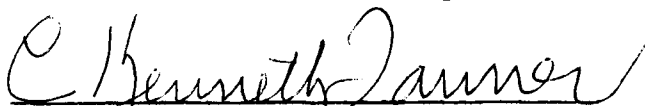
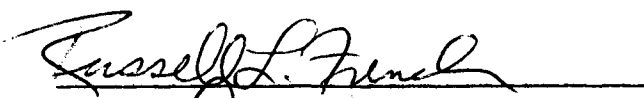
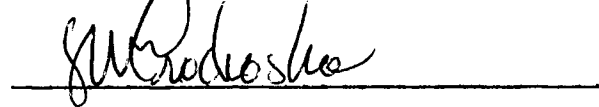


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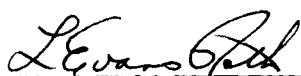
I am submitting herewith a dissertation written by John L. Keedy entitled "Norm Setting as a Component of Principal Effectiveness." I have examined the final copy of this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Education, with a major in Educational Administration and Supervision.


C. M. Achilles, Major Professor

We have read this dissertation
and recommend its acceptance:

Accepted for the Council:


Vice Chancellor
Graduate Studies and Research

NORM SETTING AS A COMPONENT OF
PRINCIPAL EFFECTIVENESS

A Dissertation
Presented for the
Doctor of Education
Degree
The University of Tennessee, Knoxville

John L. Keedy

August 1982

3063194

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This study is dedicated to me, John Lincoln Keedy, argonaut--who did the work; to C. Marvin Achilles, tutor; and--in memoriam--to Orin B. Graff, guru and to Emily Rebecca Allen Keedy, mater familias.

This researcher has appreciated the patience and cooperation of the six principals--whose anonymity was promised--participating in this study. He also would like to thank Dr. Thomas C. Innes, who--as Director of Educational Assessment at the Testing and Evaluation Center (UTK)--supplied data used to select the schools for this study. Finally, appreciation should be given to Eunice T. Jenkins, who typed this magnum opus.

Labor omnia vincit.

ABSTRACT

Educational literature indicates that a principal's contribution to school effectiveness is vital. The literature identifies norm setting as principal behavior consistently exhibited in effective schools. What the principal does in setting norms was used as this study's definition of norm setting. How the principal sets norms became this study's purpose.

Based on school effectiveness defined by the Dyer model, six elementary schools were selected for case study. Data on principal norm-setting behavior were collected through direct observation, the open-ended question, a norm checklist, and a questionnaire. The analyses and findings for the three research questions follow.

How Do Principals Set Norms?

Behaviors collected from principals and teachers were categorized separately into 13 ways principals set norms. For within-school analysis, any category having four or more behaviors collected from each principal was illustrated through examples drawn from the data (n=295). With teacher perceptions of principal behavior (n=151), this cutoff was three or more behaviors.

For among-schools analysis, any category used by at least four principals was considered instrumental in norm

setting. The four categories were Human Relations, Resource Provider, Authority of Position, and Modeling.

What Norms Do These Principals Use?

The Norm Checklist was developed from the literature. Principals and teachers checked norms (n=35) they perceived were occurring in their schools. Norms were classified into six groupings for analysis. Using commonality of agreement, three of these groupings were analyzed as used by the six schools: professional standards for teachers, high learning expectations for students, and principal obligations to teachers. (School climate had among-schools agreement but not between-group agreement.)

How Is Role Efficiency Related to Norm Setting?

The literature has defined role efficiency as a reciprocal exchange system: The principal meets teacher needs in exchange for teacher compliance to norms set by the principal. Principals were asked how role efficiency related to norm setting. Teacher response to two sets of norms was compared: principal's obligations to teachers and norms perceived as set by the principal exclusive of the Norm Checklist. Using commonality of agreement, five of the six principals were found to use role efficiency in setting norms.

TABLE OF CONTENTS

Chapter	Page
I INTRODUCTION TO THE STUDY	1
Introduction.	1
The Problem	3
Statement of Problem.	3
Findings of Literature Search	3
Purpose	5
Questions	6
The Research Question	6
Related Questions	6
Assumptions	6
Design of Study	7
Quasi-Experimental.	7
Other Elements.	7
Methodology: Selection of Schools.	8
Methodology: Data Collection and Analysis.	8
The Research Question: How Do Principals	
Set Norms in Effective Schools?	8
Related Question 1: What Norms Do These	
Principals Use?	9
Related Question 2: How Is the Nature of	
Role Efficiency Related to the Research	
Question?	10
Limitations of Study.	10
Definitions	11
Commonality of Agreement.	11
Credit Building	11
Enabler	12
Norm Compliance	12
Normative Distribution of Resources	12
Norm.	12
Norm Conformity	13
Outlier School.	13
Principal Norm Setting.	13
Role Efficiency	13
Resources	14
School Effectiveness.	14
Organization.	14
II SEARCH OF RELATED LITERATURE.	16
Introduction.	16
"As Is the Principal . . ."	17
Introduction.	17
Organizational Stability.	17

Chapter	Page
II Continued	
Organizational Change	18
Conclusion.	21
Norm Setting as Described in the Literature	21
Introduction.	21
Principal Norm-Setting Behavior in Effective Schools	23
Conclusion.	36
Principal as Enabler and Role Efficiency.	38
Introduction.	38
The Exchange System	38
Definition of Role Efficiency	42
Literature Search on Role Efficiency.	43
Conclusion.	49
Findings from the Literature Search	49
III DESIGN AND METHODOLOGY.	51
Introduction.	51
Forming the Pool of 13 Outlier Schools.	51
Introduction.	51
Stratification.	53
Random Selection of Schools	53
Obtaining Predictor Scores.	53
Forming Pool of 13 Outlier Schools.	53
Conversion into Grade Level Reading Scores.	54
Selection of Schools and Context Variables.	57
Selection of Schools.	57
Context Variables	59
Contacting of Schools	61
Design of Study	62
Introduction.	62
Quasi-Experimental.	62
<u>Ex Post Facto</u>	62
One-Shot Case Study	63
Case Study.	63
Ethnography	63
Field Study	64
Data Collection	64
Introduction.	64
The Open-Ended Question	65
Direct Observation.	66
The Norm Checklist.	66
The Principal Questionnaire	66
Summary	67
Validity.	68
Introduction.	68
Construct Validity.	68

Chapter

Page

III Continued

Content Validity.	68
Face Validity	69
Ecological Validity	69
Reliability	72
Introduction.	72
Inter-Rater (Percentage) Agreement on Norms	72
Validation of Norm Categories	73
Reliability Generated by Cutoff	74
Validation of Norm Groupings.	75
Analysis.	75
Introduction.	75
The Research Question: How Do Principals Set Norms?.	76
Related Question 1: What Norms Do These Principals Use?	77
Related Question 2: How Is Role Efficiency Related to the Research Question?	78
Summary	79
IV PRESENTATION AND ANALYSIS OF THE DATA	80
Introduction.	80
The Purpose of the Study.	80
Selection of Schools.	80
Design of Study	80
Data Collection	81
Analyses of Data.	81
The Research Question: How Do Principals of Effective Schools Set Norms--Within- Schools?.	85
Introduction.	85
School A.	86
School B.	95
School C.	104
School D.	111
School E.	123
School F.	133
The Research Question: How Do Principals of Effective Schools Set Norms--Among- Schools?.	141
Introduction.	141
Analyses.	142
Introduction to Related Question 1: What Norms Do These Principals Use?.	147
Within-Schools Agreement.	151
Among-Schools Agreement	151
Between-Groups Agreement.	152

Chapter

Page

IV Continued

Within-School Agreement on Norm Groupings . .	152
Introduction.	152
Analyses.	154
Among-Schools Agreement on Norm Groupings . .	158
Introduction.	158
Analysis.	158
Between-Groups (Principals and Teachers)	
Agreement on Norm Groupings	161
Introduction.	161
Grouping One: Principal's Obligations to Teachers	161
Grouping Two: Teacher Behavior as Professional Educator	161
Grouping Three: School's Expectations for Students.	163
Grouping Four: Principals Affect Teachers Who Affect Students	163
Grouping Five: Principal's Authority of Position.	163
Grouping Six: School Climate	163
Summary	163
Summary of Analyses on Norm Groupings	164
Related Question 2: How Is Role Efficiency Related to Norm Setting?.	164
Introduction.	164
Principal A	167
Principal B	169
Principal C	171
Principal D	173
Principal E	175
Principal F	177
Summary	179
Comparison of Questionnaire Data to Those of Norm Groupings	179
Introduction.	179
Grouping One: Principal's Obligations to Teachers	180
Grouping Two: Teacher Behavior as Professional Educator	180
Grouping Three: School's High Expectations for Students.	180
Grouping Four: Principal Affects Teachers Who Affect Students	183
Grouping Five: Principal's Authority of Position	183

Chapter	Page
V FINDINGS, CONCLUSIONS, IMPLICATIONS, DISCUSSION, SPECULATIONS, AND RECOMMENDATIONS	186
Introduction.	186
Findings: Literature and Field Data	
Consistent.	187
The Research Question: How Do Principals Set Norms in Effective Schools?	187
Related Research Question 1: What Norms Do These Principals Use?	189
Related Research Question 2: How Is the Nature of Role Efficiency Related to the Research Question?	190
Other Findings.	191
Conclusions	195
Implications.	199
Discussion.	201
Speculations.	201
Recommendations	203
Recruitment/Selection of Principals	203
Principal Training.	205
For Research.	206
Methodology	207
LIST OF REFERENCES.	210
APPENDICES.	217
A Identification of Pool of Outlier Schools	218
B School Identification System.	223
C The Norm Checklist.	224
D Principal Questionnaire: Teachers.	228
E Appropriate References for the Norm Checklist and Principal Questionnaire	233
F Schedule of Data Collection	236
G Collapsing of Categories of Norm-Setting Behavior.	237
H Descriptors for Categorization of Principal Norm-Setting Behavior	239
VITA.	242

LIST OF TABLES

Table		Page
1	Positive Residuals for Outlier Schools: Grade Equivalency of Fourth Grade at Outlier Schools.	56
2	Selection Criteria	58
3	Comparison of Schools on Selected Context Variables.	60
4	Data Sheet on Respondents for Pilot Testing. . .	70
5	Research Questions and Analyses.	84
6	Principal Norm Setting: School A.	88
7	Principal Norm Setting: School B.	96
8	Principal Norm Setting: School C.	105
9	Principal Norm Setting: School D.	112
10	Principal Norm Setting: School E.	124
11	Principal Norm Setting: School F.	134
12	Number of Principals Exhibiting Categories of Norm-Setting Behavior	143
13	Total Frequency for Categories of Norm- Setting Behavior	144
14	Groupings from the Norm Checklist.	148
15	Within-School Norm Agreement: Schools A and B .	153
16	Within-School Norm Agreement: Schools C and D .	155
17	Within-School Norm Agreement: Schools E and F .	157
18	Summary of Within-School Norm Grouping Data. . .	159
19	Summary of Among-Schools Norm Grouping Data. . .	160
20	Summary of Between-Groups Analysis	162
21	Comparison of Among-Schools and Between-Groups .	165
22	Role Efficiency: School A	168
23	Role Efficiency: School B	170
24	Role Efficiency: School C	172
25	Role Efficiency: School D	174
26	Role Efficiency: School E	176
27	Role Efficiency: School F	178
28	Data from Questionnaire: Grouping One	181
29	Data from Questionnaire: Grouping Two	181
30	Data from Questionnaire: Grouping Three	182
31	Data from Questionnaire: Grouping Four.	184
32	Data from Questionnaire: Grouping Five.	184

CHAPTER I

INTRODUCTION TO THE STUDY

I. INTRODUCTION

Are American public schools effective? Do within-school variables (such as administrative and teaching qualities) influence the learning of students--regardless of their socio-economic status (SES)?

Coleman et al. (1966), Jencks et al. (1972), and Mosteller and Moynihan (1972) concluded that they could attribute to schools very little influence independent of socio-economic background and general social context (such as peer pressure).

Other researchers (Levine, 1966; Weber, 1971; Ellis, 1975; Austin, 1979; Brookover et al., 1979; and Edmonds, 1979), however, have identified the few exemplary schools whose students achieve at grade level--despite low SES. Austin (1979) used the Dyer model in identifying these schools. Dyer (1972) had used SES data in a regression formula to predict student achievement. Schools which were substantially outside the predictor line were called outliers because the regression formula was unable to account for their student achievement--measured by achievement tests. These schools are effective. Within-school variables logically account for some of the unexpectedly

high achievement. Researchers on effective schools--among whom are The California School Effectiveness Group (1977); Wellisch et al. (1978); and Venezky and Winfield (1979)--have concluded that one within-school influence is administrative leadership. Educational literature has continually asserted that the principalship has pivotal influence in determining the effectiveness of a school.

Cubberly (1923:28) stated that:

The knowledge, insight, tact, skill, and qualities of helpful professional leadership of the principal of the school practically determine the ideas and standards of achievement of both teachers and pupils within the school.

Goodlad (1955) wrote that the principal was the key figure in any process of educational change. (The concept of "As is the principal, so is the school" will be amplified in the literature review--Chapter II--which indicates that the principalship is pivotal to school effectiveness.)

How can principal effectiveness be defined? Bidwell (1979), Erickson (1979), and Boyan (1981) linked principal behavior with student outcomes. Erickson (1979:12) indicated: ". . . knowledge of the educational enterprise will remain deficient until administrative behavior and student learning are empirically linked."

Studies on effective schools reviewed for this (current) study all indexed student achievement by standardized test scores. Whereas some studies used both reading and arithmetic scores, at least five studies exclusively used reading

as their criterion for achievement: Weber (1971); the State of New York, Office of Education Performance (School Factors, 1974); Ellis (1975); Venezky and Winfield (1979); and Exceptionality on Urban (Title I) Elementary Schools (1979).

Effective schools have been identified. Educational literature and research data indicate that administrative behavior is crucial to school effectiveness. Principal behavior has been linked to student outcomes--indexed by standardized reading scores to measure achievement. The problem evolves: What behaviors do principals of effective schools exhibit?

II. THE PROBLEM

Statement of Problem

What behaviors do principals of effective schools exhibit?

Findings of Literature Search

The research data on effective schools will be examined inductively in Chapter II. One behavior exhibited by principals was that of norm setting. A synopsis of findings leading to this (current) study's definition of norm setting follows.

Clark (1968) concluded that the only difference between successful and nonsuccessful schools was what principals required of teachers. Brookover et al. (1979) linked successful principals with behavior expressing common

beliefs concerning appropriate forms of behavior for members of the social system. Wellisch et al. (1978) found that principals of effective schools exhibited a consistent philosophy and point of view about instruction, communicable to teachers through regular review and discussion of staff performance. Setting standards of performance constituted one set of exhibited behaviors.

Clark et al. (1980:470) concluded: "Principals tend to affect teachers, teachers affect students." Adkinson (1974) and Matthews (1974) determined that teachers' perceptions of the value principals place on student achievement affect teacher efforts to improve the achievement of students. Austin (1979:12) concluded that principals of effective schools set "higher [than average] expectations for student and teacher performance advancement." Principals working with teachers to set high learning expectations for students comprised a second set of behavior.

The 1979 University of Indiana's Review (quoted by Benjamin, 1981:14) of case studies on exceptionally successful urban schools found that effective principals:

. . . take strong initiative in identifying and articulating goals and priorities for their schools, rather than allowing them to operate by force of habit.

Benjamin (1981) described the behavior of the principal of the successful Garrison School in New York City. This principal coordinated and sequenced programs assimilated within a single framework directed toward school-wide goals.

Clark et al. (1980) identified the principal to be a key person in establishing curricular goals and objectives clearly stated and communicated to teachers, students, and parents. Wellisch et al. (1978) discovered that successful schools had their instructional programs coordinated in respect to content, sequence of objectives, and use of material throughout all grades. A third set of behavior exhibited by principals of effective schools was the coordination and sequencing of school-wide goals and objectives. This set can give specification to standards of performance and expectations: If teachers are performing and students are meeting high expectations set by principals and teachers, students should achieve the school-wide goals and objectives.

Homans (1958:600) defined a norm as ". . . a verbal description of behavior that many members find is valuable for the actual behavior of themselves and others to conform to." The data cited above have posited three sets of principal behaviors: (1) setting performance standards for teachers, (2) setting expectations with teachers for student learning, and (3) sequencing and coordinating school-wide learning goals and objectives for students. One behavior principals exhibit in effective schools is norm setting.

III. PURPOSE

The findings of the literature search indicated what principals do in effective schools: They set norms. The

purpose of this study was to identify how principals of effective schools set norms.

IV. QUESTIONS

The Research Question

The research question was the study's purpose expressed as a question: How do principals set norms in effective schools?

Related Questions

The literature identified specific norms as used in effective schools (Chapter II). Do the schools chosen for this study use these norms--and any others? Related Question 1 was: What norms do these principals use?

Some norms define role expectations (Katz and Kahn, 1966). Do principals set norms partly through delineating the expectations for themselves and for their staffs (that is, role efficiency)? Related Question 2 was: How is the nature of role efficiency related to the research question?

V. ASSUMPTIONS

This study was based on three assumptions:

- (1) There are effective schools--defined by the Dyer model (1972)--where within-school variables can compensate for low SES of students.
- (2) One within-school variable is the influence of the principal.

- (3) Norm setting is one organizational tool used by principals of effective schools.

VI. DESIGN OF STUDY

The design for this study was essentially quasi-experimental. The design consisted of several elements which are described below.

Quasi-Experimental

Campbell and Stanley (1963:1-2) described an "experimental design" as "that portion of research in which variables are manipulated and their effects upon other variables observed." This particular study was "quasi-experimental" because the one independent variable being addressed, that is, principal norm setting, was not manipulated. As a field study, the environment (the configuration of variables influencing student achievement--the dependent variable) could not be controlled. Specifically, the model was: Principal Norm Setting--Teacher Behavior--Student Achievement.

Other Elements

Six abbreviated case studies were conducted in the field. Description--as opposed to statistical treatment--was used to examine norm setting within the framework of the one-shot, ex post facto study design.

VII. METHODOLOGY: SELECTION OF SCHOOLS

The Dyer model (1972), used for the selection of schools, based school effectiveness on the ability of schools to surpass achievement expectations based on SES (Austin, 1979). A project called Tennessee Looks at Its Schools (1981) supplied the data for selection of effective schools. Thirteen schools having the greatest positive discrepancy between predicted and achieved fourth-grade reading scores (Stanford Achievement Tests--May, 1980) formed the selection pool. Three selection criteria--willingness to participate, nomination technique, and length of principal tenure--eliminated seven schools leaving six which were used for this study.

VIII. METHODOLOGY: DATA COLLECTION AND ANALYSIS

Data collection and analysis for each research question are explained below.

The Research Question: How Do Principals Set Norms in Effective Schools?

Principal norm-setting behaviors (n=295) were collected by directly observing principals in situ and by the open-ended question, "How do you set norms?" Teachers were also asked an open-ended question to obtain teacher perceptions of their principals' norm setting (n=151): "How does your principal set norms?"

These norm-setting behaviors collected from principals and teachers were categorized separately into 13 norm-setting techniques. For within-school analysis, any category having four or more behaviors exhibited by each principal was illustrated through examples drawn from the data (Descriptive Notes). With teacher perceptions of principal behavior, this cutoff was three or more behaviors. For among-schools analysis, any category used by at least four schools was considered instrumental in norm setting.

Related Question 1: What Norms Do These Principals Use?

A checklist consisting of 35 norms was developed from the literature on effective schools. These norms--classified into six norm groupings--were analyzed according to commonality of agreement in three ways: within-school, among-schools, and between-groups.

Within-school. A norm grouping was considered used in a school if the principal and at least 70 percent of the teachers agreed on at least two third of those norms.

Among-schools. This analysis compiled the six within-school analyses. If at least four of the six schools agreed on a norm grouping, that grouping was analyzed as occurring among-schools.

Between-groups. Principal agreement on norm groupings were compared with that of teachers. A minimum of four

principals had to agree with at least two thirds of the norms comprising a grouping. Teacher agreement required at least 70 percent of all teachers agreeing on at least two thirds of the norms comprising a grouping.

Related Question 2: How Is the Nature of Role Efficiency
Related to the Research Question?

Supplementary norms exclusive of the Norm Checklist perceived set by the principal were collected through the open-ended question: "What is the relationship between role efficiency and norm setting?" Teacher agreement on two sets of norms was analyzed and compared: supplementary norms and the norm grouping defining a principal's obligations to teachers. These data were synthesized with data recorded through the open-ended question.

IX. LIMITATIONS OF STUDY

1. The small size of the sample (six schools) made possible only limited generalizability that norm setting contributes to principal effectiveness. But the evidence of "casual inference" (Campbell and Stanley, 1963) made further study worthy of address.

2. Design limitations assured that, at best, only strong inferences could be drawn between or among variables (Platt, 1964; Chamberlin, 1965). Principal norm setting affects student achievement through influence on teachers. There may be influences other than norm setting that affect

student achievement, but these were not addressed by this study. Quasi-experimentation in this context was not considered a panacea but as the only available route to the cumulative and refining process toward increasing the body of knowledge known as principal effectiveness.

3. This study limited norm-setting behavior to interaction between principal and teachers and excluded rules and procedures originating in the central office.

X. DEFINITIONS

Below are definitions of terms used in this study.

Commonality of Agreement

Commonality of agreement is the minimum agreement between principal(s) and teachers for a norm to be used in the analysis. The principal and at least 70 percent of the teachers had to agree on a norm for it to be considered as occurring in that school. At least four principal and 70 percent of the teachers had to agree on at least two thirds of norms comprising a grouping for that grouping to be included in the among-schools analysis.

Credit Building

As principals do things for teachers, they build up a bank account of favors owed them (Blumberg and Greenfield, 1980). When principals set a norm, they may call upon this

bank account to get compliance from teachers. The more principals do for teachers, the more norms they can set because they have more credits to draw upon.

Enabler

An enabler is a principal who gets things done in schools. Principals--as enablers--can provide resources that meet teachers' needs.

Norm Compliance

The principal gains a consensus from teachers, who believe their best interests lie in complying with a norm. S/he may have built up enough influence, or credits, which can be drawn upon in seeking compliance.

Normative Distribution of Resources

In this process a principal achieves norm conformity through judiciously rewarding or withholding resources at his disposal.

Norm

A norm is ". . . a verbal description of behavior that many members find is valuable for the actual behavior of themselves and others to conform to" (Homans, 1958:600). According to Katz and Kahn (1966), a norm can define role expectations.

Norm Conformity

This is the process by which the principal influences the few teachers to comply who otherwise would not do so.

Outlier School

An outlier school is a school achieving beyond expectations based on SES factors (Austin, 1979). In this study, an outlier school must have had a positive residual of at least 6.0. The residual is based on a positive discrepancy between expected and achieved reading levels (Stanford Achievement Test, 1980, Grade Four).

Principal Norm Setting

In principal norm setting the principal gets teacher compliance/conformity to: (1) performance standards for teachers; (2) high expectations of teachers for student learning; and (3) student school-wide learning goals and objectives.

Role Efficiency

The reciprocal exchange between principal and teachers based on two sets of expectations (or rights and obligations) is role efficiency. The principal expects that teachers will comply to norms defining professional behavior. Teachers expect their principal to meet their needs-- including those facilitating classroom learning of students.

Resources

Resources refer to any potential source of needs satisfaction for teachers as dispensed by principals. Examples are recommendations, additional teaching materials, and protection from parents.

School Effectiveness

School effectiveness is defined through the Dyer model: the positive discrepancy between a school's predicted student achievement (based on socio-economic factors) and actual achievement. The greater the positive discrepancy, the more effective the school.

XI. ORGANIZATION

This study was organized into five chapters. Below is the format:

- Chapter I Introduction of Study included Introduction, Problem, Purpose, Questions, Assumptions, Design of Study, Methodology: Selection of Schools, Methodology: Data Collections and Analysis, Limitations of Study, Definitions, and Organization
- Chapter II Search of Research Literature
- Chapter III Design and Methodology
- Chapter IV Reporting and Presentation of Data

Chapter V Findings, Conclusions, Implications,
Discussion, Speculations, and Recommen-
dations.

CHAPTER II

SEARCH OF RELATED LITERATURE

I. INTRODUCTION

This study addressed norm setting as one component of principal behavior in effective schools. Norm setting has been defined as (1) performance standards for teachers, (2) principal expectations of teachers for student learning, and (3) sequencing and coordinating student learning goals and objectives. The purpose of the study was to describe--through the case study approach--how principals set norms.

The literature search had three purposes. The first purpose was to indicate that the principals' contributions to effective schools are vital.

The second purpose was to address norm setting as an organizational tool of principals. A search of literature about effective schools was made to identify what specific norm setting behaviors principals in effective schools exhibited. At the same time, inductions were made describing how principals set norms.

These data were then tied to the third purpose of the literature search: an examination of the relationship between norm setting and the role efficiency of principals.

II. "AS IS THE PRINCIPAL . . ."

Introduction

Trump (1972:9) has summarized the general contributions of the principal to school excellence:

Although teacher militance and student activism are effecting some changes in school programs, the leadership style, the educational know-how, and the supervisory organizations that principals and their assistants develop continue to be the most potent factors in determining school excellence. We define that excellence as the degree to which learning is more individualized, with each pupil developing his own potential to the maximum; teaching is more professionalized, with the use of sounder methodology; curriculum is more relevant, with more options available; and evaluation is based more on performance in relation to clearly understood purposes. The principal has to take the lead in developing different patterns for teaching and learning in the school.

Shoun et al. (1981) used the research of Brickell (1964), Bockman (1971), Tye (1972), Orlich (1973), Sussman (1977), and others in concluding: "As is the principal, so is the school." The principal has the authority of position and the expertise to synthesize resources with goal achievement of students. A principal must balance administration (skills related to organizational stability) with leadership (skills related to organizational change). The following review of literature addresses the principal's contribution to organizational stability and change.

Organizational Stability

Researchers at the New York State Education Department (School Factors, 1974) concluded that the difference

between a successful and nonsuccessful school (with comparable socio-economic status) was primarily attributable to administrative policies, behaviors, procedures and practices which were controllable at the school level. Clark (1968) stated that the only factor common to effective schools was what the principal required of teachers. Stephens (1974: 41) noted that the reward system was the crucial factor in shaping school behavior:

While emphases may vary from system to system, it appears that the principal may be a crucial determinant of teacher behavior. He is the key character in the drama and he can maintain this role by controlling both rewards and access to those below him.

Hemphill (1962) described the school principalship as a highly strategic position. The principal must deal with the selection, training and supervision of personnel, and the relationship between the school and the community. How the principal perceives problems and what is done about them influence the quality of education received by every child in the school.

The above research has indicated that the principal has the potential--by virtue of the strategic position as school-unit administrator--to control school behavior contributing to organizational stability.

Organizational Change

A second component of the literature addressed the principal's contribution to organizational change through

the roles of educational leader and of change agent. Each role is described below.

Educational leader. Wayson (1971) described an effective principal as an educational leader who takes initiative and responsibility in setting goals and priorities throughout the school. Wynne (1981:371) identified good schools as possessing "coherence" or "pervasive goodness." The principals of these schools were supervisors conceptualizing clear goals and ideas of what constitutes good performance. A major reason for "coherency" was the ability of the principal (or supervisor) to set these goals. Klopff (1972) saw the principal as an educational leader with his/her own philosophy and goals communicable to parents and staff. The principal, with the right management skills, can determine the goals of the school with parents and staff and hold himself/herself accountable for program outcomes. The principal in the role of educational leader setting goals and making himself/herself and the school responsible for their attainment is central to effective schools.

Change agent. Goodlad (1955) asserted that effective change can occur only at the individual school level because it has both an organismic wholeness and community support. The principal is the key figure in any process of educational change because s/he is the designated leader

of the most promising unit for change. Tanner (1976:92) wrote that the Administration and Supervision National Field Task Force on the Improvement and Reform of American Education recommended:

. . . that most significant changes occur in schools either through administrator initiative or at the very least through administrator legitimation. Very few changes of any impact can take place in schools without the involvement of the administrator. Since the unit where the most productive change efforts can be carried out is the individual school, the local administrator, the principal and other administrators with whom he interacts constitute the highest priority target as an entry point in educational reform.

Hemphill et al. (1962) wrote that the rapid social changes, the steady expansion of knowledge, and mounting population pressures have made administrative performance more complex and demanding. Gousha (1976) described the present society as pluralistic and turbulent, demanding administrators who are capable of power-brokerage and highly complex decision-making. Cohen (1981) speculated that most public school classrooms have failed to adapt to the electronic and computer age. Instead of dealing with change and the realities of the present, many teachers and administrators are just refusing to change.

Organizational change is necessary for public education to teach skills relevant to modern society. Much of the literature on educational administration has indicated that a principal's potential in educational leadership makes the principalship a key to school change.

Conclusion

This review of literature has found that the principal has the potential to fulfill school needs for organizational stability and change. Schools must have these contributions from the principalship to be effective. The next section examines norm setting as one behavior that principals exhibit in effective schools.

III. NORM SETTING AS DESCRIBED IN THE LITERATURE

Introduction

In examining norm-setting behavior, a distinction was made between the what and the how. What principals do in setting norms comprises the definition of norm setting. The three components to this definition--accompanied by examples--follow: performance standards for teachers (e.g., individualization of instruction and monitoring of student learning); expectations for student learning (e.g., every child can learn regardless of socio-economic status); and sequencing and coordinating student learning goals and objectives (e.g., by the end of grade three, students should be able to add three double-digit numbers with 80 percent accuracy).

