative positions because they desire more money or status, are "burned out" with classroom teaching, or desire a change of job duties. The graduates of such programs typically self select the area of administration, complete the requirements, and then enter the pool of applicants. Very few are selected as promising prospective principals through a collaborative process including university faculty, practicing principals, and superintendents willing to provide supportive training opportunities for future educational leaders in the schools. If the selection of future leaders is, as Goodlad (1984) says, a superintendent's "first order of business," then the selection process should be the priority of educational planners and leaders in both university educational preparation programs and school districts.

The best potential administrators should be identified and encouraged to seek the training and experience needed to qualify for administrative positions. Admittance processes to such training programs should be so fine-tuned that those who are selected and complete the training provide a pool of exceptionally prepared candidates from which future leaders are selected. Besides traditional indicators, such as grade point averages and examination scores (which should be higher than the minimal scores generally required), selection criteria should include several years of outstanding teaching experience, demonstrated writing and verbal skills, group interaction abilities, and leadership potential. If seriously considered and implemented, two procedures would immediately begin to correct the effects of the present "luck of the draw" system of selecting principals: first, the use of district data, including peer recognition, to identify and promote employees with leadership ability; second, a financial investment by the district, an investment which would pay enormous dividends in the future, to help underwrite superb training for exceptional educators. Leaving the leadership of schools to chance selection by the candidates themselves bypasses an unidentified—perhaps dormant—critical mass of po-

tential leadership, leadership desperately needed in the schools.

Internship

School Setting. Internship hours for traditional programs often may be fulfilled at the school where the part-time graduate student is a full-time teacher. Even when the internship is carried out at a different site, the student is often left to make all the arrangements at the on-site school and therefore schedules intern time at convenient or comfortable locations rather than at sites where good administrative experience can best be acquired. The university often has no control over or interest in where students do their internships. Having quasi-administrative experience in one's own school, at a school adjacent to the university, at a school where the principal merely wants an unpaid assistant principal, or at a school where the intern is accepted if he or she stays out of the way simply does not get the job done. Such hollow experiences do not compare with an intensive assignment in an effective school under the direction of a committed, caring educational leader, a mentor principal.

The greater the variety of leadership styles and procedures an intern can experience, the more prepared he or she will be to resolve the multitude of problems that challenge a school principal. The internship will be most beneficial if completed at a school recognized as innovative and effective, where the principal is the acknowledged leader in instructional matters and resource management. Extensive experience at one or more school settings should be part of the internship. Ideally, the future administrator should have internship experience at both elementary and secondary levels and in more than one district. The future administrator will be best prepared by participating in administrative activities in several settings, and the education profession will benefit from having a pool of potential administrators who have had varied training experiences.

Internship Activities. Internship or practicum or field experience is a hazy concept in many administrative training programs. The student goes into a school to shadow a principal, to be assigned a few routine tasks, or to observe administrative procedures, and internship requirements are thus fulfilled. Universities may provide checklists of tasks to be completed (i.e., attend a district principal meeting, conduct a faculty meeting, write a building policy, etc.) and as soon as everything is checked off, the internship is completed and the student is supposedly prepared to be a professional administrator.

The myriad of administrative tasks and responsibilities is difficult to categorize for checklists. After basing a study on observations of principals throughout the school day, Peterson (1981) compares the day-to-day working conditions of elementary school principals with the idealized role prevalent in the field. The results indicate that the tasks performed by the principal are characterized by brevity, variety, and fragmentation. A principal may perform as many as 50 separate tasks an hour, 85 percent of which are under nine minutes in duration. Such a barrage of rapid decision making requires an extraordinary ability to gather and assess information. Establishing the school climate, providing instructional leadership, and developing good school/community relations are among the expectations of effective school administrators that cannot easily be completed in a few hours by a part-time intern. During the internship, the student should be expected to apply the theories studied in university courses as well as to evaluate and even to conduct new research. Instead of a checklist of activities

completed, the student who has full-time field experience has had legitimate experience as an educational leader at the conclusion of the internship.

Time Commitment. Many administrative internships require only a limited number of hours in a school setting, and the number of hours is often based on credits (i.e., 50 hours of internship earn one semester hour of credit). Students who spend a few hours each week or a couple of hours each day in a school during a semester or quarter fail to participate even minimally in all aspects of a principalship. When students are able to fulfill internship requirements by meeting with a principal after school hours or by sandwiching internship time in between university courses or regular classroom duties, they are unable to learn what the position entails except through second-hand discussion or observation.

Internships must be long enough and continuous enough to allow aspiring administrators to experience all aspects of a principal's job and even to participate in as many duties and activities as possible under the tutelage of an experienced principal. An aspiring administrator should spend a full year in school administrative offices observing and performing the intangible as well as the specific responsibilities of school leadership, including those unquantifiable duties that change every day throughout the year. A preparation program that provides full-time internship experience for an entire school year ensures that a new administrator is prepared to provide immediate leadership in a school as well as to handle the day-to-day duties of school management. Full-time internships for a year provide aspiring administrators with as many as 1,500 hours of school experience in addition to the breadth and depth of experience required to be a professional school administrator.

Mentor Principal. Too many traditional internships are arranged at the school where the intern is assigned as a teacher and under the supervision of his or her own principal. Whatever strong or weak leadership behavior and administrative abilities are practiced by the principal are observed and incorporated by the intern who has no basis for comparison. When the student is responsible for arranging his or her own internship wherever a principal is willing to assume supervisory responsibility, little is done to ensure that the experience will benefit the intern. Even good principals sometimes are not good mentors or supervisors for future administrators, and internships under poor supervision merely perpetuate leadership problems detrimental to progress in education.

Mentor principals should be carefully selected to work with aspiring administrators on the basis of their proven leadership abilities, administrative skills, and interest in helping educational leaders of the future. Their schools should radiate a climate where teachers, students, parents, and community work together to provide for educational achievement. Under the caring and competent tutelage of such principals, the intern should emerge from the practicum knowing firsthand what an educational leader is and how to be one. Mentor principals should not merely tolerate intern principals but be enthusiastic about working with them, be interested in refining their own mentoring skills, and be committed to collaborating with university personnel as a full partner in a people-building enterprise.

Cohort Group. A persistent problem in educational administration has been the "loose coupling" (Blake and Mouton, 1974) of school organizations, resulting in principals functioning independently, seldom building strong professional relationships. First-year principals have gone into their new positions often feeling isolated, with no one to

turn to for advice or assistance. With no professional network to provide natural lines of communication among principals, collegial relationships that benefit school administrators do not develop.

When prospective principals progress through a training program as a cohort group, collegial relationships develop. Learning is most effective when students with similar goals work together, sharing experiences. Cohorts utilize the principle of cooperation and team building, traits so necessary in this age, rather than the isolation of competitive behavior. The complex nature of the principalship necessitates the development of participatory problem-solving and decision-making skills, and interns who work as a cohort group have opportunities to analyze and reflect upon their academic and internship experiences with each other, with mentor principals, and with university faculty. The interns create a support structure, a professional network, that will continue when they assume positions of leadership in education.

Curriculum. Although traditional university courses transmit important information, theory, and investigation skills, they are typically far too limited in scope and much too regimented in delivery for students to make important transfers and generalizations to their future principalship experiences. Lectures with a few in-basket exercises or case studies provide insufficient opportunity to discuss field relevance based upon intern experience or to reflect meaningfully upon current field experience. Content of the curriculum should run concurrent with field experience in an articulated program of theory, skills, and practice. Then university faculty and mentor principals have the opportunity to teach modules in their areas of expertise. When courses are delivered in modules, faculty, and guest lecturers are able to coordinate their presentation of concepts with the increasing level of responsibility and experience in the internship. Modular presentations allow the utilization of resources not usually tapped in regular programs.

The use of materials which bridge theory and practice in meaningful ways should be encouraged. Scenarios and simulations may be introduced to help the learner make transitions from information to application. Designing modular curricula requires careful attention to content, sequence, and consistency. Haphazard curricular offerings which are not correlated with the internship provide fewer advantages for learning.

Future administrators must be better prepared in all aspects of research; designing, conducting, evaluating, and interpreting research should be seen as central to the curriculum of aspiring principals. Too much precious time is spent in studying and implementing reforms already discounted by educational researchers. Research literacy will help prevent school administrators from being overrun by wave after wave of specious reforms.

Such extensive curricular reforms require substantial professional commitment from universities and school districts if they are to create a more efficacious training program. Such a program has the potential to stimulate renewal in all who become involved in it—mentors, interns, professors, and specialists.

Partnership Between Universities and School Districts. A partnership between the university and the school districts creates the ideal learning environment for aspiring administrators. When training program goals and processes are determined by university faculty and school district personnel collaborating to determine how best to meet the needs of school districts, practicum experience and classroom work mesh to provide the student with a complete education. The university and school districts should

be mutually involved in the partnership through arranging internships, providing in-service renewal for mentor principals, selecting future administrators for admittance to programs, and advising and evaluating interns. A partnership requires a type of close collaboration between universities and school districts that is not commonly found.

Summary

Organizations or institutions that are designed and operated as if they were machines are called bureaucracies. Most organizations are bureaucratized to some degree, and the mechanistic mode of thought has shaped our conceptions of organizations with their state of orderly relations between clearly defined parts that have some determinate order. In short, organizations which operate as machines foster mechanical relations and can be expected to function in routinized, efficient, reliable, and predictable ways (Morgan, 1986). This is a fair representation of the traditional, never-changing nature of many administrator preparation programs. Such a perception will not serve us well now or in the future.

The time for traditional, mechanical administrator training programs has long since run its course. The pressing need for many new competent principals is too imminent, the challenges facing school administrators are too complex, and the competencies needed for success as educational leaders are too numerous. Only collaborative administrator preparation programs that incorporate selective admittance criteria, extensive internship experience under the guidance of competent mentor principals, and a thoughtfully organized curriculum will provide the type of educational leader demanded by today's schools. Only then will it be possible for education to select new administra-

tors who are fully qualified to be effective instructional leaders and efficient resource managers for America's public schools.

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Busy school administrators have too many "fish to fry" to be subjected to remedial, piecemeal, uncoordinated, though well intended "management training."

Administrator Development: A Step Beyond Training

by John R. Hoyle
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Sheila Wilmore has been a junior high principal for the past 11 years. Both Sheila and her supervisor know that she was hired as a school manager and has not kept up with new developments in instruction.

Arch Edgell, an assistant superintendent in an urban West Virginia school district desires someday to become a superintendent in a suburban district.

John Winston is an outstanding communicator and visionary superintendent in a leading urban school district. John, however, has an admitted problem. He simply can't manage his time well enough to free him from administrative trivia to allow him to oversee key instructional programs.

Laura Londenberg is a bright elementary teacher who has completed her administrator certification at a nearby university. She now wants to move into administration. Her school district has initiated a leadership academy which will include a development program for prospective administrators. How does she become a part of the program and what must she need to learn that her graduate classes in educational administration may not have stressed.

David Wilson, Ph.D. in educational administration and new superintendent in a medium sized district has been told by the board of education to improve student test scores. Only two of his 12 principals have taken university

classes in recent years and the others are not excited about Wilson's school improvement plans.

All of these people have one thing in common: they need administrator development plans. (Note that I refuse to use the word training; you train technicians and other employees, but educational managers are professionally educated in universities and their skills are updated in executive development activities.) A vice-president of 3M Corporation and a member of the Texas LEAD Advisory Committee told me that 3M dropped the word "training" 10 years ago from its vocabulary because of its degrading connotation. 3M now says "Management Development Plans." Old habits of language die hard. Murphy and Hallinger (1987) edited a widely read book titled, *Approaches to Administrative Training*. The Texas State Board of Education adopted a management and leadership development rule to implement legislation enacted initially by the 69th legislature in 1984 (TEC 13.353). The law required that school districts offer in-service "training" in management skills for district administrators. Back now to the five educators who need administrator development plans. Sheila, Arch, John, Laura, and David are experiencing feelings ranging from frustration over lack of mobility to better positions and professional obsolescence, to increasing their levels of expertise in generic and specific skills. Each of them wants to improve his/her behavior and succeed as educational leaders, but they lack the knowledge and skill to do it. All of them may or may not realize that they are in need of administrator development. Realize it or not, they will acquire new and better skills if they hope to compete in the demanding changing world of school administration.

The Need to Improve Administrator Development Programs

There has been a growing concern about the ability of university preparation programs and professional development efforts to create school administrators with the "right stuff." This general concern regarding the inadequacy of administrator preparation and development has generated a flurry of reform activity. Since 1980 numerous authorities have criticized and presented alternative solutions to the administrator preparation and development problem. Pitner (1982), Miklos (1983), Hoyle (1985, 1987, 1989), Cooper and Boyd (1987) have reviews of past and current problems in administrator development and presented recommendations and guidelines for program improvements. Peterson and Finn (1985) assaulted the efforts of professors of educational administration by claiming that, "survey after survey of practicing administrators reveals that most judge their university training to have been easy, boring, and only intermittently useful to them in their work. As with teacher education, one frequently hears such phrases as 'Mickey Mouse'" (p. 48). Hawley (1988) is less charitable to professors of school administration by asserting that "... uncertainty of purpose and lack of self-esteem among the educational administration professorate contribute to and are fostered by low status not only within universities but within schools of education" (p. 85). None of these critics has proposed any new or startling recommendations to enhance the professional development of school administrators. Other scholars have made less noise but solid contributions to the preparation and development by advancing positive proposals for improvement and reform. Achilles (1988) writes for those interested in improving the profession by stating, "I'm convinced that now is the time for new viewpoints, new models, new structures in educational administration. All involved in this very large enterprise need to build from a sturdy tripod: why, what, and how!" (p. 62)

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Achilles and other leaders in educational administration realize that professional preparation at the universities is only part of the education of a school administrator. Our schools exist in a fast-changing environment. Issues rise and fall, values change, and new technology disrupts the system and offers new opportunities. The well prepared school leader is able to meet these challenges through staying up-to-date. Traditional university administrative preparation programs alone cannot produce a polished school leader. The university programs stress intellectual development and serve as screening devices, but the applied skills must be learned largely in a field setting. The impetus of reform legislation, along with developments in the research on effective schools and classroom instruction has resulted in heightened activity in administrator development programs.

Alternative Development Programs

This heightened emphasis is characterized by alternative development programs focusing on more varied instructional methodologies and different assumptions about the role of school leaders as teachers and learners. As a result of this new attention on school leadership, state legislation, universities, and foundations have established academies and institutes to re-school administrators. After a thorough review of national and state administrator academies, it became evident that the primary focus on the programs was on school principals. Conventional wisdom and research have always led us to believe that a great school almost always boasts a "Spark plug" principal. "Spark plug" principals are devoted to the welfare of those entrusted to them which gains the trust and support of teachers, staff, and students. It is clear that good principals are key to good schools. However, placing all of the emphasis and resources on the development of principals as the only key to school improvements falls far short. All administrators, central office staff, principals, and assistant principals must be included in professional development if schools are going to improve.

Opportunities for professional development are available in twenty-one of thirty-nine states responding to a survey. They reported that they have continuous education requirements for persons holding certification as school administrators (Gousha, LoPresti, and Jones, 1988). Officials in the other eighteen states indicated that they had no such requirements. The twenty-one states with continuous education requirements indicated that graduate study, continuing education units, and clock hours of staff development were the primary sources to meet the requirements. Gousha, LoPresti, and Jones also found that twelve of the sixteen large school districts in the sample required continuing education for all school administrators.

According to Daresh (1988) administrator in-service and development programs during the past few years have the following characteristics:

- (a) Effective in-service is directed toward local needs;
- (b) in-service participants need to be involved in the planning, implementation, and education of programs;
- (c) active learning processes, rather than passive techniques such as lecturers, are viewed as desirable in-service instructional modes: people seek involvement in their learning;
- (d) in-service that is part of a long-term systematic staff development plan is more effective than a one-shot, short-term program;

- (e) local school in-service must be backed up by a commitment of resources from the central office; and,
- (f) effective in-service requires ongoing evaluation (p. 22).

Daresh continues by describing five major models being applied to in-service education for administrators. The first and most popular model is graduate level credit courses at a university which leads to certification and a degree. The second model is the in-service academy sponsored by the local district or the state education agency (or university). A third model is the short-term in-service institute or workshop. Professional associations have led to this development. The National Academy for School Executives sponsored by the American Association of School Administrators (AASA) is perhaps the best example of these topic focused workshops. The fourth model which is in the early stages of development is the assessment center concept. The original purpose of the assessment center was to select candidates for administrative positions. In recent years the National Association of Secondary School Principals (NASSP) and AASA have determined that the assessment center approach has considerable promise for use for in-service focused on the improvement of job related skills. The fifth and final model according to Daresh, "... is the network, or arrangement wherein individuals with common interests form an alliance for mutual support" (p. 22). This model is also known as "peer assisted" or "mentor" development programs.

The Blooming Academies

The second model described by Daresh—in-service academies—is a remarkable development which has mushroomed since 1980. The National Directory of Principal's Centers (1987) records and describes the functions of 90 Principal's Centers, academies, and institutes. New York State has ten and California lists six to lead in the new highly, visible, delivery mode for administrator in-service development. Most of the 90 centers have appeared on the scene since 1980 and more appear each year. The centers have expanded their influence of developmental activities to include programs for central office administration as well. The number of days, intensity, and follow-up activities vary widely. For example, participants in the Meadow Brook Leadership Academy in Michigan are involved in 10 one-day workshops for the first year and a smaller number the next year. The Harvard Principals' Center offers two or three sessions a month, which last two or three hours. The most common activity is the residential summer institute and/or academy. The Texas A&M University Principals' Center conducts a six-week institute which grants six hours of graduate credit and follows with a five day intensive academy. The academy includes national leaders as presenters and each of the 150 attendees select one of four strands for personalized development. The West Virginia Principals' Academy established by the State Department of Education in July 1984 includes an extensive ten-day summer residential session, two follow-up meetings of two days each, and a year long networking system. Another purpose of the academy is to provide county superintendents with improved procedures for selecting new principals. The component of the Academy was enacted in January of 1976 with the signing of an agreement with the National Association of Secondary School Principals (NASSP) to operate an Assessment Center based on the NASSP national model. The West Virginia Academy, like most others, stresses peer-assisted learning programs (PAL). In the PAL programs principals learn how to

record the data while observing a peer, analyze what they have recorded, and share the findings with that peer.

Collaboratives for All Administrators

Superintendents and other central office administrators gain their development opportunities through a variety of programs. State administrator associations have taken a much stronger role in staff development. Workshops stressing performance evaluation to determine a superintendent's areas of strength and weakness are growing in frequency. Universities collaborate with central office administrator associations and offer institutes and workshops which cover a wide range of topics and activities. An example of a professional association/university collaborative is the annual Administrative Leadership Institute co-sponsored by the Texas Association of School Administrators and the Department of Educational Administration at Texas A&M University. The most recent Institute focused on "Improving Administrative Performance." The seventeen hour, two day program consisted of presentations by professors of business management and educational administration and by leading Texas superintendents. Most of one day was devoted to peer assisted group sessions. The group members completed a self assessment performance inventory which included seven generic and job specific performance skill areas. Each person tabulated his/her performance scores to identify the skill areas that needed more personal attention and improvement. The groups were constituted according to administrative position (i.e., large, medium, or small city superintendent; assistant superintendent, and principals). Each group member contributed ideas and skill building strategies in each of the seven performance domains or areas. Then suggestions for personal skill building contributed in each of the groups were compiled and mailed to each participant to assist them in creating their personal development plan which is now required under the state management training rule.

Each participant was awarded a certificate of attainment which granted them management training credit required by the state. The institute was designed as a model for other universities or individual consultants who plan to offer in-service management training for school administrators in Texas.

Since the first wave of school reforms, several states have initiated collaboratives to make better use of state resources. Notably is the Connecticut Academy for School Executives (CASE) which was founded as a collaborative effort of the Connecticut State Department of Education (CSDE) and Connecticut Association of School Administrators (CASA). The Board of Directors includes CSDE, the Connecticut Association of Boards of Education, Connecticut Association of School Personnel Administrators, Connecticut Association of Secondary Schools, Connecticut ASCD, Connecticut Coalition of Educational Leaders, and the Elementary and Middle School Principals Association. CASE is supported by a major grant from CSDE and by dues from member associates. The purpose of CASE is to provide long term professional growth opportunities for Administrators. It is offering programs on generic and specific skill areas for each Connecticut school leader.

In Mississippi the School Executive Management Institute was created through the Mississippi Education Reform Act of 1982. The Institute was formed under the auspices of the State Department of Education with a legislative mandated Advisory Board. The purpose of the school Executive Management Institute is to provide the framework for a variety of leadership, administrative, and management training programs which will lead in increasing administrative skill

levels leading directly to the school improvement process of the Educational Reform Act. This skill building framework consists of three tiers of development experience: 1) beginning administrators; 2) Board Certification Program; and, 3) senior administrators. The activities offered at each of these levels include: symposia, seminars, skill building programs, and "up-date" conferences (three annually). The initial focus of the programs on skill development is in the areas of school effects, research, leadership characteristics, communication, performance-based accreditation, instructional management, staff development, tests, measurement and evaluation, and administrative computer application.

During the next three years the framework will offer twenty or more development opportunities within the three tiers. A school administrator can demonstrate both skill attainment and the application of skills in the job which will lead to recognition as a "Board Certified Administrator."

This heightened emphasis on skill "up-dating" through state mandated or locally initiated performance development programs for practicing administrators has encouraged several universities not only to increase their in-service workshops and institutes but also to alter graduate degree programs. Administrator certification programs and masters and doctoral degree programs are becoming more concerned about performance skills and competence needed by graduates. The skill building is being meshed into standard course work and in expanded skill based internship and clinical experiences in public school systems. Such an effort to balance theory with clinical experience is generally known as the professional studies model. This model has recently been detailed by the author (1988, 1989). Planning is underway at Texas A&M University to select its first cohort group and begin a professional studies doctorate in 1989.

These degree programs are being strengthened by university/public school collaboratives that emphasize balance between the academic content and the real world of the school.

John Goodlad and Ann Lieberman of the University of Washington are among the leading pioneers in promoting university and school district collaboratives. They have found that the longer the collaborative structure has been in existence, the more trusting the relationship and the more possible it is to create collaborative inquiries of all kinds. David Thompson and Gerald Bailey of Kansas State University have written incisive articles and collected others on the subject of university/school district collaboration in the Fall, 1988 *Educational Considerations* published by Kansas State University.

These new and promising collaboratives strike at the heart of three of the recommendations in *Leaders for American's Schools*, the report of the National Commission on Excellence in Educational Administration:

1. The public schools should share responsibility with universities and professional or organizations for the preparation of administrators;
2. Administrator preparation programs should be like those in professional schools that emphasize theoretical and clinical knowledge, applied research, and supervised practice; and,
3. Professors should collaborate with administrators on reforming curricula for administrator preparation.

The Knowledge Base or What

It is alarming that on some university campuses and in staff development programs the program planners have few

clear notions about the knowledge and skills that all educational administrators should possess. According to Peterson and Finn (1985), "One commendable version was offered by the American Association of School Administrators (Hoyle, 1982) spanning seven major areas of knowledge and skill. Under each of these headings, the AASA suggests administrators need a mix of empirical and theoretical knowledge and they need a feel for how to put their knowledge and skills into operation within the school organization so as to increase its effectiveness" (p. 53). This bold effort by AASA in collaboration with higher education and public school administrators remains the only set of guidelines for the preparation of school administrators in the United States. The issue is not, however, whether these guidelines are the ultimate gauge for quality programs; it is rather than no set of competencies, programs, guidelines, and knowledge is commonly accepted as the core for administrator pre-service or in-service development programs. It is striking how the seven AASA major areas of knowledge and skills are found in the programs of most academies and institutes. For instance many state and local district administrator development programs stress school climate and how to improve it, political theory and building coalitions, the curriculum and how to build and evaluate it, instructional management systems and how to run them, staff members and how to evaluate them, school resources and how to utilize them, and research planning and evaluation and how to use them.

In the absence of any other guide these other areas may have become accepted as a guide for best practice by planners of administrative institutes and academies. Perhaps the nine studies to validate the AASA competence and skills for the successful performance of principals, superintendents, and community college administrators have encouraged the wide spread emphasis in development programs (Hoyle, 1987).

The AASA National Executive Development Center

Based on the seven skill areas the AASA has developed the National Executive Development Center (NEDC) for experienced school administrators who wish to build on their strengths and increase their awareness of personal and professional knowledge, attributes, and skills. The first pilot center was established at the University of Texas, Austin in the fall of 1986. The emphasis is on professional growth through diagnosis of strengths and weaknesses and the development of a professional growth plan. The program is self-directed and self-paced with time-sequenced activities to enhance professional growth. The essential knowledge base is derived from the competencies and skills as outlined by Hoyle, et. al., (1985) in *Skills for Successful School Leaders*. Through several validation studies it was determined that the essential knowledge base for administrators should be combined into five leadership task areas or domains: 1) Institutional Leadership; 2) General Administrative Leadership; 3) Human Relations Leadership; 4) Liberal Education; and, 5) Personal Capabilities. Each leadership area has been broken down into task areas, tasks, and sub-tasks (competencies).

Once the individual accomplishes goals as validated by mentors, peers, and self, he/she may exit the system or recycle through the model for continued growth. According to Hohman (1988) AASA will establish seven centers across the United States. He projects that some 16,000 central office administrators nationwide could feel the impact of these programs which "... may literally redefine the professional development process for administrators" (p. 20).

The Management Profile

Another promising executive development model called the "Management Profile" was developed by Erlandson (1988). It is a comprehensive strategy for:

1. Diagnosing how effective a school administrator is likely to be in fulfilling the various functions and roles associated with the management of schools; and
2. Establishing individualized plans for professional development based upon this diagnosis.

In making this diagnosis, an integrated appraisal measure, developed by Professor Lyle F. Schoenfeldt of the Department of Management, Texas A&M University, is used. The administrator's "management profile" is captured in a half-hour videotaped interview that probes the administrator's views centering on three managerial roles and six functions, and uncovers, in operational terms, how these are fulfilled on the job. Also, the author and Erlandson developed the Perceived Performance Inventory (PPI) to obtain perceptions of the administrator and the administrator's subordinates, supervisors, and peers on how well the management functions were being performed. An analysis of the videotaped interview and the PPI is shared with the administrator who, with assistance provided by the Texas A&M University Principals' Center, develops and executes a professional development plan for bringing the profile more completely into line with personal and professional aspirations and with the needs of the school organization. Individualized development plans are designed with the administrator who is also assigned a mentor or "coach" to assist in professional development.

The Texas LEAD Center

The Texas LEAD Center is part of LEAD national networks described earlier in this volume. A recent publication written by Director Joan Burnham (1988) and her staff gave the following information on the role, focus, and future of the Center.

Who is involved?

The Center is a collaborative endeavor, pooling the resources and expertise from key entities in the state concerned with the professional development of school administrators. Consortium cosponsors are the Texas Association of School Administrators, the Texas Elementary Principals and Supervisors Association, and the Texas Association of Secondary School Principals. In addition to the presidents of the three cosponsoring organizations, a seven-member governing board includes leaders representing business and industry, the state education agency, colleges of education, and regional education service centers. A 33-member advisory committee offers further statewide access to expertise, guidance, and resources.

How Does the Center Work?

The Texas LEAD Center serves primarily as a developmental R&D center. To accomplish its mission of strengthening educational leadership development, the Center concentrates on five major functions:

- Collecting information on leadership skills, training, and practices.
- Developing and delivering leadership training services.
- Providing technical assistance and consultation.
- Disseminating and supporting utilization of information.
- Fostering interorganizational collaboration.

The LEAD Center's primary strategies are:

- Training-of-trainers.
- Use of work-teams (task groups) made up of practitioners, other educators, and private sector leaders.
- Development of state and national networks to provide input in training and planning and to disseminate LEAD information.

Burnham (1988), described the success of the first year by stating the following:

"As a new R&D statewide technical assistance center for school administrators, the Texas LEAD Center has an exciting year. During the second year of the LEAD Center, we will be continuing our efforts to pilot exemplary programs and leadership practices. An important aspect of that developmental thrust will be the continued efforts to work collaboratively with the private sector to adapt some of their outstanding management development training for school leaders. Trainers will be trained in LEAD programs, who will, in turn train administrators throughout the state. It is anticipated that those trainers will generate from diverse sectors in the state already involved with school leadership development (e.g., professional associations, school districts, educational service center, and universities).

Professional development programs selected for the training-of-trainers effort will address the generic Core Curriculum skills and job-specific skills discussed in the Management and Leadership Development SBOE rule for school administrators. Some of those programs will be those that were also piloted through the summer (1988) contract with the Texas Education Agency.

The Texas LEAD Center believes that the opportunity for administrators to have a great deal of say about their professional development plans is a unique one" (p. 1).

A LEAD Caveat

The Texas LEAD Center holds much promise for a working collaborative professional development model. In spite of the additional financial support from the Texas Education Agency and the numerous activities underway, problems loom on the horizon. The burning questions center on the role of the university schools of education in the long run and on the cloudy role of the corporate sector in assisting with the management training and development. Universities are not disposed to create non-credit administrator in-service on a regular basis. University scholars tend to look upon administrative in-service as a "quick fix" lacking systematic learning and a solid research base. Corporate trainers are prone to think that educators have little background in general management training and seek to "run" the school administrators through management 101 or remedial content that is taught in graduate pre-service programs in entry level educational administration courses. The LEAD Center, universities, and the business sector need to do a lot of talking and planning if a systematic, sequential, and workable model for administration development is to emerge. Time will tell if these three actors will and can join hands. Busy school administrators have too many "fish to fry" to be subjected to remedial, piecemeal, uncoordinated, though well intended "management training." The LEAD Center has located the better pieces of the puzzle. Now the hope is that the vision is clear enough to fit the pieces into an integrated picture of successful staff development for all Texas school administrators. The same hope prevails in all

other states looking for the best role for LEAD to play in facilitating a coordinated, effective administrator development program.

Conclusions

Sheila Wilmore, Arch Edgell, John Winston, Laura Londenberg, and David Wilson could each be overwhelmed with the plethora of development activities described in this article. Overchoice is the problem. How do they know which development activity is for them?

Researchers remind us that all school managers should demonstrate competency in both generic and specialized skills. However, observers have agreed that the complexities in the study of educational administration can hardly be reduced to a specific list of competencies and skills. If you the reader were pushed to provide a development program for any of our five educators mentioned above, what would you tell them? What program would you direct them to? Since staff development programs tend to imitate one another, development and training strategies and techniques tend to be faddish, i.e., effective schools research based on "the five correlates." The faddish, often quick-fix characteristics of development can be diminished by systematically determining the training development needs of the administrative staff and of the individual. In this way, management development programs will use interventions only for the administrators and the situations where needed. If the management development program is centered on the following three questions, then you probably will help our five educators select the program that fits their needs:

- (1) Where is the development/training needed in the school district?
- (2) What must the administrators learn in order to perform the job effectively?
- (3) Who needs the development and of what kind?

To answer these three questions requires time and human resources. However, if in-service development is really to be successful in helping each of our five educators lead more productive lives and schools, then the time and resources must be supplied. The objectives of any development program must take into account the job description and responsibilities of the position held or desired by the individual. Task identification which focuses on the overt, observable behaviors that are involved in performing an administrative job must also be present in a successful development program. Unless the in-service program's objectives are based on a job analyses and a task identification, the program will likely to be merely another waste of time for the harried school administrator.

It seems clear that all programs must include the technology and resources to diagnose and map out the strengths and areas of less strength of a person's leadership and management skills. The identified areas of less strength are the beginning of a personal development plan which includes formal presentations, readings, observations, and peer and mentor assisted learning. If these components are present, Sheila, Arch, John, Laura, and David will grow professionally and be prepared to create learning environments where all students can and will learn.

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Collaboration can fuse, strengthen, and focus needed efforts by those organizations responsible for the development of educational leaders.

Statewide Collaboration in Alabama

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Collaboration of responsible organizations within the state for the purpose of providing professional development programs to educational administrators and supervisors became a reality with the implementation of the Alabama LEAD Academy in May 1987. Before that time sporadic efforts to implement cooperative programs either died from lack of maintenance or sharpened differences among the organizations until collaboration gave way to competition for political power and/or scarce financial resources. The organizations involved are three institutions of higher education offering doctoral degree programs in educational administration, the State Department of Education, and the various professional organizations of educational administrators and supervisors.

The fact that the Alabama LEAD Academy has survived for nearly two years is remarkable considering the record of past efforts to collaborate. One of the obvious reasons for current continuing unity is the success of the Academy in delivering instructional programs that were cooperatively planned. Representatives of professional associations of administrators and supervisors identified instructional programs they felt were needed. Over 1,700 administrators and supervisors were involved in training sessions during the first 18 months of the LEAD program and over 90 percent of those participating rated the events either very good or excellent. Participation was voluntary and often at the expense of the practicing educational leaders.

The demand for relevant and effective professional improvement programs far exceeded the resources available

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Dr. Martin was instrumental in developing the Alabama LEAD Academy and served as its Executive Director from its inception until his official retirement from Auburn University on January 1, 1989.

to supply them. The political implications of so many leaders engaged in and demanding the programs required some unity among organizations serving them. Thus, the Academy became a significant reality; a different kind of political and educational force than had ever existed before in Alabama, and its creation and operation provided some lessons that may be of interest to those concerned and involved in the preparation and professional development of educational leaders. The purpose of this paper is to identify some of those lessons that may be applicable in other states as well as in Alabama regarding the development of statewide alliances. As usual, Alabamians have learned the hard way—by trial and error. There is no assurance that the Alabama LEAD Academy will survive, but it has the potential to become a vehicle for developing exciting, new, and effective ways of preparing and continually improving educational administrators and supervisors. This brief analysis may provide a benchmark for learning from whatever occurs, but first a summary description of the Alabama LEAD Academy is in order.

The Alabama LEAD Academy

The Academy's purpose is to provide professional development opportunities and training for potential and practicing school administrators and supervisors. Its basic operational principle is cooperation.

The governing body of the LEAD Academy is a board of directors composed of a representative from each of five organizations that have formed a consortium. All of the organizations are directly responsible for some aspect of professional preparation and development of educational administrators and supervisors. Three of these organizations are institutions of higher education: Auburn University, The University of Alabama, and The University of Alabama at Birmingham (UAB). Statewide, the professional associations for administrators and supervisors are represented by a coordinating umbrella organization called the Alabama Council for School Administration and Supervision (ACSAS). In addition, the professional certifying agency, the Alabama State Department of Education, is a member of the consortium.

Members of the Board of Directors serve by virtue of their positions in the organization they represent. The positions are the Dean of the College of Education, the Executive Director of ACSAS, and the State Superintendent of Education. The Board elects its own officers, employs the Alabama LEAD Academy staff, and is responsible for establishing operational policies. The umbrella organization, ACSAS, serves as fiscal agent.

In addition to the LEAD grant, financial support comes from the organizations in the consortium. The Alabama State Department of Education has contributed more than the others. The salary of the Executive Director has been an in-kind contribution of Auburn University.

The Executive Director of the Academy reports directly to the Board and is responsible for planning, development, evaluation, and implementation of the program and for supervision of the staff, as approved by the Board of Directors.

The program of the Academy has five major components: (1) Assessment—to determine the professional needs of individuals and the schools they serve, (2) Preparation—to help prepare educators for leadership positions they have not held before, (3) Proficiency enrichment—to improve leadership and managerial skills, (4) Cultural enrichment—to help provide a broader understanding of the state-of-the-art in business, industry, science, the humanities, and relevant current issues affecting schools, and

(5) Follow-up—to assist participants in implementing what they have learned in the Academy.

In essence, the Academy functions as a broker by arranging appropriate instruction and experiences to meet the needs of educational leaders. Services and instructional activities are provided by numerous individuals, agencies, and organizations from throughout the country. Utilization of persons with demonstrated expertise in Alabama is given first priority. Since its beginning in May 1987, the Academy has provided two- and three-day workshops for assistant principals, principals, central office personnel, supervisors, and superintendents. Some of the topics were: Improving Community Relations, Directing the Curriculum, Legal Responsibilities, Stress Management, Conferencing Skills, and the Role of the Assistant Principal.

In September 1988, a person occupying each of the above named positions representing each of ten geographical areas in Alabama were chosen to serve as area contact persons for the Academy and to train as trainers in conferencing and coaching skills. Planning had already been decentralized by representative groups, and the workshops for the area representatives in September helped make possible the decentralization of program delivery. Organizationally, the Academy appeared in September of 1988 to be ready for making statewide sustained collaboration a reality.

The Conditions of the Alliance

Research by Reed and Cejda (1987) accurately identified conditions organizations must maintain if collaboration is to occur and be sustained. In brief, they must: (1) have common goals, (2) derive a clearly balanced benefit, (3) share decision making, (4) adapt to change, and (5) have a framework in which to function together. They also must have a cadre of individuals in each organization who believe collaboration is necessary and who actually serve as "boundary spanners" (*The Key*, 1988).

Achieving these conditions requires much more than a common cooperative attitude among key organizational leaders. If collaborative efforts of the organizations represented in the governing board of the Alabama LEAD Academy are not sustained, it will not be because of lack of belief and dedication to cooperation and collaboration on the part of the respective members of the Board of Directors. Problems in making collaboration an operational reality lie within the organizations and institutions they represent. Some changes in the parent organizations must occur for the collaborative efforts to be successful, and significant changes in large, well-established bureaucracies are usually painfully slow in emerging as operational realities.

It has also become more apparent over the past eighteen months that political controversy involving one member of the consortium affects the total collaborative effort. The individual members of the consortium not only share common goals but also common and unsought opponents. For example, periodic conflicts between the school administrators and the teachers' union are common at the local school district level and, at times, at the state department of education level. These conflicts are not usually shared directly by the universities in Alabama, but all collaborating partners are buffeted by battles waged outside the LEAD consortium simply because of collaborative work.

Some problems are created because an organization governed by a number of different organizations, i.e., a consortium, is not generally understood. The same kind of misconception on the part of the general public often plagues school boards that govern as a committee of the whole. Members of the Alabama LEAD Academy board have been

very aware of their respective roles as board members. Each has tried very hard not only to participate as a member of a committee of the whole but also to prevent other members of the board from feeling that any one was trying "to run the show." Their honest attempts to work cooperatively have made it possible for them to get to know one another better and to begin to develop feelings of mutual trust. This has not been easily achieved and there is still some questioning of one another's motives at times. It is very difficult for leaders of organizations who must compete continually for each dollar spent for education to put their trust and confidence in one another. Like many marriages, if there is a split it will probably be over finances.

Shared assumptions by members of the consortium have been that the respective roles of the organizations should change in regard to professional preparation and development of administrators and that the Academy can serve as a vehicle to help identify and implement those roles. It is becoming increasingly apparent, for example, that preparation programs in institutions of higher education must include more and better clinical experiences. Clinical experiences, however, take place for the most part in elementary and secondary schools, not on the university campus. Professional educators in the schools must assume roles as clinical instructors in addition to their regular duties, and they are usually already overworked. These problems still demand solutions that must be derived from collaborative planning among the organizations. An all inclusive, single, best model probably will not be developed. However, it is almost impossible for any successful model to be conceived without involvement of all organizations directly concerned. It is very unlikely that institutions of higher education will even attempt to depart radically from the traditional on-campus-residency-research-dominated practices. There is no reward in academe for such radical behavior, no matter how educationally sound it may be. Also, since the practicing educational leaders in the elementary and secondary schools are so consumed by the demands of the job, they have little interest and knowledge of effective preparation programs primarily because they have little time to deal with them. Innovation based on collaboration is essential. Whether or not it will be achieved remains to be seen.

Some evidence that a different role for the state department of education is also emerging. The Alabama State Superintendent of Education has recently appointed a "task force" to study preparation programs and standards for certification of administrators. The appointed group has already made some of its deliberations public but will not submit its final recommendations until December 1989. The issue of who will control the content of preparation programs is very much in contention. Except for a few members of the task force, most people in the state find it inconceivable that control could be vested in a collaborative body rather than in one organization. At the writing of this article a majority of the task force seems to feel that the State Department of Education should assume responsibility for the coordination and control of all professional preparation and development programs but not for their delivery. The obvious confusion over authority and responsibility will be resolved eventually. It is evident, however, that for the first time leaders in professional associations of elementary and secondary school administrators and supervisors have a voice in making decisions about the content and activities for their own professional development. They are not likely to surrender that opportunity to a state agency, universities, or any other authority without a struggle.