How principals set norms has received less attention. Since the purpose of this section is to distinguish between

the what and the how, examples between the two are appropriate.

A principal sets high expectations of achievement; s/he communicates to the staff that these children can learn--despite low socio-economic status--because school resources are committed to student achievement. This is an example of what principals do in norm setting. A principal's high expectations guide and control teacher behavior: If both teachers and students work hard, student achievement occurs.

Two examples show how principals set norms. One, in exchange for effective teaching, the principal should provide certain resources (such as protection for teachers from parents making invalid accusations, discipline of disruptive students, etc.). Two, the principal can establish the right to enter a teacher's classroom unannounced--provided the principal has proven himself/herself as an instructional leader, or provided that a teacher's incompetence affects the school's overall performance.

The research data below are examined to identify first, what principals do in setting norms, and then, how they do it. What principals do corresponds to any one of the three components of norm setting. Inductions are made referring to how principals set norms.

Principal Norm-Setting Behavior in Effective Schools

Wellisch et al. (1978) contrasted one group of schools successful in raising student achievement with a group of nonsuccessful schools. Their findings identified three behaviors of administrators related to student achievement differentiating successful schools from non-successful ones. The first behavior was the principal's concern for instruction. Principals of successful schools felt strongly about instruction, had definite ideas, and promoted a point of view. The second behavior involved principal-teacher communication about instruction. Schools where teaching performance was regularly reviewed and discussed were significantly more likely to show achievement gains. The third behavior involved the principal's responsibility for instruction. In successful schools, teachers' average estimates of the responsibility assumed by principals were higher than nonsuccessful schools in all three decision-making areas: selecting basic instructional materials, planning programs for the entire school, and evaluating school programs.

In addition to these three administrator behaviors, schools were more likely to show gains in student achievement where instructional programs had program content, sequence of objectives, and use of materials coordinated and planned school-wide by principals and teachers.

One of these behaviors relates to what principals do, and three behaviors relate to how they set norms. The fourth behavior relates to what principals do: They coordinate and sequence their instructional programs. (This behavior corresponds to component three of the definition of norm setting.)

The remaining three behaviors relate to how principals set norms. Behaviors one and three are modeling behavior: By exhibiting a consistent philosophy and point of view about instruction, these principals were using their own behavior to set expectations for teachers. By taking more responsibility for decisions, principals were implying: We do not expect you to do things we cannot take responsibility for. Behavior two relates to principals using their authority of position to hold teachers accountable for standards of performance.

Austin (1979) compiled characteristics of schools with unexpectedly high test scores in reading. In examining the state studies of New York, Pennsylvania, Delaware, and Maryland, Austin (1979:10) indicated that these schools had a "critical mass" of positive factors which, when put together, made a difference. There were two sets of principal behaviors related to norm setting.

The first involved "higher expectations on the part of the principal for student and teacher performance advancement" (1979:10). This behavior corresponds to the

second component of norm setting: The principal communicates learning and behavioral expectations to teachers who communicate them to students.

The second set of principal behaviors observed by Austin (1979:12) was "strong principal participation in the classroom instructional program and in actual teaching." This behavior involved the how of norm setting. Participation in instructional improvement of teachers justified the right of principals to set norms: These principals modeled expected behavior by interacting with teachers in the classrooms.

Weber (1971) identified five factors accounting for the academic success of four inner-city schools. Four of these factors related to what a principal does to set norms.

The first factor was a strong emphasis on reading, relating to the standard of performance component of norm setting: Reading is crucial to student success and should be emphasized in the classrooms. The second factor was high expectations for student learning. This factor corresponded to the second component of norm setting: Principals and teachers must have high expectations of the potential for the inner-city child to succeed (Rist, 1970).

The third and fourth factors reported by Weber (1971) were interrelated: individualism of instruction and careful evaluation of student progress. Individualism of

instruction was a concern for a student's progress and a willingness of the staff to modify each assignment. Careful evaluation of student achievement involved close monitoring at the end of each assignment. These factors were standards of performance established between principal and teachers regarding classroom teacher behavior.

The fifth factor corresponded to how a principal sets norms: that of strong leadership. Three of the four principals personally led reading programs. (The reading program of the fourth school was led by the assistant superintendent.) This leadership behavior approximated modeling: I am here leading and showing, and in return I expect you as teachers to do the same with the children.

Doll (1969) contrasted principals of high-achievement schools with principals of low-achievement schools according to the sources from which principals took cues for administrative behavior. Successful principals took cues from teachers and tried to satisfy their needs. Unsuccessful principals--content to function within the bureaucratic framework--took cues from the central office and seemed afraid to operate on their own lest "someone downtown" (i.e., in the central office) notice.

There were implications in this distinction about how principals set norms. Successful principals were non-rigid, personnel-oriented, as opposed to rigid, hierarchal-oriented. They saw their role as circumventing the central

office, if necessary, to provide the resources and environment most conducive to effective classroom teaching. They moved on their own initiative in matters affecting their faculty.

Specifically, Doll (1969) found that the biggest difference between successful and nonsuccessful principals was that the former backed their teachers on discipline problems. The implication here is that providing a specific resource like student discipline may enable a principal to gain staff compliance in setting norms. (Teachers comply when they perceive that their needs are being met.)

Brookover et al. (1979) were guided by the hypothesis that human beings come to behave in ways others around them expect and define as appropriate. Two high-achieving and two low-achieving schools were examined by Brookover et al. (1979). The norms used by the two high-achieving schools are summarized below.

Time-on-instruction. Time-spent-on-instruction in successful schools involved greater frequency of academic interaction between teachers and students than in unsuccessful schools. The teachers were willing to reinstruct when necessary to insure that the class as a whole had understood a lesson.

Reinforcement. Reinforcement in the successful schools was used in ways conducive to the higher

achievement of students. Students, according to Brookover et al. (1979:127), received quick and appropriate reinforcement after successfully performing a particular task:

If a student performed a task incorrectly he or she was informed by the teacher that the performance was not acceptable. In general, if a student showed improvement in mastery of a particular assignment but had not yet reached an acceptable level of performance, the teacher tended to respond in a manner recognizing the improvement but at the same time made clear to the student that even greater improvement was expected.

Time spent both on instruction and reinforcement were performance standards. Both defined the quality of interaction between teachers and students.

Commitment. Teachers of the successful schools believed their students could achieve at high levels and assumed the responsibility of getting the job done. Teachers expressed the belief that the children could learn, and translated this belief in observable ways to students in the classroom setting.

Grouping. Both successful schools used grouping for reading. They used large numbers of groups (at least five) and coupled them with the relatively high expectations for learning. This method assured that large achievement gaps among groups would be less likely to occur.

Expectations. The grouping in successful schools was related to the commitment and expectation norms. The

students in the slower groups were not written off as victims of socio-economic deprivation. There were no special, remedial classes to which write-offs might be sent. Instead, there were many groups with relatively small differences among them. This grouping procedure facilitated student mobility among groups based upon number of workbooks completed.

Groups were not determined solely on teacher perceptions but also upon objective measures built into curriculum materials. (This aspect was not elucidated upon by the report. However, these objective measures may correspond to the third component of norm setting: school-wide instructional goals and objectives.)

These norms--commitment, groupings, and expectations--correspond to behavioral and philosophical expectations (the second component in norm setting).

Brookover et al. (1979) focused on normative climate between teachers and students. As such, analysis of the principals' part in what they did in setting the above norms would be speculative. However, in describing the principals' roles in the two successful schools, deductions can be made defining how these principals set norms.

One principal assumed the role of educational leader as well as that of administrator. He showed his concern for student achievement by visiting each class approximately thirty times over the school year. He was innovative in

presenting teachers with new programs, techniques, and workshops. He expressed high expectations that students could and should achieve at relatively high levels. He worked closely and shared the responsibility for student achievement with teachers.

The other successful principal indicated that he was proud that his teachers were experienced because he could expect more from them, especially in terms of discipline. He believed that discipline was a necessary condition for student achievement and communicated this both orally and through memos. This principal periodically critiqued teachers by observing them in the classroom; he called teachers into his office to discuss their teaching. Finally, he was supportive of teachers' efforts to improve through their attendance in workshops.

The two successful principals exhibited three behaviors relating to how principals set norms. One, they communicated their belief in student achievement by sharing responsibility for staff improvement with teachers (modeling). Two, they put pressure on their teachers regarding teacher performance in the classroom (authority of position). Three, these principals provided resources for teachers (such as workshops and innovative teaching techniques).

Clark (1968) in Harlem, New York, looked for schools in which the achievement level of the children was

consistently higher than average. The only difference found between the two or three successful schools and non-successful schools was the principal and what s/he required of teachers. Clark did not elucidate on principal behavior used. However, the above statement is consonant with Brookover's finding that successful principals put pressure on teachers.

Clark et al. (1980) identified three behaviors of principals in exceptional schools: (1) these principals set standards of performance for teachers; (2) the attitudes of these principals toward urban education and expectations for school or program success determined their impact (as leaders) on these exceptional schools; and (3) these principals established curricular goals and objectives, clearly communicated to teachers, students and parents.

These behaviors observed by Clark et al. (1980) correspond, respectively, to the three components of the norm-setting definition: performance standards for teachers, principal expectations of teachers for student learning, and coordinating and sequencing student learning goals and objectives.

In addition to what principals did in setting norms, there was one behavior observed by Clark et al. (1980) relating to how principals set norms. Principals of these exceptional schools obtained the financial resources, staff development programs, and parental support, thereby meeting

teacher needs. Implicitly, these principals were able to obtain the staff support enabling them to set norms:

. . . In particular, leaders effect change through their influence on teachers. They motivate and exhort teachers to concentrate on teaching; they obtain political, parental and financial support. Effective leaders are "enablers" (468-469).

Venezky and Winfield (1979) contrasted a successful urban school with an unsuccessful one. Curricular leadership (or achievement orientation) was found to differentiate the behavior of the principal of the successful school from the behavior of the principal of the unsuccessful school.

The former principal exhibited the following behaviors related to curricular leadership. He made clear that his highest priority was reading achievement (an expectation for student learning). His goals were high and specifically stated (e.g., 60 percent of children should read above national grade level).

In addition to curricular leadership, the principal of the successful school exhibited instructional efficiency: He coordinated the instructional program through a single continuum of skills for grades one through five.

What this principal did in setting norms corresponded to norm setting: setting expectations for student learning and coordinating and sequencing the instructional program.

Venezky and Winfield (1979) also described principal behavior implying how he set norms. This principal reviewed student progress periodically. He inquired when

slower than expected reading rates were observed. (Here was the principal using his position to exert pressure on teachers.) Two, this principal took direct responsibility by personally directing the reading program. By interacting with teachers, he indirectly set performance standards for the teachers. (Here was modeling to set norms.) Three, he obtained money resources through federal grants. Four, although under pressure from the district reading supervisor to switch to the city-wide reading program, he resisted this pressure throughout his tenure as principal. (This fourth behavior is consonant with Doll's "cueing the teacher needs as opposed to central office needs.") These last two behaviors relate to the principal's meeting teacher needs.

The research data hitherto have described what behaviors principals exhibit in setting norms. Deductions, or implications, have been made describing how principals set norms. Case studies often present the latter behavior, if only because they concentrate on one subject. Case studies are also descriptive--as opposed to experimental--and ipso facto are not obligated to prove or disprove a hypothesis.

Levin (1980) described the norm-setting behavior of Bob Schain, principal of Wingate High School, a non-selective school of low SES in Brooklyn, New York, which sends 80 percent of its graduates to college. Schain--

according to Levin (1980:15)--had a "consistent educational philosophy so that things that happened had substance." "We tell everyone that success is implicit." (This behavior in norm setting corresponds to setting expectations.)

Schain also exhibited behavior describing how he set norms. He set up a variety of school programs both to help teachers and to satisfy the curricular needs of students. Schain took cues more from satisfying teaching needs than from "external" sources. (This behavior is again consonant with Doll's 1969 "cueing from teacher needs.") Levin (1980) described the results of Schain's interactions with the teacher union:

Schain usually was able to find loopholes enabling him to circumvent union claims that Schain was breaking the contract. Loeb [a pro-union teacher at Wingate] went on to say that high morale existed in the school despite Schain-union battles. "I've never seen a union chapter in any other school where teachers patrol the halls voluntarily" (18).

At the same time, Schain set specific standards for teaching performance, and weeded out teachers who had retired on the job. He preferred to train his own corps of fresh college graduates. With teachers, Schain would be forthright (1980:18):

"Too frequently, when a teacher is no good he's palmed off on another school. But at Wingate we don't let him off the hook," says Schain. "Everybody here does his job or he doesn't stay. If you don't perform after all the help we offer, you're out. But there's nothing we wouldn't do for a teacher within our ability."

There is a relationship between the what and the how in norm setting exhibited in Schain's behavior. Schain set both performance standards and expectations with teachers for student learning (corresponding to components one and two of norm setting). Schain set these norms by providing teachers with every resource possible to both better their teaching and meet student needs. In return, he could expect teachers to improve.

Benjamin (1981) wrote a case study about Ms. Grasso, Principal of the Garrison School, the only school in South Bronx, New York, consistently to meet or exceed national achievement standards. Grasso exhibited two behaviors in setting norms. One was a heavy emphasis on reading. [This was similar to the successful principal who was achievement oriented in the studies done by Venezky and Winfield (1979) and Clark et al. (1980).] The other behavior involved coordination and sequencing of an encyclopedic range of programs, services and instructional approaches. All ten compensatory programs were assimilated within a single framework directed toward school-wide goals. (This corresponds to the coordination and sequencing of goals-- component three of the definition.)

How was Grasso able to set norms? The key again is the principal as the resource provider. In return for providing resources, Grasso gained compliance to set norms. As Benjamin wrote (1981:13):

. . . The key ingredient is the way she distributes her resources--human beings and time, not money and books. . . . She is very demanding; she has established a norm in that building.

The 1979 University of Indiana Review (Benjamin, 1981) of exceptionally successful urban schools described principal behavior consistent with the data above. These principals communicated to their staffs that the first priority was instruction (standard of performance). They also set a consistent tone of high expectations for their staffs and their students.

This review described two behaviors enabling principals to set norms--the how. These principals spent about half their time in the schools' halls and classrooms. They were not afraid to work directly with teachers or to demonstrate more effective teaching techniques by taking over classes. They set performance standards through example and through taking responsibility for school-wide behavior (modeling).

These principals also used their authority of position:

They put direct pressure on incompetent teachers to leave, and they find ways to award excellent teachers with greater responsibilities and recognition. Their message is: "This is the way we do things here; if you don't agree with it, don't stay, for you're not going to be happy" (14).

Conclusion

This literature search examined norm-setting behavior exhibited by principals of effective, or successful, schools. These behaviors were categorized into what

cipals did to set norms, and how they set norms. What principals did in setting norms corresponded to these components of behavior: (1) setting standards of performance for teachers, (2) communicating their expectations to teachers for students, and (3) coordinating and sequencing the instructional program into goals and objectives.

Three behaviors were identified describing how principals set norms. One, principals take responsibility for programs and decisions, and interact with teachers in classrooms. Such responsibility and participation approximate modeling behavior leading to principal expectations which teachers should fulfill. Two, principals use their authority of position to pressure teachers to conform to norms, especially those defining performance. Three, these principals provide resources to meet teacher needs; in return, they expect teachers to comply with norms.

Doll (1969), Venezky and Winfield (1979), Brookover et al. (1979), Levin (1980), Clark et al. (1980), and Benjamin (1981) indicated that principals were resource providers. Of these studies, Levin (1980) linked the principal as enabler with the principal pressuring teachers to conform to norms. Levin (1980) implied that an exchange system exists: A principal could establish a right to pressure certain teachers--provided s/he met teacher needs. This exchange system relates to the purpose of the following section of this literature search--the relationship between the principal as enabler and the concept of role efficiency.

IV. PRINCIPAL AS ENABLER AND ROLE EFFICIENCY

Introduction

Three ways were identified describing how these principals set norms: (1) they used modeling by taking responsibility for school decisions and by exhibiting expected behavior through classroom interaction with teachers; (2) they used their position as principal to pressure teachers through classroom visitations and critiquing teacher performance; and (3) as resource providers, or enablers, these principals met teacher needs--thereby establishing an implied obligation for teachers to comply with a principal's norms for teachers. The literature search addresses the last of three norm-setting techniques, and has three purposes: (1) relates the concept of the exchange system to principal as enabler; (2) defines role efficiency in relation to these two concepts; and (3) searches the literature for implications involving role efficiency in norm setting.

The Exchange System

The exchange system described below has implications for how principals set norms with teachers. Malinowski (1932:35) stated that, "the essence of the social relationship . . . is the give-and-take character of the social setting in which people are mutually dependent on one

another." In his studies of the Trobriand Islanders, Malinowski (1932) concluded that a reciprocal principle pervaded tribal life: Villagers exchanged fresh vegetables with the fishermen, who supplied the fish. Malinowski, according to Gouldner (1960:170), implied that people believe:

. . . (a) in the long run the mutual exchange of goods and services will balance out; or (b) if people do not aid those who helped them certain penalties will be imposed upon them; or (c) those whom they have helped can be expected to help them; or (d) some or all of these.

Homans (1958:606) described social behavior as exchange:

Social behavior is an exchange of goods, material goods but also non-material ones, such as symbols of approval or prestige. Persons that give much to others try to get much from them, and persons that get much from others are under pressure to give much to them.

Gouldner (1960) believed this exchange system, or norm of reciprocity, to be a universal norm. He concluded that a reciprocal system of rights and obligations could be observed in several cultures. Groups within the same system shared certain values as to what they expected from others (their "rights") and what was expected from them (their "obligations"). Stability of social systems was derived from the maxim: What is my right is your obligation. There was a "mutually contingent exchange of benefits or contributions" (1960:170).

According to Malinowski (1932), Homans (1958), and Gouldner (1960), there is a sociological basis for a universal exchange system. People exchange services defined through rights and obligations. People in organizations apparently do things because other people will do things for them in return.

Before relating the concept of the exchange system to that of principal as enabler, two terms should be discussed--enabler and resources. Clark et al. (1980) defined a principal as enabler as one who is able to get things done for teachers. Resources, in the context of this study, meant all organizational inputs that a principal has at his/her disposal that could meet the professional and personal needs of teachers: instructional resources, organizational resources (like positive recommendations for performance and decision-making power), time off, etc. These resources essentially are controlled by the principal, since s/he is the designated leader of the school.

In relating the exchange system described above to the school setting, the more a principal can do for teachers--as enabler--the more s/he can expect in return. Crowson and Porter-Gehrie (1981:43) described a norm defining a principal's obligation to teachers:

A fundamental norm of teacher-principal interaction is that of respect for the professional autonomy of the classroom teacher. One of the principal's key roles is the protection he affords the teacher from "outside" interference

and the actions he takes to "back the teacher up" in problematic situations.

The principal provides a resource (here protection from parents) satisfying a teacher need. The more efficient a principal is in obtaining and distributing resources to meet teacher needs, the more a principal can expect in return. As Benjamin (1981:13) wrote to Ms. Grasso, principal of the Garrison School: "The key ingredient is the way she distributes her resources--human beings and time. . . ."

An implication can be drawn among exchange system, enabler, and norm setting. The more efficient a principal is in the role of enabler by satisfying teacher needs, the more s/he can expect in return in the form of norm compliance.

Spuck (1974:18) described the exchange between resources (rewards) and teacher compliance to principal norm setting as follows:

The formal organization may be defined as a system of consciously coordinated activities or forces of two or more persons directed toward the accomplishment of common objectives. This cooperation is not given freely by those participating in the organization, but is exchanged for desired rewards made through participation in the organization. Teachers, as members of a formal organization, exchange their cooperative behaviors for desired rewards offered by and within the school.

The next section discusses the interrelationship of the exchange system, principal as enabler, and norm setting with the concept of role efficiency.

Definition of Role Efficiency

Lipham and Hoeh (1974) discussed role expectations. A school setting has two classes of phenomena. One is the roles and expectations of the institutions that fulfill the goals of the system (normative dimension). The other is the fulfillment of idiosyncratic needs of the individuals comprising the organization (the personal, or idiographic, dimension). "Need-dispositions" is the process by which the requirements of individuals are fulfilled in order to meet the goals of the organization. Role efficiency links the idiographic dimension (needs-dispositions of teachers) with the normative dimension (organizational goals).

Katz and Kahn (1966) described roles as specific forms of behavior associated with a given task: "People are tied together because of the functional interdependence of the roles they play . . ." (1966:30). Because requirements of different roles are interrelated, people performing them are bound together and accept norms about doing a satisfactory job.

Role efficiency for principals is a reciprocal exchange system whereby each role is delineated through sets of expectations, or norms (Katz and Kahn, 1966). Principals meet teacher needs--obligating teachers to comply to norms defining organizational goals. The more teachers perceive their principal meets their needs--or

expectations--the more norms a principal can set defining organizational goals.

Literature Search on Role Efficiency

This search examines the literature for principal behavior related to role efficiency--as defined above--and to norm setting.

Lortie (1975) used normative appropriation of resources in relating teacher needs satisfaction to deference and loyalty paid to their principal:

Our respondents (teachers) stand ready, it seems, to award deference and loyalty to principals who make their authority available to teachers; that authority can help them achieve working conditions which favor classroom achievement and its rewards.

Teachers, according to Lortie (1975), look at the appropriation of a principal's authority in two ways. A principal can use authority to help teachers achieve working conditions favoring classroom achievement of students. Lortie claimed that extrinsic rewards (basically salary) and ancillary rewards (such as summer vacations) were unlikely to affect the effort exerted on the day-to-day basis necessary for effective teaching. Only fulfillment of psychic needs can produce the daily effort necessary for effective teaching. Psychic rewards (satisfying psychic needs) are derived ultimately from student learning and achievement in the classroom.

Teachers, according to Lortie (1975), also expect their principal to use his/her authority in maintaining

teacher autonomy through buffering parental complaints, dealing with troublesome students, and bringing to heel chore-avoiding colleagues. In exchange for these resources provided by the principal, teachers award deference and loyalty to principals (norm compliance).

Sieber (1979) described role efficiency as economy of effort and commitment to established routine. A principal can free teachers from time-consuming clerical responsibilities enabling more classroom teaching time. A principal also can relieve the staff of role ambiguity and operational diffusiveness by establishing specific curricular goals and objectives.

Role efficiency, according to Sieber (1979), implied that a principal can relieve teachers from psychic overload thereby freeing them for classroom teaching. In exchange, the principal can set guidelines (norms) defining the professional enterprise common to all participants.

Bridges (1964) also found that principals met teacher needs by relieving teachers from psychic overload. A principal should solicit teacher opinions on only those matters considered vital to the school's operation. If a principal fails to make certain unilateral decisions marginal to the teachers' work, that principal would be perceived by teachers as not knowing the job, as not being able to make decisions s/he was paid to make. Here role efficiency was

expressed in terms of what decision-making areas were worthy of principal-teacher interaction and which were not.

The California School Effectiveness Study (1977) found that teachers in higher-achieving schools rated their teaching faculties as significantly less influential in a number of decision-making areas than did teachers in lower-achieving schools. At the same time, teachers in higher-achieving schools consistently reported that their principals gave them greater support in instructionally related areas. This behavior is related to role efficiency. These principals of higher-achieving schools provided resources meeting teacher needs, including absolvment from the final responsibility of decision making, leaving teachers free to teach. In return, the principals could expect more from teachers.

Wellisch et al. (1978) provided findings similar to those of the California study (1977). Schools where teachers attributed more responsibility to administrators making decisions in a greater number of areas were significantly more likely to be successful. (Decision areas included selecting basic instructional materials, planning programs for the entire school, and evaluating school programs.) Principals assumed responsibility through promoting a strong, consistent point of view, and through communications with their teachers about evaluation of instructional goals and objectives. Principals took more

responsibility for decisions and teachers were left freer to teach.

Based on the data of Bridges (1964), the California School Effectiveness Study (1977), Wellisch et al. (1978), and Sieber (1979), an exchange was taking place: Teachers were relieved of the psychic stress of decision making and were free to teach. More classroom teaching time satisfied the psychic needs of teachers through increased student achievement. In exchange for meeting teacher needs, principals could expect more from teachers.

Doll (1969) implied role efficiency by describing the sources from which principals take cues for their administrative behavior. Successful schools had principals who took their cues by fulfilling the needs of their teachers. The principals of unsuccessful schools took cues from the central office and were more concerned with keeping a positive image for their schools. Doll (1969) submitted that only the former category of principals were enablers who provided resources for teachers. In fulfilling expectations of their role, principals could expect more from teachers.

Data drawn from Crowson and Porter-Gehrie (1981) illustrated the relationship between role efficiency and norm setting. Andrews, the principal, asked (toward the end of the fall grading period) all new teachers how many grades they had for each student. Andrews cautioned each teacher

that the pupils and their parents in this school were not reluctant to question a grade, and that teachers had better make sure they were covered. Implied here was a reciprocal agreement outlined through role expectations: If the teacher abides by the norm (at least ten grades per student), the principal will protect the teacher from pupils and parents who question the grades. The principal fulfills the role of resource provided by using authority backing teachers in exchange for the norm of ten grades per student.

Crowson and Porter-Gehrie (1981) also found that principals could withdraw a resource if norms were not being followed. An example was cited in which an uncooperative teacher (Mrs. Walker) requested an extended sick leave:

Mrs. Walker enters Mr. Mathews' office [the principal] to ask about a special program that's scheduled for the day. The atmosphere seems strained between the two, and just after Walker leaves Mathews says, "She's mad at me." He goes on to explain that Mrs. Walker was absent on the day before a holiday. She neglected to call her absence in, and therefore received no pay for that day. And, since it occurred just before a break, she also received no salary for the two days of holiday. Mathews says, "She's angry at me, but I'm not going to cover for her. Suppose she got into an auto accident in Kentucky or something, and I'm back here saying 'Oh yeah, she was in'" (42).

The norm in this situation was: Teachers must call in when absent. Because Mrs. Walker failed to do this, Mr. Mathews, the principal, did not reciprocate and provide his resource--

using his position as principal to cover for her and claim she was teaching that day.

Blumberg and Greenfield (1980) referred to the relationship between role efficiency and norm setting. The principal, Fred, believed that the majority of teachers were "wholesomely motivated and had an abiding concern for youngsters" (102). By offering himself as a primary resource for teachers, Fred could achieve his main goal: improving classroom instruction. Fred was a "broker of educational services and instructional resources . . . : 'I'll help you create new settings for yourself, if you'll tell me what your needs are'" (103). The teachers fulfilled their principal's expectation (motivation and concern for youngsters) by articulating their teaching needs. The teachers had the right to expect the principal to furnish available resources. These norms defined an exchange system between principal and teachers:

As you fulfill their expectations, also taking into consideration your own priorities, you build one hell of an alliance with your faculty. You really get them in a corner, so that when the time comes for you to ask them to do something they would not normally do, they'll do it. (111)

The principal meets teacher needs (fulfilling expectations) and builds credits, upon which s/he can draw for norm compliance.

Conclusion

Role efficiency involves exchange between principal and teachers based on what Gouldner (1960:173) has called the norm of reciprocity:

"People will usually help those who help them." Similarly, the norm of reciprocity holds that people should help those who help them and therefore, those whom you have helped have an obligation to help you. The conclusion is clear: if you want to be helped by others you must help them; hence it is not only proper but also expedient to conform with the specific status rights of others and with the general norm.

Role efficiency articulates this exchange system. The more efficient a principal is in meeting teacher expectations--in the role of enabler--the more s/he can expect in return (expressed in norm compliance). This process involves constant interaction between principal and teachers as each organizational unit (principal and teachers) ensures compliance from the other.

V. FINDINGS FROM THE LITERATURE SEARCH

Principals have the potential to contribute to school effectiveness in two ways. Principals can provide organizational stability through their strategic position as school-unit administrator. Two, principals can promote school change by providing appropriate leadership. This potential is so great that a principal's contribution to school effectiveness is vital.

One component of principal behavior exhibited in effective schools is that of norm setting. Principals--in setting norms--have exhibited behavior categorized into three components: (1) setting performance standards for teachers; (2) setting expectations for student learning with teachers; and (3) coordinating and sequencing student goals and objectives.

Inductions can be made from examining principal norm-setting behavior describing how principals set norms: (1) They use modeling; (2) they use their position as principal to pressure teachers; and (3) as enablers they meet teacher needs and expect norm compliance in return.

Role efficiency uses the exchange system to link the principal's role as enabler with norm setting. To the extent that the principal meets teacher role expectations as enabler by satisfying teacher needs, s/he can expect compliance to norms defining professional behavior for teachers.

CHAPTER III

DESIGN AND METHODOLOGY

I. INTRODUCTION

This study focused on the norm-setting behavior of principals in effective schools identified through the Dyer model (Austin, 1979). Chapter III describes the methodology, including the selection of effective schools, and the design in such a way that this study can be replicated.

The selection of effective schools used data from a project called Tennessee Looks at Its Schools (1981) involving: forming the pool of effective schools, the final selection of schools, the contacting of the schools, and the context variables.

The design of this study--essentially quasi-experimental--consisted of several other elements described below. The methodology involved the data collection, validity and reliability, and analysis.