The Future

Regardless of what happens next, the Alabama LEAD Academy has had a statewide impact. It has served as a vehicle for planning, developing, and implementing practical solutions to the issues of how best to improve professional preparation and development of administrators. Clamor for improvement increases every week. The pressures for improvement are very evident throughout the United States (Murphy and Hallinger, 1987). In Alabama LEAD was used to plan, develop, and implement innovative approaches to the control and delivery of programs. The direct involvement of school administrators and supervisors in professional development programs that are functions of continuous cooperative planning and are controlled by a consortium responsible for professional preparation, certification, and improvement holds promise for the future. Collaboration can fuse, strengthen, and focus needed efforts by those organizations responsible for the development of educational leaders. Each type of organization will have to develop roles different from those they traditionally perform, however,

and institutional change remains difficult to achieve. The future of education in Alabama appears brighter because of the LEAD Academy. It is hoped that efforts to continue the improvement of educational leadership will continue for many years to come.

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Instructional leadership development has been identified as a primary goal of training programs of many of the OERI-funded LEAD centers.

Educational Leadership Development and the Implementation of Innovative Schooling Practices

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Research on effective teaching and school effectiveness has contributed much to an increased recognition of the central role of educational leaders, particularly building principals, in instituting and maintaining systematic efforts

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to improve instruction and learning in schools. This research base clearly suggests that educational excellence is achieved and sustained when school improvement efforts are grounded firmly in scientific research and practical wisdom, and when they are led and nurtured by educational leaders knowledgeable in both the research base and the state-of-the-art practice and skillful in managing school resources to enhance the instructional capabilities of school staff.

The twofold purpose of this article is to provide a brief summary of this research base and to discuss its implications for designing educational leadership development programs.

Educational leadership, for the purposes of this article, is defined as initiating and maintaining systematic efforts to improve instruction and educational outcomes of students. Effective leadership in this context can be characterized as (a) the ability to develop a school improvement vision grounded in scientific research and sound professional practice; (b) human relations skills to enable professional colleagues within a school to share such a vision; (c) management skills to marshal resources to implement the vision; and (d) the ability to evaluate the success of the vision in terms of student learning.

Leadership in improving instruction and learning and executive skills in managing school and human resources for such improvements are both critical to the effective functioning of an educational leader. Furthermore, we see the successful implementation and institutionalization of school-based improvement initiatives as key indicators of effective educational leadership. The educational reform literature emphasizes these points (e.g., National Commission on Excellence in Education, 1983), as does the research on school effectiveness (cf. Kyle, 1985), the development of leadership skills in education and private industry (e.g., Levine, 1984; Peters and Waterman, 1982), and the realignment of formal authority that is taking place due to the movement toward professionalization of teaching (e.g., Ewing, 1985; Yankelovich, 1985).

An Overview of the Research Base

Effective Schools and Teacher Effectiveness. Findings from the past two decades of research on effective teaching and school effectiveness provide substantial evidence suggesting that what teachers do and how schools operate make a significant difference in students' learning and achievement. This research base is provocative and provides a foundation on which to build current and future school improvement efforts. Although the lists of characteristics of effective schools and patterns of effective teaching vary somewhat across studies and reports (e.g., Austin, 1981; Brookover et al., 1982; Edmonds, 1979; National Association of Elementary School Principals, 1984; Purkey and Smith, 1983; Rutter, 1981), the resulting research base suggests remarkable consistency.

The extant research base on teacher effectiveness also provides a broad data base that suggests some consistent or "replicable" patterns of teacher behaviors and student

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achievement (Good and Brophy, 1986). However, despite the substantial knowledge base on teacher effects and effective schools, there is little evidence that findings from research have been incorporated for the improvement of practice. One major reason for the lag between the state of the art of research and the state of practice is the failure of leadership training programs to address adequately how to apply the best of what we actually know in improving instructional and related service delivery in the schools.

Recent developments in theories and research in management and human resource development have resulted in major conceptual shifts and changes in various beliefs and expectations. These developments have important implications for current educational reform, especially for the concerns over the paradox of what constitutes educational leadership—substantive knowledge or management skills—and the issue of professionalization and realignment of formal authority.

The Role of Substantive Knowledge. There is a tendency in the extant management literature to treat leadership with no reference to substantive knowledge. The leader is viewed as one who facilitates a climate in which professionals are motivated to do their jobs. However, there is also increasing research evidence in the recent literature to support the notion that a leader needs to be actively engaged in the substance of an enterprise. At the forefront of this research are findings that effective educational leadership is characterized by (a) a combination of both authoritarian and democratic management styles (Lipham and Hoeh, 1974); (b) skill in organizing, planning, and evaluating instructional programs (Hughes and Ubben, 1978); (c) the ability to take a dynamic systems view of organizational relationships between constituent groups (Lipham and Hoeh, 1974); and (d) the ability to establish a climate for learning that facilitates student growth (Brookover, 1979; Currence, 1986; National Association of Elementary School Principals, 1984; Purkey and Smith, 1983).

The issue is not whether content knowledge is requisite for an educational leader; rather, the question is what the content knowledge should be in order to articulate a vision, give meaning to standards, encourage, and monitor efforts. The leader, in this view, is one who is particularly adept at monitoring, assessing, and communicating how current strategies are working, and he or she is sophisticated enough in the substantive content to recognize constructive versus nonproductive proposals for change. The leader makes an impact by articulating a vision for the organization and by helping people set goals and state values that give purpose to their work (Bennis and Nanus, 1985; Lawler, 1986; Fullan, 1985).

Professionalization and the Realignment of Formal Authority. The educational reform literature is ambiguous on the question of who should exercise leadership to improve practice within the school. The Holmes Group (1986) emphasizes the professionalization of teaching through more rigorous selection and training of teachers and the creation of a three-tiered career ladder culminating in the position of career professional. The career professionals would supervise novice teachers or instructors and serve as head teachers specializing in instruction or management. It is notable that the Holmes Group does not mention the role of principals or school district administrators in defining an agenda for the professionalization of teaching.

The Carnegie Forum on Education and the Economy (1986) also calls for the professionalization of teaching. The Carnegie Forum goes further and specially calls for a new look at the principalship model in terms of the overall goal

of creating "a profession of well-educated teachers prepared to assume new powers and responsibilities to redesign schools for the future" (p. 2). The Carnegie Forum proposes an alternative model for instructional leadership in which a committee of lead teachers operates within a school, one of them acting as a managing partner and the principal being in a professional partnership with them, much like that found in medicine.

Both the Holmes Group and the Carnegie Forum agree that instructional leadership should be exercised by competent professionals working together collegially. These groups hold that the main controls on the quality of leadership should derive from improved teacher education programs, controlled entry to the profession, and established professional standards for teachers. A critical control device could be the establishment of a national board that would be entrusted with the responsibility to develop professional standards for teaching and issue certificate to those who meet the standards.

The recommendations of the Holmes Group and the Carnegie Forum in effect call for a new set of relationships among teachers and administrators and a realignment of formal authority within the school. Similarly, the Task Force on Leadership and Management of the National Governors' Association upholds a vision for "restructured schools" that includes a greater cooperative role for professional teachers, resulting in a more collegial and productive school climate (National Governors' Association, 1986).

The Role of the Principal in Improving School Effectiveness. The functioning of the principal as an educational leader has consistently been shown to be an essential ingredient of effective schools (cf. Bossert, 1985; Fullan, 1985; Purkey and Smith, 1983). The principal of an effective school is required not only to manage the business of the school, but also to function as an "instructional leader" who works with the teaching staff to implement academic goals, ensures that order and discipline prevail, and makes choices about materials and instructional strategies. Such principals are expected to have training and experience that give them a broad understanding of the nature of society and the learner, how both are changing, and how they are likely to continue to change in the future.

Kantor (1985), in her analysis of the role of the leader, suggests that leaders must have a degree of independent knowledge of what constitutes excellence. Kantor notes that consensus is important, but she resists an overly romantic view of "organizational democracy." She stresses that leadership involves a balancing of control and team opportunity. According to Kantor, participatory management does not mean abdicating managerial responsibility for monitoring and supporting the process. The effective manager sets the basic conditions and stays involved and available to support employees, review results, and redirect or reconfigure the team as necessary.

Principals are in a particularly strategic position to create conditions for excellence in their schools. They can contribute in unique ways to the attainment of educational objectives through application of the growing scientific knowledge of what works. The findings from syntheses of thousands of studies demonstrate that some instructional procedures and techniques are far more effective than others (c. U.S. Department of Education, 1986a, 1986b; Walberg, 1984; Wang, Reynolds, and Walberg, 1986; Witrock, 1986). Thus, the progress reflected in research and practice of the past two decades provides principals and other educational leaders with an increasingly greater technical knowledge of the means and ends, the causes and effects of the improved school programs and practices.

To be sure, there are areas of specialized knowledge in which all educational leaders need rigorous preparation. These areas include child development, organizational structuring and management of school and human resources, the application of research findings to the creation of school environments that promote learning and student achievement, techniques for evaluating school curricula to assess and improve effectiveness, and analysis of instruction and staff performance. What is less clear, however, is what a principal can do on a day-to-day basis, in the face of multiple episodic demands, to use his or her knowledge and leadership skills (Blumberg and Greenfield, 1980; Howell, 1981; Martin and Willower, 1981; Peterson, 1978; Southern Regional Education Board, 1986).

Traditional pre-service training programs for future principals are often criticized as unrelated to the on-the-job requirements of educational leadership (e.g., Blumberg and Greenfield, 1980; McCurdy, 1983). A recent report by the Southern Regional Education Board (1986) pointedly states that principals typically do not actively engage in school improvement efforts. This, however, is not a reflection of incompetence on the part of the principals. Principals have not been selected and trained on the basis of the knowledge and skills required to make sweeping reforms work.

There is clearly a need for training programs aimed at developing educational leaders who are able to take major positive steps in improving instruction and learning in schools. Training programs designed to enhance the capability of the school staff in implementing and maintaining

innovative programs in schools should focus on both the substantive knowledge and managerial skills required by educational leaders to initiate and institutionalize improved practices.

Approaches to Instructional Leadership Development.

Instructional leadership development has been identified as a primary goal of training programs of many of the OERI-funded LEAD centers. Based on the responses from a survey that was sent to all of the LEAD project directors, 23 of the LEAD centers (46 percent) have identified instructional leadership development as a primary focus of their work. Table 1 provides a list of all such LEAD centers. Because of space constraints, we are not able to provide descriptions of these programs. Interested readers can obtain information from the contact persons listed in the table.

Although the programs listed vary in their approaches and the specific substantive content of their training programs, they share a common element—characterizing effective instructional leadership as expertise in shaping, guiding, monitoring, and evaluating implementation of innovative practices to improve instruction and student learning. To provide an illustration of the design elements of a training program aiming to enhance the instructional leadership expertise of in-service and aspiring educational leaders, we include in the following section a brief overview of the instructional leadership development program currently being field-tested at the Pennsylvania Leadership in Educational Administration Development Institute.

Table 1

LEAD Centers Focusing on Instructional Leadership Development

Center	Contact Person and Address	Center	Contact Person and Address
Alabama LEAD Academy	John S. Martin P.O. Box 428 Montgomery, AL 36101-0428	Iowa Leadership in Educational Administration Development	James Sweeney N 225C Lagomarcino Hall Iowa State University Ames, IA 50011
Connecticut LEAD Center	Kathy Rockwood 205 Skiff Street Hamden, CT 06517	Kansas School Leadership Academy	Joy Kromer 820 Quincy-Suite 200 Topeka, KS 66612
Delaware Leadership in Educational Administration Development Center	Mary Ketchem P.O. Box 1402 Dover, DE 19903	Kentucky LEAD Center	Betty Lindsey 1121 Louisville Road Frankfort, KY 40601
Florida LEAD Project	Luther Rogers Clemons-A 102, Knott Bldg. Tallahassee, FL 32399	Massachusetts LEAD Center Project	Leslie F. Hergert 290 South Main Street Andover, MA 01810
Georgia LEAD Project	Carvin L. Brown G-9 Aderhold Hall University of Georgia Athens, GA 30602	Maryland LEAD Center	Lawrence Leak College of Education University of Maryland College Park, MD 20742
Hawaii Center for Leadership in Educational Administration	Ichiro Fukumoto P.O. Box 2360 Honolulu, HI 96804	Leadership for School Improvement Project	David M. Kahn 421 West Kalamazoo Street Lansing, MI 48933
Idaho School Administrator Assistance Center	Alf Langland 401 Broadway Boise, ID 83702	Missouri LEAD Project	Marjorie Spaedy P.O. Box 480 Jefferson City, MO 65102
Illinois Administrators' Academy	Ray Schaljo 100 North First Street Springfield, IL 62777	New Hampshire LEAD Center	Roland B. Kimball Department of Education Morrill Hall Durham, NH 03824

Table 1 (con't)

LEAD Centers Focusing on Instructional Leadership Development			
Center	Contact Person and Address	Center	Contact Person and Address
Oklahoma LEAD Project	Bill D. Osborne 131 South Flood Avenue Norman, OK 73069	Texas LEAD Center	Joan G. Burnham 1101 Trinity Street Austin, TX 78701-1994
Pennsylvania Leadership in Educational Administration Development Institute	Margaret C. Wang Ritter Annex, Room 933 Temple University Philadelphia, PA 19122	Vermont Center for Educational Leadership Development	E. Janet Jamieson Box 580 Manchester Center, VT 05255-0580
Rhode Island Educational Leadership Academy	Charles Mojkowski 78 Foxglove Drive Cranston, RI 02920	Wyoming LEAD Project	Myron R. Basom University of Wyoming P.O. Box 3374 Laramie, WY 82071
Tennessee LEAD	Ernest L. Bentley, Jr. East Tennessee State University Box 24511 Johnson City, TN 37614		

Instructional Leadership Development Programs: An Illustration

The Pennsylvania Leadership in Educational Administration Development (PA-LEAD) Institute, established for educational leaders and aspirants at the Temple University Center for Research in Human Development and Education, is designed to provide opportunities for educational professionals to develop expertise in designing and implementing innovative programs that improve student learning, and to expand the recruitment and training of the next generation of school leadership.

The primary goal of the instructional leadership development programs of the PA-LEAD Institute is to forge a dynamic link between the development of educational leadership and improvement in schooling practices. The design of these programs are based on several premises: effective educational leaders play a key role in instituting programs that successfully enhance student learning; such leaders know both their schools and the state-of-the-art knowledge and technology in education and related fields; they use a comprehensive repertoire of instructional and executive skills to create and implement their vision of educational excellence; and the successful implementation of improved programs in actual school settings expand the knowledge base of what can successfully improve student learning.

Building on the best features of successful staff development and the findings from research on innovative program development and implementation, the professional development programs at the PA-LEAD Institute include two parallel strands. The first is the development of the knowledge base on improving instruction and learning in schools. The second focuses on the development of expertise in the implementation and institutionalization of innovative practices in schools.

Knowledge Development

The knowledge development strand consists of four programs. They are: state-of-the-art seminars, What Works workshops, Contemporary Issues Forums, and Institute Fellowships for innovative program development. Each is briefly discussed below.

State-of-the-Art Seminars. The Institute's state-of-the-art seminars provide overviews of recent developments from research and innovative program development for improving instruction and learning in schools. Currently, the seminars are organized around four topical areas that have

been identified by administrators and teachers as pressing programmatic concerns: (a) coordination of programs and resources to provide improved services for diverse student populations; (b) embedding development of higher-order cognitive skills in subject-matter instruction; (c) expanded use of informational and computer technology to enhance instructional/learning effectiveness and efficiency; and (d) development of school-home-community partnerships to raise general aspirations and motivation for achieving schooling success.

In addition to providing information on the research base related to these topical areas, the seminars also include discussion of practical issues related to program implementation, policy-related information, and executive skills. One of the major expected outcomes is increased interest among educational leaders and aspirants to engage in school improvement efforts. The state-of-the-art seminars generally begin with a keynote address by a nationally-known scholar who presents an overview of the research base and implications for improving instruction and learning in schools. The keynote speech is followed by group discussion sessions led by practitioner scholars, with presentations by instructional leaders on the design and implementation of improvement efforts they have initiated in their schools. The state-of-the-art seminars are usually two days long and take place at varied geographic locations across the state.

What Works Workshop Series. What Works workshops are held at school sites to provide opportunities for dialogue and information sharing among educational leaders. Individuals who have successfully introduced school improvement programs are invited by the PA-LEAD Institute to conduct these workshops. They are designed with a combination of demonstration and peer-coaching strategies to dialogue on common improvement goals and to discuss concerns, challenges, and solutions to implementation-related problems.

Contemporary Issues Forum. The Contemporary Issues Forum has a dual purpose: to solicit input for refining the Institute's professional development programs, and to give participants a concentrated period of time to discuss contemporary educational reform literature. Current and aspiring educational leaders are invited to participate in the Contemporary Issues Forums to read and discuss with colleagues in school leadership positions the implications of this literature for ongoing reform efforts. The Forum activi-

ties include panel discussions and work groups, which foster the exchange of ideas among educational leaders, faculty members of the PA-LEAD Institute, and representatives from the collaborating colleges of education, professional associations, and the Pennsylvania Department of Education.

Institute Fellowships for Innovative Program Development. The Fellowship Program is a six-month fellowship that gives participants an opportunity to spend an extended time at the PA-LEAD Institute working with the Institute's faculty in developing innovative programs for improving instruction and learning in schools. Institute Fellows are encouraged to spend their sabbatical leaves at the PA-LEAD Institute. They may focus on developing a particular improvement effort for their home schools, or they may work on a more broadly based, ongoing program development project at the Temple University Center for Research in Human Development and Education.

School Implementation of Innovative Practices

The ultimate goal of the instructional leadership development programs is to help educational leaders institute programmatic changes to improve instruction and learning in their respective schools. The programmatic strand on school implementation of innovative practices is designed to provide technical assistance to school leaders interested in initiating and institutionalizing improvement practices to enhance student learning. It includes two series of activities. The first is a week-long internship program for the development of school-based implementation plans and the second is an ongoing technical assistance program.

Internship for Development of School-Based Implementation Plans. The internship program is designed to help educational leaders develop specific school-based implementation plans to meet the improvement needs of their respective schools. The internship is a follow-up activity from the state-of-the-art seminars and What Works workshops, which provide overviews of the research base and the state-of-the-art practice in selected areas. Participants interested in pursuing the development of innovative programs in their respective schools are invited to apply for the one-week internships. The program generally occurs during the summer months when school staff can devote concentrated time to the internship.

The Institute encourages applicants to invite their colleagues to join them in the internship program. This teaming strategy is based on the premise that effective implementation of any school-based improvement program requires collaboration among the school personnel and decision makers whose work is closely tied to the proposed changes. Ideally, the team includes the instructional leader (the principal, coordinator of specific subject-matter curricula such as reading, math, or social studies, school psychologist, etc.), a classroom teacher whose opinions and expertise are well respected by his or her colleagues, and/or other specialized professionals whose work is closely related to the specific area of improvement the team is interested in developing and implementing.

Technical Assistance for Program Implementation. After the school teams have received approval by their school district and their respective schools to implement the improvement program they have designed, they are eligible to apply for technical assistance from the faculty of the PA-LEAD Institute. A technical assistance plan is jointly developed by the Institute's staff and the specific school district based on the district's implementation plan and the staff's assessment regarding the readiness of school personnel and the nature of the improvement program. In addition

to providing training and technical assistance, the Institute's faculty and consulting staff also work closely with the school staff to describe and assess the implementation and outcomes of the improvement program.

We see the provision of support to school districts on an ongoing basis during their initial implementation stage as a critical element in realizing the Institute's vision of bringing research and innovative program development efforts to bear on program implementation in the schools.

To summarize, in the context of the leadership development program described in this article, effective educational leadership involves not only the knowledge base for creating an educational vision toward which school staff are expected to strive, but also management and human relations skills to influence others to share the vision and put it into effect in an organized and efficient fashion. In addition, effective leadership includes the evaluation and supervisory skills required to monitor, shape, guide, and evaluate the implementation of the vision. The strength of this concept of educational leadership is that it integrates substantive knowledge about the research base with practical wisdom and management skills for improving instruction and learning in school.

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Given the shortcomings of existing administrator evaluation instruments and in particular those of a diagnostic nature, it is desirable to design a sound measurement instrument that can be used with confidence by practitioners.

The Development of an Instrument for Client Based Principal Evaluation

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I. Introduction

Within the last two years, there has been a resurgence of public concern about the effectiveness of schools and a renewed appreciation of the important role principals play in the educational process. This attention has been matched by research on principals' behavior, school effectiveness, and work outside of education focusing on leadership and organizational excellence in general. Although additional studies clearly need to be undertaken, sufficient data already exist to begin to define administrative behaviors, skills, and attitudes that are at least associated with academic, social, and physical development of students. (See Manasse, 1985 for a review).

Concurrent with this interest in describing characteristics of effective schools, there has been an increased inter-

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est in teacher, and more recently, administrator evaluation. For instance, between 1974 and 1984, the number of states that mandated formal evaluation of administrators increased from 9 to 27. Similarly, the number of school systems reporting that formal evaluation procedures existed within their districts increased from 39.5 percent in 1968 to 85.9 percent in 1984 (ERS, 1985). Unfortunately, although the frequency of administrative evaluations have increased markedly, the quality of the assessments does not appear to have substantially improved. Indeed, some (Bolton, 1980) have observed that all too often typical administrative evaluation can be viewed as a process in which an evaluator checks items on a rating scale whose categories are usually a conglomeration of criterion-and-norm-referenced items which are not necessarily based on hard data and do not provide much helpful guidance for improvement efforts. In addition, Bolton points out that the behaviors or characteristics that are typically used as the criteria are seldom well defined and are often trivial in nature. Thus, although there seems to be a substantial body of knowledge regarding effective administrative practice, the extant information does not seem to be well incorporated into existing instruments.

A second problem with administrator evaluation systems is their typical reliance on the superordinate as the sole source of input. For example, in a ERS survey (1985), peer evaluation of principals was used by only 4.9 percent of the districts; teacher opinion was employed by 10.9 percent of the responding districts; student input was considered 8.3 percent of the time. In contrast, observation by the superintendent was the most common method (85.7 percent) used to collect information in evaluating both central office administrators and principals/assistant principals. Interestingly, much of the professional literature supports the use of "client centered" evaluation data if for no other reason than to lend concurrent validity to the superordinate's evaluation (Licata, 1980; Wills, 1976; Kienapfel, 1984). Indeed, there is some evidence that "clients" are the best evaluators of principals (ERIC, 1980) at least in certain areas because they are in the best position to observe the behavior of the administrator in his/her daily work. Thus, while the superordinate may be a better judge of specific management skills, only students and the schools' staff can directly evaluate vision, communication of school goals, and other similar dimensions characteristics of effective administrators.

A third problem with existing administrative evaluation procedures is that they tend to be summative in design and practice. While summative decisions are obviously necessary for efficient operation of the school district, given the relative high inference measures characteristic of most instruments, it is difficult for individual administrators to identify specific behaviors or practices that need improvement. A similar problem exists with the goal-based evaluation systems. Although it is useful for principals to identify areas in which they can strive for improvement, frequently the goals selected (typically without any systematic diagnostic effort) only reinforce existing strengths and avoid weaknesses. In addition, unless the superordinate is especially skillful in helping the administrator identify areas of weakness, the selected goals tend to be more programmatic in nature (i.e., 3rd grade reading scores will improve 10 percentile points), have little connection to existing administrator deficiencies, and are so poorly constructed that they are almost impossible to measure.

Lastly, the validity of the majority of administrator evaluation instruments whether formative (diagnostic) or summative are simply unknown. (Possible exceptions would be the ROME Project, Ellett, 1974; the PAL Project, Tucker, 1984; and the NASSP Assessment Center.) To obtain sound

administrative evaluation instruments, it would be necessary to collect data from a number of sources to substantiate that the evaluation instrument actually measures what it claimed (concurrent validity); to conduct a thorough review of the extant literature to gather evidence concerning what constitutes effective administration (content validity); to employ several evaluations to offset potential biases of individuals (concurrent validity and reliability); and to collect data in as natural a setting as possible (ecological validity).

Although additional shortcomings of administrator evaluation processes and instruments could easily be outlined at this point, it seems reasonably clear that the existing practices currently being employed in the school districts of this nation are generally inadequate for the professional development of the administrator. They may marginally serve for adequate summative evaluation purposes, but they are clearly inadequate as diagnostic tools designed to help administrators identify areas needing improvement and as instruments whereby administrators could obtain useful feedback concerning progress they are making in specific, previously identified areas.

Given the shortcomings of existing administrator evaluation instruments and in particular, those of a diagnostic nature, it is desirable to design a sound measurement instrument that can be used with confidence by practitioners. Fortunately, over the last nine months we have been involved with the LEAD project to develop such a diagnostic instrument. The purpose of this paper, therefore, is to outline in detail the characteristics of this instrument, to describe work we will be engaged in shortly, and to describe the mechanism for instrument use in Kansas through the LEAD Program.

II. Instrument Development

Outcome Measures. As we began to formulate the design parameters for the development of an instrument principals could use in a diagnostic manner to identify their own strengths and weaknesses, it quickly became apparent that before we could identify "effective" principal behaviors around which we could construct an instrument, we first needed to define "effectiveness." As we reviewed the literature, it was apparent that "effectiveness" was defined differently depending on the criteria chosen. For example, the "Effective Schools" literature characterizes effectiveness as residual gain on standardized test scores while others shun that definition favoring instead a school known for its positive socializing effect on children. Hence, effectiveness is not unidimensional but rather a complex construct that is dependent on the criteria used, which may be independent on one another and indeed may be mutually exclusive. Without a theoretical model or framework as a guide it is impossible to state that one school is more effective than another or that a given set of principals behaviors' and leadership style is any better than another set of behaviors. To resolve this dilemma we examined the major models that characterize organizational effectiveness (Parson, 1960; Bossert, Dwyer, Rowan, and Lee, 1982; Duckworth, 1983; Ellett and Walberg, 1979; Pitner, 1988; and Hoy and Miskel, 1987) and constructed a revised version of the Hoy and Miskel framework with major input from the Pitner model. In essence, from our perspective school effectiveness can be characterized as the school's ability to control and adjust to the following constructs:

Adaption—ability to control, transform, or adjust to the external environment

Goal Attainment—ability to define objectives and mobilize resources to achieve these desired ends

Integration—ability to organize, coordinate, and unify social entities into a single unit

Maintenance—ability to create and maintain the system's motivational and value structure

Process Measures. To assist the principal in identifying school behaviors or routines that might contribute to increasing their effectiveness as defined above, the second phase of our development process involved a literature search to identify traits, characteristics, behaviors, and attitudes, that were thought to be important for effective leadership of a building as previously defined. To accomplish the task we followed the procedure identified by Kartis and Watters. We also employed the services of a reference librarian at the university to search over 32 data bases using 36 descriptors for articles that might be of interest. In addition, through personal contact across the United States we were able to obtain several hundred articles; thus, the total set of documents examined for this study exceeded 1,500. After the documents were obtained, we employed eight graduate students, college professors, and practicing administrators to read subsets of the total material to isolate attitudes, behaviors, and skills that were identified in the published work. Each article was read by two reviewers and a third if agreement concerning the desirable characteristics could not be reached. A matrix-type analysis system was then employed to identify commonalities and differences across recommendations, and the list was condensed based on a commonality analysis. The remaining competencies (N = 150) were then reviewed, modified, and validated by state and national experts who were representative of teachers, principals, superintendents, and college faculty who teach the "principalship" course. Lastly, a sample of practicing administrators in the state were asked, via a structured questionnaire, to identify those skills, behaviors, and attitudes which they thought were essential and those that were desirable but not critical. From an analysis of that data plus information compiled from prior consensus groups, a list of 60 basic competencies and subdescriptors was developed. The identified competencies were then classified in terms of the outcome goal they might best achieve; these competencies appear in Figure 2.

Context and Presage Measures. Because of our interest in defining effectiveness in situational terms and resisting the temptation to simply look at the overall summative scores on the four outcomes measures (adaptation, goal attainment, integration, and maintenance), after we had adopted a working definition of school effectiveness and isolated principal process behaviors that might be associated with achievement of these outcomes, we turned our attention toward identifying contextual and presage variables that might interact with the outcome measures or principal process variables in important ways. For example, as illustrated in Figure 1, a new school with a relatively young staff might choose to focus more heavily on integration than a school with a stable veteran staff. We thought it would be important to gather background data about the school, the district, the students, the principal, and the community characteristics to help the principal better frame and interpret the results. It is our hope that when principals received the results from this instrument that they would examine them in light of their goal and the context in which they were working. We wanted to avoid a simple rush to see how they scored on the four outcome measures disregarding the situational factors involved.

Questionnaires. To gather descriptive data that would be useful for a principal's development, a set of questionnaires were developed that measure the outcomes, processes, and background variables previously described and

listed in Figure 2. Information relative to these dimensions will be gathered from students, staff, parents, the principal's supervisor, and the principal. Some factors such as the effectiveness outcome variables will be included on all the questionnaires to afford the principal different views from their clients regarding the school and the principal's behaviors, while some factors are included on only one questionnaire targeted for a single constituent group. In each case, the choice of which client group would be asked to respond was driven by a consideration of which group would be able to provide the most accurate information in the most efficient manner. The principal process behaviors are typically assessed by a single question because they are of relatively low inference (i.e., How many times has the principal evaluated you over the last ten years). By contrast, the attitudinal data which call for relatively high influence judgments are assessed through a multi-item (five point Likert) scale with a minimum of 15 questions per scale and an alpha reliability estimate greater than 0.80. (based on pilot data).

III. Administration Procedure

Principals who wish to use the materials in the Diagnostic Instrument first contact the state principals' association who would then mail the questionnaires and instructions to the principal. Following the instructions in the packet, the principal will distribute the questionnaires to all staff members, his/her supervisor, a random sample of parents and students, and to himself/herself. When the questionnaires have been completed, they will be returned to the principal's office and sent to a university scoring service.

After processing the results, which will include state norms, the questionnaires will be returned to the principal for his or her own use. The results will only be available to individual principals and will not be released to anyone else.

IV. Outcomes of this Project

We believe this study has importance for several reasons. *First*, it represents the first comprehensive attempt of which we are aware to integrate the findings of divergent studies which suggest or identify competencies principals should possess. Importantly, the study also attempts to categorize the various competencies into logical groups with each group of skills, behaviors, attitudes, etc., being important for, or contributing to, the accomplishment of a major outcome goal. *Second*, we believe that the results of this study could serve as a basis for program development. Curriculum programs might be structured around the identified competencies while instructional methods might be selected to promote and model the skill areas. *Third*, an analysis of the scope of the competencies might identify areas that have been systematically omitted from training purposes or the extant literature. *Fourth*, the evaluation instrument we believe will have immediate practical value and should improve current practice. *Fifth*, given that the evaluation instrument has the potential of collecting a wide variety of information (school climate, leadership emphasis, etc.) from a large number of schools, it could serve as a useful dependent measure for a variety of school effectiveness studies and as an alternative to sole reliance on residual gain on standardized achievement tests as the sole school outcome effectiveness measure.

Figure 1
Relationship Among Variable Categories

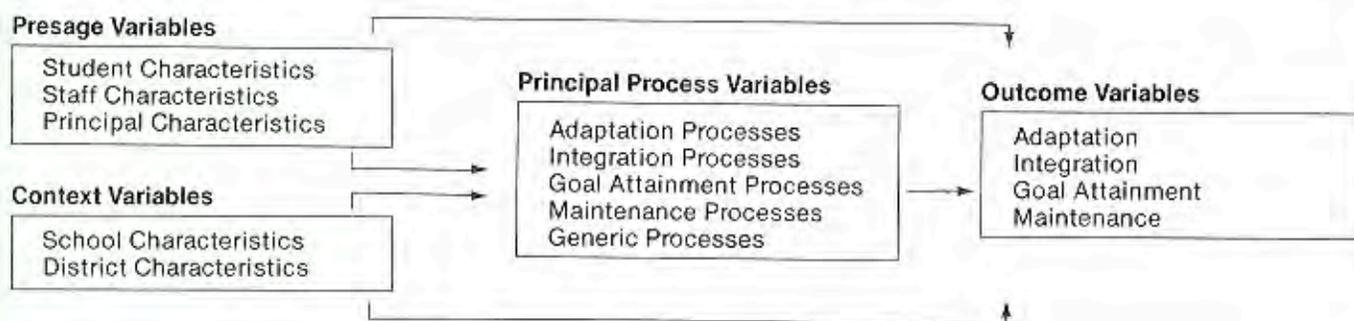


Figure 2
Summary of Variables Measured by the Principal Diagnostic Instrument

1. Presage Variables

A. Student Characteristics (student questionnaire)

- age
- social class (estimates)
- sex
- abilities (estimates)
- race
- attitudes and expectations
(Academic futility, Future expectations,
Academic Norms, Perception of Teacher Push,
Self Concept, Motivation)

B. Staff Characteristics (staff questionnaire)

- teacher training background/Education level
- age
- sex

- race
- experience

C. Principal Characteristics (principal questionnaire)

- age
- sex
- race
- principal training background
- educational level
- areas of interest (Management, Instruction, etc.)
- experiences

2. Context Variables

A. Individual School Characteristics

- (principal questionnaire)
- ethnic composition

Figure 2 (con't)
Summary of Variables Measured by the Principal Diagnostic Instrument

- free/reduced hot lunch
 - percentage of bussed students
 - percentage scoring at various stonines on standard achievement test
 - size
 - grade levels
 - location (rural, suburban, urban)
 - adequacy of plant (lack of impedance)
 - community support and participation
 - level of teacher union involvement
 - coupling structure
 - technical clarity
 - technical complexity
 - role definitions
- B. District Characteristics (supervisor questionnaire)**
- size of total school district (number of pupils)
 - geographic size of district in square miles
 - location (rural suburban, urban, large town, small town, etc.)
 - degree of decentralization
 - stability of board/top administration
 - ethnic composition
 - percentage on free/reduced hot lunch
- 3. Process Variables (staff, students, parents, supervisor, principal questionnaire)**
- A. Adaptation Related Principal Process Variables**
- understands others (3)
 - keeps abreast of current technology (5)
 - recognize how political and societal changes impact the effectiveness of the organization (10)
 - cognizant of needs and concerns of individuals served by the organization (13)
 - engages in self development activities (16, B7)
 - accessible to others (19)
 - provides continuous development appointments for others (23)
 - participates in professional associations and community groups (B1, C7)
 - promotes discussions of issues, problems, and recommendations pertaining to education (B5)
 - articulates the school's mission to the community and solicits support (C1, D5)
 - cooperates with community agencies (C2)
 - involves the community (C6)
 - maintains a public relations program (C9)
 - establishes parent/school organizations (C10)
 - garners resources from the community (E4)
 - copes with dynamic and diverse conditions (15)
 - supports new and innovative projects
 - encourages staff to assume new roles
 - encourages different instructional strategies
 - encourages peer improvement groups
 - assists with coaching of teachers
 - anticipates community problems as they influence the school
- B. Integration Related Principal Process Variables**
- combines staff contributions and resources to achieve goals (1)
 - alleviates difficult conflicts (14)
 - works hard to promote staff cohesion (12)
 - entrusts and supports others (17)
 - understands informal actions in organizations (21)
 - recognizes how decisions and actions impact the organization (29, B3)
- appropriately utilizes personnel (A9)
 - delegates appropriate responsibilities (B2)
 - provides an atmosphere conducive to discussion of issues, problems, and recommendations (B5)
 - urges group involvement (C4, E8)
 - efficiently uses facilities (F2, F3)
 - understands employee rights and due process (G4)
 - describes how units interlock
 - distributes workloads appropriately
 - shows consideration
 - promotes school spirit and moral
 - promotes internal communications
 - schedules appropriate group meetings
 - shares decision making
 - coordinates the curriculum
 - initiates appropriate structure
- C. Goal Attainment Related Principal Process Variables**
- allocates time and resources to achieve goals (6)
 - supervise and adjust agreed upon plans and actions (18)
 - uses diverse techniques and methods with individuals to achieve a desired goal (26)
 - holds high expectations for self and others
 - provides for supervision of personnel (A1, A7)
 - develops policy (A2)
 - provides for the recruitment, orientation, development, and utilization of personnel (A6)
 - diagnoses needs, prioritizes needs and resources to achieve goals (B4, E7, E9)
 - supports and develops professional standards (B6)
 - plans, implements, and evaluates programs (B9, E1, E2, E3, E9)
 - demonstrates understanding of well-rounded educational attitudes and beliefs (C3, E10)
 - coordinate the budget to support the programs (D7)
 - sets and communicates school goals
 - provides incentive for goal attainment
 - encourages academic and non-academic achievement
 - facilitates work
 - emphasizes production
- D. Maintenance Related Principal Process Variables**
- assists staff with personal and professional concerns (2, 24)
 - assists employees accomplish personal and organizational goals (32)
 - understands diverse ethnic and multi-cultural backgrounds (E6)
 - provides support to staff
 - provides symbolic leadership
 - provides positive reinforcement
 - facilitates employee job satisfaction
 - provides social leadership
 - establishes and maintains systems value structure
 - maintains high visibility and represents school
 - shows an employee centered orientation
- E. Generic Principal Process Variables**
- understands and emphathizes with others (3)
 - recognizes important data and integrates information to determine essential elements of a problem (4)
 - writes concisely and correctly (8)
 - orally communicates information to individuals and groups (11)

Figure 2 (con't)
Summary of Variables Measured by the Principal Diagnostic Instrument

- demonstrates skill in problem resolution and decision making (B8)
- demonstrates effective interpersonal skills (31, A5, C5)
- demonstrates an understanding of legal concepts and how they might apply in schools (G1, G2, G3, G4, G5, G6)

4. Outcome Variables (student, principal, supervisor, staff, parent questionnaire)

- A. Adaptation—ability to control, transform, or adjust to the external environment (adaptability–flexibility, innovation, growth, development)

- B. Goal Attainment—ability to define objections and mobilize resources to achieve these desired ends (achievement, motivation, creativity, self confidence, productivity, efficiency, quality)

- C. Integration—ability to organize, coordinate, and unify social entity into a single unit (satisfaction, turnover, conflict–cohesion, climate, communications)

- D. Maintenance—creating and maintaining the systems' motivational and value structure (loyalty, central life interests, sense of identify, motivation, role and norm congruency, support of principal)

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Select seminars follow a very simple structure based upon a set of guiding principles . . .

The Select Seminar Process: A Program That Works

by Nelson Armlin, Richard Bamberger,
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The New York State Leadership in Educational Administration Development Center (LEAD) was funded to develop and operate a technical assistance center to strengthen and enhance school building leadership and management. The central mission of the center is to provide a grassroots forum for the discussion of leadership and management of elementary and secondary school buildings . . . an ongoing conversation among consciously competent principals, teachers, superintendents, college of education faculty, parents, and community groups.

Using these discussions as a starting point the LEAD Center is committed to produce a series of white papers on specific leadership and management issues that affect schools on a daily basis. This article describes that process as it has unfolded over the first one and one half years of the center's operation.

The series of purposeful and informed conversations which are discussed here on a basis on which "grassroots" activities may be established makes this project unique. It is our experience that while such an approach is often suggested it is rarely carried out. It is our hope that the work of the project will inspire its participants to transcend the limits of their collective experience to discover and ex-

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Dr. Richard McDonald is the Director of the LEAD Center in New York. His work in the public schools included principal and assistant principal positions at the elementary and middle school levels.

plore clearly new and revolutionary manners of being and behaving.

Building The Case

If restructuring is getting at the disabling practices in school buildings—more specifically those things we do that impede us in terms of accomplishing organizational (school) goals—how best might we recognize what these practices are? It seems logical that teachers and administrators, those most affected by these practices, define these negative structures and offer alternatives or recommendations.

Policy makers must realize that teachers and administrators know better than anyone else what happens in our schools . . . if policy makers help us examine our situation then they serve a useful purpose; if they offer remedies for one situation that negatively affects other areas of the school then they are part of the problem not the solution. . . . What have they been so far?