II. FORMING THE POOL OF 13

OUTLIER SCHOOLS

Introduction

In 1979-1980 the State Testing and Evaluation Center at The University of Tennessee, Knoxville, conducted a project--called Tennessee Looks at Its Schools (1981)--

assessing the effectiveness of public schools in Tennessee. This project examined school conditions, programs, and personnel which seemed to correlate with student achievement. Achievement was indexed by performance of the fourth, eighth, and twelfth grades on the Stanford Achievement Test, May, 1980.

The Dyer model (1972) was used to identify schools in this project whose pupils exceeded learning expectations (Austin, 1979). Learning expectations were based on socioeconomic variables, which, according to Coleman et al. (1966) and Jencks et al. (1972), determine student achievement.

A regression analysis based on these variables then predicted student achievement. The discrepancy between a school's predicted performance, based on a regression analysis, and actual performance was interpreted as a measure of its relative effectiveness for the period studied. Schools having the largest positive discrepancy--outlier schools--were chosen for study because socio-economic variables were unable to account for the success of these schools.

This (current) study examined norm setting by principals as one within-school factor contributing to the success of these outlier schools. Below are explained the steps taken by the project to randomly select 98 elementary schools. This (current) study then formed a pool of

outlier schools, whose fourth grade reading scores surpassed expectations based on socio-economic variables.

Stratification

All elementary schools within the State of Tennessee were stratified by size and socio-economic status (SES) variables to prevent over-representation of certain types of communities.

Random Selection of Schools

All schools within each stratum were numbered consecutively. The number of schools drawn randomly from each stratum was based on the numerical proportion between that stratum and the entire set of schools. Ninety-eight schools were randomly selected from among the strata.

Obtaining Predictor Scores

Three sets of questions were used to predict student achievement: socio-economic status, family structure and stability, and parents' expectation for excellence. (Each is described in Appendix A.) The three components--called Home Environment--then were combined to obtain the predicted reading score.

Forming Pool of 13 Outlier Schools

The 98 schools were analyzed according to their residuals in a regression formula. The residual is the difference between the predicted score--based on home environment--and the actual score. Positive residuals

occur when a school exceeds expectations. The standard error of estimate, 5.8--referring to the standard difference among schools between the predicted and observed scores--was then computed. (See Figure 1.)

The final step was to select schools significantly deviating from the regression line. Significant deviation meant that the positive residuals of certain schools were large enough to postulate that factors other than home environment must have contributed to the unexpectedly high achievement. Home environment, that is, was unsuccessful in predicting the reading scores of these schools.

Thirteen schools having residuals at a minimum of +6.0 were chosen (Table 1). This cutoff of 6.0 equated to a standard error of estimate of 1.03, putting these schools in the upper 15 percent of the entire sample of 98 schools.

Conversion into Grade Level Reading Scores

The raw reading scores of these 13 schools were converted into grade-level equivalency. It was expected that the students of outlier schools--regardless of home environment predictor score--should read at least at the state norm. [By definition, outlier schools have been able to overcome--and compensate for--low SES (Weber, 1972).] All 13 schools exceeded the state reading norm for Grade Four (4.9) by at least six months. (See Table 1.) Any of the 13 schools whose fourth grade had failed to read at state norm level would have been eliminated.

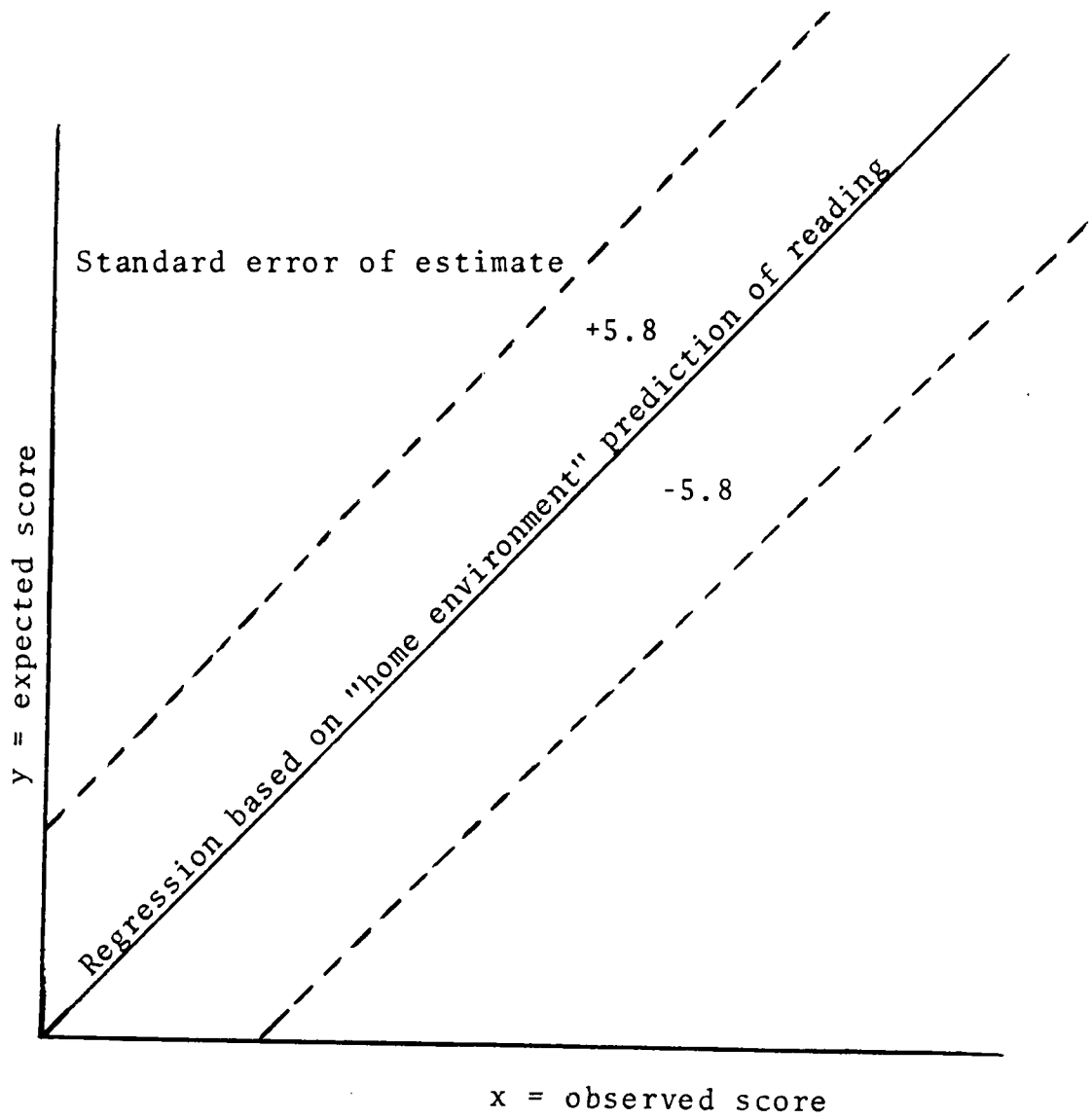


Figure 1

Standard Error of Estimate for
Regression Formula

Table 1

Positive Residuals for Outlier Schools: Grade
Equivalency of Fourth Grade at
Outlier Schools

School	School Number*	Grade Equivalency	Positive Residual
	1	5.9	6.00
	14	5.5	6.01
	20	5.8	8.35
B**	21	5.5	6.76
	33	5.7	8.61
	35	5.8	12.11
A**	39	6.5	10.69
	42	5.8	6.75
E**	64	6.8	6.80
	73	6.4	17.13
F**	85	5.8	8.53
C**	86	6.0	10.39
D**	89	6.3	6.3

*School numbers are descriptors identifying schools from Tennessee Looks at Its Schools (1981).

**Schools used in this (current) study.

Data from the project Tennessee Looks at Its Schools (1981) have been used to form a pool of 13 outlier schools. The next section describes how the six schools were selected out of this pool for this (current) study.

III. SELECTION OF SCHOOLS AND CONTEXT VARIABLES

Selection of Schools

Three criteria were used in making the final selection from the pool of outlier schools chosen in the previous section: "willingness to participate," "nomination technique," and "length of principal tenure." Both the superintendent and principal of these outlier schools were asked if they would like to participate in this study. The "nomination technique" was used in an attempt to eliminate schools merely teaching toward raising reading scores. The superintendent was asked the following question: "Would you support this choice as an effective school?" The third criterion was that a principal had to be in the present position for at least three years. Three years were considered adequate time for the principal-teacher relationship to become conducive for norm setting.

Table 2 included these data and whether the school still existed. (Certain smaller schools had been closed because of school consolidation.) Seven schools were eliminated. The six remaining schools formed the sample for this study.

Table 2

Selection Criteria

School Identifier #	District	Extant?	Willingness to Participate	Nomination Technique	Length of Principal Tenure
14	Davidson Co.	Yes	Yes	No	New Principal
School C* 86	Sullivan Co.	Yes	Yes	Yes	7 Years
13	Clinton City	Yes			New Principal
42	Lauderdale Co.	No			
20	Dyer Co.	Yes	Yes	No	New Principal
School A* 39	Knox Co.	Yes	Yes	Yes	21 Years
33	Jackson Co.	No			
School B* 21	Fentress Co.	Yes	Yes	Yes	4 Years
School F* 85	Kingsport City	Yes	Yes	Yes	4 Years
School E* 64	Putnam Co.	Yes	Yes	Yes	7 Years
School D* 89	Sullivan Co.	Yes	Yes	Yes	23 Years
73	Sevier Co.	No			
35	Jefferson Co.	Yes		No	1 Year

*Schools used in this (current) study.

Context Variables

Table 3 contains a compilation of variables potentially affecting norm setting. An explanation of these variables--referenced by numbered columns--follows below.

Column 1 indicates the percentage of students federally funded under Title I or under the free lunch program. These data give some indication of overall school SES, since both of these programs are indexed to the family SES of students. Column 2 shows the percentage of non-Caucasian students. Since the literature on effective schools has been based on the ghetto (that is, inner-city, Black) model, a racial comparison is appropriate. Columns 3 and 4, respectively, tabulate the number of academic classroom teachers and student enrollment. School size may be a variable affecting norm setting.

Column 5 identifies the principal's position as "supervisory" or "teaching." Both positions may have inherent advantages in setting norms. (For example, a "teaching principal" may be able to model expected classroom behavior better.) Columns 6 and 7--respectively, entrance requirements and busing of students for desegregation--are variables capable of skewing reading scores based on a regression formula predicting student learning. Column 8 indicates district expenditure. Mort (1952) claimed a positive correlation between expenditure and school quality.

Table 3

Comparison of Schools on Selected Context Variables

School	(1) Title I #	(2) Minority #/%	(3) (Includes Title I Resource # Teachers	(4) Students	(5) Is Prin- cipal "Teaching Principal"?	(6) Entrance Require- ments	(7) Is There Busing for Racial Balance?	(8) District Expenditure per Student 1978-1979**	(9) SES
A	34	None	8	200*	No	None	No	1200*	Predominantly lower-middle, blue collar, but also welfare recipients Lower mobility Some urban "gentrification"
B	31	None	8	200*	Yes	None	No	1200*	Lower-middle, blue collar but also welfare recipients Only 4 students have parents who are professionals
C	27	1	16	300*	No	None	No	1300*	Lower and middle class
D	13	1 American Indian	30	600*	No	None	No	1300*	50% professional (Eastman, Meade Corp., physicians- teachers to semi-pro- fessional (druggists/ foremen) Others mostly blue collar
E	None	3 Blacks 20 Indians	24	600*	No	None; but 200-280 parents drive their children to school	No	1100*	Upper-middle class
F	50 on "free lunch"	4% Black 2% Asiatic/ Spanish	18	400*	No	None	No	1900*	28% "skilled" 26% "professional" 13% "managerial" 33% "other"

**Tennessee's average expenditure \$1478 per pupil in ADA for 1978-1979.

*Figures rounded off to nearest 100 to maintain school anonymity.

Source: Basic Facts of School Finance in Tennessee 1979 and 1980
(Tennessee Educational Association Research Bulletin).

Column 9 presents socio-economic descriptors of the populations attending the six schools. (Several researchers, including Coleman et al., 1966, and Mosteller and Moynihan, 1972, have indicated a positive correlation between student achievement and SES.)

The next section describes the contacting of the six schools.

IV. CONTACTING OF SCHOOLS

After an initial introduction to the study by phone, each superintendent of the six school districts was mailed a letter explaining the school selection process and the purpose of the study. The letter also indicated that the researcher would call each principal asking him/her directly if s/he would be willing to participate in the study. During the telephone conversation with each principal, the researcher explained both the purpose of the study and the data collection. The researcher and principal then arranged the appointment for the study. Appointments were scheduled for the researcher to spend three days in each school. The researcher concluded with two remarks. No names of schools or personnel would be divulged [a letter code was used to identify schools (Appendix B).] Also, teachers of each school would receive a letter explaining the purpose of the study, data collection, and the pledge of anonymity.

The remainder of this chapter discusses the design and methodology.

V. DESIGN OF STUDY

Introduction

This study used the quasi-experimental design. Five other descriptors appropriate to the study design also are discussed below.

Quasi-Experimental

The independent variable--norm setting by principals--was not manipulated. Strong inference (Platt, 1964; Chamberlin, 1965) was made that principal norm setting--based on the literature on effective schools--affects student achievement by influencing teachers. Presumably, other within-school influences affect student achievement, but these influences were not addressed by this study. The environment, made up of variables influencing student achievement (the dependent variable), could not be controlled. Experimentation in this context, therefore, was considered an available route towards increasing and refining the body of knowledge known as principal effectiveness.

Ex Post Facto

Kerlinger (1973:379) defined the nature of quasi-experimental design with his description of ex post facto:

Ex post facto research is systematic empirical inquiry in which the scientist does not have direct

control of independent variables because their manifestations have already occurred or because they are inherently not manipulative. Inferences about relations among variables are made, without direct intervention, from concomitant variation of independent and dependent variables.

One-Shot Case Study

Campbell and Stanley (1963:6) defined this term as a "single group studied only once, subsequent to some agent or treatment presumed to cause change." In this study a selected group of principals at least partially accounted for the unexpectedly high achievement scores.

Case Study

The purpose of this study was to identify how principals set norms, not to prove statistical significance. Six abbreviated case studies were used in the field to examine principal norm-setting behavior.

Weber (1971) described this approach as going to a few schools and observing appropriate behavior. The clinical, in-depth approach replaced the statistical approach. Identification of a few sets of behavior supported by the literature replaced the quantitative design (teacher-student ratio, number of library books per student, etc.).

Ethnography

This study used description to provide a context enabling a meaningful interpretation of the data (Fetterman,

1982). For instance, several principals used Authority of Position in setting norms. Examples extracted from the data interpreted and differentiated the use of this technique by these principals.

Field Study

Relatively little research has been done on norm setting in the field of education. (Foskett's work--published in 1967--appears to be one of the first.) This study, therefore used the literature to build a research model to be examined in the field: Principals of effective schools set norms. Comparisons were made between findings in the literature and findings in the field.

The data collection is explained in the following section.

VI. DATA COLLECTION

Introduction

Perceptions of norm setting within organizations are abstruse. (Foskett, 1967, found a mean norm agreement level of only half the respondents.) The use of questionnaires in data collection has been challenged (Chartres, 1964; Erickson, 1967). For these two reasons, several types of instruments were used in this study: the open-ended question, direct observation, a checklist, and a questionnaire. Each instrument is described below.

The Open-Ended Question

The open-ended question technique was used: (1) to collect data on how principals set norms; (2) to identify (supplementary) norms used exclusive of the Norm Checklist; and (3) to record data on the relationship between role efficiency and norm setting. These three questions are specified below.

How do you [principal/your principal] set norms?

In each school the researcher discussed norm setting with the principal--alone in his office--and with a group of teachers selected by the principal. This discussion would continue until the respondents cited principal norm-setting behaviors. At this point the researcher would ask the principal: "How do you set norms?" The principal would specify a set of behaviors. The researcher then would ask: "Could you illustrate the behaviors with specific examples of interactions with teachers?" The same procedure was used with the group of teachers. Responses were recorded on index cards.

Do you use any norms (not included on the Norm Checklist) in this school? Both the principal and teachers--separately--were asked to identify norms used in their school exclusive of the Norm Checklist. (These were called supplementary norms.)

What is the relationship between role efficiency and norm setting? This open-ended question was asked of principals on the third day. The researcher defined role efficiency--as used in Chapter II--and then gave examples from the literature. The open-ended question was asked and the response recorded.

Direct Observation

Principal norm-setting behaviors were collected by directly observing principal-teacher interaction. The researcher shadowed each principal as s/he interacted with teachers in meetings, in corridors, and in classrooms. Behaviors were recorded on index cards.

The Norm Checklist

Norms identified in the literature as occurring in effective schools were compiled on a checklist (Appendix C). Principals and teachers were asked to check norms (n=35) they perceived were occurring in their schools. As these checklists were being distributed, the researcher said: "I'd appreciate it if you [respondents] would speak to me about any questions you might have." (This was done to eliminate as many perceptual problems as possible.)

The Principal Questionnaire

The questionnaire collected data describing principal-teacher interaction, such as number of annual classroom

visitations by the principal.) Questions were extracted from the literature on effective schools (Appendix D). The questionnaires were distributed and collected during the three-day visit by the researcher. The respondents were encouraged to ask the researcher to clarify questionnaire items.

Summary

The open-ended question and direct observation collected 295 norm-setting behaviors from principals. One-hundred and fifty-one similar behaviors were collected from teachers. These behaviors were analyzed to address the research question--How do principals set norms?

The Norm Checklist obtained principal and teacher responses to 35 norms. The analysis of these norms addressed the first related research question--What norms do these principals use?

The open-ended question also elicited principal reactions to the use of role efficiency in norm setting and supplementary norms. These two sets of data were used in addressing the second related research question--the nature of role efficiency related to norm setting.

Data collected from the Principal Questionnaire were compared with principal and teacher perceptions on norm setting.

VII. VALIDITY

Introduction

Herbert and Attridge (1975) identified four types of validity: construct, content, face, and ecological. The application of these types to this study is explained below.

Construct Validity

The four data collection instruments have theoretical and rational support from the literature. Weber (1971), Mintzberg (1979), and Martin and Willower (1981) refer to the case study/direct observation technique in studying principal behavior. MacDonald (1981) supports interviewing as a data collection instrument, used in the open-ended question. (Appendix E contains literature references for the Norm Checklist and Principal Questionnaire.)

Content Validity

There was low observer inference during the recording process of the data collection. [Observer inference is the degree of observer judgment intervening between actual data observed and subsequent coding (Herbert and Attridge, 1975)]. By framing the definition of norm setting inductively through the literature, the researcher could identify behavior appropriate to norm setting. Also, the observer did not analyze in situ principal behaviors. Behaviors were

recorded on index cards by writing down the key words. Analysis occurred after data were collected.

Face Validity

The open-ended question was used to ask principals and teachers directly about norm setting in their schools. A second instrument--the Norm Checklist--was used to ask respondents to check norms that they perceived were occurring. On appearance this study was designed to obtain data on what it purported to measure: norm setting.

Ecological Validity

Introduction. The data collection instruments were pilot tested and field tested.

Pilot testing. Seven graduate students in Educational Administration and Supervision at The University of Tennessee, Knoxville, served as the pilot test group (on whom a data sheet is included, Table 4). There were two purposes for the pilot testing: (1) to screen all questions in the instruments for their clarity and comprehensibility; and (2) to test the applicability of the Norm Checklist.

Items commented upon by interviewees for their lack of clarity or comprehensibility were provisionally reworded. Subsequent interviewees were asked whether the reworded questions were preferable to the originals. Changes in the final draft were made accordingly.

Table 4
Data Sheet on Respondents for Pilot Testing

Respondent #	Age	Sex	Race	Current/Past Positions
1	45	M	Caucasian	elementary, middle, and high school principal; presently full-time student in EA&S.
2	55	F	Caucasian	elementary supervisory principal for past 5 years.
3	47	F	Caucasian	elementary, supervisory principal (K-5).
4	30	M	Caucasian	assistant principal in middle school (6-8).
5	35	M	Caucasian	supervisory principal in high school; presently full-time doctoral student.
6	28	M	Caucasian	supervisory principal in elementary school.
7	30	F	Black	elementary principal for two years; presently awaiting new assignment.

Norms comprising the Norm Checklist were discussed with members of the pilot test group: Were these norms practical and applicable in the school settings of these administrators?

Field test. The data collection instruments were field tested. The major professor first telephoned a principal whom he believed to be amenable to such a procedure. The researcher then called the principal to introduce himself and explain the purpose of the study. The principal and the researcher met for about two hours, during which time the focus of the dissertation (principal norm setting) and the data collection were explained.

The field test--following a schedule (Appendix F)--was conducted. The purpose of the study and the definition of norm setting were communicated to the principal and teachers. The data collection forms and open-ended questions worked: after careful definition and solicitation, both the principal (through interviewing) and the teachers (through a meeting) were able to provide ways that the principal set norms.

The researcher shadowed the principal who was performing administrative tasks. During the three-day period, 35 norm-setting behaviors were collected.

VIII. RELIABILITY

Introduction

A reliability coefficient estimating consistency of instruments as measuring devices was used in three ways: (1) inter-rater (percentage) agreement on norms; (2) validation of norm-setting categories; and (3) validation of norm groupings.

A fourth measure of reliability was generated by cutoffs used in estimating principal norm-setting categories worthy of further description. The four reliability measures are described below.

Inter-Rater (Percentage) Agreement on Norms

Both norms in the checklist and supplementary norms--perceived used by principals--were rated by teachers: Did teachers perceive a norm to occur or not? Seventy percent of the teachers was set as a minimum observer (inter-rater) agreement. A norm then was considered observed consistently enough to be assumed "used" by that principal in norm setting (within-school). Seventy percent of all teachers and two thirds of the principals were used for among-schools and between-groups reliability.

Foskett (1967) found the mean level of norm agreement to be 50 percent. Stephens (1974) indicated that some teachers were not aware of many school norms. Teachers in this study were asked only to mark norms they perceived

were occurring. Possibly, some respondents failed to perceive some norms actually occurring. Given the above, a 70-percent minimum agreement level was robust.

Validation of Norm Categories

Principal norm setting behaviors collected through direct observation and the open-ended question were categorized for analysis. Each category representing a norm-setting technique was conceptualized by descriptors--defined through examples extracted from the data.

The categorization of norm-setting behavior was validated through the use of a jury panel. Members of this panel--two active principals, one former principal and current doctoral student in educational administration, and the major professor--were asked to categorize the collected units of behavior.

A percentage agreement (Frick and Semmel, 1978)--or reliability coefficient--of 80 percent was set as the minimum accuracy with which this panel should categorize behaviors compared with that of the researcher. Through this validation process the original 24 categories of norm-setting techniques were reduced to 13 categories. (Appendix G records this process.)

Each member of the jury panel was asked to read category descriptors (Appendix H). Next he was shown the checklist and blank compilation form. The member read an index card (describing a principal behavior) and categorized

it. Third, there was a trial run. The expert tabulated 20 cards. After each card, the researcher and jury member discussed the selection and clarified any misunderstandings about definitions. Finally, the member categorized a complete set of cards (comprising one school).

This jury panel agreed with 82 percent of categorization done by the researcher, thereby meeting the predetermined reliability coefficient of 80 percent.

Reliability Generated by Cutoff

A category having four or more behaviors exhibited by each principal was illustrated in Descriptive Notes. (Descriptive Notes were comprised of examples of norm-setting behavior extracted from the field data.) Use of cutoffs generated reliability, defined as consistency with which a phenomenon is measured.* Dividing the average number of behaviors collected from each principal (50) by the number of categories (13) yielded an average of 3.8 behaviors per category. The cutoff of four behaviors included categories displaying higher-than-average frequency. In a similar fashion, a cutoff of three

*Collectively, there was a general consistency among three sources: the findings in the literature, and the field-generated data collected from principals and teachers. The literature identified Resource Provider, Authority of Position, and Modeling used in norm setting. Field data collected from principals included these three and Human Relations. Teachers, when asked to identify how their principals set norms, agreed with data collected from principals--excluding Modeling.

behaviors was used for principal behavior collected from teachers.

Validation of Norm Groupings

The 35 norms from the Norm Checklist were classified into a priori groupings for analysis. Three professors of educational administration at The University of Tennessee, Knoxville, were asked to validate these groupings. The reliability coefficient was generated by comparing the classification of norms into groupings by these professors with the a priori groupings. Descriptors of these groupings --defining school roles and expectations--were refined and a grouping was added during this process. All three professors placed 28 of the norms into the a priori grouping (100 percent agreement with a priori groupings). Two of the three professors agreed with the placement of the remaining seven norms. Overall agreement resulted in a reliability coefficient of 93 percent (98 of a possible 105 responses).

IX. ANALYSIS

Introduction

Data were aggregated for analysis in three ways: within-school, among-schools, and between-groups. Within-school refers to analysis of data collected within the six schools. Among-schools compiled the six within-school analyses. Between-groups compared perceptions of

principals (n=6) with those of the teachers (n=98). The three research questions were analyzed separately, discussions of which follow.

The Research Question: How Do Principals Set Norms?

Principal norm-setting behaviors collected separately from principals and teachers were categorized into 13 techniques of norm setting for within-school and among-schools analyses discussed below.

Within-school analysis. Behaviors of norm setting collected from each principal and teachers were categorized and tabulated by frequency. Any category of data collected from principals containing four or more behaviors was illustrated through the Descriptive Notes. These categories were considered exhibited by principals in norm setting. Any category of data collected from teachers containing three or more behaviors was also illustrated. Principals--according to teachers--used these categories in setting norms.

Among-schools analysis. The six within-school analyses of categories of behavior collected from principals were compiled: How many principals--according to the cutoff of four behaviors per category--exhibited each category in setting norms? Any category exhibited by at least four of the six principals was considered instrumental in norm setting. (The cutoff of four principals was used because

it most closely approximates the 70-percent reliability coefficient used in Section VIII of this chapter.)

Related Question 1: What Norms Do These Principals Use?

The 35 norms comprising the Norm Checklist were classified into six groupings for analysis. Commonality of agreement [between principal(s) and teachers] was used for the within-school, among-schools, and between-groups analyses discussed below.

Within-school. A norm grouping was considered present in a school provided the following conditions were met: The principal and at least 70 percent of the teachers had to agree on at least two thirds of those norms.

Among-schools. This analysis compiled the six within-school analyses: How many of the schools agreed on each norm grouping (defined by the commonality of agreement used above)? Any grouping agreed upon by at least four of the six schools was considered used in school settings.

Between-groups. The responses to the norm groupings by the principals and teachers (as groups) were compared: On how many norm groupings did principals and teachers agree? A minimum of four principals and 70 percent of the teachers had to agree on at least two thirds of norms comprising a grouping.

Data from the Principal Questionnaire were analyzed by comparing principal responses with those of teachers. These data then were contrasted--where appropriate--with principal and teacher responses to the norm groupings.

Related Question 2: How Is Role Efficiency Related to the Research Question?

Data collected during this study were analyzed and compared to a model deduced from literature search findings on role efficiency. The findings theorized that role efficiency was related to an exchange system; principals could expect norm compliance from teachers to the extent they met teacher needs. Data from two sources were synthesized: Teacher responses to two sets of norms defining role efficiency and definitions of role efficiency given by principals. Both are described below.

Teacher response to norms. Two sets of norms used in this study defined this exchange system: Supplementary norms perceived set by principals and the norm grouping--from the Norm Checklist--defining a principal's obligations to teachers. If at least 70 percent of the teachers agreed on two thirds of both sets of norms, role efficiency was considered used. The principal would be meeting teacher needs in exchange for compliance to norms he perceived he set.

Principal definitions of role efficiency. Principals had been asked the open-ended question: "What is the relationship between role efficiency and norm setting?" These data were recorded, illustrated through examples extracted from Descriptive Notes, and synthesized with the above analysis of norms.

X. SUMMARY

Six schools were selected through use of the Dyer model for this quasi-experimental collection of abbreviated case studies. There were four data collection instruments: (1) direct observation; (2) the open-ended question; (3) a norm checklist; and (4) a questionnaire. These instruments had construct, face, ecological, and content validity. Three coefficients were used for instrument reliability. Analyses consisted of: (1) categorization of norm setting behaviors with cutoffs determining categories worthy of illustration; (2) groupings and commonality of agreement for norms comprising the Norm Checklist; and (3) a synthesis of data addressing the use of role efficiency in norm setting.

Chapter IV presents the data and their analysis.

CHAPTER IV

PRESENTATION AND ANALYSIS OF THE DATA

I. INTRODUCTION

The Purpose of the Study

This study addressed the norm-setting behavior of principals in effective schools identified through the Dyer model (Austin, 1979). This model defined school effectiveness by positive discrepancies--or residuals--between predicted achievement based on socio-economic factors and actual reading scores. Schools having the greatest positive residuals, as computed by a regression formula, were chosen for this study. Methodologies are explained below.

Selection of Schools

This study used data from the project, Tennessee Looks at Its Schools (1981), conducted by the State Testing and Evaluation Center, The University of Tennessee, Knoxville. Based on Fourth Grade Stanford Achievement Tests, May, 1980, six elementary schools from Tennessee were selected for this study.

Design of Study

The design was the quasi-experimental, "one-shot" field study. The methodology included six abbreviated

case studies using clinical description as opposed to statistical analysis.

Data Collection

The data collection for the three research questions follow.