Marilyn Ferguson, author of *The Aquarian Conspiracy*, advises: "Most problems cannot be solved at the level at which they are framed. They must be reframed and placed in a larger context. Educational leaders need to do more than one thing in order to get one thing done. They need an eye for the whole chess board—a helicopter view of the grand design as well as the details." Only through collegial dialogue are we able to make this point. Open, honest, fair, unbiased dialogue seems to be the key. Schooling is well understood generally but poorly understood in its specifics; practitioners understand the specifics.

John Goodlad in a *Place Called School*, one of the most comprehensive studies of schools ever conducted, said that "to the degree one can generalize from our data, one must conclude that the energy being devoted to eliminating what gets in the way of learning and to creating school climates favorable to learning is miniscule." He goes on to say that, in one of our *Technical Reports* (Morris, 1981), we note the markedly supportive relationship between principals and teachers in the most satisfying schools as contrasted with the tension between principals and teachers in the least satisfying schools.

Goodlad also says that, in another *Technical Report* (Heckman, 1982), interesting differences existed in the culture of the most satisfying schools as compared with the least satisfying. The principals and teachers worked more cohesively as a group in the most satisfying schools and were more likely to address problems transcending the school, not just individual classrooms. As the teachers put it, "we take care of our business." By contrast, the least satisfying schools were wallowing in chronic problems which seemed never to be addressed in any cohesive, productive way. The problems remained chronic, interfering with human relationships and, no doubt, teaching and learning. The most satisfying group of schools tended to be somewhat self-renewing. The least satisfying schools verged on chaos and, indeed, in some cases appeared to be near collapse.

Policy makers lack understanding of individual school cultures, yet continue to recommend a rather limited array of interventions, often having little to do with what makes for a healthy school environment. They continue to assume that schools are businesses, feeling that more input in the form of existing structures such as tighter supervision, longer classes and days, and even more materials will make the difference.

Enlightened practitioners understand that planning and addressing issues that effect the school culture in iso-

lation of input from key players is a sure way to set up failure or, at best limit our chances of attaining excellence.

Thomas J. Sergiovanni, one of the foremost experts on the principalship and motivation to work, said that, "Reflective principals are in charge of their professional practice. They do not passively accept solutions and apply them mechanically. They do not assume that the norm is a one-best-way to practice, and they are suspicious of easy answers to complex questions. They are painfully aware of how context and situations vary, how teachers and students differ in many ways, and how complex school goals and objectives actually are; they recognize that, despite difficulties tailored treatments to problems must be the norm. At the same time, reflective professional practice requires that principals have a healthy respect for, and be well informed about and use, the best available theory and research and accumulated practical wisdom."

Select Seminar Model

The New York State Leadership in Educational Administration Program in its attempt to provide a grassroots forum for the discussion of leadership and management of elementary and secondary schools is committed to the concept of collaboration by educators at school sites in terms of addressing the complex and challenging issues of practicing professionals.

One of the most successful vehicles used to accomplish this task is the "Select Seminar" process. Results of the select seminars are shared in the form of white papers entitled: *A View From the Inside*. Three white papers have been produced in the one and one half years of existence of the New York LEAD Center. A fourth report is due for publication during the summer of 1989. The reports now available through the New York LEAD Center are: *School Building Leadership and Management*, *Needs of Beginning Principals*, and *Administrative Shortage . . . Real or Perceived*. *A View From the Inside: Addressing the Impediments to Collaboration* will be released this summer.

The Process

The LEAD Center select seminars follow a very simple structure based upon a set of guiding principles:

1. Participants need to commit adequate time—to work, to reflect, and to write.

Most seminars have been conducted for five full days over three months, the first three days spread about two weeks apart over the first two months with the final session being a two-day overnight retreat in the middle to the end of the third month. Other variations have been used.

2. A conducive working environment is very important. The seminars have been conducted in "protected environments"—away from the work site, in quiet and aesthetically pleasing surroundings with special care being given to the quality of food and refreshments. We believe this clearly is a first step in communicating to participants that the seminar is special and there are high expectations that the deliberations of its members will have an important result.

3. The seminar participants are the experts.

We believe these select seminars have been highly successful in part because of the high degree of personal and professional respect afforded participants and the central belief on which the seminar series was founded: "that consciously competent teachers and administrators are the best arbiters of educational practice." While participants do extensive reading during the seminars, visiting experts and lecturers are not a part of this experience.

4. Roles are "checked at the door."

One's ideas must stand on their own, be debated, accepted, or discarded without reference to one's position, prior experience, or education.

5. Seminars are self-governing entities with organizers serving the group.

After providing the initial structure and on-going logistical support, the governance and direction is handed over to the participants. By the end of the seminar it is fair to say that it is self-governed with the coordinators taking direction from the seminar group.

6. The experience is at least as important as the product. All seminar participants agree that the process, the experience, is most important; in fact, the report might be quite different if the process had continued over time, this representing but one point in an ongoing process when, although there was much agreement on important issues, there was strong disagreement as well. Even so, the report provides an important documentation of the experience and serves to validate for each of the participants the energy and effort they expended.

Outcomes of the Seminar Process

We believe that the reports provide inspiration and help to those who read them and may assist in a modest way to continue what has become a very important national conversation on schools. We firmly believe such an ongoing conversation can only result in better education for all of our children.

Well documented in the volumes of recent research is the role of the principal in affecting the success of school buildings. Also apparent in this body of research is the need for the principal to be sensitive to educational, economic, and societal wants and needs. The principals' ability to recognize disabling practices, and to invigorate school environments through proven leadership and management are key issues addressed during the seminars. The major theme of the seminar conversations revolves around the pursuit of excellence and goals in a collaborative, cooperative way, that allows educators to tap (perhaps for the first time) the enormous wealth of talent and expertise present in our schools. A major theme of the seminar process is the absolute belief in the necessity of conducting our work in an atmosphere of cooperation and trust, couched in team effort that encourages interaction and shared learning.

Implicit in the discussion of the seminars is a fundamental rethinking of management based on hierarchy in a culture of professionals. School leaders are individuals who can turn challenges into opportunities; who can clarify problems, choices and options; who can build morale and create a vision; who can form coalitions and raise expectations; who can empower others and enhance the possibilities of true professionalism in schools.

The power of the select seminar process is vested in the fact that the content reflects the thoughtful deliberations on current theory and practice addressed by individuals who work in the reality of a school culture on a daily basis.

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Approximately 40 percent of the states have selected a comprehensive statewide LEAD program.

Statewide Programs for Administrator Training and Development: The Oregon Leadership Academy for School Administrators

by Kate Dickson
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It is the best of times and the worst of times for America's schools. The aspirations, hopes, and expectations for what schools can do to enrich our lives and strengthen our economic and social structure have never been higher; the challenges to be met rarely as severe. Those who lead education into the twenty-first century must be prepared to deal with major shifts in the nature of students and the teaching force, how schools are funded, and what they are expected to accomplish. School leaders must have the capacity to foster the growth of high performance organizations in a dynamic environment. School administrators dedicated to the purpose of becoming more effective find they must shift from a traditional management style to an emphasis on proactive leadership.

The Leadership in Educational Administration Development (LEAD) program was established by Congress to help develop the leadership skills of school administrators. The United States Department of Education's sponsorship of the LEAD program has enabled each state to establish

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and operate a training and technical assistance center for practicing and aspiring school administrators. Approximately 40 percent of the states have selected a comprehensive statewide program whose services and activities generally include:

- Collecting and disseminating information on leadership skills, training, and practices
- Developing and delivering leadership training services
- Providing technical assistance and consultation
- Disseminating and supporting the utilization of information
- Fostering interorganizational cooperation

The programs are grounded in research on leadership, management, collegiality, and networking as well as adult learning and development. The target audience includes practicing and aspiring principals, assistant principals, district superintendents, or other local public/private elementary and secondary school administrators.

The comprehensive statewide LEAD programs work from a sound knowledge base by conducting problem and need analyses and building on current research and effective practices. Ultimately, comprehensive LEAD programs are challenged to 1) demonstrate commitment to leadership development in the state over the long term and 2) have a substantial impact on improving leadership development within the state.

The Oregon Leadership Academy for School Administrators is a comprehensive statewide leadership program whose purpose is to support school leaders in their efforts to create successful schools. The Academy is a statewide consortium effort, which brings together for the first time six major educational organizations to serve as the co-sponsors.

The mission of the Oregon Leadership Academy as a statewide LEAD project is to enhance the quality of Oregon's schools through practice driven and research-based technical assistance and training for educational leaders.

The work of the Academy encompasses a) contributing to the understanding of what administrators in Oregon do to lead and manage schools, b) developing and delivering leadership training services, c) enabling administrators to assess where they are in their professional development in relation to performing key professional tasks, d) providing technical assistance and support for improving the quality of schools, and e) fostering interorganizational communication and cooperation. The Academy programs are based on research and successful practices in leadership, management of high performance systems, organizational behavior, human resource development, and adult learning and development.

The Oregon Leadership Academy is founded on the guiding principle that excellence in Oregon schools can be enhanced by improving the leadership and management capacity of those who are leading our schools. This principle is based on research that indicates a) school administrators at the district and school level play a key role in school effectiveness, and b) that the most significant factor contributing to school improvement is leadership.

The Oregon Leadership Academy has three major program strands:

1. Institute for the Advancement of Leadership
2. Technical Assistance Center for School Improvement
3. Professional and Career Development Resource Center

Program Strand I: Institute for the Advancement of Leadership

Educational administrators dedicated to becoming more effective find they must shift from a traditional management emphasis to an emphasis on pro-active leadership. The Leadership Institute assists them in their effort by providing long-term professional development opportunities which combine the best research findings with practical applications.

The Institute for the Advancement of Leadership curriculum is based on research studies of leadership from both education and business. Research presented by Leithwood and Montgomery (1986) suggests that leadership does make a difference in effective schools. Leithwood and Montgomery maintain that effective leadership must result in a school environment which promotes an increase in students' learning. They found that school administrators in successful schools and school districts were identified as focusing on things which eventually helped students learn more. Lori Manassee (1985) suggests that school administrators in high performing systems have vision, an image of the schools they wish to run, pro-active leadership styles, and an ability to establish goals and develop strategies to achieve them. The intent of the Institute program is to promote excellence in Oregon's schools through professional development that develops these leadership capacities.

The Institute for the Advancement of Leadership is a year long program that sponsors two statewide Leadership Symposiums and four regional meetings in eight regions of the state. Each region has a facilitator, and regional groups select their area of concentration for the year. The Institute is driven by the standard that the success of the programs will be measured by their ability to LAST. By "LAST" we mean to provide opportunities for participants to integrate the Learning, Application, Support, and Teaching of new knowledge and skills. The core curriculum includes leadership and participatory management development, human relations training, vision building, and strategic planning. Each participant develops a personal professional growth action plan to support his/her work during the year.

The regional program themes for the 1989 school year are:

- Regions 1 and 2: School Climate and Culture
- Region 3: Instructional Leadership and the Change Process
- Region 4: Strategic Planning and Leadership
- Region 5: Leadership, Collegiality, Learning Styles
- Region 6: Instructional Leadership through Collegiality
- Region 7: Instructional Leadership and Vision Building
- Region 8: Leadership and Empowering Employee Excellence

This program currently serves 30 percent of all school administrators in the state of Oregon. The exceptional response to this effort is evidenced by the fact that school administrators are not just signing up to attend a workshop, they are committing themselves voluntarily to eight-ten days of professional development during the school year.

Institute participants are from both public and private elementary and secondary schools, as well as universities and other state educational agencies. They include superintendents, high school principals, middle school principals, elementary principals, vice principals, aspiring principals, central district administrators, school board members, uni-

versity professors, and Oregon Department of Education administrators. Two areas of particular emphasis for the Institute are statewide accessibility to service resources and recruitment of women and minorities.

Strand II: Technical Assistance Center

The Technical Assistance program provides the opportunity for school administrators to tailor professional development programs for job alike groups, school districts, and/or special interest groups. Following is an outline of programs currently being implemented.

1. **Superintendent Leadership Institute**
This Institute is a 2½ day seminar focusing on the role of the superintendent as an Instructional Leader at the district level.
2. **Strategic Planning for School Improvement**
Districts are engaging in a one to two year strategic planning process for school improvement.
3. **Mentor/Protege Program for Aspiring Principals**
The purpose of this program is to support high potential candidates aspiring to be principals. The program is particularly designed to support women and minority principal candidates.
4. **District Level Technical Assistance**
5. **A Statewide Seminar Series**
6. **Collaborative training and development projects with public and private sector organizations.**
7. **Collaborative training and development projects with other LEAD Centers.**

Program Strand III: Professional and Career Development Resource Center

The Academy supports the NASSP/COSA Assessment Center for Aspiring School Administrators. Other professional development resources include:

- A statewide administrative vacancy information network.
- A Position Change Workshop for school administrators.
- A resource handbook identifying key resource people in over 30 areas of interest.
- An information resource library including research articles, monographs, books, and videotapes.

The Oregon Leadership Academy is governed by a seven member board and a 24 member advisory committee representing educational, governmental, and private sector agencies. The board and advisory committee offer statewide access to expertise, guidance, and resources.

There is great excitement about the Oregon Leadership Academy. The Academy's guiding theme "Everyone Learns and Everyone Teaches" is central to our effort to create leadership opportunities for participants both as learners and as teachers. We have found that participating school administrators strongly value the new opportunities for learning as well as the collegial support they receive for applying innovative leadership practices in their schools and school districts. As one participating member recently stated: "Participating in the Leadership Academy gives me an opportunity to stop, reflect, learn, re-think, and teach. I like it."

For additional information about the Academy or the COSA organization, please contact Dr. Kate Dickson or Dr. Wayne Robbins, Assistant Executive Director of COSA, Salem, Oregon.

Practitioners are being viewed by professors as partners in the school improvement process and vice versa.

Influencing Higher Education Through Field-Based Opportunities in TN LEAD

by Ernest Bentley and W. Hal Knight
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The primary purpose of the Leadership in Educational Administration Development (LEAD) program has been to improve student performance and achievement through the improvement of the skills of administrators and other supervisory personnel. The approach is in the belief that improved management will contribute to improved effectiveness. Each state has been given leeway to develop its own approach and it is apparent, after over a year and a half of operation, that each state has addressed the problem in a unique manner which reflects its own reform milieu. The purpose of this paper is to briefly discuss how Tennessee's LEAD program (TN LEAD) was developed, how it operates, and, more specifically, how it attempts to utilize the field-based activities, which reflect its "school improvement site" approach to LEAD objectives, to impact higher education programs in the state.

Tennessee leadership development plans, emerging during Lamar Alexander's governorship (primarily his second term, 1983-1987), included a number of elements to improve student performance in schools by improving the performance of the professionals serving in those schools. One of these elements was a career ladder plan, initially allowing recognition of superior teaching and, later, superior leadership personnel including principals, assistant principals, and supervisors. Another element was the enactment of a requirement that every school leader, i.e., every person holding a position labeled as administrative or supervisory, periodically attend a Leadership Academy.

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It was a fairly natural occurrence when groups representing the various strata of educational administration, and intending to compete for the Leadership in Educational Administration Development (LEAD) funds, coalesced around the idea that Tennessee's effort should be a cooperative and site-based approach. As envisioned, it would serve as a continuing support mechanism, allowing individuals successfully completing their Leadership Academy experiences and desiring technical assistance (including fiscal support), to implement an improvement idea in their local school. It would also foster a linkage between the local school personnel and the state's public training programs. This link was formalized by the state's requirement that all faculty in teacher and administrative preparation programs devote six days per year to schools.

This idea of a follow-up network to the Leadership Academy was conceptualized in a marathon planning event over three consecutive days/nights. Representatives of the two higher education systems involved in preparatory activities for supervisors and administrators (State Board of Regents' system, which includes Austin-Peay, East Tennessee State, Memphis State, Middle Tennessee State, Tennessee State, and Tennessee Technical Universities, and University of Tennessee system representing the University's campuses at Knoxville, Chattanooga, and Martin); top level officials from the Tennessee Department of Education's Leadership Academy; and members of the American Association of School Administrators' state level affiliate (Tennessee Association for School Supervisors and Administrators) all bargained over the most promising ways to purposefully impact leadership skills at the building level in the short term and to restructure higher education involvements in preparation and maintenance over the longer term.

The approach chosen is, in fact, a large-scale simulation, though none of the participants in the planning process verbalized it at that time. It capitalizes on the field impacting higher education approaches to leadership personnel preparation, while we in higher education believe that we are the one's doing the impacting through TN LEAD. The group recognized the need to reestablish a working relationship which had eroded during the state's rush to reform public school education. Most of the participants in the planning process, higher education and school representatives alike, had lamented that Governor Alexander's reform team had ignored, bypassed, or otherwise avoided most of the higher education programs and personnel. They believed that LEAD should provide a vehicle to build a stronger contact.

The TN LEAD simulation works like this: local schools compete for the limited dollars—this year \$3,000 in matching funds per site for 16 schools, scattered in a systematic, geographic distribution; their action plan must include an advisory committee that must include at least one member of the business community; their liaison to the technical assistance resources is a preparatory program person from a university in or near their state development district; a common experience is required for the site leader—usually, a three-day exposure to a topic like communication, leader vision, or school climate; monitoring techniques include a review of all changes with their LEAD liaison; every school improvement plan must feature efforts to shape the climate and to learn more about participatory management/human relations; every school improvement plan must include work in one additional leadership skill area—largely derived from effective schools reports; the technical assistance center furnishes mini-grant preparation assistance/information as requested; resources are compiled and made available in a technical assistance catalog; local sites im-

plement plans that are approved, using their local and LEAD funds to improve their leadership skills, while influencing some performance area(s) important to them.

How has the impact on higher education programs taken place? While this large-scale simulation unfolds across the state, preparatory program personnel act as key players in technical assistance. This "forced" interaction puts the higher education representatives into the field on a regular basis and in the role of "partner" in TN LEAD activities. In some cases this contact has made it clear that some programs and/or preparatory programs are not held in the level of esteem believed by the preparers. However, in other settings, these local involvements have resulted in new cooperative endeavors such as the organization of special course content activities (such as working effectively to build community support where it is currently weak) being offered for credit in the local school facility. (In this case, many school faculty enrolled and the school was quite effective in reshaping community support through their TN LEAD involvement).

The program also used a *Technical Assistance Catalog* as a sourcebook so that local school personnel and advisory committees could identify appropriate resources for the provision of specific school improvement services. The catalog included offerings of personnel at the institutions of higher education as well as private industry services. There were more than sixty specific consultations or in-service workshops provided during the first year. Three-fourths of these were conducted by approximately 25 different faculty at state institutions of higher education. For many of these faculty, the experience provided the opportunity for re-acquainting themselves with school needs as well as providing a specific, school-initiated service. The sites also benefited from the state's mandate that each person engaged in the preparation of teachers or administrators spend six days each year in the schools.

The formal mechanism for fostering a reciprocal impact between the local school sites and the preparatory program has been the Higher Education Task Force. The Task Force is comprised of the seven LEAD agents, each of whom is on the faculty of an institution of higher education in educational administration. During the first year its focus was primarily toward determining the state of the preparation programs at the state's public institutions. That is, within the state certification guidelines how did each institution operate? A study was completed by Knight and Herring (please refer to the "Additional Information" listing at the end of this article for supporting materials) comparing these institutional requirements and was presented to the Task Force members. As a follow-up, the Task Force members communicated their specific program thrusts and generated considerable discussion regarding ways of standardizing program content. A second approach was to provide educational administration faculty at each of the institutions with a summary of each TN LEAD school site and its school improvement plan so that professors could use the schools as sites for field-based instruction or modeling. Additionally, the participating principals in cycles I and II have become a panel of experts to review state certification criteria and to identify what they believe to be the primary educational needs of beginning school leaders. Three recommen-

dations, along with those of the Task Force members will be communicated to the appropriate personnel at the State Department of Education. A fourth focus, which the Task Force began this year, was to identify alternate models for the preparation of school administrators, especially those which were field based. Complementary to this activity has been the involvement of two of the state's institutions of higher education (East Tennessee State University and the University of Tennessee-Knoxville) in the Danforth Preparation Program for School Leaders. The primary thrust of the Danforth program is to make preparation program revisions in a way that will be more responsive to actual principal needs through extensive use of experiential and field-base instruction. Although variations exist in the two programs, both of these institutions intend to individualize student assessment and instruction. This is based, in part, on input from practitioners who provide a liberal use of simulation and case studies, and require an intensive, mentored internship. Each will utilize participating LEAD schools in their programs as "laboratories" of good practice.

The eventual impact of TN LEAD on the preparation programs is difficult to ascertain at this stage. What is obvious is this: Professors have more contact with practitioners than they did prior to TN LEAD. Practitioners are being viewed by professors as partners in the school improvement process and vice versa. Faculty in preparation programs are actively experimenting with curriculum revision to reflect the needs of beginning administrators as well as the continuing educational needs of school leaders using their experiences and suggestions as a starting point. While TN LEAD may run its course, the lasting impact on the education of school leaders in this state will be through the project's impact on the preparation programs.

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LEAD centers provide special content or sponsor separate tracks of activities to address particular needs of minorities and women.

The Role of Project LEAD in Increasing the Numbers of Minority and Female Educational Administrators

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One of the objectives of Project LEAD is to address the underrepresentation of minorities and women in educational administration. In this paper, I summarize the activities that are designed to meet this objective that are being sponsored by the various LEAD centers. The paper begins with a summary of existing data concerning minority and female administrators and a brief analysis of why the underrepresentation exists. That discussion is followed by a report on a survey of the LEAD centers' activities specifically related to minority and female administrators. Finally, I present a brief assessment of the activities currently under way along with recommendations for further work.

Current Status of Minorities and Women

Data concerning the numbers and positions of minorities and women in educational administration are reported by the professional associations (American Association of School Administrators; National Association of Secondary School Principals; and National Association of Elementary Principals) and the National School Boards Association.

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There are almost always at least minor differences in the numbers reported, and there are differences in the definition of "secondary principal"—that hinge on the issue of whether or not middle and junior high school principals are included in the data. However, even with these problems, the trends reported are clear.

The numbers of both minorities and women who serve as educational administrators are increasing after notable declines. For women, the period of decline began in 1928 (when women held 55 percent of all elementary school principalships) and accelerated following the end of World War II. Minority representation in school administration declined from 1964 to 1970 as an unintended consequence of desegregation. Since the mid-1970s, however, there have been some increase in the numbers of women and a lesser increase in the numbers of minorities:

Total Percent Female Administrators:

	1981	1984	1988
Superintendent	1.8	2.7	5
Deputy/Assistant Superintendent	9	15	15
Principal	16	21	51

Total Percent Minority Administrators:

Superintendent	2	3	3
Deputy/Assistant Superintendent	11	9	10
Principal	12	17	20

The future looks brighter for women than it does for minorities. Women are getting certified as administrators in greater numbers than are all men (over 50 percent of doctorates in education in 1987 went to women). Perhaps more important, however, is the fact that administrators are drawn from the pool of teachers, and minorities (particularly blacks) are currently tending not to enter teaching. It is clear, then, that the underrepresentation of minorities in educational administration stems from different causes than does the underrepresentation of women, a point I will return to later in the paper.

Despite increases, particularly in the number of female principals, neither minorities nor women are represented in the ranks of administrators either in proportion to their numbers among students or their numbers among teachers. The largest percentage displayed is of female principals (51 percent). The largest group of them are elementary school principals, with women occupying 33 percent of those principalships. But women constitute over 90 percent of elementary school teachers, and girls a bit over 50 percent of students!

Further, the data indicate some other important differences between minorities and women and white men. Unlike white men, both minorities and women are more likely to be found in positions that do not have career paths to the superintendency. For example, minority men are likely to be assistant principals; minority and white women to be consultants and supervisors of instruction. These staff positions are more likely to be end points than stepping stones.

There is a significant body of literature about the reasons for underrepresentation, particularly of women. The most comprehensive analysis comes from Shakeshaft (1987). A brief summary of phenomena that apply both to minorities and to women include: exclusion from "old boy networks;" and the consequent lack of access to information, opportunities for socialization, and mentoring; lack of role models; lack of support, both financial and psychological, for efforts to attain administrative positions; lack of male participation in child rearing (particularly affecting women's attendance at evening events); and difficulty in being no-

ticed by supervisors as a potential administrator. For minorities, there is the added problem of the declining numbers in the pipeline to college and into teaching.

Current data reveal that the problem of underrepresentation of minorities and women in educational administrative positions has *not* been resolved. Although the trend lines are particularly positive for women, in fact, there are many more qualified women than are currently occupying administrative positions. For minorities, the positive trends may only be temporary, given the decline in the numbers in the pipeline toward administrative positions.

Survey of LEAD Centers

In order to assess the activities that the LEAD centers were sponsoring under the objective of addressing the problem of the underrepresentation of minorities and women in educational administration, I surveyed the centers. Twenty of them responded. In this section, I will list the types of activities that are under way. In the final section of the paper, I will assess the likelihood that these activities will be useful in addressing the issue.

Networks: LEAD centers have created formal networks of minorities and women administrators or supported existing ones. Of the existing networks that are being supported, the American Association of School Administrator's Project ACCESS is the most common. More networks have been created for females than for minorities. Most of the networks have regular meetings with speakers and clear agendas. In at least one case, a group of women who had attended a conference sponsored by a LEAD center decided to create a network, and the state center agreed to support it.

Seminars/Conferences: The most common method of addressing the issue of minorities and women was to sponsor special training opportunities, in the form of conferences and seminars, for them. Slightly more of these opportunities were directed at women than were directed at minorities. Topics ranged from understanding and developing leadership styles to facilitate upward mobility to confronting racism, sexism, and ageism to how to interview to how to dress. The numbers of participants in a given state's special seminars/conferences ranged from 28 to over 200. In some states, there were a series of events; in others, one one- to two-day session. Some states included both minorities and women in the same sessions; others ran separate sessions for each group (although it is likely that minority women were involved in "women's" activities).

Funds for Training Opportunities: A third approach used by LEAD centers was to provide funds to minorities and women so that they could participate in in-service training activities. The activities themselves were usually short term training sponsored by a third party, and the LEAD center had a process for selecting a number of minorities and women to attend. The granting of funds was intended to ensure that women and minorities, who are frequently overlooked by their districts when such opportunities arise, would be represented. A further intention was to bring those selected to the attention of district staff as "rising stars." These funds tended to be more available to women than to minorities.

Scholarships for Pre-service Preparation: A limited number of centers provided support for pre-service preparation. In these programs, individuals who had already been accepted into administrative preparation programs could apply for and receive stipends to cover their tuition. Although the total number of such scholarship programs was small, more were addressed to minority preparation than to women.

Mentors: A number of LEAD centers identified mentors and assigned either new or potential administrators. These programs generally were implemented in conjunction with either an internship or a series of training sessions. Some of the centers use only women to serve as mentors to women, minorities to minorities. Others, however, do not limit themselves to like-mentoring-like, but include white male administrators. All programs screen the mentors as well as those being mentored, and a number provide training to potential mentors. One project directly addresses the fact that "societal stereotypes may inhibit cross-gender relationships" by raising awareness about behaviors that might be suspect.

Internships: LEAD centers are providing internship opportunities for certified minority and female administrators. Internships range from short term to full year programs. In some, the intern acts as an "assistant to" and is mentored by a practicing administrator. In others, the intern rotates through a variety of administrative positions, both in schools and in the central office. Almost all the internship programs have a mentoring component (but not all mentor programs involve internships).

Recruit Teachers into Administration: A small number of projects have programs to recruit teachers into administrative training programs. Generally working with state teachers' associations, the programs are designed to identify teachers who seem willing to leave the classroom and have the qualities of successful school leaders. Once they are identified, the LEAD center works with them to find the appropriate preparation program. These projects are directed at both minorities and women.

Workshops for Potential Employers: Two LEAD centers provide workshops for school board members and superintendents to encourage them to hire minority and women administrators. In one, there are special seminars and in the other, presentations at the state association meeting. The workshops address issues of stereotyping and the availability of minority and female administrators.

Data Bank of Certified Minority and Female Administrators: In order to assist in placing minorities and women who are certified administrators, at least one LEAD center has a data bank that lists them. It makes the data bank available to districts that have openings.

Information Dissemination: Many LEAD centers publish newsletters or have gained space in the regular communication medium of another organization. Some of these include information of particular interest to minorities and women in the newsletters. Others use the newsletters to inform others of issues that particular affect minorities and women.

Activities to address the special concern of increasing the numbers of minorities and women in educational administration look much like other activities involved in training and placing school administrators. The LEAD centers provide special content for minorities and women or sponsor separate tracks of activities that address their particular needs as well as being included in the mainstream activities of the centers.

Analysis and Recommendations

The LEAD centers tend to address both minority and female issues with the same strategies. Further, there are, in fact, more activities designed for women than there are for minorities. This may reflect the fact that LEAD is a state-based program, and there are a number of states without a significant minority population. It may also reflect the fact that LEAD focuses on administration—and increasing the number of minorities in the pipeline for educational administration positions requires intervention at earlier points

than administrators' organizations and departments of educational administration are accustomed to thinking about. Nonetheless, lumping the two populations together is probably not appropriate given the differences in the causes of the underrepresentation. The most significant recommendation for LEAD centers and others interested in increasing the representation of minorities and women in educational administration positions is: *Provide different interventions for minorities and for females.* However, because there is less of a decline in the number of minority females entering education professions than there is of minority males, interventions designed for them may need to be somewhat different from those for either minority males or majority females.

The vast majority of activities sponsored by the various LEAD centers for women focus on *their* knowledge, skills, appearance, etc. Some even assist women in attaining certification. Given the large number of women who hold administrative certificates but who have yet to be placed in administrative positions, *an increased emphasis on changing employers' stereotypes and hiring practices is needed.* Women *do* need to learn different skills from men to perform the same job, in part because women are perceived differently from men—and formal courses seldom address those differences. As a result, there is an important place for special focus seminars and workshops. At the same time, however, changing women will not change the numbers in administrative positions if employers do not begin to understand how their stereotypes deprive them of much needed talent. Those LEAD centers that provide workshops or conference sessions for potential employers are addressing this issue.

Similarly, while women need to create their own networks in order to provide support and share knowledge, the networks created for and by women frequently lack one element in the traditional "old boys network"—access to power. *Those concerned with increasing women's visibility and access to administrative positions need to supplement women's networks with strategies for penetrating the existing networks.* Some strategies already used by LEAD centers, such as involving white males as mentors and providing internships that are highly visible, accomplish this. Including training of mentors and monitoring of internships will ensure that those strategies not only make women and minorities ready to be administrators but also make employers ready to hire minority and female administrators.

Finally, the problem of the declining numbers of minorities, particularly minority males, in the education profession needs to be addressed if the number of minority administrators is to increase. *Those concerned with minority representation among administrators need to enter, coalitions with others who are concerned about the number of minority teachers—and minority college students.* In those states with significant minority student populations, we who are involved in administrator training cannot just wait until minorities become teachers—we need to be involved with those who are encouraging college attendance by minorities.

The activities sponsored by LEAD centers demonstrate positive effort toward addressing the problem of the underrepresentation of minorities and women in educational administrative positions. Strengthening these efforts will increase the impact of Project LEAD.

School/business collaborations such as MAPS develop and maintain viability when a multiplicity of ingredients are present . . .

School/Business Collaborations with Implications for School Administrators

by Jan Carlsson-Bull
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Collaboration—the very word connotes mutuality, partnership, reciprocity, a relationship of equals. What ingredients feed a viable school/business collaboration? What has been learned from such collaborations? What issues must be considered for school/business collaborations to remain viable? What are the implications in each of these questions for school administrators? This narrative is a response to these queries, through the case study filter of a statewide program of school/business collaborations in New Jersey.

MAPS: A Case Study

MAPS (Management Assistance for Public Schools) is a program of The Partnership for New Jersey to link business and education in strengthening the management skills of district teams of public school administrators. The Partnership is a four-year-old nonprofit association of the Chief Executive Officers of New Jersey's major corporations and select nonprofit institutions. Member CEOs select, analyze, and act on issues critical to the quality of life in New Jersey. When education was identified as such an issue, the Education Task Force was formed.

Chaired by T. Joseph Semrod, Chairman and President of United Jersey Banks, the Task Force consulted with an advisory group of educators. The outcome was a consensus that business and the schools could benefit each other by member corporations offering corporate management training programs to administrative teams of school dis-

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tricts. Through further consultation with a group of corporate management trainers, MAPS—Management Assistance for Public Schools—emerged.

Corporations participate in MAPS as a corporate sponsor and/or as a provider of training. A corporate sponsor:

- Assigns a corporate liaison to work with school district administrators, corporate trainers, and Partnership staff
- Commits funds for program amenities such as travel expenses and course surveys
- Commits to a long-term partnership with the school district

A corporation providing management training commits a specific number of days to courses exclusively for the administrators of participating MAPS districts.

MAPS school districts:

- Commit to administrative staff time for MAPS training
- Match corporate sponsor funding
- Commit to a long-term partnership with the corporate sponsor

MAPS objectives are:

- To strengthen the management skills of individual school administrators
- To build opportunities in the school district to apply these skills
- To nurture long-term relationships between corporate sponsors and the school districts

The Partnership for New Jersey:

- Serves as the third-party facilitator for MAPS
- Administers the entire training phase of MAPS

After an orientation phase, including a management skill needs assessment conducted by Partnership staff, school administrators select four days of courses per year from a curriculum representing 18 management skill areas. If a district has chosen a one-year model, the training days are doubled. While administrators from a single district make diverse course selections, a district is encouraged to participate in at least one program as a management team. This initial phase concludes with a dinner for the district management team and the School Board hosted by the corporate sponsor. The training occurs over several months.

MAPS is a program in process. It has expanded from a pilot of 75 administrators from three school districts, with three corporate sponsors and six training corporations to 180 administrators from six school districts, with six corporate sponsors and twelve training corporations. There is a conscious focus on urban districts. Corporate trainers receive professional background data about each participant and each district represented in their courses. Trainers travel to school-based sites. More districts are opting to focus on a few management skill areas rather than the 18 skill areas of the MAPS curriculum.

With a two-year training phase, the district management team gathers at the end of the first year with the corporate liaison and Partnership staff to evaluate the training, to discuss how to incorporate first-year experiences, and to determine their district-specific direction of MAPS for the next year. The second year concludes with a session to evaluate the total program and to determine the nature of the long-term district-corporate collaboration.

For the last two years, MAPS has functioned as part of a consortium which received a grant from the U.S. Department of Education's Office of Educational Research and Improvement. This Consortium, the New Jersey LEAD (Leadership in Educational Administration and Development) Center, is a multi-sector effort to hone the leadership skills

of school administrators. Participants include two professional associations of school administrators and school boards, a regional education resource center, Rutgers University Graduate School of Education, and The Partnership for New Jersey through MAPS. MAPS currently includes a pilot segment of administrative interns from Rutgers Graduate School of Education. This pilot emerges from the LEAD Consortium.

Ingredients for Viability

School/business collaborations such as MAPS develop and maintain viability when a multiplicity of ingredients are present:

Distress. National business journals have given front-page coverage to the distress over public education in our nation. *Fortune's* Nancy Perry observes that "... companies that cannot hire enough skilled workers now realize they must do something to save the public schools. Not to be charitable, not to promote good public relations, but to survive."¹ *Business Week* and *Industry Week* have run major articles with the parallel themes.²

The Committee for Economic Development is a coalition of 250 of the nation's top business executives. In a recent publication of the CED, the belief was stated "... that a great many of the nation's schools, particularly those that serve large numbers of disadvantaged students, need a radical redefinition of their purpose and structure. This will require a fundamental restructuring of the way most schools are organized, staffed, managed, and financed."³

The distress vented by business leaders is shared by Albert Shanker, President of the American Federation of Teachers. Shanker proclaimed the need for major organizational reform through a recent column titled, "Restructuring the Dinosaur."⁴

Distress precedes positive action. Momentum and mutuality describe the next step.

Momentum and Mutuality. As the frequent initiators of school/business collaborations, corporations face choices. Should they study the issues and, if so, how extensively? At what point should they act? Should they assume the stance of helper or collaborator? When The Partnership's Education Task Force confronted these choices, the mission of The Partnership had already determined brief analysis followed by action. Initial consultation with educators set the tone for collaboration. Mutuality is manifest in the commitments to MAPS from the school districts and participating corporations.

Mutuality evolves from an understanding of shared goals. In a recent study of business and the public schools, Marsha Levine notes that:

"... in the 1980s the needs of the business community and the goals of public education are converging. Each is interested in a liberally educated society, equipped with basic skills and higher-level cognitive abilities. They share the objective of educating people who can and will continue to learn for their own growth and development, as well as to be able to advance in their workplaces."⁵

Commitment and Personal Involvement from the Top. For the school/business collaboration to bear credibility for educators and corporate folk, commitment and personal involvement are needed from the top in both sectors. A criterion for participation in a MAPS partnership is commitment to MAPS goals from the district superintendent and from the CEO of the sponsoring corporation. This commitment is manifest in the behavior of personal involvement.

When a superintendent participates in MAPS training, the district administrators and the corporate participants

know that the schools are serious. When a corporate CEO participates in a MAPS orientation event and when the corporate liaison listens to the issues of individual school administrators, educators know the corporate community is serious. When a statewide entity, such as The Partnership for New Jersey, facilitates school/business collaborations, the whole becomes more than the sum of its parts.

Perseverance. Giants do not move quickly or trust quickly. The corporate community faces a barrage of defensiveness from the giant that is the public school system unless a commitment is made for the long haul. If the corporate sector is serious about moving from distress to momentum, perseverance will describe school/business partnerships. If the education sector is serious about reform, perseverance will describe their ventures with the private sector.

Each sector in school/business collaborations has expectations of the other, for better and worse. With perseverance, these expectations become realistic, mutual goal setting and accountability more likely, and implementation more facile.

Management training is the focus of the initial phase of MAPS collaborations. Training does not challenge management structure. Organizational development does. It remains to be seen if MAPS collaborations combining management training with organizational development will describe MAPS' future. Perseverance is critical for the kind of mutual trust needed for this to happen.

Openness. Openness precludes defensiveness. Openness says one does not have all the answers and does not have a steel-fisted investment in the answers one does seem to have. Openness allows one to acknowledge similarities and respect differences.

MAPS collaborations begin with the corporate sponsor—the CEO and the corporate liaison—listening. Openness to what is possible must be preceded by openness to what is. In MAPS, openness is an issue for school administrators and corporate trainers. When administrators enter a corporate management experience open to a different approach, and when corporate trainers are open to the distinct management culture of a school system, learning has a chance and the MAPS collaboration itself has a positive prognosis for goal attainment.

The Lessons of Hindsight

Hindsight reveals indicators that, if recognized in the early phase of a school/business collaboration, predict positive outcomes for all parties. The following indicators were all present in the variety of school/business partnerships forming MAPS and offer lessons for future collaborations. Stated generically, they include:

- Belief that each party needs the expertise and resources of the other
- Clarity regarding the business needs of education and the education needs of business
- Commitment to the time, energy, and funding required to implement program goals
- Behavior of personal commitment from the top—e.g., the corporate CEO, the Education Task Force of The Partnership, the district superintendent, the district school board
- Selection of program options by participants—e.g., School administrators, not the superintendent, should select the courses in which they will participate. They should also play a key role in determining the direction of MAPS for their district.
- Respect for similarities and differences in management cultures

- Listening behavior
- Enthusiasm for the long-term opportunities of the collaboration
- Awareness of school/business collaboration as a process, requiring perseverance from both parties

Issues for Consideration

As MAPS has evolved, issues have surfaced which deserve careful response if the partnerships are to remain viable. These issues are sufficiently generic to apply to business/school collaborations in general. In question form, they include:

- How can a collaboration serve to "demythologize" corporate stereotypes of public school culture and public school stereotypes of corporate culture?
- Management training is not always a form of resolution when a school district suffers from ineffective management behavior. Should school/business collaborations with an initial focus on management training move into organizational development? How?
- How can a school/business collaboration with a statewide base of support such as that provided by The Partnership for New Jersey, move to a focus of restructuring the public schools and maintain mutuality?
- While educators are clear that they benefit corporations by educating the future work force, this is a long-term benefit. How can educators experience their short-term contributions to the corporate sector?
- If a school/business collaboration is based largely on the geographical location of each party, how can school districts be included that are beyond the geographical pale of potential participating corporations?
- Should a catalyst for collaboration, such as The Partnership for New Jersey, play an ongoing role in the individual school/business collaborations it has facilitated? If so, what should the role(s) be?
- How are school/business collaborations enhanced by participation in broader collaborations—e.g., the role of MAPS in the New Jersey LEAD Center?
- What nurtures the vitality of school/business collaborations over time?