The research question: How do principals in effective schools set norms? Norm-setting behaviors (n=295) were collected from principals through direct observation and the open-ended question. Principal norm-setting behaviors (n=151) perceived by teachers were collected through the open-ended question.

Related question 1: What norms do these principals use? Norms identified in the literature review as used in effective schools were compiled in checklist form. Principals and teachers checked norms (n=35) that they perceived were occurring in their schools.

Related question 2: How is role efficiency related to the research question? The open-ended question was used (1) to collect norms--exclusive of the Norm Checklist--used by principals, and (2) to collect data describing how principals used role efficiency in norm setting.

Analyses of Data

Brief descriptions of the data analyses used in this chapter follow.

The research question: How do principals in effective schools set norms? Norm-setting behaviors collected from principals and from teachers were categorized separately into 13 ways principals set norms. Data were analyzed within and among-schools. For within-school analysis, any category containing at least four behaviors was considered exhibited consistently enough by each principal to merit illustration by Descriptive Notes. A similar analysis was used for categories of principal behavior collected from teachers--using a cutoff of three behaviors. For among-schools analysis, the six within-school analyses of principal behaviors were compiled: How many of the six principals consistently exhibited each category? Any category exhibited by at least four of the six principals was considered instrumental in norm setting.

Related question 1: What norms do these principals use? The 35 norms comprising the Norm Checklist were classified into six groupings for analysis. Commonality of agreement [between principal(s) and teachers] was used for the within-school, among-schools, and between-groups analyses discussed below. A norm grouping was considered used within-school provided the principal and at least 70 percent of the teachers agreed on at least two thirds of those norms.

The among-schools analysis compiled the six within-school analyses: How many of the schools agreed on each

norm grouping? Any grouping agreed upon by at least four of the six schools was considered used in school settings. For between-groups analysis, responses to norm groupings by principals and teachers (as groups) were compared: How many groupings did principals and teachers agree were being used? A minimum of four principals and 70 percent of the teachers had to agree on at least two thirds of norms comprising a grouping.

Principal responses from the Principal Questionnaire were compared with those of teachers. These data--where appropriate--were contrasted with principal and teacher responses to norm groupings.

Related question 2: How is role efficiency related to the research question? Teacher responses to two sets of norms defining role efficiency were synthesized with data collected from principals on their usage of role efficiency. Principal behaviors relating to role efficiency were extracted from the data.

Table 5 presents a synopsis of these analyses.

Table 5
Research Questions and Analyses

Question	Treatment of Data	Within-School	Among-Schools (Compilation of Within-School)	Between-Groups
The Research Question	Categorization of norm-set- ting behaviors	Cutoffs defining con- sistently exhibited behavior (collected from principals and teachers)	Commonality of agreement (among principals)	
Related Question 1	Classification of norms into six groupings	Commonality of agree- ment (between prin- cipal and teachers)	Commonality of agreement (among schools)	Commonality of agreement (between principal and teachers)/The Principal Question- naire
Related Question 2	Synthesis	1. Teacher agreement to norms defining role efficiency; 2. Principal usage of role efficiency; 3. Principal behaviors extracted from data		

Three analyses were used: within-school, among-schools, and between-groups.

II. THE RESEARCH QUESTION: HOW DO PRINCIPALS OF EFFECTIVE SCHOOLS SET NORMS-- WITHIN-SCHOOL?

Introduction

There were two sets of data collected that described how principals set norms: principal behavior (collected through observation and the open-ended question) and teacher perceptions of principal norm setting (collected through the open-ended question).

These two sets of data were tabulated into 13 categories for analysis. (Appendix I describes each category.) Categories were analyzed by frequency. Each category of principal behavior having four or more units of data was illustrated through specific examples extracted from the data (Descriptive Notes). For teacher perceptions the cutoff was three units of data.

Exceptions to this cutoff were made for the categories Replacement/Transfer of Teachers and Recruitment/Selection of Teachers. Principals did not exhibit these two categories of behaviors. Only during the interviews did principals confidentially refer to these categories. Teachers as a group, when asked how their principal set norms, did not refer to these categories. The decision to illustrate Replacement/Transfer of Teachers in Descriptive Notes depended upon how many teachers, perceived by the principal to be incompetent, were dismissed. The decision to

illustrate Recruitment/Selection of Teachers was based on the nature of each principal's relationship with the central office: Did this principal get the flexibility to recruit and select teachers willing to comply with established school norms?

A frequency table showing the 13 categories of norm-setting behaviors precedes the Descriptive Notes. The Descriptive Notes are divided into the two sets corresponding to the frequency table: principal behavior and teacher perceptions of principal behavior.

A background section prefaces each school's Descriptive Notes. There were two purposes for the background section: (1) to describe any circumstantial factors having direct influence on norm setting in that school; and (2) to address categories whose behavior units were less than the cutoff but nevertheless qualitatively worthy of address.

This within-school analysis for the six schools follows below. Each school--designated A through F--is described separately.

School A

Analysis. Principal A exhibited Resource Provider, Modeling, Authority of Position, Appeal/Persuasion, Replacement/Transfer of Teachers, and Recruitment/Selection of Teachers to setting norms. Teachers perceived that

Principal A used Authority of Position, Human Relations, Resource Provider, and Teacher Peer Pressure (Table 6). Descriptive Notes on these categories follow.

Descriptive Notes: Principal A. (1) Principal behavior. (a) Background. Teacher Decision-Making/Input and Teacher Peer Pressure relating to the concept of the community* school were categories influential in norm setting. Having transferred 15 teachers out of School A, Principal A believed he now had good teachers. Teachers had a vested interest in maintaining the structure of a close-knit, family-community school. This principal had the foresight to let teachers make many decisions. Teacher decisions reinforced the values of hard work, discipline, and "back-to-basics" (already established by the principal), leading to more student social and academic improvement. Teacher efforts in the classroom were rewarded through this student improvement.

Since there was only one teacher per grade, each teacher was very aware of the preceding teacher's performance level. One teacher remarked to the researcher that the preceding teacher had made things hard for her. The latter had given her students grades that were too high (resulting in less

*A community school was characterized by: low mobility (many grandparents had attended same school); rural-village, Caucasian, conservative, blue-collar work ethics; Methodist and Southern Baptist in religious outlook; and traditional values such as "We know right from wrong."

Table 6
Principal Norm Setting: School A

Category	Prin.	Tchs.
Appeal/Persuasion	4	0
Authority of Position	6	7
Human Relations	3	6
Mediator/Manipulator	1	0
Modeling	7	5
Norm Distribution of Resources	1	0
Recruitment/Selection of Teachers	2	0
Replacement/Transfer of Teachers	3	0
Resource Provider	13	6
Teacher as Go-Between	1	0
Teacher Decision-Making/Input	3	1
Teacher Peer Pressure	2	3
Use of Workbook Series	0	0
Total	46	28

Each category shows number of units of principal behavior and teacher perceptions.

To be illustrated in Descriptive Notes, principal behavior must have at least four units and teacher perceptions must have three.

student effort and expectations for higher student grades on behalf of the parents). Teachers pressured each other to avoid grade inflation.

Principal A had observed that "Teachers watch each other," thereby using peer pressure to set the norm: "Teachers work hard with their students." Again, Principal A was aware of teacher peer pressure and let it alone.

Principal A had set norms conducive to a small, family-community school over 20 years and had managed to get good teachers. The nature of this school enabled teacher decision-making and peer pressure to set norms: "Once you get good teachers [in this type of school], the ship sails itself" (Principal A).

(b) Resource Provider. "If a child in the lunchroom doesn't have any food, he talks; if a child doesn't have enough work in the classroom, he makes noise. I make sure the teachers have enough materials." The principal assisted the fourth grade teacher with extra math help by getting a volunteer from a local college. He rearranged the special resource teacher's schedule so that she could work more with the third grade teacher. Principal A said to the music teacher: "If you want to make this field trip, I'll get you the money."

Principal A expected discipline in the school: "Every child must know right from wrong regardless of parental pressure." To set this norm (conducive to the rural,

community-school atmosphere) with the teachers, he supplied the discipline (when necessary).

Principal A also met other teacher needs. He rearranged the resource teacher's schedule to match the schedule of a classroom teacher better. He straightened out with the central office a mix-up over sick days for a teacher. He got a legal injunction against a parent "getting on a teacher's back." Principal A rid the school grounds of high schoolers who were hanging out there. (The teachers had approached the principal about this need.) Principal A also looked out after the teachers' interests by letting them know when parents or central office people were going to visit the school.

Principal A realized that one had to meet teacher needs to expect in return compliance to norms like "Reading is the primary emphasis. . . ." and "We work hard with the students." As this principal said: "I hate to deny any teacher resources, because [providing resources] gets the most out of that teacher."

(c) Modeling. Principal A exhibited through his behavior the norms of a community school. When younger, he used to take students camping in the Smoky Mountains and invited them to help plow his fields. (He lived nearby and was a community figure.)

One norm expressing this community school concept was "We take care of each child as part of the extended family."

Principal A knew specific needs of children and made sure they were met: He helped supply shoes for students of poorer families. To a social worker, Principal A said: "Johnny _____ hasn't had his vaccine shots. Could you check with his teacher?" A new student came in. Principal A knew the child's family name by his face, and immediately sat down with the child and inquired about his family.

Teachers' individualizing instruction through identifying skills levels of individual students was another norm used in School A. Principal A would model this behavior in classrooms for teachers who were not conforming to this norm.

Principal A, through example, was able to set the expectations he had for his teachers. He did not expect any behavior from his teachers that he could not do himself.

(d) Authority of Position. "If I find teachers are not relating to their students on a one-to-one basis, I have to talk with that teacher." To another teacher, who was not passing back assignments to students, Principal A said: "You can't keep doing this or we'll have to go 'downtown' [the central office]." To the music teacher, he said: "I assume you know what you're doing because you've been appointed. If you're wrong a few times, I'll support you, but don't be wrong too often." One norm at School A was:

Discipline was the first priority. "I tell them this the first day on the job," said Principal A.

Principal A communicated his expectations to teachers and sometimes used his position as principal to make sure these expectations were followed.

(e) Replacement/Recruitment of Teachers. This principal had apparently gained a reputation throughout the school system for being demanding of teachers. His demands did not specify how one should teach; he did not consider a teacher's methodology to be within his domain. But he did insist on teachers working hard and caring for the students (both norms). He removed 13 of the 16 teachers when he first arrived because they failed to abide by the two norms stated above. Principal A once called the central office: "I don't want this teacher because she just sits back and lets students do their own thing." (After she had taught at School A for a year, this principal was able to exchange her for another teacher from a surrounding community.)

Principal A described how he had fought with the central office to avoid getting sent a transferred teacher with a county-wide reputation for not giving homework. In the strictest confidence, Principal A believed that: "He'd gotten a county-wide reputation for not putting up with bad teachers." It appeared to Principal A that the central office stopped sending bad teachers or teacher transfers to him because "I would just make trouble."

Principal A claimed, "You can't motivate teachers who don't want to work. You can't change them; you transfer them." "A principal is like a coach, he must know the teachers to recruit and must know how the team plays together."

One of the first norms Principal A set was: "We want our students reading at grade level." He then set other expectations for teachers enabling School A to meet this specified learning goal. He replaced several teachers because they would not conform to such norms.

(f) Summary. Principal A had used Replacement/Transfer of Teachers, Recruitment of Teachers, Authority of Position, and Modeling to set norms reflecting the community school. The norms of discipline in the classroom, working hard with students, identifying skills levels of students, knowing right from wrong inculcated into the school were now set with new teachers through the norm setting of both principal and teachers.

Principal A now used Authority of Position, Resource Provider, and Modeling. In believing he had good teachers, Principal A realized that the size and nature of the community school also made Teacher Peer Pressure and Teacher Decision-Making Input conducive to norm setting.

(2) Teacher perceptions. (a) Authority of Position. "The school is so small that the principal sees and knows all." "The principal made it clear the first day that

reading and discipline were priorities." "The principal told me the first day that he expected I'd do a good job." Principal A apparently did not hesitate to make clear his expectations.

(b) Human Relations. "Our principal doesn't bug us or get on our backs." "There's no pressure working under him." "He's a good listener." "Our principal is a nice man who cares a lot, has values, is concerned." "He doesn't set unattainable norms." Principal A built up credits through empathizing with his teachers and being good to work for.

(c) Modeling. Teachers found themselves "adapting to the personality of their principal." He "reflects community norms of the 'extended rural family.'" The principal "is the father image within the village" (students helped him do haying on his farm). He set the example that school affairs were never discussed within the community. Principal A was perceived to reinforce rural, community norms consonant with the school norms of hard work, caring for students, and discipline.

(d) Resource Provider. Principal A "will always back us in front of a parent" and ". . . doesn't change rules due to parental pressure." "Students sent to the principal for discipline respect, not fear, him." "He runs short meetings." "He gives us good help." Teachers perceived their principal as meeting teacher needs.

(e) Teacher Peer Pressure. Teachers indicated that some norms were set through "socialization among teachers." "Our principal interviews teachers with teacher-set norms in mind." "There's pressure within the staff; our effectiveness is judged by the next grade teacher." Teachers were "aware of grade inflation and pressured other teachers not to grade too high." As a small, community school (with eight teachers), teachers themselves set some norms without interaction with the principal.

School B

Analysis. Table 7 illustrates how Principal B and teachers perceived principal norm setting. Principal B exhibited Human Relations, Resource Provider, Authority of Position, Modeling, Teacher Decision-Making/Input, and Teacher Peer Pressure. Teachers perceived that their principal used Human Relations, Modeling, and Teacher Decision-Making/Input. Descriptive Notes on these categories follow.

Descriptive Notes: Principal B. (1) Principal behavior. (a) Background. School B was a community school with eight teachers. During the first year, Principal B had been an enabler and model for the rest of the school. He and an influential board member (through whose influence Principal B had become principal) had had the building painted. He had taken on extra administrative

Table 7
Principal Norm Setting: School B

Category	Prin.	Tchs.
Appeal/Persuasion	3	2
Authority of Position	4	1
Human Relations	12	8
Mediator/Manipulator	3	2
Modeling	4	3
Normative Distribution of Resources	0	0
Recruitment/Selection of Teachers	1	0
Replacement/Transfer of Teachers	1	1
Resource Provider	10	2
Teacher as Go-Between	1	0
Teacher Decision-Making/Input	4	3
Teacher Peer Pressure	4	1
Use of Workbook Series	0	0
Total	47	23

Each category shows number of units of principal behavior and teacher perceptions.

To be illustrated in Descriptive Notes, principal behavior must have at least four units and teacher perceptions must have three.

duties (although a teaching principal) to try to straighten out what in his words was total chaos. Principal B during that first year had modeled learning expectations for classroom learning for teachers. Four of his students went up four grade levels.

However, Principal B felt he needed the opportunity to get to know the teachers and students better. He therefore decided to be a full-time teacher again for the next two years. During that time, he instilled his positive attitude toward learning and discipline in the younger students.

He again took on the principalship in 1979-1980 with the agreement that certain personnel would be replaced. He had observed that these people hurt the morale of the school. Principal B believed that many old teachers were too "set in their ways," too inflexible, and too insensitive to the needs of students. Three teachers have now left (two requested transfers and one retired early). He worked with the school board member to recruit young teachers who cared about students and who would be sensitive to their needs.

During the next two years, Principal B called conferences among the teachers to open up communication and get the problems out in the open. He encouraged cooperation of all the staff. He also used his Authority of Position: "I don't care about all the infighting; I just want it to stop."

Principal B's personal background was instrumental in how the principal set norms. As a student he had seen other students deprived of educational benefits through neglect from both principals and teachers. He also gained the concept of public service by observing his father (a Baptist minister) helping neighbors. This principal grew up disliking ignorance, which he felt education could eliminate; he believed that if a person had a positive attitude s/he could learn.

The two years Principal B spent as a teacher in this school, the cooperation of the school board member, and his own sense of mission were background factors in Principal B's norm setting.

(b) Resource Provider. Principal B provided protection from parents for his teachers. When asked by teachers "What will we do if a parent comes in?" Principal B said, "Don't worry, I'll take care of it." As one (departing) teacher said to this principal, "There's one thing I have to say about you--you sure stand up for your teachers." Principal B was able to get funds from the P.T.O. Despite opposition, he was able to convince parents to vote for more money for the school.

Discipline while the students waited for the school busses in front of the school had been lax. Principal B organized a safety patrol and assigned children to keep

order. Principal B had improved the clerical maintenance of the school by doing much of it during the first year.

Principal B met some teacher needs merely by straightening out the school (that had been chaotic when he first arrived). In providing organizational stability, he built up credits to set norms like: "Bickering among ourselves can only take away from students." He also provided student discipline, fund raising, and protection from parents.

(c) Human Relations. Principal B believed, "You cannot be dictatorial: It may be harder that way but otherwise, as soon as you've turned your back, they run over the tracks you've just laid." "I do everything in my power to avoid running up against the brick wall and locking horns with someone." Principal B first would get cooperation ("I can't do everything myself") by expecting the best of people: "If a person's a good leader, people will help."

Principal B gained credits in his relationship with teachers by expecting the best in people. These credits helped him set these norms: "Let's hash out problems" and "Bickering among ourselves can only take time away from students."

In setting norms, Principal B showed his expectations through his positive attitude (especially to the younger teachers whom he and the board member had recruited). He was sincerely interested in teacher welfare: "Don't get

disappointed if you don't finish a certain task at a certain time. . . . Keep trying and you'll get there." "Things can get done." "I then keep things flowing among us so we keep believing it." "You must change the teachers' attitudes to make change: I do this by my own attitude--they know I'm committed to making a good school." Constant interaction with teachers enhanced both by the school's small size and by his position (as teaching principal) contributed to Principal B's norm setting.

(d) Modeling. As a teaching principal, Principal B communicated his intensity, zeal, and commitment to his teachers: "The ultimate reward should go to the student, not the principal or teachers." Principal B expected every student could improve because "I work at it 175 days a year hard and I expect teachers to work just as hard." He exhibited this expectation by taking on all the administrative duties and performing in the classroom to show that things could be done (during the first year).

Two norms set in School B were: "We all do our duties/responsibilities so no one else has to do them" and "There's no child in the world who doesn't know it's wrong to tear a book up." Principal B's tangible things he did for the school, plus his hard work and behavior exemplified towards students modeled expectations for teachers.

(e) Teacher Replacement/Recruitment. Principal B had obtained the support of a board member "who knows the

mill" in getting rid of older teachers who did not care anymore (two requested transfers and one retired early).

Principal B said: "I want young, non-tenured teachers more willing to try. I want teachers more idealistic and not set in their ways." The aforementioned board member (who represented School B's district) personally knew these "young teachers," and was instrumental in getting them transferred to School B.

Principal B set norms like "There's always something you can learn out of anything if you have the right attitude," and "We all do our duties/responsibilities so no one else has to do them." He replaced teachers unwilling, or unable, to conform to these norms.

(f) Authority of Position. "Everyone has to take care of classroom discipline or shouldn't be teaching." "Your place is in the classroom--not over the phone gossiping." "If a teacher is not doing the job, I'd rather push him/her to do the right things." Principal B was not above using the authority of his position to set norms when certain teachers were not conforming.

The norm setting of Authority of Position described above addressed how Principal B had changed School B from a school of mediocre reputation to one reputed to be the "best in the county." Now, the nature of the community school, the size of the school (eight teachers), and the principal's position (as teaching principal) enabled

Principal B to assume the role of primus inter pares. As such, Teacher Decision-Making/Input and Teacher Peer Pressure appeared to be instrumental in norm setting.

(g) Teacher Decision-Making/Input. Principal B established the norm of teacher decision-making partly through communicating to teachers "We're all working together" and partly through establishing the impromptu 2:30 P.M. meeting (which any teacher could call). At this meeting teachers divided up duties; the principal was an equal participant. Instead of using memos, any teacher could call a meeting to talk about problems such as scattered paper in the corridors.

The teachers reflected the norms of a community school through working hard and caring for students. Teacher decision-making (facilitated by the impromptu meeting) reinforced the hard work, positive attitude, and caring because they could participate in decision-making. The principal often was just one of the teachers. On one occasion he said to another teacher: "Could you contact a referee for me [for a basketball game]? I often forget."

(h) Teacher Peer Pressure. Principal B said: "If you've got good people with good ideas and give them resources, the good people will reinforce themselves and force others to fall into line or get out." He also stated: "Our school is small enough so new teachers can key off master teachers [in grades one, two, three]."

(i) Summary. Principal B used Modeling, Authority of Position, Human Relations, Replacement of Teacher, and Recruitment/Selection of Teacher to set norms that changed a mediocre school to a school that now exhibited warmth, care and respect for students, and high student achievement (relative to SES). Principal B now had good teachers (who were getting rewarded from students for their efforts). This principal still used Human Relations and Modeling in norm setting. The nature of the community school, enhanced by a good staff enabled Teacher Peer Pressure and Teacher Decision-Making/Input to contribute to norm setting.

(2) Teacher perceptions. (a) Human Relations. Teachers perceived their principal to be "more a fellow teacher than principal." "He corrects you as a friend." "He doesn't dictate." "He's a man who stands for what he believes in" and "He has high expectations of us and we expect high of students." Principal B used a non-authoritarian approach. He preferred to set norms by expecting the best of people.

(b) Teacher Decision-Making. "Let's all choose how to best use our [state-mandated] extra teacher each year." There was "participation in decision-making." "We all assign duties among ourselves." Teachers perceived that School B ran like a communal school, in terms of decision-making.

(c) Modeling. "He operates according to what's best for the child and he's set the example." "He took on a special class (even though it was illegal to do so)." He did not want to help in the bake sale but he did anyway (because of the norm: "We share things that work"). Principal B "practiced [modeled] what he preached" (Human Relations).

School C

Analysis. Principal C exhibited Resource Provider, Human Relations, Appeal/Persuasion, Mediator/Manipulator, and Modeling. Teachers perceived that their principal used Resource Provider, Human Relations, and Normative Distribution of Resources (Table 8). Descriptive Notes on these categories follow.

Descriptive Notes: Principal C. (1) Principal behavior. (a) Background. There were two or three teachers at School C who did not comply to certain norms because, according to some teachers, ". . . conformity would make them work harder." These two or three teachers ". . . were not doing their jobs and everyone knew it." According to teachers, Principal C used Normative Appropriation of Resources and Authority of Position to get conformity from these teachers.

(b) Resource Provider. Principal C provided resources enabling teachers to perform better in the classrooms. He

Table 8
Principal Norm Setting: School C

Category	Prin.	Tchs.
Appeal/Persuasion	5	2
Authority of Position	3	3
Human Relations	6	7
Mediator/Manipulator	5	0
Modeling	5	0
Normative Distribution of Resources	0	4
Recruitment/Selection of Teachers	0	0
Replacement/Transfer of Teachers	1	1
Resource Provider	21	10
Teacher as Go-Between	0	2
Teacher Decision-Making/Input	3	2
Teacher Peer Pressure	2	0
Use of Workbook Series	0	0
Total	51	31

Each category shows number of units of principal behavior and teacher perceptions.

To be illustrated in Descriptive Notes, principal behavior must have at least four units and teacher perceptions must have three.

kept the duplicating machines in good order. He procured a supplementary reading program through fund raising. "There's no such thing as running out of mimeographing paper"--Principal C.

This principal saw to it that substitute teachers were competent. He prescribed that all substitutes not only had to be certified but also qualified by grade level or subject. This helped the regular classroom teacher because an incompetent substitute caused the regular teacher several days' time restructuring classes.

Principal C also supplied highly efficient testing and record-keeping facilities. By using these in pretest-posttest situations, teachers received feedback by seeing quantitative improvement in their students.

This principal spent considerable time as facilitator. He spent a great amount of time the first two days of the research visit coordinating the eye tests to minimize inconvenience to his teachers. (Only one of the two eye test machines worked. There were too many students called out of their classrooms for testing at one time. His efforts enabled the fifth grade pupils to get their early afternoon physical education in.)

Principal C also met teacher expectations by providing discipline for students. In a parental conference the principal backed one teacher who had reported that a student "kept getting up out of his seat." In another conference,

Principal C straightened out a controversy among three boys upsetting the class.

Principal C understood that part of his role was to relieve non-classroom responsibilities from teachers so they could teach. The credits Principal C accumulated through this role enabled him to gain compliance from several teachers for setting the norm: "Teacher pre-planning is essential to effective teaching."

(c) Appeal/Persuasion. Principal C believed that "Norm setting is like selling a product. You have to convince teachers that something is right and good." "As long as you relate norm setting to needs of the child, less competent teachers are trapped. They have to conform because these norms are related to professional standards." At the beginning of each year Principal C said: "Treat students as you'd treat your own children. We'll get the best teaching results that way because students will respect us as they respect their parents" (a school norm). This principal used Appeal/Persuasion in setting norms.

(d) Mediator/Manipulator. Principal C used students as go-betweens to set norms with which teachers would not comply. For instance, the principal had set the norm, "Teachers must not leave their classrooms." The principal casually mentioned this norm to students whom he knew would tell their parents that their teachers repeatedly left

classrooms. The parents put pressure on the teachers to conform to this norm.

Principal C provided materials for teachers to monitor student skills levels. This built up competition among teachers because improving student test scores was perceived by teachers to be a positive reflection of their teaching. Through this manipulation, the norm "Concentrate on basic skills" was enforced.

(e) Modeling. A district staff member observed: "Teachers communicate and relate to one another and to specialists like me because they see that their principal does." Principal C was aware that teachers observed his actions and took cues from them. For example, in the lunchroom, Principal C would say to students: "When we can hear you from the next table, it's too loud" (a norm). (Principal C always sat in back of the lunchroom facing students, where teachers could observe his actions.) In one conference (among teacher, student, and parent), Principal C said: "Tommy, do you understand why you're being punished?" (The norm was: "Students are encouraged to evaluate themselves in terms of what they did [when they misbehave]; this encourages self-learning.") In his daily interactions with teachers, Principal C modeled his behavior by not expecting from his teachers professional behavior he could not exhibit.

(f) Human Relations. Principal C left the teachers alone to teach. He did not impose a teaching style on teachers. He expected results but did not prescribe how to get results.

The teachers observed that Principal C cared for the school first of all. For instance, he always maintained that teachers could call him at any time.

Principal C got along with his teachers and did not appear to be perceived as a dictator. Instead, he appeared to be concerned about his teachers and to be interested in what they were doing.

(g) Summary. Principal C set norms partly through Resource Provider (enabling teachers to meet their classroom needs). Other norm setting involved direct interactions with teachers. He used Appeal/Persuasion by appealing to the educational professional standards of teachers. He expected Teacher Peer Pressure to influence non-complying teachers. Principal C, especially in conferences and in the lunchroom and corridors, used Mediator/Manipulation and Modeling. Lastly, Human Relations enabled this principal to maintain the communicative interactions and credits necessary for some norm setting.

(2) Teacher perceptions. (a) Resource Provider. The teachers saw their principal as supplying the necessary materials and conditions enabling teachers to teach. He was particularly skillful at procuring materials (especially

in reading) and at fulfilling teacher needs in student-parent conferences. (Teacher-perceived norm: "Teachers can bring students [for discipline] before it's absolutely necessary.") The teachers might have best summed up their principal as a Resource Provider when they articulated this norm: "Our job is to teach; everything else is someone else's burden."

(b) Human Relations. "He lets us teach the way we want." "He has empathy." Teachers felt at ease. "He doesn't have an unlisted phone number." Teacher perceptions implied that Principal C maintained good relations with teachers helping to set norms, such as, "No teacher was ever told how to teach."

(c) Normative Appropriation of Resources. The teachers remarked, "Some teachers and the principal don't get along." Two teachers, interviewed individually, posited that "Two or three teachers didn't conform to certain norms, because that would require more work." According to teachers, Principal C withheld resources or chastised these teachers. One teacher did not get the services of the part-time music teacher because she used the lounge and bathroom during class time. Principal C openly criticized another teacher for playing music at the wrong time and not going by the lesson plan book. One teacher added: "He doesn't do these things to teachers he likes." One teacher

stated: "The more I comply, the easier my job is because he'll do more for me."

Principal C used Normative Appropriation of Resources partly to gain conformity from a small group of teachers whom many teachers knew were not doing their jobs.

(d) Authority of Position. Principal C ". . . knows what we're doing and checks up; he visits the classroom and checks to see if teachers are using their lesson plans and teaching schedules." At another time "he just told" the teachers: "You have to substantiate all grades."

School D

Analysis. Principal D exhibited Resource Provider, Human Relations, Authority of Position, Normative Distribution of Resources, and Teacher Decision-Making/Input. Data of teacher perceptions included the categories of Human Relations, Resource Provider, and Teacher Decision-Making/Input (Table 9). Descriptive Notes on these categories follow.

Descriptive Notes: Principal D. (1) Principal behavior. (a) Background. At least three factors influenced norm setting in School D. One, there was an assistant principal responsible for curriculum and instruction.

Table 9
Principal Norm Setting: School D

Category	Prin.	Tchs.
Appeal/Persuasion	1	0
Authority of Position	10	2
Human Relations	12	5
Mediator/Manipulator	1	0
Modeling	1	0
Normative Distribution of Resources	7	0
Recruitment/Selection of Teachers	0	0
Replacement/Transfer of Teachers	0	0
Resource Provider	13	5
Teacher as Go-Between	0	0
Teacher Decision-Making/Input	4	3
Teacher Peer Pressure	2	0
Use of Workbook Series	0	0
Total	51	15

Each category shows number of units of principal behavior and teacher perceptions.