Summary and Conclusion

The *status quo* of public education in this country is being challenged to the core by the business community. The implications for school administrators are acute. A variety of school/business collaborations has emerged. One such program is MAPS—Management Assistance for Public Schools, a statewide effort to catalyze long-term partnerships of school districts and corporations with a focus on management training for school administrators.

A case study perspective of school/business collaborations suggests ingredients for viability, lessons of hindsight, and issues to be considered. Implications are drawn for school administrators through MAPS' focus on management training for district administrative teams. For educational reform to be more than a reshuffling of the deck and for a quality work force to populate corporations, schools and business must be willing to share ownership and maintain perseverance in their collaborative ventures.

Footnotes

- 1 Nancy J. Perry, "Saving Schools, How Business Can Help," *Fortune*, November 7, 1988.
- 2 "Human Capital: The Decline of America's Work Force," a series of articles in *Business Week*, September 19, 1988. William H. Miller, "Employers Wrestle with 'Dumb' Kids," *Industry Week*, July 4, 1988.
- 3 **Children In Need: Investment Strategies for the Educationally Disadvantaged**, Committee for Economic Development, October, 1987, page 12.
- 4 Albert Shanker, "Restructuring the Dinosaur," *The New York Times*, October 16, 1988.
- 5 Marsha Levine, Introduction, **American Business and the Public School: Case Studies of Corporate Involvement in Public Education**, Marsha Levine and Roberta Trachtman, Editors, A Committee for Economic Development Publication, Teachers College Press, New York and London, page xxi.

State-level school leadership academies offer a state the potential to profoundly affect school reform throughout the state.

Developing Instructional Leadership: The Challenge of Statewide Leadership Academies

by Laraine Roberts
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The call for educational reform has become a persistent and persevering cry from which we cannot avert our attention. Public opinion polls, reports on "the state of" public education, declining student achievement, and increasing student dropout rates are all significant reminders of the serious problems confronted by our schools. Emphasizing the need for "an educational renaissance," the Carnegie Forum report, *A Nation Prepared: Teachers for the 21st Century* (1986) stressed "the urgency of making our schools, once again, the engines of progress, productivity, and prosperity." This attention focuses on a central message: We must reconsider both the role and the capacity of schools in the preparation of our nation's young people for the complex and rapidly changing world in which they will live and work.

This article examines state-level responses to this challenge—specifically, the state-level initiatives that have resulted in the establishment of statewide school leadership academies and the role of the state educational agency in developing the instructional leadership of its state's principals. A fundamental question addressed in the article is: In what ways and to what degree do such state-level initiatives influence the instructional leadership of school principals and other school administrators?

To date, at least thirty eight states have established school reform legislation that regulates improvement procedures and facilitates catalytic strategies designed to promote, reform, and institutionalize improvement processes.

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Most of these "reform packages" reflect recent research (Purkey and Smith, 1982; Brookover et. al., 1982; Lipham, 1982; Bossert et. al., 1981; Edmonds, 1979) which emphasizes the key role of principals in initiating and implementing school improvement efforts. Many of these state-level policies cast the principal as a powerful agent, who as the formal head of a school, can and should have a positive influence on student achievement. Such policies argue for the role of the principal as an "instructional leader"—spending more time on instructional and curricular issues and less time on managerial tasks. With the present estimates of administrative turnover in the next decade hovering between 50 and 70 percent, the implications of the research and the potential impact of state-level initiatives are amplified.

Currently, many states are defining or clarifying the roles that they will play in the process of school reform. Inspired by the research and literature citing the central role of the principal in school reform, many state reformers have come to believe that "improving" the leadership of the school can enhance a school's performance as well. As a result, many state departments of education have begun professional development programs that focus specifically on the strengthening of school leadership. Most often, these programs are referred to as "academies" and most commonly they emerge from and are supported by state legislative mandates. Such state-level school leadership academies are sometimes a component of a state's school reform "package" and are viewed by the state's school reformers as a vehicle for articulating the state's vision and goals for school reform throughout the state. As such, the training of school administrators offers a lever for school reform that is both influential and cost-effective.

State-level school leadership academies offer a state (through its department of education) the potential to profoundly affect school reform throughout the state. To achieve such an impact, however, three critical factors must be in place. First, and of utmost importance, the state must clearly define its own vision of what its schools both could and should become. The state's vision must simultaneously be specific enough to stimulate and direct action and general enough to allow individual districts and schools to adapt it to their own contextual specifics. By creating and articulating such a vision, the state will be in a position to assume an active and guiding role in school reform while, at the same time, acknowledging that school reform is a contextually specific process that occurs most successfully on a school-by-school basis (rather than on a state, district, or classroom level).

Our experience in California illustrates the potential of a clearly conceived and articulated vision. Inspired by the ideal of educational equity proposed by Goodlad (1984), Bill Honig, Superintendent of Public Instruction for California, has built commitment throughout the state to a vision of schools in which all students have access to a core body of knowledge that will allow them to compete effectively in the state's work force, to fulfill their responsibilities as citizens of a democracy, to understand the contributions of culture, and to continue the pursuit of knowledge. For this to happen across the state, the definition of the core body of knowledge, the models and frameworks for the curriculum required to make that core body of knowledge accessible to all students, and the technical assistance necessary for schools to develop their own curriculum has occurred at the state level. In addition, California has developed an enabling structure of clear expectations and goals by establishing content and competency specifications, graduation requirements at the high school level, and required subject

area time allocations at the elementary and middle school levels. These catalytic actions by the state have resulted in the placement of school reform high on the local agenda. Districts are involved in upgrading curriculum and course requirements and considerable progress has been made (Odden and Marsh, 1987).

Our experience in California exemplifies the second critical factor necessary to achieve the impact potentially offered through a state school leadership academy. The state must actively facilitate both a complementarity among its own and district and school roles, and an interrelationship between appropriate top-down and bottom-up roles and functions. To ensure that there is maximum momentum toward the achievement of its vision, the state must translate the vision into high quality methods and materials that serve as models for districts and schools as they initiate and implement school reform efforts. In providing the technology to make school reform possible, the state is assuming an active enabling role that moves beyond one of facilitation and support to one of actual technical assistance. In order to increase the impact of such technical assistance, the state must also establish the criteria for quality control and feasible, tangible strategies for local development and adaption.

Again our experience in California exemplifies the power of technical assistance that is focused on helping districts and schools initiate and implement school reform. The state—through such technical resources as the Model Curriculum Standards, the Curriculum Frameworks, and the California Assessment Program—has developed an enabling structure that provides the core technology to make school reform a real, tangible possibility. In addition, the state has established an instructional materials review process through which over 1,300 textbooks and other instructional media are examined in relation to their alignment with curriculum specifications and student performance guidelines prior to their approval for district-level adoption. An additional feature of California's enabling structure for school reform is the individual school "self-review" instrument which identifies critical program quality review factors that a school can use to monitor and assess the effectiveness of its own program. The quality review factors are research-based and enable a school to compare its own program to model standards of effectiveness.

The third critical factor that must be in place in order for a state to achieve full impact through a state school leadership academy is the focused alignment and commitment of state resources required to activate, energize, and sustain reform efforts in districts and schools. The momentum of reform must be fueled by levels of funding and resources that enable the effects of reform to continue, expand, and deepen. "Business-as-usual" funding and unspecified funding increases will neither provoke nor propel school reform efforts. By linking new state money to specific local reforms, the state is able to create both concrete and symbolic importance for its reform goals.

The California experience has been instructive in relation to the impact of targeted funding. The local district perception is that new state money has had significant impact in providing resources for implementing the more vigorous, academic program specified in state guidelines (Kirst, 1988; Odden and Marsh, 1987). The strategy of linking new state money to local reform has had a positive effect on district reform efforts and teacher morale (Kirst, 1988).

With these three critical factors—a clearly conceived and articulated vision, high-quality reform technology, and focused funding and resource allocation—providing an enabling structure, the state is in a position to initiate profes-

sional development for school administrators that has the potential of achieving a profound effect on statewide school improvement. Training through a statewide leadership academy is the vehicle by which school administrators become informed of the state's vision, adapt that vision to the specific needs of their schools, and acquire the technical skills and understanding that will enable them to provide the leadership necessary to initiate, implement, and sustain the school reforms envisioned by the state.

California, through the efforts of State Superintendent Bill Honig, has established the California School Leadership Academy (CSLA) which has its mission "to help school administrators strengthen their instructional leadership skills and strategies in order to improve student learning in California." The underlying assumptions guiding the work of CSLA are:

- the mission of school reform is to revise curriculum and strengthen instruction so that all students—regardless of incoming level of performance—will have access to a core body of knowledge that provides a sound academic background and promotes cultural literacy;
- well-informed and knowledgeable instructional leadership is a significant lever point for school reform;
- curriculum and instruction form the core technology of the school and, as such, provide significant leverage points for school reform;
- school reform is a process that occurs on a school-by-school basis, thus reform efforts must be adapted to the idiosyncratic characteristics of a particular school;
- school reform occurs as an outcome of simultaneous improvement in *both* the culture and core technology of the school;
- school reform is most likely to occur when the external organizational context (district and state) supports it and provides the necessary technology and resources to enable it to happen.

CSLA's vision of a school administrator is of one who at once is able to and understands the importance of providing the type of instructional leadership that can truly propel a school toward the vision of excellence proposed by the state. The three-year curriculum program of CSLA displayed in Figure 1 illustrates the direct linkages of the program components to the state's vision of school excellence.

Assessments of CSLA's impact on school reform indicate that since its inception in 1984, participants have a greater understanding of the state's vision of school excellence and of their roles in transforming that vision into a reality. The school administrators in the program report that they feel more knowledgeable of reform strategies and more skillful in adapting and implementing strategies to improve the instructional program of their particular schools (Barfield, 1988). Furthermore, the Council for Basic Education in its publication *Beyond Management: Improving Principals' Instructional Leadership* (1988) concluded that:

"The CSLA's success must be largely attributed to the quality of its program. Because the program's founders were so clear about what the Academy aims to do, the curriculum is rigorously structured around a clear set of concepts. An effort is made to ensure that participants always understand why they are learning a given topic." (p. 17)

Without the clear direction and expectations created by the state's vision, it is unlikely that CSLA would have both the clear vision and mission that it does. Indeed, a review of literature from many state academies has yielded an array of program descriptions that exemplify the superficial and

THE CALIFORNIA SCHOOL LEADERSHIP ACADEMY PROGRAM

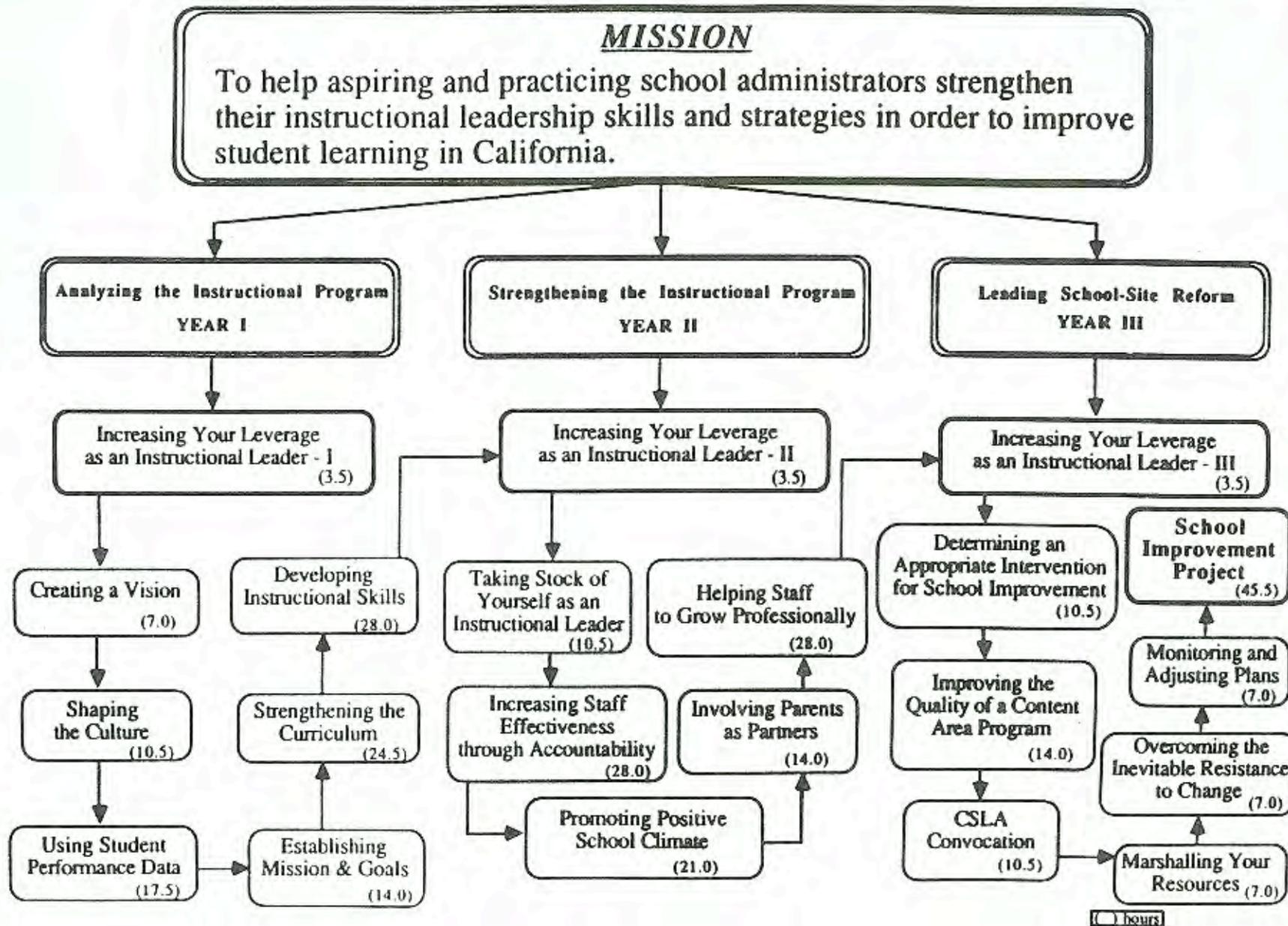


Figure 1: CSLA Three Year Module Map

fragmented nature of training programs that are developed in the absence of a vision. This "hodge-podge" type of program presents little, if any, leverage for a statewide reform effort (Council for Basic Education, 1988). Thus, to answer the question posed at the outset of this article—"In what ways and to what degree do state leadership academies influence the instructional leadership of school principals and other school administrators?"—the response is that to achieve the results that are potentially possible through a statewide leadership academy, the state must initiate and implement an enabling process that is "driven" by the state's vision of school excellence and a vision of the role of the school administrator in achieving that vision of school excellence. This process, which is depicted in Figure 2, has the potential of truly providing school administrators with the enabling skills necessary to lead their schools toward excellence.

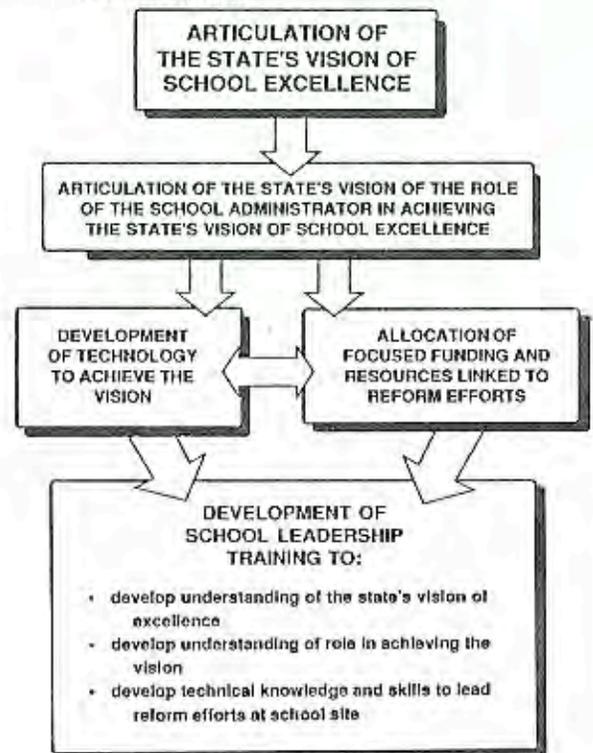
Conclusion

As noted earlier, the issue of training principals and other school administrators is receiving a great deal of widespread attention. The potential for these programs to have a profound impact on school reform is a real possibility. Without an enabling structure similar to the one discussed in this article, however, it is unlikely that the training of school administrators will have much impact on any real reform. Thus, any state, through a statewide school leadership academy, has a real opportunity to exert considerable leverage to achieve school reform by first of all, creating a vision of what school reform could and should achieve, and then by using that vision as the driving force for a planned program of school leadership development.

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Figure 2: Enabling Process to Achieve Effective School Reform



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While much remains to be done, it is fair to say that the various activities of the Network position it to make a lasting contribution to the development of effective school leaders.

The National LEADership Network

by Elizabeth L. Hale
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In January 1988, the Institute for Educational Leadership joined in a unique partnership—with an agency of the federal government, the U.S. Department of Education, and with a major corporation, Kraft, Inc.—to develop and support a network among the federally funded LEAD Centers. Previous articles in this issue have conveyed the common mission of the LEAD Centers and underscored that each program is tailored to meet the problems and needs of the state. In this article, I will chronicle the development of The National LEADership Network (hereafter, the Network) which serves the heterogeneous collection of LEAD Centers, provide information about current activities, and offer a few thoughts on the Network's value and potential for impact.

The Network, officially launched in April 1988, moved quickly to become recognized as a useful resource which would provide community-building and dissemination services on behalf of the LEAD Centers and their many partners, and others engaged in leadership development. A tentative working agenda, focused on common and persistent leadership development issues and themes, was designed in support of the following goals:

- To promote the exchange of information across LEAD Centers, and between the Centers and other sponsors and users of leadership training;
- To increase awareness of available technical assistance and expertise which could help to ensure a high level of performance of each LEAD Center;

IEL is a Washington D.C.-based nonprofit organization dedicated to collaborative problem-solving strategies for education. IEL works at the national, state, and local levels to bring together resources and people from all sectors of society in a new coalition in support of essential change in schools. Betty runs IEL's leadership program. She has served as a public school teacher, and worked in policy and program positions with Project Head Start, the University of Maryland, and the State of Illinois. Betty holds an Ed.M. from the Harvard Graduate School of Education, and a M.P.A. from the John F. Kennedy School of Government, Harvard University.

- To strengthen organizational capacity to develop school leaders by working on and identifying needed training tools, materials, and techniques;
- To help states and communities adopt model programs, curricula, and policies for improving school leadership;
- To serve as a clearinghouse of information about LEAD Center programs and make the lessons learned available nationwide; and
- To promote greater awareness of the importance of training for school leaders.

Stories abound about new and exciting partnerships and networks that fell short of achieving their promise, did not achieve expected results and went out of business, or simply fell apart for a variety of other reasons. These constant reminders of failure, combined with information derived from more formal evaluation literature about establishing and running collaborative network programs, prompted the development of a short dos and don'ts list to guide the Network in its early stages: Participation in the Network would be voluntary; constituents would give the Network direction; the Network would meet the needs of the constituents; and the Network would make small amounts of resources available to enable members to focus on issues of specific concern. Thus, one of our major tasks was to work with the LEAD Centers to develop a Network agenda which focused on issues of common and persistent concerns across all of the Centers, yet simultaneously squared with the needs of individual Centers.