To be illustrated in Descriptive Notes, principal behavior must have at least four units and teacher perceptions must have three.

Two, there was a pod* arrangement at School D. Some teacher perceptions of pod norm setting were: "There's competition among ourselves"; "Unlike other pods, we work best individually because of our personalities"; "Although we work at our own pace, we still watch each other to make sure nobody gets too far behind."

An example of a norm from each pod collected at the teachers' meeting follows.

Kindergarten: "We all teach the same thing at the same time."

Grade One: "If any teacher has any ideas, she shares them the same day."

Grade Two: "We change reading groups among ourselves. We have such a wide range of reading that otherwise it would require five groups per class."

Grade Three: "We have plenty of informal discussions. For instance, we've discussed how many 'A' grades we should give out."

Grade Four: "We're real flexible within our designated scheduling and we can change about because we set a voluntary, non-competitive teaching atmosphere."

*Pod refers to the physical structure having self-contained sections for each grade joined by corridors to the center core of the building.

Grade Five: "We're all so different that each goes his/her own way. Somebody really has to initiate something (like film strips) for us to share together."

Each pod set its own norms. School D was almost six schools in one.

A third factor influencing norm setting was the socio-economic status of the teachers as a group. The following data demonstrate these factors.

1. Eighty percent of the teachers had housemaids;
2. The vocations of the teachers' husbands--there was only one male teacher--were predominantly managerial and professional (managers at Eastman Kodak, business owners);
3. Almost all teachers had master's degrees, several in liberal arts (e.g., English literature);
4. This county had one of the highest SES levels in the state. The learning expectations of the community were influenced by Eastman Kodak and other similar institutions (comprising an extension of the Northeast Corridor).

(b) Resource Provider. Principal D made it a point to be visible to reinforce the school behavioral expectations for students when they passed along corridors. Principal D said to students lining up in the corridor: "Didn't Ms. Z ask you to be quiet?"

Principal D believed that teachers should take personal or sick days whenever they wanted: "These decisions don't affect their classroom performance. When they take their

sickleaves is none of my business." Unlike other principals who might interfere with such matters, this principal met some teacher needs by choosing not to interfere.

Principal D protected teachers from parents. For instance, it was a rule that parents must sign in and wait for their children at the receptionist's desk. A teacher could ask the principal to attend any teacher-parent conference, thereby providing more protection. A teacher also could ask for a conference with the principal at any time to discuss problems.

Principal D saw his responsibility as running the school so teachers could teach. Each incident that arose was systematically dealt with. One child vomited in the classroom. The principal made sure the problem was taken care of. Using the intercom (at the end of the day), he straightened out confusion about mimeograph paper. Principal D announced messages over the intercom only between 8:30 and 8:45 A.M. and at the end of the day.

Principal D provided the resource of discipline. He backed teachers in their discipline problems with students. To one student the principal said, "You know I'm most concerned not with your progress (because we know you'll do better), but with your teacher, Mrs. B. You know she works very hard with you." A procedure was used with children not completing homework: A specified work schedule was sent home to be initialed by the parents.

High SES among parents, teachers, and the community resulted in correspondingly high expectations and standards for learning. Principal D complemented these high expectations and standards in student conferences.

Principal D satisfied a variety of specific teacher needs. Parent volunteers, coordinated by the principal, provided extra classroom tutoring. The principal worked out flexible scheduling to provide free library time for certain students. Principal D used the paddle on students, if the teachers insisted on it. He coordinated fund raising to provide extra money for the school. He politicked with the system maintenance about installing playground equipment.

Principal D did things for the teachers and for the school that teachers expected him to do. In return Principal D was able to expect teacher compliance with certain norms (to be explained below).

(c) Human Relations. Principal D believed that he had a very competent, professional staff. He treated his teachers as professionals and expected the same in return. "I'm just not going to try to jam it down their throats." Students had been spilling food on the lunchroom floor. Instead of making an order over the loudspeaker, this principal said: "Teachers, do try to be a bit more careful about students spilling much food on the floor. I think we can do a lot better." Concerning teaching schedules: "I don't try to regiment the classrooms. The teacher makes out

the schedule and gives it to me at the beginning of the year." And, "In my four years here only one teacher didn't have a lesson plan ready for her substitute. They're professionals; I don't have to always go checking up on them." Regarding the use of lines for students in the corridors, "I only ask that the students be manageable; I don't demand a specific standard."

Principal D always kept his door open, "So teachers feel I'm available at any time. I want them to feel comfortable about discussing problems with me." He also enjoyed talking to teachers in the mornings, "Just to see how they're doing."

(d) Normative Distribution of Resources. This principal had four excellent custodians. One became sick for two weeks. The principal talked the other three into sharing the sick custodian's paycheck. "Don't tell anybody. I don't want the central office to hear about it." Principal D rewarded his three custodians with extra money and avoided having to let his fourth (excellent) custodian go: "Had they not all been good, I'd never taken the risk" (Principal D).

"Some of my 34 staff members are always doing something extra. They don't just go by the book. I go out of my way to see that these teachers get what they want." Principal D dropped in to see the new physical education instructor (about whom he had heard great things). To the instructor:

"Is there anything I can do for you?" The principal gave extra art supplies to a teacher doing good work: "She's enthusiastic, works hard, and volunteers."

On the other hand, Principal D might withhold favors or resources at his disposal if he perceived teachers "weren't cooperating." "I might not supply the necessary discipline for a teacher not cooperating with me." "I might not say my customary 'Hello' in the morning to teachers of a certain pod who are in my disfavor."

(e) Authority of Position. During the first year, there was widespread confusion about rules and regulations because the principals of two merged schools had had different styles. Teachers asked the principal to put the rules in writing. Principal D set some norms specifying teacher responsibilities (like lunchroom and bus duty). These norms specified the behavioral roles of teacher and principal, the fulfillment of which led to efficient procedure on disciplinary matters. One norm specified that teachers were responsible for "discipline and good order in the classroom and in the hall adjacent to the classroom." The responsibility of the administration was to "assist the teacher with discipline . . . by discussing and devising with the teacher . . . unusual behavioral problems." Norms such as these, as opposed to rules from the central office, were set by the principal's Authority of Position: Due to confusion caused by the merger of two schools, the teachers

expected clarification and specification of behavior; the principal expected the teachers to comply.

Three o'clock to 3:30 was a time for planning. It was agreed upon that teachers could only leave "for an emergency" (a norm). Principal D had turned down about seven requests this year because he believed he could not make exceptions.

Parents could make preferences (first and second choices) for teachers they would like their children to have next year; they could also state what teacher they would least prefer. The teachers did not like this norm but when they would confront Principal D, he would say, "Look, I'm not going to change it."

Principal D believed that, "Squabbles between or among teachers of a pod mean that the teachers are not doing their jobs. They really don't have time for squabbles because they're with the students all day." If the squabbles could not be worked out, he started going into the classrooms to find out what was going on.

One school norm was: "Teachers as professionals make many decisions." However, the principal could veto a teacher's decision if in the judgment of the principal, the teachers made a decision contrary to the interests of the child. Principal D said: "Sometimes you have no choice but to tell the teachers the way it should be. Sometimes teachers will take the line of easiest resistance and do something not in the best interest of the students."

There was constant conflict between the school-wide norm ("An exception can always be made, if in the interests of the child") and the pod-based norm ("Teachers make professional decisions"): "The situation is never static; it's always changing. . . . Next week it will be another pod." On the previous Friday, a teacher in Pod X had asked the principal to transfer a child back one grade. Principal D had refused, basing the decision on the previously specified criteria of grades and tests (a norm). The expectations of the teachers from Pod X for their principal had not been fulfilled. They showed their anger by not speaking to him during the week.

Principal D worried that a precedent might be set when he made an exception to a norm. A norm had been set: "Once school begins, we don't transfer students." Principal D made an exception with the request of a teacher from one pod and transferred a student back a grade. Immediately, word spread and other teachers in other pods made similar requests. The principal then used the authority of his position to establish specific, quantitative criteria on which transfers could be made: achievement skills, I.Q. scores, and grades.

The pod system (six schools in one) made Principal D a monitor. Teachers made professional decisions but an exception could always be made to norms and the principal could veto pod decisions (or norms) conflicting with needs of students.

(f) Teacher Decision-Making/Input. Principal D believed that he had an excellent, competent staff. Principal D trusted the teachers to make the right decisions because they were professionals (a norm). Teachers of Pod 2 were concerned about one group of students whose skills were not adequate to enter the next grade. Teachers made the decision to establish a separate class. Principals D went along with the decision.

Principal D would change a norm if teachers were able to convince him: "If a teacher can convince me that she can work with four reading groups [instead of three], then she can have four."

(g) Summary. Principal D appeared perceptive to other influences setting norms (please see Background). He used his role as Resource Provider to attend to the needs of teachers and used Human Relations to build up credits (which he drew on when he assumed the role of monitor) to veto a teacher decision.

Two norms seemed to operate. One, School D's extremely competent staff made most professional decisions within pods. However, in exchange for this right, teachers were obligated to notify the principal of all pending decisions. The principal had the right to override (or veto) teacher decisions if they conflicted with student needs. (As such, his role was rather like a monitor.) The principal's obligation to teachers was that he tie those vetoes

to the learning expectations of an academically-oriented and very aware community. This and the pod system--six schools in one--accounted for the high incidence of Authority of Position and Normative Distribution of Resources that Principal D used.

(2) Teacher perceptions. (a) Resource Provider. Teachers reported that Principal D: "worked at the lunch-room schedule until it functioned smoothly." "He takes care of our needs." "He's excellent at dealing between parents and students."

(b) Human Relations. "Everyone respects him and does things they otherwise wouldn't do." "He's got charisma." "He doesn't play favorites." "He's never dictatorial; he's only raised his voice to teachers once." "He understands our job, and doesn't try to force things on us." Teachers liked that and did things for him in return.

(c) Teacher Decision-Making/Input. Teachers reported that Principal D, "lets teachers decide"; "Teachers are always free to suggest." They also added: "If it's a teacher's idea, he lets the teachers decide." ("If it's his own idea, he's a benevolent dictator.") There appeared to be an exchange system: for allowing teacher decision-making, he expected compliance to norms. School D's pod setup did not appear conducive to school-wide norm setting. Principal D let teachers make many decisions within their own pods. The principal made school-wide decisions, partly

because teachers, due to the pod setup, did not interact with each other or with their principal as a group. He also made school-wide decisions that might otherwise bring community pressure to bear on the school.

School E

Appeal/Persuasion, Resource Provider, Human Relations, Recruitment/Selection of Teachers, and Authority of Position were exhibited by Principal E. Teachers perceived that their principal used Human Relations, Resource Provider, Authority of Position, and Appeal/Persuasion (Table 10). Descriptive Notes on these categories follow.

Descriptive Notes: Principal E. (1) Principal Behavior. (a) Background. School E was a private school within a public school. Parents could voluntarily drive their children to this school even if they lived outside the school zone. School E had to continue to attract volunteer parents (comprising about one third of the total) by maintaining their high quality of service. Otherwise, some parents might decide not to drive their children from points outside the school district. Teachers' jobs would be jeopardized, since personnel positions were governed by the state formula based on student attendance.

In addition, expectations of the entire school community were demanding. Principal E remarked that parental pressure exerted to make school decisions was extremely high. These

Table 10
Principal Norm Setting: School E

Category	Prin.	Tchs.
Appeal/Persuasion	12	4
Authority of Position	4	5
Human Relations	7	8
Mediator/Manipulator	3	0
Modeling	1	0
Normative Distribution of Resources	2	0
Recruitment/Selection of Teachers	5	1
Replacement/Transfer of Teachers	1	1
Resource Provider	10	8
Teacher Go-Between	0	0
Teacher Decision-Making/Input	1	1
Teacher Peer Pressure	3	0
Use of Workbook Series	2	0
Total	50	28

Each category shows number of units of principal behavior and teacher perceptions.

To be illustrated in Descriptive Notes, principal behavior must have at least four units and teacher perceptions must have three.

two factors influenced norm setting between the principal and teachers.

(b) Appeal/Persuasion. Principal E used Persuasion in setting norms by articulating what teacher needs would be met through complying with certain norms. One norm involved voluntary supervision of the car pickup system in the mornings and afternoons. The teachers complained: "Do we have to do this?" Principal E replied: "You're not doing this for my benefit. We've got to do an extra special job to maintain student attendance. You don't think parents drive their children here for the fun of it, do you? We don't want our attendance to go down." (Implied but not said was: Then some teachers would lose their jobs here.)

Another norm underlined the crucial importance of raising funds which went for extra instructional materials. Principal E could set the norm of teacher attendance at PTO meetings because it was in the teachers' interest to do so. (PTO raised funds.) Principal E: "Teachers work hard on fund raising because they know it all goes to them and I let them know this."

Principal E tied the welfare of a new teacher to that of his own: "Please don't disappoint me. If you fail, we've both failed. I've failed because it reflects upon my judgment in hiring you. You've failed because you haven't done your job and haven't helped the school."

Principal E set two norms that protected the staff from parental complaints which, according to the principal, had the potential to get virulent. (Teachers knew that they had high-calibre parents who expected a lot from teachers.) Principal E: "Let's keep files of tests and other grades on a yearly basis to protect ourselves from parental complaints." Another norm was: "Let's be here at 7:45. Then we can supervise children and avoid parental complaints about roughhousing."

Principal E could persuade teachers to comply with certain norms by articulating the advantage that could accrue to teachers. Teachers were not too enthusiastic about leading children to be bussed or picked up by parents, thereby leaving their rooms unattended. Principal: "Let's have one teacher supervise two rooms. I've seen it work before in other schools."

Principal E also said: "After awhile, if you do your homework, teachers will see you have a good 'track record' and will expect you to 'appeal' to them based on your homework." Principal E made sure he always had reasons behind his suggestions. After awhile, teachers expected a principal to set norms because previous norms had worked out. The question of how much homework had become a school controversy. The teachers asked their principal how much they should give: "Give no more than you can correct and pass back in class the next day" (a norm).

Principal E was able to appeal and persuade teachers to comply with certain norms by articulating the advantage accruing to teachers. He also made sure he was prepared to give reasons for setting a norm.

(c) Resource Provider. Principal E believed he had an extremely competent staff: "When your teachers do a great job, you go to the limit and get extras for them." As he said to teachers: "The more materials you have, the more opportunity you have to learn yourselves." (Principal E promoted the annual magazine sale clearing \$21,000 used to purchase teaching materials.)

Principal E provided other resources, other than instructional materials. "Teachers know I'll back them" (as protection against parents). Principal E provided coordination and facilitation of the daily maintenance of the school. He left the office to monitor the kindergarten breakfast break: "Teachers haven't seen much of me the last few days. They need to know I'm concerned with things."

Principal E was aware that he could make things easier for teachers, thereby facilitating their teaching. He checked the enrollment register monthly and corrected mistakes during this check so that "It won't take three days for teachers to check out with the central office in June."

Principal E met teacher needs through public relations with parents. Principal E explained: "Teachers expect the principal to make sure that parents know they're doing a fine job." "We have the best learning resources because we're the best school in the system." "You've got to do a good job and make sure that your clientele knows about it."

Principal E revealed that the first few years at School E were rough. "I had to have the support of the teachers against certain parents [who wanted to run the school] or I'd have gone under." This symbiotic nature of the principal-teacher relationship (especially considering the high expectation level of the parents) helped explain the principal's preoccupation with satisfying teacher needs, because he needed the teachers' support against certain parents.

(d) Human Relations. Principal E believed that he'd gotten the best possible staff together. He therefore perceived that they all had professional standards without his having to set standards for them. "I'd rather not pull rank on them because they'd resent it. Besides, I don't have to because the school's reputation attracts the best teachers." "We don't have lots of rules here. The teachers know their job expectations . . . because they're professionals." With good teachers, Principal E set norms by treating them as professionals and therefore expecting

certain things such as the norm: "We all help each other in instructional efforts."

Principal E was careful to treat his teachers diplomatically: "I'd rather make general comments to teachers in staff meetings than have to get personal with teachers." For example, the principal announced at a meeting: "There have been too many students in corridors. I wish each teacher would take a look at her program and see if it's her students."

Principal E related to his teachers with the assumption that he had good teachers and didn't have to pull rank. His approach to teachers was "diplomatic reminding."

(e) Recruitment/Selection of Teachers. This principal was aware that he had to have good teachers. In fact, he viewed this as his primary role: "No chain is ever better than its weakest link" (referring to his staff).

Principal E was smart enough to avoid getting transfer teachers. This success was partly due to his relationship with the central office (which repeatedly had tried to transfer teachers to School E). To the central office he said: "If I have to answer for a teacher's performance, I want the primary role in determining her selection." "If the school board tried to push a bad teacher on me, they know I'd squeal." Principal E reported that many parents of high SES were quite powerful in the community and, in effect, gave the principal some bargaining power

with both the board and central office. There seemed to be a (covertly) set norm: According to Principal E, the excellent academic record of School E has attracted some of the best teacher candidates, who want to teach in a good school. Principal E had intuition for picking untenured teachers and having few problems with them. The school board and central office let him alone because his track record in choosing candidates had been excellent and because he had the backing of influential parents.

(f) Authority of Position. Principal E stated that there was a real advantage in non-tenured teachers:

"Teachers know they'll be recommended if they do the job."

Principal E checked classrooms the first things each morning and brought it to a teacher's attention if the students were not working. Principal E wanted to know the reasons for teachers' decisions (before the decision was actually made): "I might have to veto it if it goes against interests of the entire school." Principal E gained conformity to certain norms using Authority of Position; these norms in particular defined a teacher's job and best interests of the school, in addition to the norm--"Students should be working in class."

(g) Summary. Principal E and the teachers needed each other. (Principal E: "If I didn't have the support of my teachers, I'd go under.") Principal E provided protection from parents, and provided teaching materials for

teachers. He was able to get good teachers because of the school's reputation and its political standing in the community. He was also able to market the school and to continue to get parents voluntarily to drive their children to School E. Principal E could use Appeal/Persuasion to set norms because of the symbiotic nature between principal and teachers: They needed each other. The teachers in exchange for the above, and because of high parental expectations, complied with norms he set.

The following incident illustrated this dependency between principal and teachers. The norm of homework ("Give no more than you can correct and pass back in class the next day") appeared to work because there were relatively few parental complaints. Relatively few parental complaints implied that parents were satisfied. When parents were satisfied, Principal E and teachers were satisfied.

(2) Teacher perceptions. (a) Resource Provider. Principal E protected teachers from parents: Teachers also mentioned that their principal did not "let the PTO run the school." In addition, teachers reported that, "We make a list of materials and he buys them."

(The principal and teachers agreed that parents had high expectations and put much pressure on the school. That the most resource perceived by teachers was protection from parents was understandable.)

(b) Human Relations. "He's not against anybody in particular." "He uses humor instead of criticism." "He has lots of confidence in us." "He suggests instead of demands." "He visits the classroom everyday but he's not doing it to fuss at you." "We have great freedom to teach."

Teachers appreciated the diplomacy of their principal as he related to them. Principal E drew on these credits when he set the norm: "He expects the building to be kept secure."

(c) Authority of Position. "He knows what you're doing." "He's pretty good at telling you when you're wrong": "He might say, 'That's not expected behavior.'" Teachers agreed that, "Everyone has a say-so but he has final word." (A similar perception was: "He listens to teachers but he doesn't always agree.")

(d) Appeal/Persuasion. "I don't think he ties his rules [norms] to selfish needs; he just wants us teachers to do well"; "He just wants to do the best for the child." "He's not insecure." "We trust him."

Teachers perceived that their principal acted for the school's good and that he had a good track record ("He's as knowledgeable as the teachers"). Teachers implied a readiness to comply with Principal E's Appeal/Persuasion equivalent to the trust he had built up and to how well previous norms has worked out.

School F

Principal F exhibited behaviors of Resource Provider, Human Relations, Teacher Decision-Making/Input, Authority of Position, and Modeling. Teachers perceived their principal used Human Relations, Resource Provider, Authority of Position, and Teacher Decision-Making/Input (Table 11). Descriptive Notes regarding these categories follow.

Descriptive Notes: Principal F. (1) Principal behavior. (a) Background. Two factors influenced the norm setting of Principal F: participatory decision-making and his expertise in reading. Principal F attributed the former to influence of management theory used at nearby Eastman Kodak. Principals were encouraged by the school system to consider teachers as professionals who are capable of solving problems and making decisions as individuals or as a group.

Principal F had received a master's degree in reading. This expertise enabled him to set norms addressing mastery learning through Resource Provider, Modeling, and Human Relations.

(b) Resource Provider. Principal F exhibited behavior in the facilitator role. He freed the teachers from worrying about trivial functions, enabling teachers to put more energy into their jobs. The principal met with salesmen about improving the duplicating machine. He double-

Table 11
Principal Norm Setting: School F

Category	Prin.	Tchs.
Appeal/Persuasion	3	1
Authority of Position	5	3
Human Relations	11	10
Mediator/Manipulator	1	1
Modeling	4	0
Normative Distribution of Resources	0	0
Recruitment/Selection of Teachers	1	1
Replacement/Transfer of Teachers	2	0
Resource Provider	14	7
Teacher as Go-Between	1	0
Teacher Decision-Making/Input	6	3
Teacher Peer Pressure	1	0
Use of Workbook Series	1	0
Total	50	26

Each category shows number of units of principal behavior and teacher perceptions.

To be illustrated in Descriptive Notes, principal behavior must have at least four units and teacher perceptions must have three.

checked lunch money collections, and helped a teacher fill out forms.

He also provided materials requested by teachers. Principal F had a door put in between two classrooms so teachers could exchange students. When told by teachers that "Discipline was bad while students waited and then entered buses," the principal personally went to the cafeteria and maintained discipline.

One norm was: "We never give up on a child." Principal F set up resource teams, (IGE)*, to provide resources: "My role is head of the board and to stand behind the resource teacher who then checks with me if there are any big decisions." By providing resources through IGE, Principal F was setting up an expectation: I've done my part. Now I expect you to do yours. (He was setting the norm: "We want each student to learn according to individual needs by attacking skills level.") The principal also provided support for the teacher against parental complaints: "When it comes to parental complaints, teachers and I are on the same team."

Principal F set some norms by providing resources for them, thus expecting his teachers to do their part.

*Individually Guided Education consisted of a resource team (classroom teacher, principal, learning resource teacher, and special education teacher) which decided on the learning mode--individual, tutorial, small and large group--appropriate for a child.

(c) Teacher Decision-Making/Input. The principal wanted each member of the organization to keep the "monkey off my back." If a teacher had a challenge, the principal wanted the teacher to take the opportunity to work out the problem (a norm). Principal F set this norm by giving the teacher freedom and flexibility in the classroom and by not insisting on prescribed teaching style or conformity to workbooks. Principal F said: "My teachers are professionals and many times they know more than I so they make decisions." The teachers were not pleased with the teacher seating arrangement in the lunchroom. The principal constructed a miniature seating chart so teachers could rearrange their seating positions, thereby quieting down the lunchroom.

Principal F: "We discuss behavioral objectives of the school: 'What can we do to solve noise in corridors?' Some ideas are my own and some are the teachers. We all contribute." Teachers also participated in selecting new teachers.

Principal F firmly believed in participatory decision-making partly because norms and decisions work better when teachers at least contribute to forming and making them. In this way, the norms of mastery learning could be more effectively set (that is, complied with) because teachers contributed in making the decisions.

(d) Human Relations. Principal F did not relate to his teachers as a dictator or authority figure: "I'm not their

great white father." "I never say to a teacher: 'I know it and you don't.'"

Instead, Principal F liked to keep the image of a helper for the teachers. "I'm like a catalyst with teachers who are a catalyst to students." If there's a problem, the principal liked to approach it on a professional basis.

Principal F said that he liked to set up a relationship with teachers so they could see him any time to talk things over. In this way, he could satisfy their needs. "I have to break down walls of communication so I can hear their needs. I don't want my teachers to feel threatened when I walk into the room."

One of Principal F's norms was: "I wouldn't go into a classroom to pull out a child without first talking with the teacher." Another was: "I always make myself available to help you." Principal F was setting expectations. I treat you with professional respect. I can expect you to comply to classroom norms such as "We never give up on a child," and "We grade each child by what he's mastered and not according to grade standard."

(e) Modeling. Principal F "took some heat" from the school system when he first tried to get teachers to bring students beyond grade level. "At that time [late sixties] the norm was to keep students at grade level; otherwise, you'd cause logistical problems and steal the next teacher's thunder." He was able to compromise with the system;

teachers were allowed to go beyond grade level by using supplementary workbooks. Principal F exhibited through his behavior as a risk taker the emphasis he believed should be placed on transcending the traditional programmed instruction by grade. By setting a new norm ("Let's go beyond grade level in reading") when it was not fashionable, he was setting an expectation for his teachers that was similar to the one that his school used now: "We want each student to learn not by class but by identifying what skills s/he lacks and attacking that level."

Another norm expressed by this principal was: "We never give up on a child." Principal F voluntarily learned a program called Individually Guided Education. When a resource team met to discuss a problem child, Principal F participated in meetings. He modeled his expectations for teachers by actively contributing resources as a member in setting up that child's program. (Again was understood: If I can do it, I expect you to do it.)

On Wednesday mornings the principal met with teacher representatives to brainstorm about new curricular ideas and programs for the school. The point was that Principal F actually participated in the discussions along with the teachers. He showed his curricular and learning expectations for teachers through example and active participation.

(f) Authority of Position. "I've heard [through another teacher] that a child was asked to go up and put his nose against the blackboard. This is stripping the child of his dignity. I'll have to talk with this teacher." In this way, Principal F sought conformity to the norm: "We're a friendly school and we treat students with love and respect."

Principal F also used his position to specify the number of "paddle licks" (three) for teachers because otherwise there could be unfavorable publicity and lawsuits.

Another of the principal's norms are: "We don't want the children to be robots; we expect some noise and misbehavior of acceptable level." A teacher commented: "We've gone to the principal and complained about the [high] noise level in the cafeteria but he said: 'It doesn't bother me, . . . they've got to enjoy themselves.'" Principal F used his position to gain conformity to certain norms and to hold the line on others with his teachers.

(h) Summary. Principal F had a master's degree in reading. This knowledge enabled him to do two things. He was able to use his expertise as a Resource Provider (as seen in the IGE) and set expectations for teachers to comply with norms addressing the theory of mastery learning.

Second, he exhibited his expectations for reading by modeling his own behavior as a reading specialist. Teacher Decision-Making/Input (for example in the IGE meeting)

sometimes enabled Principal F to exhibit his modeling primus inter pares. Although he was participating as an equal, two facts made him more than an equal: First, he was the principal (Authority of Position--which he also sometimes used), and second, he exhibited knowledge of mastery learning and reading. He also used Human Relations to maintain the constant interaction necessary to identify teacher needs.

(2) Teacher perceptions. (a) Human Relations. "He leaves us free to teach." "He doesn't push ideas on us"; "In teacher evaluation he says: 'Let me suggest. . . .'" "He listens to us all and comes up with decisions fine to all of us." "He has good rapport; he doesn't dictate to teachers." "Teachers and principal work together." According to teachers, Principal F related to his teachers with an attitude of professional respect: I'm not here to tell you what to do.

(b) Resource Provider. Principal F backed his teachers regarding parental complaints. He also obtained materials: "We're lucky we have so many materials and he gets them." In curricular meetings, "If he doesn't know how to use certain materials, he'll find out." Principal F also kept his teachers informed of central office rules and proceedings. Teachers were satisfied that Principal F met their teaching needs.

(c) Teacher Decision-Making/Input. Principal F participated in curricular meetings "just as a member" (not as the principal). "Teachers, as a committee, decided which texts to use. Even if the school system makes a choice, we don't have to use that set of materials." Teachers perceived that their principal encouraged considerable teacher decision-making/input.

(d) Authority of Position. "If we aren't doing something right, our principal will always express it and ask, 'Why?'" "He's willing to listen but he'll also say, 'Teachers, there has to be a final decision and here it is.'" "If problems continue, there could be drastic action." Teachers perceived that Principal F could pull rank when he thought it necessary.

III. THE RESEARCH QUESTION: HOW DO PRINCIPALS OF EFFECTIVE SCHOOLS SET NORMS-- AMONG-SCHOOLS?

Introduction

This analysis compiled the within-school principal behavior of the previous section by answering the question: "How many principals consistently exhibited each category of norm-setting behavior?" A category exhibited by at least four of the six principals is discussed below through examples extracted from the data.

Analyses

Principals in all six schools exhibited Resource Provider, five principals exhibited Authority of Position and Human Relations, and four principals exhibited Modeling. Teacher perceptions agreed with three of the four categories--the exception being Modeling (Table 12).

Table 13 lists total frequency of units of principal behavior and teacher perceptions for each category. There was a positive relationship between the number of principals using each category (Table 12) and total frequency (Table 13) except for Appeal/Persuasion. This category on Table 13 had 28 units of behavior (more than Modeling which had 22 units). However, Principal E accounted for 12 of those units; the remainder were not distributed so that three other principals surpassed the minimum of four units of behavior.

Categories considered instrumental in norm setting (Resource Provider, Authority of Position, Human Relations, and Modeling) are discussed below. Teacher perceptions of these same categories complement each discussion.

Resource Provider. All principals exhibited this behavior. Principal A said: "I hate to deny any teacher resources because [providing resources] gets the most out of that teacher." Principal F believed that he set the norm involving individualized instruction by heading up

Table 12

Number of Principals Exhibiting Categories
of Norm-Setting Behavior

Category	Prins.	Tchs.
Appeal/Persuasion	3	1
Authority of Position	5	4
Human Relations	5	6
Mediator/Manipulator	1	0
Modeling	4	2
Normative Distribution of Resources	1	1
Recruitment/Selection of Teachers	3	0
Replacement/Transfer of Teachers	2	0
Resource Provider	6	5
Teacher as Go-Between	0	0
Teacher Decision-Making/Input	3	3
Teacher Peer Pressure	1	1
Use of Workbook Series	0	0

Number of principals exhibiting at least four units of behavior per category or teachers perceiving at least three units of behavior per category.

Table 13
Total Frequency for Categories of
Norm-Setting Behavior

Category	Prins.	Tchs.
Appeal/Persuasion	28	10
Authority of Position	32	21
Human Relations	51	44
Mediator/Manipulator	14	3
Modeling	22	8
Normative Distribution of Resources	10	4
Recruitment/Selection of Teachers	11	2
Replacement/Transfer of Teachers	8	3
Resource Provider	81	38
Teacher as Go-Between	3	2
Teacher Decision-Making/Input	18	14
Teacher Peer Pressure	14	4
Use of Workbook Series	3	0
Total	295	151

Total frequency of units of principal behavior and teacher perceptions per category.

resource teams for children encountering learning problems: "I've done my part, now I expect you [teachers] to do yours."

In teacher perceptions, five of the six groups of teachers perceived that their principals used Resource Provider. Teachers, when asked the open-ended question, "How does your principal set norms?" invariably responded: "He does so many, many things for us" (about Principal D); or, "He lets us teach . . ." (about Principal C).

Authority of Position. Five principals exhibited this behavior. Principal A said: "You've got to stop doing this or we'll have to go downtown [central office]." Principals D, E, and F vetoed teacher decisions conflicting with school interests.

In teacher perceptions, four groups of teachers perceived that their principals used Authority of Position. Teachers in general agreed with the veto system of Principals D, E, and F: "He listens to us but he also has the final word" (about Principal D).

Teachers also saw their principals monitoring teacher behavior in another way. "Our principal hears and knows all" (about Principal A); "He knows what we're doing and checks up" (about Principal C).

Human Relations. Five principals exhibited Human Relations. Principal B said: "You cannot be dictatorial: . . . as soon as you've turned your back, they run over the

tracks you've just laid." Principal F confided: "I never say to a teacher: 'I know it and you don't.'"

Principals also used Human Relations in norm setting by expecting professional behavior. About lesson plans, Principal D said: "They [teachers] are professionals; I don't have to go checking up on them." Principal E said: "We don't have lots of rules [norms] here. The teachers know their job expectations because they're professionals."

In teacher perceptions, all six groups of teachers believed their principals set norms through Human Relations. "Our principal doesn't bug us or get on our backs" (about Principal A). "He uses humor instead of criticism" (about Principal E). "Everyone respects him and does things they otherwise wouldn't do" (about Principal D). "He . . . comes up with decisions fine to all of us." Principal B, according to teachers, set norms by expecting the best of people: "He has high expectations of us and we expect high of students." Principals used Human Relations to keep on the good side of teachers: By being good to teachers, they expected norm compliance in return.

Modeling. Four principals exhibited Modeling behavior. Principal A exhibited behavior consonant with expectations of a community school. He took an interest in students by knowing all their names, providing clothing for poorer children, taking them on camping trips, etc. Principal B remarked: "I work hard 180 days a year and I expect my

teachers to do the same." Principal F modeled his expectations for individualized instruction through learning a program on individualized instruction and heading up resource teams.

In teacher perceptions, only two groups of teachers--at both the community schools--perceived that their principals used Modeling. Teachers thought Principal A ". . . reflects community norms of the extended rural family" and they found themselves ". . . adapting to the personality of their principal." Teachers at School B said: "He [their principal] operates according to what's best for the child and he sets the example."

IV. INTRODUCTION TO RELATED QUESTION 1:

WHAT NORMS DO THESE PRINCIPALS USE?

A review of the literature identified 35 norms used in effective schools. These norms were compiled into a checklist. Principals and teachers were asked to check norms they perceived were occurring in their schools. The norms were classified into six groupings whose descriptors defined school roles and expectations. Table 14 shows how the 35 norms were grouped for analysis. The two columns to the right indicate, respectively, how many of the six principals and what percentage of the 98 teachers perceived each norm to occur. (These data will be used in the between-group analysis of norm groupings, Section VII.)

Table 14
Groupings from the Norm Checklist*

Norm Number and Title	Prins. n = 6	Tchs. n = 98
<u>Group One:</u> Norms defining the principal's obligations to teachers		
5. The principal's responsibility is to make the educational environment as conducive as possible to learning in the classroom.	6	80
16. The principal should spend as much time as possible in the classroom helping teachers.	②	22
17. The principal should support teachers even if that means trouble from the central office. Example: No student should get special treatment just because his father is on the board.	6	77
25. The principal should provide as many things as possible to facilitate the attainment of these goals [learning goals].	6	66
27. The principal will back the teacher (example, if parents question grades) if the teachers have sufficient (e.g., 8-10) grades for each student per grading period.	5	87
30. Unless there has been a "major transgression" (like failure to use school norms), it is the principal's responsibility to defend the teacher.	6	73
<u>Group Two:</u> Norms defining teacher behavior as professional educators		
1. Students read during designated periods of the week.	5	68
11. Classroom discipline is the responsibility of that teacher. The principal should be brought in only when absolutely necessary.	6	90
32. Physical punishment should be used only as a last resort.	6	93
33. Teacher planning and curricular improvement are essential to effective teaching.	6	92
34. A teacher's responsibility and commitment extends beyond the official school hours.	6	82
35. Teachers should take advantage of resource persons and teacher centers to help them provide learning paths for all students.	6	89

Norm Number and Title	Prins. & Tchrs.	
	n = 6	n = 98
<u>Group Three:</u> Norms defining school's high expectations for students (among schools)		
3. "We never 'write-off' or give up on a student due to poor family background."	6	92
6. The goals of student achievement are stated in specified, behavioral objectives. Example: by end of grade three, 95 percent of students should be able to get 90 percent correct in word recognition (excluding certified learning disabled).	6	56
7. If students are not learning, it is the school's responsibility to improve learning.	6	73
8. If students are not learning but trying, it is the school's responsibility to improve learning.	6	78
10. The principal and teachers share high expectations for students' learning in that there is always a need for improvement.	6	92
13. Certain student behavior (however specified) is not to be tolerated by either principals or teachers.	6	85
19. "We expect success from our students and we give them immediate praise when they are right."	6	93
20. "Lack of effort by any student is not to be tolerated" (excluding certified learning disabled).	6	68
31. All children shall be maintained in regular programs to the greatest possible extent.	6	87
<u>Group Four:</u> Norms defining how principals affect teachers who affect students		
21. The emphasis a principal places on student achievement affects teachers' performance in classrooms.	6	54
22. The principal can increase a teacher's desire to improve student achievement by setting the model for teacher behavior.	6	54
23. The principal can increase teachers' self-concepts of their ability to improve student achievement.	5	72
26. The principal has defined and identified what good teaching is and communicates this to teachers in the classroom.	5	61

Norm Number and Title	Prins. & Tchrs.	
	n = 6	n = 98
<u>Group Five:</u> Norms defining a principal's authority of position		
12. "Everyone here does the job or does not stay. If you do not perform after all the help we offer, you are out. But there is nothing we would not do for a teacher within our ability."	4	(40)
18. To improve the school, the principal often takes both the initiative and responsibility in making unilateral decisions.	5	70
28. (The principal says): "There is a correct routine for many things in this school. This is exactly the procedure for our reports (of whatever kind)."	4	(67)
<u>Group Six:</u> Norms defining school climate		
2. The principal and teachers establish an atmosphere of discipline and order when students enter and leave the building.	6	95
4. Students should always be told whether their answers are right or wrong.	6	(67)
9. To improve and maintain a proper learning climate, teachers are expected to do certain, specific things. Examples are: A. being on time B. change bulletin boards monthly C. lesson plans	6	94
14. All events should start promptly.	5	(67)
15. "We are here to use as much class time on learning tasks as possible."	6	85
24. Principals and teachers together set behavioral learning goals for students.	6	(58)
29. Let's try to interrupt instructional classroom time as little as possible.	6	79

This table shows how the 35 norms were grouped for analysis.

The data indicate how many of the six principals and what percentage of the 98 teachers perceived each norm to occur within their school.

*Data indicating observer agreement consisting of fewer than four principals or less than 70 percent of teachers were circled.

Norm setting in schools is a product of principal-teacher interaction. A principal, therefore, cannot set norms without a reasonable degree of principal-teacher agreement. Foskett (1967), however, concluded that norms were ambiguous and prone to perceptual problems. Cutoff criteria for agreement (two thirds or 70 percent) compensated accordingly for these problems. That is, some respondents might have failed to perceive norms actually occurring.

The term "commonality of agreement" was used to prescribe minimum agreement level between principal(s) and teachers for a norm or norm grouping to be analyzed in this study. Cutoffs defined the use of this term for the three analyses of norm groupings, synopses of which follow.

Within-School Agreement

The principal and at least 70 percent of the teachers agreeing on at least two thirds of norms within a grouping meant that the principal used that norm grouping.

Among-Schools Agreement

This analysis compiled the within-school data by answering the question: "How many of the schools agreed with each norm grouping?" If at least four of six schools agreed with a norm grouping, the researcher assumed that it was used in school settings, and it was included in the analysis.

Between-Groups Agreement

Responses to norm groupings by principals and teachers (as groups) were compared: How many norm groupings did principals and teachers agree were being used? A minimum of four principals and 70 percent of the teachers had to agree on at least two thirds of norms comprising a grouping, before the norm grouping was included in this study's analysis. These three analyses follow in the next three sections of this chapter.

V. WITHIN-SCHOOL AGREEMENT ON NORM GROUPINGS

Introduction

This section identifies what norms individual principals used in their schools. Table 15 shows the data for Schools A and B. To be concise, only a general descriptor defines each grouping. (Table 14 shows the full descriptor and individual norms comprising each grouping.) The numbers of the norms comprising each grouping were recorded on the two right-hand columns under principals and teachers. Only norms not perceived to occur by the principal or by 70 percent of the teachers were circled. For a norm grouping to be analyzed as used by the school, both principal and teachers had to agree with at least two thirds of the norms comprising that grouping. Within-school analyses of the six schools follow.

Table 15
Within-School Norm Agreement:
Schools A and B

Grouping number	Descriptor	School	Norms perceived by prin.	Norms perceived by tcns.
One	Norms defining: principal's obligations to teachers	A	5/16/17/ 25/27/30	5/16/17/ 25/27/30
		B	5/16/17/ 25/27/30	5/16/17/ 25/27/30
Two	Norms defining: teacher behavior as professional educator	A	1/11/32/ 33/34/35	1/11/32/ 33/34/35
		B	1/11/32/ 33/34/35	1/11/32/ 33/34/35
Three	Norms defining: school's high expectations for students	A	3/6/7/8/ 10/13/19/ 20/31	3/7/8/10/ 10/13/19/ 20/31
		B	3/6/7/8/ 10/13/19/ 20/31	3/6/7/8/ 10/13/19/ 20/31
Four	Norms defining: how principals affect teachers who affect students	A	21/22/23/ 26	21/22/23/ 26
		B	21/22/23/ 26	21/22/23/ 26
Five	Norms defining: a principal's authority of position	A	12/18/28	12/18/28
		B	12/18/28	12/18/28
Six	Norms defining: school climate	A	2/4/9/14/ 15/24/29	2/4/9/14/ 15/24/29
		B	2/4/9/14/ 15/24/29	2/4/9/14/ 15/24/29

For agreement on a norm grouping, the principal and 70 percent of the teachers had to agree on two thirds of the individual norms. A norm circled indicates that norm was not perceived to occur by either principal or teachers.

Analyses

Schools A and B. Table 15 presents the within-school agreement on norms used by Principals A and B. Principal A used all the norm groupings except Group Five (a principal's Authority of Position). That is, principal and teachers agreed that the principal used norms in Groups One through Four and Six.

Principal B and teachers agreed that this principal used all norm groupings. Principal B believed he set all individual norms but number 16 (principal helping teachers in classroom) whereas teachers agreed with all norms except number 18 (principal sometimes uses unilateral decision-making).

Schools C and D. Table 16 presents the within-school agreement on norms used by Principals C and D. Principal C and teachers agreed that this principal used all norm groupings, although teachers failed to agree on eight norms scattered among five groupings. Teachers did not see--among others--student learning norms being set (number 6 and number 24), events starting promptly (number 14), their principal making unilateral decisions (number 18), or two norms defining a school's expectations for students (numbers 7 and 20).

Principal D, despite perceiving he set all norms except number 16 (principal helping teachers in classroom),

Table 16
Within-School Norm Agreement:
Schools C and D

Grouping number	Descriptor	School	Norms perceived by prin.	Norms perceived by tchs.
One	Norms defining: principal's obligations to teachers	C	5/16/17/ 25/27/30	5/16/17/ 25/27/30
		D	5/16/17/ 25/27/30	5/16/17/ 25/27/30
Two	Norms defining: teacher behavior as professional educator	C	1/11/32/ 33/34/35	1/11/32/ 33/34/35
		D	1/11/32/ 33/34/35	1/11/32/ 33/34/35
Three	Norms defining: school's high expectations for students	C	3/6/7/8/ 10/13/19/ 20/31	3/6/7/8/ 10/13/19/ 20/31
		D	3/6/7/8/ 10/13/19/ 20/31	3/6/7/8/ 10/13/19/ 20/31
Four	Norms defining: how principals affect teachers who affect students	C	21/22/23/ 26	21/22/23/ 26
		D	21/22/23/ 26	21/22/23/ 26
Five	Norms defining: a principal's authority of position	C	12/18/28	12/18/28
		D	12/18/28	12/18/28
Six	Norms defining: school climate	C	2/4/9/14/ 15/24/29	2/4/9/14/ 15/24/29
		D	2/4/9/14/ 15/24/29	2/4/9/14/ 15/24/29

For agreement on a norm grouping, the principal and 70 percent of the teachers had to agree on two thirds of the individual norms. A norm circled indicates that norm was not perceived to occur by either principal or teachers.

was able to get teacher agreement only on Groupings Two and Three. Teachers in particular failed to agree on Grouping One (principal's obligations) and Five (principal's Authority of Position).

However, School D had an assistant principal (who agreed with all norms but number 6). Teachers at School D reported that their principal and assistant principal had defined their rules for the teachers: Teachers went to Principal D for student discipline, and to the assistant principal for curricular and instructional help. Therefore, Groupings One and Five could not be analyzed because teachers might have expected the assistant principal to fulfill those norms.

Schools E and F. Table 17 presents the within-school agreement on norms set by Principals E and F. Principal E and teachers agreed on Groupings One, Two, and Three. Teachers failed to agree with their principal that he set Groupings Four (principals affect teachers who affect students) and Six (school climate). Teachers agreed with Grouping Five (Principal's Authority of Position) although the principal did not.

Principal F and teachers agreed with Groupings One, Two, Three, and Six. Teachers failed to agree with their principal that he set Groupings Four (principals affect teachers who affect students) and Five (principal's Authority of Position).

Table 17
Within-School Norm Agreement:
Schools E and F

Grouping number	Descriptor	School	Norms perceived by prin.	Norms perceived by tchs.
One	Norms defining: principal's obligations to teachers	E	5/16/17/ 25/27/30	5/ <u>16</u> /17/ 25/27/30
		F	5/16/17/ 25/27/30	5/ <u>16</u> /17/ 25/27/30
Two	Norms defining: teacher behavior as professional educator	E	1/11/32/ 33/34/35	1/11/32/ 33/34/35
		F	1/11/32/ 33/34/35	1/11/32/ 33/34/35
Three	Norms defining: school's high expectations for students	E	3/6/7/8/ 10/13/19/ 20/31	3/ <u>6</u> /7/8/ 10/13/19/ 20/31
		F	3/6/7/8/ 10/13/19/ 20/31	3/ <u>6</u> /7/8/ 10/13/19/ <u>20</u> /31
Four	Norms defining: how principals affect teachers who affect students	E	21/22/23/ 26	<u>21</u> / <u>22</u> /23/ <u>26</u>
		F	21/22/23/ 26	<u>21</u> / <u>22</u> /23/ 26
Five	Norms defining: a principal's authority of position	E	<u>12</u> /18/ <u>28</u>	<u>12</u> /18/28
		F	12/ <u>18</u> /28	<u>12</u> /18/ <u>28</u>
Six	Norms defining: school climate	E	2/4/9/14/ 15/24/29	2/ <u>4</u> /9/14/ 15/ <u>24</u> / <u>29</u>
		F	2/4/9/14/ 15/24/29	2/ <u>4</u> /9/ <u>14</u> / 15/24/29

For agreement on a norm grouping, the principal and 70 percent of the teachers had to agree on two thirds of the individual norms. A norm circled indicates that norm was not perceived to occur by either principal or teachers.

Summary. Table 18 presents the summarized data for within-school norm setting. Schools B and C had principal-teacher agreement for all norm groupings, School A had agreement on Five, School F on Four, and Schools E and D on Three and Two Groupings, respectively.

VI. AMONG-SCHOOLS AGREEMENT ON NORM GROUPINGS

Introduction

This analysis compiled how many schools used each norm grouping.

Analysis

Both the principal and teachers had to agree on at least two thirds of the norms for that norm grouping to be considered in the within-school analyses. The schools agreeing on each norm grouping were combined to get among-schools agreement. Table 19 presents these data.

Groupings Two (teacher behavior as professional educators) and Three (school's high expectations for students) had the agreement of all six schools, and Grouping One (principal's obligations to teachers) had the agreement of five schools. Grouping Six (school climate) had four schools in agreement, whereas Groupings Four and Five had agreements of three and two schools, respectively. By commonality of agreement, Groupings One, Two, Three, and Six were used among-schools.

Table 18
Summary of Within-School Norm Grouping Data

Grouping Descriptor		Schools												Total	Rankings
		A		B		C		D		E		F			
		1*	2#	1	2	1	2	1	2	1	2	1	2		
One	Norms defining: principal's obligations to teachers	X	X	X	X	X	X	**		X	X	X	X	5	3
Two	Norm defining: teacher behavior as professional educator	X	X	X	X	X	X	X	X	X	X	X	X	6	1
Three	Norms defining: school's high expectations for students	X	X	X	X	X	X	X	X	X	X	X	X	6	1
Four	Norms defining: how principals affect teachers who affect students	X	X	X	X	X	X	**		X		X		2	6
Five	Norms defining: a principal's authority of position			X	X	X	X	X		X	X			3	5
Six	Norms defining: school climate	X	X	X	X	X	X	X		X		X	X	4	4

*1 = principal; #2 = teachers

X = principal or 70 percent of teachers agreed that norm grouping was used.

** = grouping could not be analyzed because of assistant principal.

Table 19
Summary of Among-Schools Norm Grouping Data

Grouping Descriptor		Schools												Total	Rankings
		A		B		C		D		E		F			
		1*	2#	1	2	1	2	1	2	1	2	1	2		
One	Norms defining: principal's obligations to teachers	X	X	X	X	X	X	**		X	X	X	X	5	3
Two	Norm defining: teacher behavior as professional educator	X	X	X	X	X	X	X	X	X	X	X	X	6	1
Three	Norms defining: school's high expectations for students	X	X	X	X	X	X	X	X	X	X	X	X	6	1
Four	Norms defining: how principals affect teachers who affect students	X	X	X	X	X	X	**		X		X		3	5
Five	Norms defining: a principal's authorith of position			X	X	X	X	X		X	X			2	6
Six	Norms defining: school climate	X	X	X	X	X	X	X		X		X	X	4	4

*1 = principal; #2 = teachers

X = principal or 70 percent of teachers agreed that norm grouping was used.

** = grouping could not be analyzed because of assistant principal.

VII. BETWEEN-GROUPS (PRINCIPALS AND TEACHERS)

AGREEMENT ON NORM GROUPINGS

Introduction

This analysis compared principals and teachers as groups: At least four of the six principals and 70 percent of teachers had to agree on at least two thirds of the norms for there to be commonality of agreement. The two right-hand columns of Table 14 (pp. 148-150) show principal and teacher agreement. Norms on which principals or teachers failed to agree were circled. Each grouping was analyzed separately and follows below. Table 20 summarizes these data.

Grouping One: Principal's Obligations to Teachers

Principals and teachers both agree with this grouping. Principals agreed with all norms but number 16 (principals helping teachers in the classroom). Teachers failed to agree with numbers 16 and 25 (principal should provide as much as possible for attainment of learning goals set by both principal and teachers).

Grouping Two: Teacher Behavior as Professional Educator

Principals agreed with all of these norms, whereas teachers agreed with all but number 1 (reading during designated periods).

Table 20
Summary of Between-Groups Analysis

	Grouping Number and Descriptor	Prins.	Tchs.	Commonality of Agreement
One	Norms defining: principal's obligations to teachers	X	X	X
Two	Norms defining: teacher behavior as professional educator	X	X	X
Three	Norms defining: school's high expectations for students	X	X	X
Four	Norms defining: how principals affect teachers who affect students	X		
Five	Norms defining: a principal's authority of position	X		
Six	Norms defining: school climate	X		

An "X" shows that either at least four of six principals or 70 percent of teachers agreed with two thirds of norms of that norm grouping. When both principals and teachers agreed, there was commonality of agreement.

Grouping Three: School's Expectations for Students

Again, principals agreed with all of these norms. Teachers agreed with all norms except number 6 (goals for student achievement stated as behavioral objectives) and number 20 (lack of student effort not to be tolerated).

Grouping Four: Principals Affect Teachers Who Affect Students

Despite principal agreement on all norms, teachers agreed with only number 23 (principals can increase teachers' self-concepts).

Grouping Five: Principal's Authority of Position

The principals agreed on these norms. Teachers, however, agreed with number 18 (principal often makes unilateral decisions), but did not agree with number 12 (teachers must perform or leave) or with number 28 (principal: There's a correct routine for everything).

Grouping Six: School Climate

Principals agreed with all norms. Despite high agreement on number 2 (atmosphere of discipline) and number 9 (teachers do certain things to create learning climate), teachers agreed on only four of the seven norms.

Summary

Principals as a group agreed with all groupings. Teachers as a group agreed with Groupings One, Two, and

Three. There was commonality of agreement between-groups on Groupings One (principal's obligations to teachers), Two (teacher behavior as professional educators) and Three (school's high expectations for students).

VIII. SUMMARY OF ANALYSES ON NORM GROUPINGS

Within-school analysis found that principals had varying success in setting norms. Principals B and C used all norm groupings, Principal A five groupings, Principal F four groupings, and Principal D one grouping (Table 18).

Among-schools and between-group commonality of agreement were compared in Table 21. The data among-schools (do at least four of six schools agree on groupings?) and between-groups (do at least four of six principals and 70 percent of the teachers agree on groupings?) were generally consistent. Groups One, Two, and Three had commonality of agreement with both analyses. Among-schools agreed on Grouping Six but between-groups did not.

IX. RELATED QUESTION 2: HOW IS ROLE EFFICIENCY RELATED TO NORM SETTING?

Introduction

This study defined role efficiency as the reciprocal exchange between principal and teachers based on two sets of expectations (or rights and obligations). The principal

Table 21
Comparison of Among-Schools
and Between-Groups

Grouping Number and Descriptor		Among- schools	Between- Groups
One	Norms defining: principal's obligations to teachers	X	X
Two	Norms defining: teacher behavior as professional educator	X	X
Three	Norms defining: school's high expectations for students	X	X
Four	Norms defining: how principals affect teachers who affect students		
Five	Norm defining: a principal's authority of position		
Six	Norms defining: school climate	X	

An "X" designates either among-schools or between-groups agreement on a norm grouping.

expects that teachers will comply to norms defining professional behavior. In exchange for this compliance, teachers expect that their principal can satisfy teacher needs.

In this study there were two sets of norms defining role efficiency: one for the teacher expectations, and one for principal expectations. [As Katz and Kahn (1966) have found that norms verbalize and sanction role expectations]. Supplementary norms perceived as set by the principal were used for principal expectations of teachers. Norm Grouping One, defining (from the Norm Checklist) principal obligations to teachers, was used for teacher expectations of their principal. If teachers' observer agreement surpassed the cutoff of 70 percent on at least two thirds of both sets of norms, an assumption was made: Principals of these schools were meeting teacher needs well enough to have their expectations for teacher behavior met. Role efficiency was assumed to occur in these schools.

These data were synthesized with each principal's definition of role efficiency (obtained during the interview) and appropriate data extracted from the Descriptive Notes. Role efficiency was examined separately in the six schools. A table showing teacher observer agreement on both sets of norms accompanies each synthesis.

Principal A

Teacher expectations. Teachers perceived that their obligations were being met except for number 16: "The principal should spend as much time as possible in the classroom helping teachers."

Principal's norms. Teachers agreed (100 percent average response) with norms the principal set in School A. Table 18 presents these data.

Synthesis. Principal A defined role efficiency as: "To the extent you provide something for teachers, they'll do something for you." The data from Table 22 and from Descriptive Notes supported this exchange system. Principal A met teacher needs like teaching materials and protection from parents. Aware that he now had good teachers getting their professional needs met in the classroom, he also let the teachers make many of the decisions affecting the school due to the small size of School A. Teachers, for example, made out the class schedule each year. "They only come to me [as arbitrator] if they can't reach agreement" (Principal A).

In exchange, Principal A expected and received compliance from his teachers to the norms he had set for the rural community school: Teach basics; discipline in classroom; care and love for all children; definite ideas about right and wrong; do not talk about school affairs in the

Table 22
Role Efficiency: School A

Norm #	Teacher agreement % (n=8)
<u>Teacher Expectations*</u>	
5. Principal makes educational environment conducive to classroom learning	71
16. Principal should spend as much time as possible helping teachers in classrooms	0
17. Principal should support teachers even if trouble from central office	86
25. Principal should provide things to facilitate behavioral learning goals	86
27. Principal will back teacher if teachers have sufficient grades per grade period	71
30. Principal's responsibility to back teacher, unless "major transgression"	71
<u>Principal's Norms**</u>	
1. You've got to have discipline in classroom and corridors before you can teach them anything	100
2. You never talk about school affairs in the community	100
3. Reading primary emphasis; everything else secondary. Reading taught in all grades first thing in morning	100
4. Every child must learn right from wrong regardless of parental pressure	100

*Data indicate how many of the teachers perceived their principal met obligations to teachers.

**Data indicate how many of the teachers agreed with each norm their principal claimed he set.

community. That students of School A read two years above grade level attested to this success in norm setting.

Principal B

Teacher expectations. Teachers perceived that five of the six norms defining their principal's obligations to them were being met (Table 23).

Principal's norms. Teachers agreed on all norms. (Table 23 presents these data.)

Synthesis. Principal B defined role efficiency as:

Teachers expect me to lead them and cope with problems they can't solve. Teachers are obligated to put forth best efforts in the classroom. The principal is obligated to buffer teachers from parents and students, and to call errors to [teacher's] attention. Everything is a two-way street.

The data supported this statement: Teachers perceived their obligations were being met. That the students of School B scored .7 of a year above grade level attested to teacher performance in the classroom.

The Descriptive Notes illustrated this exchange system. Principal B had made this school over in his own image. The norms he set in doing so--please see pages 95 through 104--he continued to set, as a teaching principal, through Human Relations and Modeling. In exchange, Principal B permitted and even encouraged communal decision-making. School B now had good teachers and its small size and

Table 23
Role Efficiency: School B

Norm #	Teacher agreement % (n=8)
<u>Teacher Expectations*</u>	
5. Principal makes educational environment conducive to classroom learning	71
16. Principal should spend as much time as possible helping teachers in classrooms	0
17. Principal should support teachers even if trouble from central office	86
25. Principal should provide things to facilitate behavioral learning goals	86
27. Principal will back teacher if teachers have sufficient grades per grade period	71
30. Principal's responsibility to back teacher, unless "major transgression"	71
<u>Principal's Norms**</u>	
1. Let's set a relaxing atmosphere where children can learn	100
2. Let's hash out problems	100
3. Bickering amongst ourselves can only take time away from students	100
4. Attitude toward learning: There's always something you can learn out of anything if you have right attitude	100
5. We all do our duties/responsibilities so no one else has to do it	100
6. There's no child in world who doesn't know it's wrong to tear up a book	100

*Data indicate how many of the teachers perceived their principal met obligations to teachers.

**Data indicate how many of the teachers agreed with each norm their principal claimed he set.

community-school nature were conducive to Teacher Peer Pressure and Teacher Decision-Making/Input for setting norms.

Principal C

Teacher expectations. Teachers believed their principal was meeting five of their expectations. Only 18 percent agreed with norm number 16 (principal's obligation to help teachers in the classroom). (See Table 24.)

Principal's norms. Teachers met principal expectations on all six norms (average norm response being 100 percent). Table 24 presents these data.

Synthesis. Principal C defined role efficiency as:

Teachers can see how their principal helps them to teach better. (These perceptions become expectations of the principal.) The principal then expects his teachers to use these expectations in helping students.