The resulting programs and activities of the Network are as diverse as the LEAD Centers. The Network sponsors opportunities for face-to-face contact for all members, supports small group gatherings where members convene to discuss particular topics of interests, connects with the agenda of other organizations and associations, keeps its members aware of current educational reform issues and related social policy issues; publishes collective information about LEAD Center programs; supports and strengthens the work of individual network members and disseminates that work through the Network; keeps an eye on the future by experimenting with other communication technologies; and uses its base in Washington, D.C., to stay abreast of education policy trends and issues and their implications for school leaders and leadership.

The initial message to the LEAD Centers underscored what the Network would try to accomplish and that involvement in any or all activities would be an individual Center decision, based on the perceived value of the service. But, to encourage one hundred percent involvement, the Network had to offer services which met the stated needs of the members/constituents. The ongoing relationship between the Department of Education LEAD Project Officers and the LEAD Centers gave the Network ready access to information about each Center program. These data were augmented with information from an informal survey which obtained Network members' perceptions of the most critical issues facing LEAD Centers at the conclusion of the first year of programming. The yield was a rich lode of information which led to the development of a Network agenda focused on the real needs of the LEAD Centers.

Five of the issues that emerged from the field survey are the focus of special Network study groups. These groups, assembled on the basis of interest in the topic, have participants from among the 57 LEAD Centers which ensures multiple perspectives on and approaches to the issue(s). The work plans developed by the study teams will result in products which will be useful to Network members and to the larger world of leadership development.

- **Restructuring Schools Group** will become knowledgeable about the actual approaches to restructuring schools that are being applied around the nation (Miami-Dade; Rochester, etc.) and to the related training needs of administrators. A final goal is to develop a framework for a training program and materials for use in preparing school administrators for the actual leadership role in restructured schools.
- **School Improvement Group** will collect information and share knowledge about how to develop the capacity of school leaders—district level and building level—to foster and support systematic school improvement. The focus will be on identifying what special knowledge and capacity leaders need for this endeavor, and how the training needs can be met. The group will also identify training materials and methods that are currently available for these purposes.
- **Women and Minorities Group** will help to develop strategies to improve the access of women and minorities to school leadership positions. The initial goal will be to identify and analyze the current LEAD effort and disseminate the most successful practices in use around the country. The group's most important contribution will come from its work fashioning bold new strategies which will help LEAD Centers and others who prepare school leaders to ensure that the future school leadership cohort is representative of the nation's pluralistic society.
- **Business Education Partnerships Group** will identify the most promising practices currently in use and make this information available throughout the Network. The group will look for best practices available with regard to traditional school-business partnerships, as well as models of effective and innovative business collaborations with leadership development organizations such as LEAD Centers.
- **State and Local Policy Group** will develop strategies to help LEAD Centers best serve the information and analysis needs of state policy makers. Much of the improvement in the quality of school leadership and in the programs for preparing and developing school leaders is a matter of state policies related to these issues. The group will also identify opportunities for LEAD Centers to support other efforts designed to improve state policy making attendant to school leadership issues, such as the forthcoming report and recommendations of The National Policy Board for Education Administration.

The Network takes seriously the admonition of the World Futures Society to "Think Globally, Act Locally." Specific programs have been designed to nurture change by supporting the LEAD Centers, working solo or in collaboration with other Centers or regional educational improvement laboratories. This strategy ensures that the Network can capitalize on naturally occurring opportunities. Several projects illustrate the importance the Network places on supporting creative ideas generated by the constituents to address significant issues.

- **Targets for Trainers: Toward More Productive Training.** The Kentucky LEAD Center, in collaboration with the Appalachian Educational Laboratory, will develop the competence and confidence of trainers to work with adult learners—the primary LEAD audience. A training manual will be developed and disseminated across the country.
- **The Professional Development Resource Book for Principals.** Effective principals are developed over an extended period of time. In recognition of the need for

career-long learning, The Maryland LEAD Center will complete its work on a resource book for principals which can be used by principals in schools across the country.

- **Mentoring for the Induction Year.** Beginning principals leave their teacher network and are required to develop a new collegial support group. The Ohio LEAD Center's SAGES Program, Senior Administrators Giving Educational Support, gives beginning principals an instant support group (and retired principals a method for sharing professional lessons with the next generation of school leaders). The project will extend the SAGES Program to principals in middle schools and high schools in Ohio and, of equal importance, develop a program manual for use by others who are interested in developing similar support strategies for beginning principals.
- **Improving Statewide Influence and Commitment to Leadership Development.** The Northwest Regional Educational Laboratory, on behalf of LEAD Centers in Alaska, Hawaii, Idaho, Montana, Oregon, and Washington, will work to develop strategies that strengthen and institutionalize the LEAD Centers' role as agents for change and improvement in the process of developing educational leaders. These "Northwest" strategies will be documented and made available across the Network.
- **Strategies for Effective LEADership Collaboration.** The LEAD Centers in the Northeast (Vermont, Massachusetts, New Hampshire, Maine, Rhode Island, Connecticut, New York) will meet with other state-based providers of leadership development to question what is involved in developing effective leadership collaborations. The group's goal is to determine how best to foster statewide leadership development coalitions, a necessary ingredient in continuing the work of LEAD Centers beyond the period of federal support.

Networking is often described as a process of close and direct connections between and among people. While generally an accurate description, many factors with the Network (geographic spread, array of organizational arrangements, time) made it impossible to use this one strategy as the primary program component. Thankfully, there are a plethora of ways to stay on top of an issue, continue to link others engaged in similar pursuits, or to build a community around common themes and interests. Thus, the Network works on its agenda and with its members in many ways.

An annual meeting, wherein the leadership development and renewal of those who provide leadership development is the major focus, ensures that all members of the Network have a chance to get away from the daily press of constituent service to discuss new and old leadership issues and ideas; current education reform initiatives and issues which have an impact on the kind of school leaders needed and attendant training requirements; meet with current leadership 'gurus'; and reestablish connections with others in the Network. The meeting is planned by a committee of the whole and held in Washington, D.C., to make it possible for Network members to interact with members from the U.S. Department of Education. As it moves into its second year of operation, the Network will offer additional opportunities for direct contact among members by connecting with the regularly scheduled meetings of professional associations and/or by cosponsoring seminars/conferences with other related organizations. In June, the Network will cosponsor a seminar with Center for the Study of School Leadership, University of Illinois/University of Mich-

igan. This seminar is viewed as the inaugural event of a proposed five-year activity designed to bring researchers and practitioners together on an equal footing to talk about school leadership development issues and an attendant research agenda. In March, the Network conducted a pre-session at AASA focused on the institutionalization of LEAD Centers (life beyond federal funding). While these are the Network's first official connections with other organizations and professional associations, it is expected that these expansion programs will become a part of the Network's ongoing agenda.

Several Network documents help to keep the Network together on a substantive basis. A *Catalog* of the initial 51 LEAD Center programs was produced in December 1988 and provided specific information about Center programs. The catalog, indexed on 25 commonly used descriptors of school leadership development efforts (skill assessment centers, tools and processes; school improvement, mentoring, peer coaching) provided easy access to the wealth of program undertakings. A special section entitled, *What Experience Has Taught Us*, featured candid perspectives on the major lessons learned during the first year of LEAD Center operation. This useful information was included to prevent members from "reinventing the wheel." A companion document, abstracts of all Center programs, provided an overall, yet admittedly brief, picture of ongoing programs and activities and their focus. These two resources represent a composite of the LEAD Centers and their current activities; they are valuable Networking tools.

Future products on the Network's agenda include the development of a source book on school leadership which will collect the best available about leadership development efforts in the public and the private sector, and the production of a national newsletter to keep members updated on what their peers are doing but, more importantly, keep them aware of others' efforts on behalf of leadership development.

While the Network uses tried and true strategies to ensure that its work is useful and that it serves an important, nay, a leadership function, it keeps an eye on the future by experimenting with new communication technologies. Through the Southwest Educational Development Laboratory, the Network is supporting a pilot electronic networking effort among the LEAD Centers in Arkansas, Louisiana, New Mexico, Oklahoma, and Texas. The results of this experiment will help the Network determine the feasibility of applying this technology to the total Network. A second experiment that is smaller in scope and shorter in duration is focused on the Network's Restructuring Schools Group. The work of the group is bolstered by an electronic conferencing capability which is being closely monitored to assess the extra value of this added feature. The combined data from these two experiments will give the Net-

work a better sense of how feasible it is to think about strategies which require new technologies for successful implementation.

While much remains to be done, it is fair to say that the various activities of the Network position it to make a lasting contribution to the development of effective school leaders. There is a striking similarity between Moorman's recapitulation of LEAD Centers' outcomes and the areas where the Network is now poised to make program and policy contributions: creating alternative curricula and training programs; putting new training methods and approaches into place; creating new opportunities for women and minorities in the field; and taking a higher and newer road in developing collaborative and consortial arrangements.

Since they are state-based organizations and arrangements, LEAD Centers are better positioned to have a state or perhaps a regional impact. The challenge before the Network is to harness these state impacts and outcomes, cull the best from the programs, the strategies, the bright ideas, the new coalitions, and make these lessons and this information available across the country—to other LEAD Centers, to colleges and universities that prepare school leaders, and to others in the field of leadership development. The Network's study groups and special projects are a first step in this direction. As the knowledge and practice for improving school leaders expands by dint of the diverse and disparate efforts of the 57 LEAD Centers and their many direct and indirect partners, the Network will connect these isolated outcomes to the large world of educational policy and leadership development. These Network actions will help to ensure that LEAD, the most recent federal education policy initiative on behalf of school leadership, achieves its potential.

Harlan Cleveland, author, *The Knowledge Executive*, tells us that in our information society, consultation and networking is the mandatory mode for getting things done. He illustrates this assertion with the following anecdote:

On a visit to Israel he (Cleveland) was told of an Israeli battalion commander who performed a drill in honor of a visiting dignitary. In a quiet, conversational voice, the commander gave the order: "Battalion march." The visitor, a senior general, was surprised and leaned over to give the young leader a word of advice. "You have to shout the order so they all start together." The young commander smiled tolerantly at this relic of the era of vertical administration. "Don't worry, General," he said. "The word will get around."

The National LEADership Network—the newest leadership development infrastructure—is committed to connecting practice with best practice and, to paraphrase Cleveland, is working in a number of different ways to strengthen the word and to ensure that it gets around.

It is not too early to hazard an initial assessment of LEAD's accomplishments to date and offer suggestions for its future course.

The LEAD Program at Age 2: Accomplishments and Future Directions

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Despite reliable observations that large-scale changes take at least three to five years and more likely a full generation, it is not too early to hazard an initial assessment of LEAD's accomplishments to date and offer suggestions for its future course. End results matter, but they will be a long time coming and we may in any case overlook or misread them when they emerge. Our success in appreciating results at some future date and our wisdom in charting a true course from day to day call for reflection and informed assessment now.

Weiss (1979) made the influential observation some time ago that policy research may be judged for both *instrumental* and *conceptual* effects. Interest in the immediate, palpable consequences intended for policies as well as policy research ought not blind us to the "bubbling up" of changes in values, frames of reference, problem orientations, and other influential conceptual paraphernalia. I propose a similar approach to considering the effects to date of the LEAD program. That is, I will review both *meta-program* and *project specific* accomplishments.

Meta-Program Outcomes

Federal legislation and grants programs serve at least five distinct purposes. McDonnell (1988) identifies three: (1) enlightenment, (2) problem definition, and (3) "assessing the feasibility of prospective policies and the implementation and effects of existing ones" (p. 94). To these, I would add (4) changing local funding and programmatic priorities (ACIR, 1984), and (5) enabling implementation by expanding resources and support systems (CLTES and NCRTE, 1988). LEAD has made an observable contribution in each of these areas.

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Enlightenment. While LEAD is not alone in fulfilling these aims—many laudable state, professional associations, and foundation programs are making a difference—it is the only activity with a formal presence in every state. LEAD has conferred the federal imprimatur on the significance of school leadership and renewed efforts to improve leadership training. In each state, LEAD defined a statewide effort, and designated an influential group of educators and citizens to symbolize the importance of the problems as well as to oversee efforts to solve them by serving as a policy committee. Because of LEAD, administrators, school board members, policy makers, service providers, and taxpayers now more fully appreciate the need for redoubled improvement efforts in this area.

Problem definition. LEAD is a partial problem definition. It selects "training" from such other factors as selection and supervision as the problem and solution. To construe administrator quality as solely a matter of preparation and development would be seriously in error. But it is even more wrongheaded to ignore the needs superintendents and principals have for lifelong training and the urgency of adding leadership to the traditional administrative and management emphasis. LEAD has probably had rather mixed results in this area, as some center programs are less completely oriented toward leadership than we would like. But emphasis on leadership conceptualizations, skills delineations and assessments, translating the results of research into training programs, and introduction of industry executive development programs all contribute to the more enlightened problem appreciation.

Results of experience. More systematic, rigorous information on the effects of various new training approaches, and on the feasibility of related policies, are badly needed. Competing conceptualizations of the leadership role need sorting out, and the proper formulations and consequences of reformed pre-service and "the new in-service" are open to question (see Wimpelberg, in press). LEAD is making a partial contribution in this area. Its support for introduction and extension of the best available practice makes possible a greater range of experience and development of keener insights into benefits of the approaches. Hard-nosed evaluation is more problematic. LEAD programs and others present a host of vexing conceptual, methodological, and operational barriers to evaluation for which we do not at present have good answers.

Local priorities. Federal grants change local priorities by focusing energies on new tasks made possible by grant funds and by attracting the additional contribution of local funds from other areas. So it is with LEAD. Elsewhere in this issue I have cited examples of occasions where entirely new programs have been initiated, or where expansion and redirection have taken place as a result of LEAD. In addition to the matching contributions donated by trainees, center sponsors and collaborating institutions, and business and industry—on the order of \$35 million—, legislatures in Alabama, Minnesota, and Texas have voted funds for LEAD and governors of a few other states have reached into their official pockets to make special allocations for LEAD activities. More of this can be expected in the future.

Resources and support systems. It is as important to put in place a system that will encourage and support change as it is to introduce the change activities themselves. Without the "infrastructure" and system support,

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new activities, especially those introduced with outside impetus or funding, will be short-lived. LEAD centers have succeeded not only in providing money to induce activities that would not otherwise occur, but also in establishing new capacity in the form of information banks, trainers of trainers, and regional centers, in creating new relationships and norms of cooperation that promote further improvements, and in developing new depths of business and community support for continued investment and improvement.

Project Accomplishments

Previous articles in this issue have provided a wealth of information concerning the contributions LEAD projects are making to improved administrator preparation and development. From my own perspective, I would refer to the discussion in my "overview" in this issue of accomplishments in these areas:

- Developing alternative conceptualizations of the school leader and creating curricula and training programs;
- Expanding existing assessment processes but, more important, inventing and introducing new ones and combining different, complementary approaches;
- Developing, refining, and putting into widespread practice non-traditional, client-centered, site-based "training" methods;
- Creating new opportunity for women and minorities in the field;
- Negotiating collaborations that overcome the history of separation and competition between organizations that provide training; between schools and universities; between superintendents, principals, and teachers; and between business and education.

What is most exciting in all this is that centers, singly and in regional groupings, have come to recognize and to embrace a new mission. They aspire to produce a legacy not solely of trainees, materials, and methods but of enduring institutional and policy reforms. If the plans on which many centers are now at work are fully realized, these centers will surpass even the program institutionalization hoped for by Congress and wreak lasting changes in state certification policies, state support for pre- and in-service education, and the basic institutional forms and relationships that deliver programs and chart future directions.

Future Needs and Directions

A hundred unmet needs and opportunities beckon to LEAD centers and the program office. I will take this opportunity to suggest a small number of priority topics for future attention.

LEAD centers and the OERI program office must find ways of undertaking useful documentation and evaluation activities. LEAD centers are engaged in a heroic amount of activity. Large amounts of valuable information could be sifted from their labors and used to guide other contemporary and future undertakings. The conceptual, methodological, and logistical difficulties are great, but the effort must be made. At present the program office has done too little to offer guidance or coordinate the diverse evaluation and documentation efforts of projects. The LEAD statute requires that each center conduct an evaluation, and they are doing so. But the quality of these efforts is uneven, and—absent better guidance and overall coordination—the findings will have only mixed policy relevance and cumulative import.

LEAD centers must contribute information and in other ways to formulation of revised state policies for administrator certification. Policies for certification and con-

tinued training must be credible, carefully supervised at the state or other institutional level, part of a coherent logic encompassing all state school improvement strategies, and designed to set high standards rather than mandate behaviors. At present, they are not (Peterson and Finn, 1985). The National Policy Board for Educational Administration will at some point come forth with important suggestions for the improvement of state policy. LEAD centers will need to be in a position to introduce this and other information from their experience into the state's policy processes to good effect. State funding—now hardly at all available for administrators but not unusual for teacher education—is a practical necessity for the kinds of effective, quality programs needed. Policy makers and citizens will need to be informed of the results of the best programs to date and of the benefits to be realized from state support.

LEAD centers must continue present efforts undiminished and ensure that future efforts focus on certain key problem areas. Programs have gotten quickly off the mark in (1) supporting and producing new curricula, assessment practices, materials, "the new in-service" approaches; (2) attracting women and minorities to administrative positions; and (3) forging new statewide coalitions. Centers will also need to:

- Spearhead the development of articulated preparation and development programs with a coherent, career-long logic. Many centers are indeed coordinating the joint efforts of universities, school districts, state agencies, and professional associations to create well-articulated pre- and in-service programs. Some are also on their way to developing the underlying logic for career-long training programs sensitive to the stages and needs of an administrator's full career.
- Stimulate increased effort to revamp pre-service preparation along lines suggested by the National Commission on Excellence in Educational Administration (1987) and modeled by the Danford Foundation's PREP program.
- Span the gulf that separates superintendents, principals, and teachers; schools and communities; boards and superintendents; school leaders and business communities—with such innovations as the collaborative instructional leadership teams (and variants) supported by AASA, I/D/E/A, and Danforth; the school board assessment pioneered by IEL and NSBA and board/administrator team-building practiced at a few LEAD centers; and LEAD/industry collaborations like those engineered by the Massachusetts State Department of Education and the New Jersey MAPS program.
- Anticipate growing demand for preparation to lead effectively in the teams, shared decision making, and school-site management processes, along with a host of other approaches across the country, introduced as schools restructure.

LEAD centers must contribute to a conception of school leadership that transcends the current skills orientation. Successful leadership is almost exclusively seen in terms of skills. Instructional leader, educational executive, institutional leader, school improvement guru, and even the most heavily "vision" and "culture" driven models of leadership—all are based on the assumption that leadership is an instrumental activity made up of skills that can be inculcated through training and development. No doubt there is a heavy dose of skills in every leadership recipe. But *judgment* is surely the essence of leadership. Judgment to distinguish the critical decision from the merely urgent, to define the situation and craft the problem formulation that will galvanize "followers," to form appreciations of reality that

help make sense of work in ambiguous circumstances, to discern the moral readinesses of others and, in Burns' (1978) words, to "arouse, engage, and satisfy" them. To this one must add *courage*. Courage to act in the face of doubt—which after all pervades all complex organizational situations—to put forth a position and see it through in the face of skepticism or criticism, to advance what is right in the faith that the means can be found to help others to right-minded views. Both judgment and courage, contrary to what is often maintained, *can* be taught, or certainly *passed on* from one person to another. The work of Vickers (1979; 1983), Schon (1983), and others is sufficient indication of that. There is of course no certain standard for evaluating judgment, or courage. The assessment of what is in fact good judgment and courageous action consists in itself of an act of judgment and courage.

LEAD centers must prepare leaders with visions of schooling that surpasses the instrumental. Schools are good things in and of themselves. At their best, they embody the society's most cherished values. They express and provide for an ongoing relationship with those values. Moreover, their chief activity is the passing on of a body of values—deep cultural values—and the development in each individual of a "knowledge system" (Boulding, 1961) capable of putting those values to work in society. It is not enough to settle for the lowest common values denominator across society, nor to campaign for a return to bygone days. Each generation must discover its values anew. Values that endure through the millenia must be reinterpreted for each new age. The discovery and institutionalization of these values count over time for more than such instrumental functions as preparing workers for an economic system. Yet it rare to hear schools described in terms other than their instrumental contributions to the economy or polity. Undesirable as it is of course to ignore the demands of daily life and a productive society, school administrators must be prepared and inspired to lead not merely *organizations* but *institutions*.

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