That Principal C conceptualized role efficiency was illustrated by the following example. This principal had decided to ask a teacher to attend a meeting with a district staff member for human services. Principal C was aware that he had better "have his facts straight about the student involved." "If I'm going to pull this teacher out of class, I'd better make it worth her while, because she expects that something will happen during that meeting to help both the boy, and indirectly, herself." The fact that School C's

Table 24
Role Efficiency: School C

Norm #	Teacher agreement % (n=16)
<u>Teacher Expectations*</u>	
5. Principal makes educational environment conducive to classroom learning	82
16. Principal should spend as much time as possible helping teachers in classrooms	18
17. Principal should support teachers even if trouble from central office	76
25. Principal should provide things to facilitate behavioral learning goals	76
27. Principal will back teacher if teachers have sufficient grades per grade period	82
30. Principal's responsibility to back teacher, unless "major transgression"	71
<u>Principal's Norms**</u>	
1. Open lines of communication between community and school	100
2. Students encouraged to evaluate themselves in terms of what they did (when they misbehave; this encourages self-learning)	100
3. Teacher preplanning essential to effective teaching	100
4. Teachers can depend upon me for help (example: They can call me at any time at home)	100
5. I'd like you as teachers to treat the students as if they were your own children	100
6. Teachers must always be in their classrooms while students are there	100

*Data indicate how many of the teachers perceived their principal met obligations to teachers.

**Data indicate how many of the teachers agreed with each norm their principal claimed he set.

fourth graders read two grade levels above the state norm was also data attesting to role efficiency.

Principal D

Teacher expectations. Teachers did not agree that their principal was meeting teacher expectations (average norm response, 52 percent). On only norm number 30 did teachers see their principal meeting teacher expectations. However, norm numbers 16 and 25 might have been perceived as the assistant principal's obligation (since she was in charge of curriculum and instruction).

Principal's norms. Teachers met their principal's expectations on all norms but: "Principal and teachers make professional decisions, not the community." Table 25 presents these data.

Synthesis. Principal D defined role efficiency as:

The school operates best that way [with role efficiency]. My job is defined by expectations of my position. The high SES of teachers obligates me to do certain things to satisfy teacher needs.

Prima facie the data did not appear to support role efficiency in School D: Teachers did not believe their principal backed them against parents or the community. However, based on data extracted from the Descriptive Notes, a form of role efficiency did occur. The principal allowed the pods to make most decisions on their own. In exchange for this, Principal D monitored pod decisions.

Table 25
Role Efficiency: School D

Norms #	Teacher agreement % (n=30)
<u>Teacher Expectations*</u>	
5. Principal makes educational environment conducive to classroom learning	68
16. Principal should spend as much time as possible helping teachers in classrooms	20
17. Principal should support teachers even if trouble from central office	56
25. Principal should provide things to facilitate behavioral learning goals	40
27. Principal will back teacher if teachers have sufficient grades per grade period	68
30. Principal's responsibility to back teacher, unless "major transgression"	80
<u>Principal's Norms**</u>	
1. If there's teacher-parent-student problem, principal insists on parent-teacher conference first; principal there only at request of either party	100
2. Principal, because responsible for performance of entire school, can make final decision different from that of teachers	100
3. There are no absolute rules/norms. An exception can always be made	73
4. I won't (as principal) put dampers on your classroom management, but just don't let noise bother classroom next door	100
5. We don't group by ability	85
6. Principal and teachers make professional decisions, not community	42

*Data indicate how many of the teachers perceived their principal met obligations to teachers.

**Data indicate how many of the teachers agreed with each norm their principal claimed he set.

One hundred percent of the teachers perceived that: "The principal, because he's responsible for performance of the entire school, can make final decisions different from that of the teachers."

Principal E

Teacher expectations. Teachers agreed on five of the six norms. Their responses to norm 16 (principal helping teachers in classrooms) of eight percent skewed the teachers' average norm response to 69 percent (just below the cutoff).

Principal's norms. Teachers agreed with all of these principal expectations. Table 26 presents these data.

Synthesis. Principal E defined role efficiency as:

Teachers expect cooperation (common effort), support (assistance to carry out instruction), and leadership (wisdom necessary to assure teaching of a successful program). The principal expects a top instructional job.

The Descriptive Notes implied role efficiency as follows. The principal was expected to get the extra resources--through parent contributions he raised \$21,000 last year--enabling teachers to do the job in the classroom. He was expected to sell the school to parents. Principal E was also expected to protect his teachers from parental complaints. (Both principal and teachers believed parental expectations to be high.)

Table 26
Role Efficiency: School E

Norm #	Teacher agreement % (n=24)
<u>Teacher Expectations*</u>	
5. Principal makes educational environment conducive to classroom learning	79
16. Principal should spend as much time as possible helping teachers in classrooms	8
17. Principal should support teachers even if trouble from central office	83
25. Principal should provide things to facilitate behavioral learning goals	71
27. Principal will back teacher if teachers have sufficient grades per grade period	100
30. Principal's responsibility to back teacher, unless "major transgression"	75
<u>Principal's Norms**</u>	
1. We all help each other in instructional effort	100
2. Don't assign any more homework than you can pass back in class next day	73
3. Principal and teachers attend PTO meetings (about 5/year)	100
4. Let's keep folder on each individual child that collects grades for year (in case there's a parental complaint)	100
5. Teachers expect principal to make sure that parents know they're doing fine job	100
6. We have best learning resources because we're the best school in the system	100

*Data indicate how many of the teachers perceived their principal met obligations to teachers.

**Data indicate how many of the teachers agreed with each norm their principal claimed to set.

The principal, in turn, needed his teachers: "Without my teachers I'd go under." Teachers were expected to do the job in the classroom ("We all help each other in instructional effort"), and to comply with norms defining behavior protecting the school from parental complaints.

Principal F

Teacher expectations. Principal F met all obligations to teachers except number 16 (principal's obligation to help teachers in the classroom).

Principal's norms. Teachers complied with all their principal's norms. Table 27 presents these data.

Synthesis. Principal F defined role efficiency as:

I use my associates as resources to set norms.
If I didn't show my staff my personal interest,
they wouldn't be interested in what I present.

Principal F further described his role as:

The principal of a school is like the head of a family. The staff is responsible to the principal in that they carry out their assignments. I'm responsible for making it possible for them to carry out their jobs.

Based on the Descriptive Notes, Principal F used Human Relations to identify teacher needs. In Resource Provider, Teacher Decision-Making/Input, and Modeling, Principal F established role efficiency: "My role is to identify your needs and meet them. To the extent that I can do both I can expect teachers to comply to norms defining

Table 27
Role Efficiency: School F

Norm #	Teacher agreement % (n=18)
<u>Teacher Expectations*</u>	
5. Principal makes educational environment conducive to classroom learning	89
16. Principal should spend as much time as possible helping teachers in classrooms	33
17. Principal should support teachers even if trouble from central office	89
25. Principal should provide things to facilitate behavioral learning goals	94
27. Principal will back teacher if teachers have sufficient grades per grade period	100
30. Principal's responsibility to back teacher, unless "major transgression"	83
<u>Principal's Norms**</u>	
1. We grade each child by what he's mastered and not according to grade standard	95
2. I wouldn't go into classroom to pull out child before first talking with teacher	95
3. We never give up on a child	100
4. We're a friendly school and we treat students with love and respect	100
5. We want each student to learn according to individual needs by attacking skills level (mastery learning)	100
6. We don't want children to be robots; we expect some noise and misbehavior but at accepted level	100

*Data indicate how many of the teachers perceived their principal met obligations to teachers.

**Data indicate how many of the teachers agreed with each norm their principal claimed to set.

teaching behavior [such as those addressing mastery learning]."

Summary

According to established criteria, role efficiency based on reciprocal exchange between principal and teachers occurred in five of the six schools. The sixth school (D) could not be analyzed. Teachers might not have marked norms because they expected the assistant principal (in charge of curriculum and instruction) to fulfill these needs.

X. COMPARISON OF QUESTIONNAIRE DATA TO THOSE OF NORM GROUPINGS

Introduction

Data from the Principal Questionnaire (Appendix D) were compared with the data on the norm groupings: Were the principals and teachers consistent--based on these two sets of data?

Data from the questionnaire were pertinent to the first five norm groupings. No data were relevant to Norm Grouping Six. Concern for space necessitated only a synopsis of each question and its number. The reader is encouraged to refer to Appendix D for the original questions. Individual norms within groupings were referred to by number, and where possible, a descriptor. (For the exact title of each norm and norm responses, the reader is encouraged to refer to Table 14, (pp. 148-150). The

upper set of norms comprise the first norm grouping from the Norm Checklist (principal's obligations to teachers). The bottom set of norms are the supplementary norms collected from each principal.

Grouping One: Principal's Obligations to Teachers

Principals perceived that they spent more time working with teachers and students than teachers perceived that the principals did (Table 28). These data were similar to responses to norm number 25 from Norm Grouping One: The principal should provide things for attainment of learning goals. All six principals indicated they used this norm but only 66 percent of the teachers agreed (Table 14, pp. 148-150).

Grouping Two: Teacher Behavior as Professional Educator

Neither principals nor teachers agreed that teacher evaluation should be based partly on degree to which students reach grade level (Table 29).

Grouping Three: School's High Expectations for Students

Based on questionnaire data addressing school expectations for students (questions 6, 9, 10, and 11), principals consistently responded higher than teachers (Table 30). These data were consistent with responses to Norm Grouping Three: Principals agreed with more norms than teachers did (Table 14, pp. 148-150).

Table 28
Data from Questionnaire:
Grouping One

Question 5: Principal's use of time perceived by principals and teachers		
	Principals	Teachers
Administrative	21%	40%
Central office	9	11
Working with teachers to improve instruction	30	17
Working with students	25	19
Working with parents	11	11
Other	<u>4</u>	<u>2</u>
Total	100%	100%

Question 8: Principal's responsibility to work with teachers so that students achieve grade level (scale: 1 strongly agree to 5 strongly disagree)		
	$\bar{X}$	$\bar{X}$
Principals (n=6) - 1.3	Teachers (n=98) - 2.2	

Table contains synopsis question(s) and number from questionnaire and data.

Table 29
Data from Questionnaire:
Grouping Two

Question 1: Should teachers' competence be evaluated by degree to which their students achieve grade level?		
Scale: (1) strongly agree to (5) strongly disagree		
	$\bar{X}$	$\bar{X}$
Principals (n=6): 2.3	Teachers (n=98): 2.8	

Table contains synopsis question(s) and number from questionnaire and data.

Table 30
Data from Questionnaire:
Grouping Three

Question 5: School-wide goals specified in student learning outcomes.	
Principals (n=6): 50% yes	Teachers (n=98): 44% yes
Question 6: Teacher attitude affects student achievement	
Scale: (1) strongly agree to (5) strongly disagree	
Principals (n=6): $\bar{x}$ 1	Teachers (n=98): $\bar{x}$ 1.2
Question 9: If teachers did their jobs well, students--regardless of SES--could achieve at grade level (certified learning disabled excluded).	
Scale: (1) strongly agree to (5) strongly disagree	
Principals (n=6): $\bar{x}$ 2.7	Teachers (n=98): $\bar{x}$ 2.9
Question 10: Principals and teachers can change low-achieving school into high-achieving school.	
Scale: (1) strongly agree to (5) strongly disagree	
Principals (n=6): $\bar{x}$ 2	Teachers (n=98): $\bar{x}$ 2.1
Question 11: SES generally determines student achievement.	
Scale: (1) strongly agree to (5) strongly disagree	
Principals (n=6): $\bar{x}$ 1.3	Teachers (n=98): $\bar{x}$ 2.2

Table contains synopsis question(s) and number from questionnaire and data.

In question 5 (of the questionnaire) principals' and teachers' responses were similar--50 and 44 percent, respectively (Table 30). However, although all principals agreed with setting norm number 6 (stating student achievement goals as behavioral objectives), only 36 percent of the teachers agreed with that norm.

Grouping Four: Principal Affects Teachers Who Affect Students

Since principals agreed with all four norms of this norm grouping (while teachers agreed with one, as shown in Table 14, pp. 148-150), it was expected that principals might perceive that they spent more time interacting with teachers and visiting classrooms. Principals did perceive that they interacted with teachers more than teachers perceived that they did. However, teachers perceived that their principals visited classrooms more often than the principals themselves perceived it (Table 31).

Grouping Five: Principal's Authority of Position

Principals perceived themselves as closer to "fully participatory" in decision-making than teachers did (Table 32). Yet, principals indicated that they used all three norms in the norm grouping defining their position of authority. Teachers agreed with only number 18 (principal often makes unilateral decisions, as shown in Table 14, pp. 148-150).

Table 31
Data from Questionnaire
Grouping Four

Question 2: Hours per week principals interact with teachers
 $\bar{X}$
 Principals (n=6): 12.1 hours
 Teachers (n=98): 10.8 hours

Question 3: Number of principal classroom visits (for any reason) averaged yearly with each teacher
 $\bar{X}$
 Principals (n=6): 52 Teachers (n=98): 70

Table contains synopsis question(s) and number from questionnaire and data.

Table 32
Data from Questionnaire:
Grouping Five

Question 1: Decision-making regarding selection of instructional materials, coordinating school-wide programs, evaluating classroom teachers.

Scale: (1) fully participatory to (5) principal makes decision

$\bar{X}$ $\bar{X}$
 Principals (n=6): 2.1 Teachers (n=98): 2.6

Table contains synopsis question(s) and number from questionnaire and data.

The presentation and analyses of data have now been completed. Chapter V includes the findings and conclusions for this study.

CHAPTER V

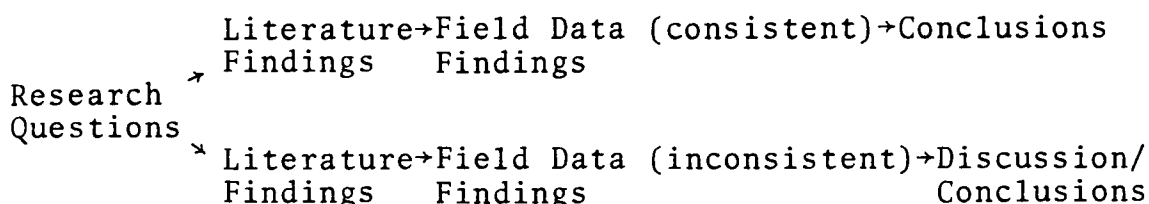
FINDINGS, CONCLUSIONS, IMPLICATIONS, DISCUSSION, SPECULATIONS, AND RECOMMENDATIONS

I. INTRODUCTION

This study addressed the norm-setting behavior of principals in effective schools identified through the Dyer model (Austin, 1979). The Dyer model defined school effectiveness as positive discrepancies--or residuals--between predicted achievement based on socio-economic factors (SES) and actual achievement scores.

Essentially there were two sources of findings--those derived from the literature (Chapter II) and those based on the field data of this study (Chapter IV). Conclusions from these two sources--where consistent--were synthesized. Literature and field data findings not consistent with each other were listed separately. The schematic below shows the structure for the presentation of findings and conclusions.

Chapter II Chapter IV



This chapter includes: findings, conclusions, implications, discussion, speculations, and recommendations.

II. FINDINGS: LITERATURE AND FIELD DATA CONSISTENT

The Research Question: How Do Principals Set Norms in Effective Schools?

(1) The literature (Doll, 1969; Clark et al., 1980; Benjamin, 1981) described principals of effective schools as enablers who provided resources meeting teacher needs.

The field data identified Resource Provider as a way principals set norms (Table 12, p. 143; Table 13, p. 144). Principals did things for teachers, who felt obligated to do things for them. Teachers--when asked how their principals set norms--invariably answered: "He does so much for us." By meeting teacher expectations, principals were setting their expectations for compliance to certain norms. Principal F--by meeting curricular needs of individualized instruction--expected teachers to teach students according to individual needs. Principal A said: "If you do things for teachers, they'll do things for you."

(2) The literature indicated that some principals of effective schools used fear, pressure, and replacement of teachers (University of Indiana Review, 1979, as quoted in Benjamin, 1981; Edmonds, 1979; Levin, 1980). The field research found that principals used categories Authority of Position (defined as including among other things fear and pressure) and Teacher Replacement/Transfer in norm setting (Table 12, p. 143; Table 13, p. 144). The field data specified two ways principals used their authority: checking up on teachers and using the power of veto to override teacher-made decisions that might be counter to the best interest of the school.

(3) The literature (Weber, 1971; Austin, 1979; Venezky and Winfield, 1979) and field data identified Modeling as a way principals set norms. The literature referred to principals modeling behavior in the classroom for teachers; the field data in general identified Modeling done outside the classroom. (Perhaps a longer time spent in the schools would have provided opportunities to observe Modeling in classrooms.) The field data identified principals using Modeling as both a conscious effort (I don't expect you to do this if I can't) and an unconscious effort (setting expectations for norm compliance through exhibited behavior, and commitment and zeal).

The literature indicated and field data confirmed that principals of effective schools set norms in three ways:

- (1) by meeting teacher needs through providing resources,
- (2) by using fear and pressure and replacing teachers, and
- (3) by modeling behavior expectations.

Related Question 1: What Norms Do These Principals Use?

(1) The literature [Clark, 1968; Edmonds, 1979; Erickson, 1979; Austin, 1979; Leif Ericson Elementary School, Exceptionality on Urban (Title I), 1979] asserted and the field data (Table 19, p. 160) found that principals used norms that defined professional standards for teachers.

(2) The literature (Brookover et al., 1979; Clark et al., 1980; Levin, 1980) indicated and the field data (Table 19, p. 160) discovered that principals of effective schools set norms expressing high learning expectations for students.

(3) The literature (Bridges, 1964; Lortie, 1975; and Martin and Willower, 1981) identified certain obligations principals had to teachers. The field data found that principals and teachers agreed on norms defining principal obligations to teachers (Table 20, p. 162). To teachers, the most important obligation was protection from parental complaints.

(4) The literature (Edmonds, 1979; Brookover et al., 1979) identified school climate as a component of an effective school. The field data had mixed results about school climate: There was among-schools agreement but not between-groups agreement (Table 18, p. 159; Table 19, p. 160).

(5) The literature (Wellisch, 1978; Venezky and Winfield, 1979; and Benjamin, 1981) found that principals of effective schools coordinated and sequenced school-wide learning objectives for students. The field data were inconclusive: Teachers failed to agree with principals that norms defining student behavioral objectives were used (Table 14, pp. 148-150).

The literature and field data found that principals of effective schools set norms defining: (1) professional standards for teachers; (2) high learning expectations for students; and (3) principal obligations to teachers.

The literature also identified school climate and the setting of school-wide student learning objectives. The field data results were inconclusive on norms defining school climate and school-wide learning objectives for students.

Related Question 2: How Is the Nature of Role Efficiency
Related to the Research Question?

The literature (Malinowski, 1932; Homans, 1958; Gouldner, 1960; Blumberg and Greenfield, 1980; Crowson and Porter-Gehrie, 1981) and the field data (pp. 164-179) supported role efficiency as used in norm setting. There was a reciprocal exchange or trade-off based on expectations of both the principal and teachers.

Principals used their position as principal to distribute resources to teachers and expected compliance to

certain norms in return. Principal E expected teachers to protect him from parents (as he met teacher needs): "If I didn't have my teachers, I'd go under." Principal D permitted groups of teachers to make decisions in return for veto power for teacher-made decisions that might be counter to the best interests of the whole school.

Role efficiency was used in norm setting to define the trade-off or exchange system between principal and teachers. Principals satisfied teacher needs in exchange for compliance to certain norms.

Other Findings

(1) The literature on effective schools was primarily based on the ghetto-school model (Levine, 1966; Weber, 1971; Ellis, 1975; Brookover et al., 1979; Venezky and Winfield, 1979; Edmonds, 1979). The field study included only two schools comparable to SES of ghetto schools: Schools A and B. These schools did share similarities with the ghetto school model developed from the literature. Teachers of both schools from the field study agreed that their principals influenced teachers who then influenced students. (This principal behavior was identified in the literature by Clark et al., 1980.) Schools A and B had the only principals whose teachers perceived that they used Modeling to set norms (behavior Weber, 1971, and Austin, 1979, among others, attributed to ghetto schools). Principals A and B pressured incompetent teachers to retire or had them

transferred--a behavior used by principals studied by the University of Indiana Review, 1979 (quoted by Benjamin, 1981) and Levin (1980). Finally, with the exception of Principal A's Authority of Position (Table 15, p. 153), teachers and principals agreed on all norm groupings--comprised of norms based on the literature of ghetto schools. In particular, teachers and principals used norms defining school climate--in contrast to the other four schools.

(2) The field data did not support prior research stating that principals of effective schools were instructional leaders. Other factors--school size, other sets of norms, high quality teachers, SES of teachers, parents, and community--could have compensated for lack of the above factor. However, the three days spent in each school might not have been sufficient time to identify principal behavior as instructional leadership. Also, while the researcher was in each school, the principal did not have as much time to interact with teachers (especially in the classroom).

(3) The literature did not identify school size as a factor in effective schools. However, based on the field data, Teacher Decision-Making/Input and Teacher Peer Pressure were used in norm setting in small schools (that is, having mostly one teacher per grade), but not in the larger schools.

(4) The most widely used norm-setting technique of the field data was Human Relations. (The literature did not address this technique.) Human Relations was used in two ways. One, if principals treated their teachers well, teachers would do things for principals because they liked them. ["We do things because he (the principal) has charisma"--about Principal D.] Principals downplayed their authority to avoid getting on the wrong side of teachers ("I'm not going to try to ram something down their throats"--Principal F). Two, principals set norms by expecting and assuming from teachers compliance with norms defining teacher behavior as professional educators.

(5) The flexibility of Teacher Recruitment/Selection was important in norm setting: Principals A, B, E, and F at the very least were able to avoid getting incompetent teachers (transferred around the system) either because of their relationships with the central office or because their schools' reputation--that is, teachers work hard here--discouraged these incompetent teachers from applying. This finding may have been characteristic of small and medium-sized schools and school systems used in the current study. (The personnel offices of larger school systems might not permit such flexibility.)

(6) The literature (Clark, 1968; Edmonds, 1979; the University of Indiana Review, 1979, as quoted in Benjamin, 1981; Levin, 1980) indicated that principals of effective

schools used pressure and fear to set norms. In the field study principals--as a group--agreed with norms defining Authority of Position; teachers did not. Teachers agreed only with a prescribed principal's use of Authority of Position in norm setting. According to teachers, principals could check up on individual teachers not conforming to norms such as being on time, mistreatment of students, failure to return homework, and not staying in their classrooms. Principals--according to teachers--acted in the role of monitor by vetoing teacher decisions judged not to be in the school's best interests.

However, teachers failed to agree that principals should fire incompetent teachers or that principals should define exact routines for reports and procedures (Table 20, p. 162). Principals were not perceived to have power (that is, managerial rights--legitimatized by the central office--exclusive of those defined through teacher interaction). [As Principal F said: "You can't fire (incompetent) teachers because you're employed by the public (as opposed to private industry)."] As Principal A said: "You can't make a teacher do anything."]

(7) Principals in the field study perceived all norms but one as occurring, whereas teachers failed to agree on 13 of the 35 norms.

(8) There were several norm-setting techniques idiosyncratic to principals. Only Principal C used

Mediator/Manipulator, and only Principal D used Normative Distribution of Resources.

(9) Only one principal used Appeal/Persuasion. Principal E used this technique because--circumstantially--his interests were tied to those of this teachers (pp. 125-128).

III. CONCLUSIONS

(1) SES determined similarities in norm setting between the literature--based on the ghetto model--and the field study. The two schools whose data approximated the literature were those of the lowest SES: Schools A and B.

(2) Within the sample of six schools, SES influenced norms defining the principal-teacher relationship. Principals C, D, E, and F did not intrude into the classroom and evaluate and replace teachers, partly because they had higher professional opinions and expectations for teachers. Principals A and B--of the lower SES schools--did intrude upon the classroom to remove incompetent teachers, and used pressure and fear in norm setting.

Two, the high SES of the parents and community partly determined the role of the principal defined by norms. The teachers expected Principals D and E to protect them from parents, to monitor--through the veto--behavior causing parental complaints, and to raise money through fund-raising.

(3) Principals primarily used Resource Provider, Modeling, Authority of Position, and Human Relations in setting norms.

(4) Principals set norms defining their obligations to teachers, professional standards for teachers as educators, expectations for student learning, and school climate (findings mixed on the latter).

(5) There was a positive relationship found in the field data between categories of principal behavior and the norm groupings.

<u>Principal Behavior</u>		<u>Grouping Number: Norms Used</u>
Resource Provider	→	One: Principal's obligation to teachers
Human Relations	→	Six: Professional expectations for teachers
Authority of Position	→	Six: School climate
Modeling	→	Three: High expectations

Principals as Resource Providers provided resources meeting obligations to teachers, such as protection from parents and teacher classroom needs. They used Human Relations in setting norms defining teachers as professional educators: Principals (especially in higher SES schools) were diplomatic, empathic, and sensitive about setting norms. Norms defining teacher behavior were norms assumed by teachers and principals that occasionally needed gentle reminding.

Principals modeled high expectations for student learning by exhibiting these expectations themselves. Principals used Authority of Position in setting norms defining school climate by checking up on teachers: Was Ms X being late in arrival or in starting classes?; Was Mr. Y spending adequate time on instruction in class?

(6) Principals respected teacher classroom autonomy in two ways. Principals protected the teacher in the classroom from parental complaints (parents had to sign in with the principal in School D before visiting teachers). Two, like teachers, principals assumed that teaching had a communicable, specified set of professional standards. Principals, in assuming teachers to be professionals, did not intrude on classroom teachers or tell a teacher how to teach. The higher the SES of teachers, the less likely principals were to intrude on the classroom (especially Principals D and E). The lower the SES of teachers, the less socialization--based partly on professional expectations, degree level, salary--and the more likely principals were to intrude on the classroom. Principals A and B and several ghetto school studies (Clark, 1968; and Levin, 1980) indicated principal classroom intrusion.

(7) The factors of SES and school size influenced norm setting. The two low SES schools were also relatively small schools (one teacher per grade). Teachers and principals of these schools--due to their small size--set some

norms communally and through Teacher Peer Pressure. In Schools D and E--of relatively large size--teachers were expected to set many norms because of their SES (upper-middle class, master's degrees). Principals of all schools were expected to veto any teacher-set norms or decisions that might cause parental complaints.

(8) Teachers complied with norms they perceived were good for them--particularly the norms defining principals' obligations to teachers. Teachers did not perceive that their principals were instructional leaders (only Principal F had a skill--that of curricular skills monitoring and individualizing instruction.) Therefore, teachers in this sample did not agree with Group Four (Principals affecting teachers who affect students).

(9) Principals, especially in higher SES schools (D and E), were aware that they needed the cooperation of good teachers to avoid public pressure. (Teachers at School D said: "When a teacher's not doing the job, there's talk around the community." Principal E said: "If I didn't have my teachers, I'd go under"--referring to the high learning expectations of the parents, some of whom have tried to run the school.) The higher the SES, the more norms defined the mutual protection between teachers and principals--they needed each other.

(10) A distinction could be made among norms defining the principal's role as Resource Provider. Principals were

expected to provide resources meeting teacher needs-- providing those needs did not necessitate the principal helping the teacher in the classroom. (Only two principals and 22 percent of the teachers indicated principals should spend as much time as possible helping teachers in the classroom, Table 17, p. 157.)

(11) Principals used the exchange system without appearing to conceptually understand the relationship between exchange and role efficiency in norm setting.

(12) Circumstances affect the norm setting of principals. Principal C--according to teachers--used Normative Distribution of Resources because he had two or three teachers unwilling to conform to certain norms. Principal E used Appeal/Persuasion because parental pressure tied in his needs with those of his teachers.

(13) Homans (1958) defined norms as behavior to which members of an organization find valuable to conform. These principals--as a group--did not utilize Appeal/Persuasion to tie the needs of teachers (psychic fulfillment through student learning) to an organizational goal (student achievement).

IV. IMPLICATIONS

(1) Teacher peer pressure was used to set norms maintaining teacher classroom autonomy from principal intrusion. Principals in this study, according to teachers, did not

set norms defining a principal's influence on teachers in classrooms (Group Four, Table 17, p. 157), or norms setting schoolwide, coordinated and sequenced student learning goals (norms 6 and 24) giving specification to teacher performance standards. Even Principal F, who exhibited a skill in curriculum--skills monitoring and individualizing instruction--did not get compliance to Group Four norms.

(2) Principals may have used Human Relations because their own positions were insecure within school systems as organizations. Foskett (1967) concluded that the nature of norms defining roles of principals, teachers, central office was ambiguous. One research report (Opinion Research Corporation, 1979) concluded that 70 percent of workers polled would not follow the request of a supervisor with whom they disagreed. Principals needed teachers--as teachers needed them. If principals became too authoritarian, teachers could withhold their cooperation, resulting in making the principal look incompetent to the public.

(3) The Authority of Position of principals was defined through norms. In Schools C, D, E, and F principals used their authority as principal to check up (equivalent to norm conformity) on existing norms. They also used their authority--in particular Principals D and E--to veto norms and decisions that might run counter to interests of the school.

V. DISCUSSION

(1) All principals were efficient in that they met teacher professional needs (Table 20, 162).

(2) All principals were effective because their schools surpassed learning expectations (based on SES) and because their students read at least .6 of a grade level above the state norm. By these criteria the most effective principals were Principals A and C (Table 1, p. 56).

(3) However, another criterion for principal effectiveness could be the indexing of the principal's norm setting to norms defining classroom teaching behavior. By this criterion Principals A and F were effective because they used norms [based on appraisal of supplementary norms (Tables 22-27, pp. 168, 170, 172, 174, 176, 178, respectively)] defining mastery learning (which theoretically leads to greater learning--Bloom, 1977).

(4) A disclaimer should be noted. The literature indicated that principals of effective schools set norms. The researcher--expecting this finding to be duplicated in the field--might have lacked impartial judgment.

VI. SPECULATIONS

(1) These six principals used teacher evaluation as a means to compliment teachers on their performances--as opposed to using it as a critique (pp. 85-111). Also, they did not seem to believe that it was their responsibility to

prescribe how a teacher should teach. Socialization might have been influential in setting norms defining the autonomy of the classroom teacher. All six principals had been classroom teachers. They may have been performing a role as principal which they expected of their principals when they were teachers.

(2) Only Principal B received teacher compliance on all norms defining a principal's influence on classroom teachers (Table 7, p. 96). Because Principal B was a teaching principal with many decisions made communally, he might not have been perceived as a threat in the classroom.

(3) Principals might have agreed to all norm groupings --whereas teachers agreed with only three--both because they wanted to believe those other norms existed and because of their role as protectors of their schools (from parents and the central office). They therefore wanted the school to look good to the researcher.

(4) The pod system (a structural arrangement in one building where teachers were working in groups in wings or pods) was not conducive to norm setting because the six pods--through interaction among members of each pod--became six schools in one. The principal did not interact with a teacher from the school as much as a teacher from a pod (pp. 111-123).

(5) Principals and teachers seemed to have been socialized into complying with this following set of norms.

The principal and teachers needed each other for protection from parents, the community, and the central office. The teachers cooperated with their principal provided s/he cooperated with them: Teachers continued to cooperate with the principals' requests provided principals did not infringe on teacher norms--the cornerstone to which was classroom autonomy.

(6) Would teachers permit their principals to intrude upon the classroom if they perceived their teaching needs would be met? Principals, in turn, would have to exhibit curricular and instructional skills perceived by teachers to meet their needs.

(7) Or, is teacher peer pressure protecting classroom autonomy so norm conforming that--even with the above--principals would not be able to intrude upon the classroom?

(8) To what extent are these norms the product of SES among teachers? (The higher the SES, the more norms defining professional educators are assumed by both the principal and teachers.)

VII. RECOMMENDATIONS

Recruitment/Selection of Principals

This section presents recommendations for the recruitment/selection of principals. These recommendations were based on the literature and field data on principal norm setting.

(1) Candidates should be able to model the norms they wish to set. Can they practice what they preach?

(2) Candidates for the principalship should have to demonstrate the ability to work with people (Human Relations). Norm setting requires constant principal-teacher interaction under varying conditions, including those of role ambiguity and exchange/trade-off, as norms are set.

(3) Candidates for the principalship should have to demonstrate that they are enablers--that they can do things to meet teacher needs. (Principals can exchange fulfillment of teacher needs for norm compliance.)

(4) Candidates should be able to conceptualize what norm setting is and establish their strategy for setting norms.

(5) Because other groups (besides the principal) contribute to norm setting, candidates should be aware of such factors as the SES of students, teachers, parents, and the community.

(6) Because of teacher socialization and the premium placed upon teacher recruitment/selection with the central office, private industry might be looked at as a source for principals. Private industry experience might socialize principal candidates more as middle managers.

Principal Training

Below are recommendations based on the literature and field data of this study for principal training enabling principal candidates to set norms in schools.

(1) Principal candidates should have a field internship determining whether their interaction with teachers could enable them to set norms (Human Relations). This internship should occur early in the program as a selection process. So much of norm setting involves Human Relations that some principal candidates could be eliminated from the program because of a personality problem, etc.

(2) Principals should acquire skills discernible to teachers and exchangeable for norm compliance from teachers. Skills relating to curriculum and instruction (specifically skills assessment of students) might enable principals to overcome teacher classroom autonomy. Other skills might include fund raising and finance (due to diminishing public funds), and law. The more principals can do for teachers, the more teachers will be obligated to do for them.

(3) The norm setting of each school as a product of principal-teacher interaction is different. Active principals should be encouraged to share with aspiring principals the ways they set norms.

(4) During the interviews only one principal implied that norm setting might be a management technique involving, for instance, consensus building among teachers. The

principal should be considered a middle manager and norm setting taught as a management technique.

(5) Principals should receive direct training in:
(a) elements of effective schooling (for example, Weber, 1971; Rutter, 1979; and Edmonds, 1979), and (b) procedures of norm setting. In fact, these two aspects of a principal's role should become major components of a principal training program.

(6) The use of Resource Provider, Modeling, Authority of Position, and Human Relations in setting norms should be included in principal training.

(7) The conceptualization of the relationship between the exchange system and role efficiency in norm setting should be emphasized in a course on norm setting.

(8) Norms defining obligations of principals to teachers, professional standards for teachers as educators, expectations for student learning, and school climate should be emphasized in a course on norm setting.

For Research

The questions below were encountered during the data-collection stage of this study. They all could be studied through the use of a research design similar to the one used in this study.

(1) How do school size and SES influence norm setting?

(2) How can principals influence teachers within the classroom through norm setting?

(3) How are new teachers informed and made aware of existing school norms?

(4) Are principals with private business backgrounds more successful than principals as an entire group?

(5) How can principals use parental and community norms to set norms with teachers?

(6) What are the specific norms defining the exchange/trade-off systems between principal and teachers?

(7) How do norms set between the central office and principals influence within-school norm setting?

(8) How are norms set among teachers as a group? Could norm setting among teachers of effective and ineffective schools be compared?

(9) How do principals of ineffective schools set norms? (Do they set norms? What norms do they set?)

(10) How can principals overcome teacher classroom autonomy (especially of higher SES faculties) and set norms defining teaching classroom performance?

Methodology

Below are suggestions that could facilitate the collection of data on principal norm setting.

(1) The nomination technique (asking central office personnel to name effective principals) might work better

than identifying effective schools and then studying principal behavior.

(2) Two pilot tests should be used: the first enabling the researcher to adjust to the role of the intruder and the second to refine the data collection instruments.

(3) The researcher should use the teachers' meeting to identify teachers who might like to discuss norm setting on a one-to-one basis.

(4) Teachers usually can meet only at the end of the work day and are tired. Because of this--and the time restriction (30 minutes was the average length for this meeting)--a checklist of ways principals set norms might be more productive than the open-ended question, "How does your principal set norms?"

(5) Much of norm setting is covert to the researcher as an intruder. Teachers might be selected and interviewed individually, with anonymity promised, as a primary source for researching principal norm setting.

(6) Much of norm setting may go on during the principal's first year, especially in chaotic schools and in schools where (low) teacher and parent/community SES do not contribute to within-school norms. By the fourth year, most of the norms have already been set. Therefore, norm setting by principals also should be studied during the first year of the principalship.

(7) The six criteria Edmonds (1979) used to identify effective schools could be used as descriptors for norm groupings.

(8) To establish intra-rater reliability, direct observation of principals' setting norms could be taped. A reliability coefficient could be generated by comparing the observer's in situ categorization of norm setting behavior with later categorization.

(9) Principals--before they are chosen for study--should be screened for general abilities of conceptualization and articulation.

(10) The Delphi technique--modified for use in schools--could be used to compile the Norm Checklist. The literature addressing norm setting in schools presently is underdeveloped.

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APPENDICES

APPENDIX A

Identification of Pool of Outlier Schools

Introduction

The pool of 13 outlier schools was formed through data extracted from Tennessee Looks at Its Schools (1981), a study conducted by The State Testing and Evaluation Center for The State Department of Education and The State Board of Education, Tennessee. This (above) study predicted student achievement by using a regression formula based on socio-economic factors. Outlier schools were those having the greatest difference (residual) between predicted scores and achieved scores. Data extracted from this (Tennessee) study used the residuals of fourth-grade Stanford Achievement Tests of 98 randomly selected schools. Portions of the text of this (Tennessee) study explain: (1) the classification and selection of schools; and (2) descriptions of questions used in the regression formula.

Section 1: Classification and Selection of Schools

Much of the material of this section was quoted from the (Tennessee) study:

In order to increase the likelihood of adequate representation of all kinds of communities in the sample, schools were classified into strata based on a combination of size and general socio-economic status. Estimates of socio-economic status (SES) were derived from information sheets filled in by State Department of Education personnel in each of the nine development district offices. The sheet asked to estimate the percentage of students in a school whose parents were in each of four

income categories. Supplemental information from the 1970 Census was given to give the supplier of information a baseline from which to make judgments.

The percentages marked on the sheet were given arbitrarily weights according to socio-economic status. The lowest category of socio-economic status was weighted one, and successive categories were weighted 2, 2, and 4. The percentages marked were weighted and summed, providing a score which would have ordinal meaning when all schools in a type of community classification were ranked.

Schools within a type of community classification were listed in serial order from low to high socio-economic ratings, and for all types except large city, the types of communities were divided as evenly as possible into two socio-economic substrata--high and low. Large city was divided into three substrata. The classifications were as follows:

1. Rural low SES
2. Rural high SES
3. Small Town low SES
4. Small Town high SES
5. Medium City low SES
6. Medium City high SES
7. Large City low SES
8. Large City middle SES
9. Large City high SES

The classifications of sizes of communities were made on the following bases.

Rural community or small town up to 4,000 population. Exclude built-up areas which are, for the most part, geographic extensions of Bristol, Chattanooga, Clarksville, Cleveland, Cookeville, Columbia, East Ridge, Jackson, Johnson City, Kingsport, Knoxville, Maryville, Memphis, Millington, Morristown, Murfreesboro, Nashville-Davidson, or Tullahoma.

Town, small city, or community of 4,000 to 15,000 population. Exclude built-up areas which are, for the most part, geographic extensions of Chattanooga, Knoxville, Nashville-Davidson, or Memphis. (It is assumed that these would not be extensions of Medium Cities.)

Medium City of 15,000 to 100,000 such as Bristol, Cookeville, Clarksville, Cleveland, Columbia, East Ridge, Jackson, Johnson City, Kingsport, Maryville,

Millington, Morristown, Murfreesboro, and Tullahoma. Include built-up suburban areas, small towns, or cities immediately surrounding these cities, which are for the most part, geographic extensions of the larger place.

Large City of over 100,000 population such as Chattanooga, Knoxville, Nashville, and Memphis. Include built-up suburban areas, small towns, or cities immediately surrounding these cities, which are for the most part geographic extensions of the larger place.

The following 1970 Census information was used to give State Department officials data for the county in which each school was located:

About _____ percent of the families were below the STATE median.

About _____ percent were near or below the STATE poverty level.

About _____ percent made at least twice the STATE median.

State Department officials then used the following form to render SES for each school:

For this school, estimate the percentage of families in each of the socio-economic categories listed below. Circle the percentage estimated to be in each category.

1. Among the lowest
in Tennessee . . 0 10 20 30 40 50 60 70 80 90 100
2. Average, but on
the low side . . 0 10 20 30 40 50 60 70 80 90 100
3. Average, but on
the high side. . 0 10 20 30 40 50 60 70 80 90 100
4. Among the highest
in Tennessee . . 0 10 20 30 40 50 60 70 80 90 100

In this way, sampling categories were formed based on size and general socio-economic status.

Selection of Schools

All schools within each sampling category were numbered consecutively and the number needed within that category was drawn using a random table of numbers. Schools were selected for five-year periods, and the sampling was conducted in such a way that no local school grade was selected two years in a row.

Section 2: Descriptions of Questions used in Regression

Formula

There were three sets of questions comprising the regression formula. This material was quoted by Dr. Tom Innis, Director of the (Tennessee) study:

Socio-Economic Status

An indicator of socio-economic status of a school was derived from two sources: an outside estimation by State Department officials and selected questions answered by the principal on the school questionnaire.

Four questions in the school questionnaire were related to the socio-economic status of the home. They related to the condition of the home environment of the students, the condition of nutrition and apparel of students, the geographical surrounding of the school, and the occupational class of the majority of parents. Criterion scores from these five sources were averaged after weighting the State Department estimates by two, yielding an indicator of Socio-Economic Status.

Family Stability

Two items from the school questionnaire provided information on Family Stability. The principal estimated the percentage of students transferring out and transferring into the area served by the school. These two criterion scores were averaged, yielding an indicator of Family Stability.

Family Expectations

Principals responded to two items from the school questionnaire related to family expectations. The items were couched in terms of common teacher

complaints and the principal commented on the degree to which the complaint characterized the school setting. The items were: The parents put too much pressure on the students for good grades; the parents don't take enough interest in their student's work. The two criterion scores from these items were averaged to yield an indicator of Family Expectations.

APPENDIX B
School Identification System

<u>School Identifier #</u>	<u>Assigned Letter</u>
39	A
21	B
86	C
89	D
64	E
85	F

APPENDIX C

The Norm Checklist

Directions: Check any Norm occurring in your school.

- ☐ 1. Students read during designated periods of the week.
- ☐ 2. The principal and teachers establish an atmosphere of discipline and order when students enter and leave the building.
- ☐ 3. "We never 'write-off' or give up on a student due to poor family background."
- ☐ 4. Students should always be told whether their answers are right or wrong.
- ☐ 5. The principal's responsibility is to make the educational environment as conducive as possible to learning in the classroom.
- ☐ 6. The goals of student achievement are stated in specified, behavioral objectives. Example: by end of grade three, 95 percent of students should be able to get 90 percent correct in word recognition. (Excluding certified learning disabled.)
- ☐ 7. If students are not learning, it is the school's responsibility to improve learning.
- ☐ 8. If students are not learning but trying, it is the school's responsibility to improve learning.
- ☐ 9. To improve and maintain a proper learning climate, teachers are expected to do certain, specific things. Examples are:
 - A. being on time
 - B. change bulletin boards monthly
 - C. lesson plans

- ☐ 10. The principal and teachers share high expectations for students' learning in that there is always a need for improvement.
- ☐ 11. Classroom discipline is the responsibility of that teacher. The principal should be brought in only when absolutely necessary.
- ☐ 12. "Everyone here does the job or does not stay. If you do not perform after all the help we offer, you are out. But there is nothing we would not do for a teacher within our ability."
- ☐ 13. Certain student behavior (however specified) is not to be tolerated by either principals or teachers.
- ☐ 14. All events should start promptly.
- ☐ 15. "We are here to use as much class time on learning tasks as possible."
- ☐ 16. The principal should spend as much time as possible in the classroom helping teachers.
- ☐ 17. The principal should support teachers even if that means trouble from the central office. Example: No student should get special treatment just because his father is on the board.
- ☐ 18. To improve the school, the principal often takes both the initiative and responsibility in making unilateral decisions.
- ☐ 19. "We expect success from our students and we give them immediate praise when they are right."
- ☐ 20. "Lack of effort by any student is not to be tolerated."
(Excluding certified learning disabled).

- ☐ 21. The emphasis a principal places on student achievement affects teachers' performance in classrooms.
- ☐ 22. The principal can increase a teacher's desire to improve student achievement by setting the model for teacher behavior.
- ☐ 23. The principal can increase teachers' self concept of their ability to improve student achievement.
- ☐ 24. Principals and teachers together set behavioral learning goals for students.
- ☐ 25. The principal should provide as many things as possible to facilitate the attainment of these goals.
- ☐ 26. The principal has defined and identified what good teaching is, and communicates this to teachers in the classroom.
- ☐ 27. The principal will back the teacher (example, if parents question grades) if the teachers have sufficient (e.g. 8-10) grades for each student per grading period.
- ☐ 28. (The principal says): "There is a correct routine for many things in this school. This is exactly the procedure for our reports (of whatever kind).
- ☐ 29. Let's try to interrupt instructional classroom time as little as possible.
- ☐ 30. Unless there has been a "major transgression" (like failure to use school norms) it is the principal's responsibility to defend the teacher.
- ☐ 31. All children shall be maintained in regular programs to the greatest possible extent.

- ☐ 32. Physical punishment should be used only as a last resort.
- ☐ 33. Teacher planning and curricular improvement are essential to effective teaching.
- ☐ 34. A teacher's responsibility and commitment extends beyond the official school hours.
- ☐ 35. Teachers should take advantage of resource persons and teacher centers to help them provide learning paths for all students.

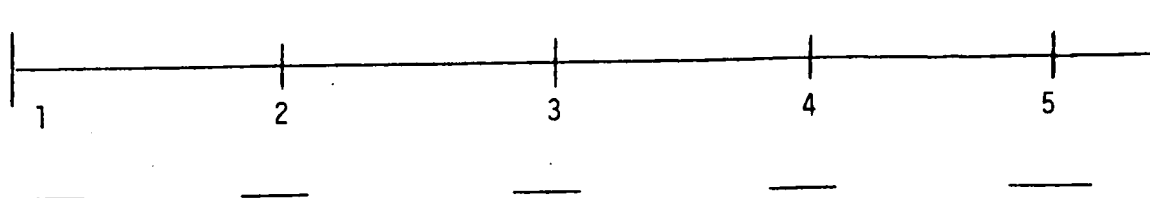
APPENDIX D

Principal Questionnaire: Teachers

1. How do you perceive your role regarding decision making with your teachers in these areas? (Mark 1-5)

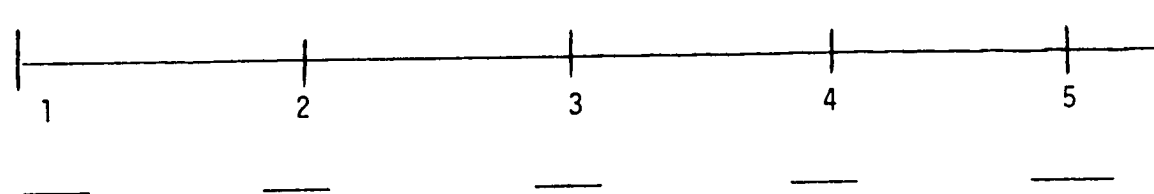
i. Selection of instruction materials?

*Fully partici- patory	Decision delegated to committee of teachers	Principal- teacher committee	Gets teacher input but makes final decision	Principal makes decisions
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ii. Planning, coordinating, sequencing school-wide programs?

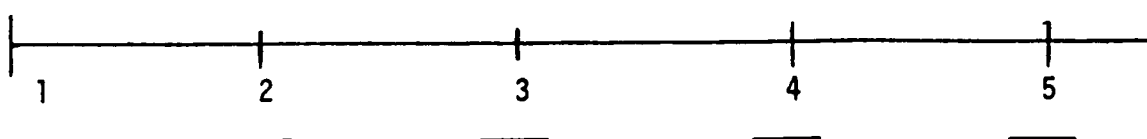
*Fully partici- patory	Decision delegated to committee of teachers	Principal- teacher committee	Gets teacher input but makes final decision	Principal makes decisions
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*Principal and teachers make decisions together.

iii. Evaluating quality of classroom instruction of
individual teachers?

*Fully participatory	Decision delegated to committee of teachers	Principal- teacher committee	Gets teacher input but makes final decision	Principal makes decision
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2. Have you coordinated and sequenced student goals school-wide in specified, learning outcomes? Example: At end of third grade, 80 percent of students will be able to add 3 single-digit numbers.

Yes _____

No _____

If yes, please explain: _____

3. How many hours a week (in any capacity) does your principal average interacting with teachers? _____

4. How many classroom visits (for any reason) does your principal average each year for each teacher? _____

5. On the average, how do you perceive your principal spends his/her time in school (in percent of total time)?

a. _____ Administrative

b. _____ Central Office

c. _____ Working with teachers to improve instruction

d. _____ Working with students

e. _____ Working with parents

f. _____ Other _____

Total 100%

6. To what extent do you think that a teacher's attitude towards his/her students affects student's academic achievement?

- _____ 1. They have a great deal of effect on student achievement.
- _____ 2. They have substantial effect on student achievement.
- _____ 3. They have some effect on student achievement.
- _____ 4. They do not have much effect on student achievement.
- _____ 5. They have no effect at all.

7. To what extent do you think the degree to which their students achieve grade level in reading should be considered in evaluating a teachers' competence? (Assume all teachers in a given grade have students of equal ability. Certified learning disabled students excluded.)

- _____ 1. Strongly Agree
- _____ 2. Agree
- _____ 3. Not Sure
- _____ 4. Disagree
- _____ 5. Strongly Disagree

8. It is the principal's responsibility to work with the teachers to ensure that their students achieve at grade level (or by whatever standard has been set by the school or system.)

- _____ 1. Strongly Agree
- _____ 2. Agree
- _____ 3. Not Sure
- _____ 4. Disagree
- _____ 5. Strongly Disagree

9. If the teachers in this school were all doing their jobs well, the students, regardless of socio-economic status, could achieve at grade level in reading. ("Grade Level" defined by standardized achievement test. Certified learning disabled students excluded.)

- _____ 1. Strongly Agree
- _____ 2. Agree
- _____ 3. Not Sure
- _____ 4. Disagree
- _____ 5. Strongly Disagree

10. It is possible for a school, with cooperation between principal and teachers, to change a low achieving school into a high achieving school (regardless of socio-economic status. Certified learning disabled students excluded.)

- _____ 1. Strongly Agree
- _____ 2. Agree
- _____ 3. Not Sure

- _____ 4. Disagree
- _____ 5. Strongly Disagree

11. Socio-economic status generally determines student achievement.

- _____ 1. Strongly Agree
- _____ 2. Agree
- _____ 3. Not Sure
- _____ 4. Disagree
- _____ 5. Strongly Disagree

APPENDIX E

Appropriate References for the Norm Checklist
and Principal Questionnaire

THE NORM CHECKLIST

1. Benjamin (1981).
2. Brookover et al. (1979).
3. Weber (1971).
4. Brookover et al. (1979).
5. Doll (1969).
6. Wellisch et al. (1978); Venezky and Winfield (1979).
7. Leif Ericson School, Exceptionality on Urban (Title I) (1979).
8. Pilot test of the Norm Checklist (June, 1981).
9. Leif Ericson School, Exceptionality on Urban (Title I) (1979).
10. Brookover et al. (1979); Levine (1966); Benjamin (1981).
11. Brookover et al. (1979).
12. Levin (1980:18).
13. Brookover et al. (1979).
14. Rutter et al. (1979).
15. Brookover et al. (1979); Wellisch et al. (1978).
16. University of Indiana Review, 1979, as quoted by Benjamin (1981).
17. Doll (1969); Miskell (1977).
18. University of Indiana Review, 1979, as quoted by Benjamin (1981); Wellisch et al. (1978); California School Effectiveness Study (1977); Doll (1969).

19. Rutter et al. (1979); Brookover et al. (1979).
20. Brookover et al. (1979).
21. Adkinson (1974); Matthews (1974).
22. Clark et al. (1980).
23. Matthews and Brown (1976).
24. Wellisch et al. (1978).
25. Lortie (1975).
26. Wynne (1981).
27. Crowson and Porter-Gehrie (1981).
28. Leif Ericson School, Exceptionality on Urban (Title I)
(1979); Levin (1980); Benjamin (1981).
29. Lortie (1975:177).
30. Crowson and Porter-Gehrie (1981).
31. Pilot Test of the Norm Checklist (June, 1981).
32. Pilot Test of the Norm Checklist (June, 1981).
33. Pilot Test of the Norm Checklist (June, 1981).
34. Pilot Test of the Norm Checklist (June, 1981).
35. Pilot Test of the Norm Checklist (June, 1981).

PRINCIPAL QUESTIONNAIRE

1. Wellisch et al. (1978:216-217).
2. Matthews and Brown (1976).
3. Wynne (1981).
4. Brookover et al. (1979:193).
5. Brookover et al. (1979:190).
6. Brookover et al. (1979:196).
7. Brookover et al. (1979:193-194).

8. Brookover et al. (1979:196).
9. Wellisch et al. (1978).
10. Brookover et al. (1979:196).
11. Brookover et al. (1979:191).

APPENDIX F

Schedule of Data Collection

Day One	Letters in teachers' mailboxes Meet with principal Introduction meeting with principal/teachers Distribute forms Narrative
Day Two	Narrative The teachers' meeting Principal meeting Biographical data Context variables
Day Three	Narrative Principal meeting Interview Motivation form Consensus form Questionnaire (15-16) Collect forms

Appendix G

Collapsing of Categories of
Norm-Setting BehaviorPhase One: original 24 categories

Resource Provider (Professional Needs)	Insistency
Resource Provider (Personal Needs)	Appeal to Professionalism/ Persuasion/Professional Trust
Human Relations	Mediator
Direct Exchange	Replacement of Teacher
Teacher Decision-Making	Recruitment/Selection of Teachers
Modeling	Normative Distribution of Resources
Use of Workbook Series	Teacher Peer Pressure
Reinforcement	Professional Trust
Coercion	Empathy for Teachers
Consistency	Manipulation
Teacher as Go-Between	Authority of Position
Fear	Pressure

Phase Two: collapsed from 24 categories to 16 categories

Resource Provider (Personal) into Resource Provider

Coercion, Fear, Pressure, Insistency into Authority of Position

Consistency into Human Relations

Professional Trust into Appeal/Persuasion

Empathy for Teachers into Human Relations

Phase Three: Collapsed from 16 to 13 categories

Direct Exchange into Appeal/Persuasion

Manipulation into Mediator

Reinforcement into Human Relations

Final Categories:

Appeal/Persuasion

Authority of Position

Human Relations

Mediator/Manipulator

Modeling

Normative Distribution of Resources

Recruitment/Selection of Teachers

Replacement/Transfer of Teacher

Resource Provider

Teacher as Go-Between

Teacher Decision-Making/Input

Teacher Peer Pressure

Use of Workbook Series

APPENDIX H

Descriptors for Categorization of
Principal Norm-Setting Behavior

Appeal/Persuasion	Principal appeals to professional standards: Isn't this what a good staff should do? (Teachers comply when convinced their psychic needs will be met.) Or principal persuades teachers that compliance is in their best interests.
Authority of Position	Principal pulls rank (acts like the boss) to get teacher conformity. Teachers conform because the principal uses fear, pressure, and unilateral decision making as s/he is responsible for school's performance.
Human Relations	The principal relates in ways that make teachers WANT to comply: They like their principal, his attitude, and how s/he treats them. In doing this, principals set up expectations by believing and assuming the best of teachers.
Mediator/Manipulator	Principal acts as a valve or pivot to channel feedback among parents, students, central office and community; s/he knows when to pass feedback along and to whom. Principal gives teachers the impression they set norm when, in fact, the principal initiated it.
Modeling	There are two types: A conscious effort. Look I'm doing it, certainly I can expect you to do it. The second type is an unaware effort that is communicated through interactions with teachers, who then do the same thing.
Normative Distribution of Resources	Principal takes care of teachers doing good job (defined by norms). Principal consciously or unconsciously withholds resources from teachers not conforming to norms.

Recruitment/Selection of Teachers	Despite being in a lower hierarchal position, the principal is able to gain a relatively free hand from the central office in getting good teachers. Also the school can establish a reputation throughout the school system for having hard-working teachers; therefore, teachers transferred for perceived incompetency do not want the central office to send them to this school.
Replacement/Transfer of Teachers	Principal replaces teacher who cannot (or will not) conform to norms.
Resource Provider	When teachers need things, the principal delivers. Resources are anything the principal can use to satisfy teacher needs: teaching materials, meeting student discipline and personal needs, protection from parents, organizational maintenance, teacher personal needs such as sick leave, etc.
Teacher as Go-Between	Principal uses a teacher to convey verbally or through modeling the former's norm setting expectations in situations where s/he might be perceived as over-stepping his/her authority.
Teacher Decision Making/Input	The teachers, in varying degrees, help in deciding upon a norm (understood here is the maxim that teachers will tend to comply and conform to a norm they help set). The principal elicits teacher input, thereby hoping to get consensus to a norm.
Teacher Peer Pressure	Teachers know their best group interests and pressure the few non-complying teachers to conform to a norm. (The principal is aware of this process and knows when not to interfere with this process.)

Use of Workbook Series Workbooks provide quantitative specification of teacher performance expected by the principal, parents, and teachers. Workbooks also can clarify, sequence, and coordinate grade objectives on a school-wide basis.

VITA

John Lincoln Keedy was born in Chicago, IL (June 20, 1944). Having attended Hebron Academy (ME), Mr. Keedy graduated from Brown University (1966) with an A.B. in the Classics which he taught for five years. He then obtained a M.A.T. in History, also from Brown (1972) and continued in teaching.

In 1975 Mr. Keedy entered the light construction business in Boston, MA. During this three-year period, he also participated in the establishment of a private school for learning-disabled children (Newton, MA).

In 1979 Mr. Keedy entered the Doctoral Program in Educational Administration and Supervision at The University of Tennessee, Knoxville. During this program, Mr. Keedy-- from 1979 to 1981--has had two internships at T.V.A. and the central office, Knox County, collaterals in urban planning and curriculum/instruction, and an assistantship at The School Planning Laboratory. This gentleman has also served on a Knox County committee for personnel evaluation and participated in writing a desegregation grant (Cleveland, OH). Hitherto he has had two articles published.

In 1981 Mr. Keedy--in an existential search for verisimilitude--began a study on principal effectiveness, a component of which was used for this dissertation.

Mr. Keedy--while writing articles for publication--
now undertakes the search for employment. Gaudeamus igitur,
iuvenes dum sumus. . . . *

*Let us enjoy ourselves while we are young.