School Leaders The Qualities

by Umiati Jawas

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SCHOOL LEADERS

The Qualities

Umiati Jawas, M.Sc

CHAPTER ONE

A School Leader: A Visionary Leader

"... powerful leaders of the past and present were dreamers and visionaries. They were people who looked beyond the confines of space and time to transcend the traditional boundaries of either their positions or their organization".
(Roueche et al. 1989: 109)

Introduction

Among the qualities of future leaders, whether they are school leaders or leaders of any other kinds of organization, being a visionary is one of the most fundamental and powerful attributes and it, in one form of another, is part of almost all leadership theories and there is a substantial literature devoted to this attribute explaining why it is important and advocating greater use of it by those exercising leadership. Yet vision or being a visionary is unlikely to have significant influences unless there is also strong, extensive commitment to this attribute that is shared with and supported by all of the constituents. In educational setting, there have been research results that showed significant and potential impacts of this communal commitment to vision on teachers' individual and collective learning and teachers' opinions concerning the extent of their students' learning. Considering the benefits that can be achieved, it is simply reasonable to say that building and sustaining shared vision among the constituents under his or her leadership should be one of the main priorities of a school leader.

Vision and Leadership

Vision holds the fundamental function in the implementation of leadership. Vision energizes people; it thrives and bonds people's commitment and enthusiasm. Vision sets the direction and becomes the guide path in reaching the educational objectives. Vision is the golden thread that unites people and synchronizes their thoughts and actions. Vision puts people on the same perspectives. It is the source of enlightenment that heightens people's motivation and morale. Since vision sets school direction toward the accomplishment of its educational objectives, the absence of it equals to the absence of direction and with no direction to go to school will go nowhere. This stagnation will undoubtedly have bad consequences on public trust on school accountability. Different from other organizations, school is an organization whose survival almost entirely depends on public support. Once a school lost its public support, it would not exist longer. When a school is perceived to be dead, public's support for and expectation of it will also decease.

Vision Building Practices

The key point of vision building is that it should be a shared vision. It will be worthless when vision is deemed to be personal property of the leader or when vision is perceived as a mandate from the authority. Once vision lacks its attribute as a united and shared vision it will not capture the commitment and enthusiasm of the entire members and it will turn out into a superficial

catchphrase with no meaning at all to both the leader and the members. However, it does not mean that shared vision should be a product of collective contemplation that involves all and every member nor does it mean that everybody has to have a share in its composition. The emphasis is that the process of vision building and its outcomes should be transparently and effectively communicated to all members. It should be open to critique and review by members. Shared vision should be a clear picture of what all the constituents believe and praise to be their working principles and values. It should be able to make school constituents feel it as their prestigious personal possession.

A school leader who assists his or her constituents in identifying and articulating a vision engages in behaviors aimed at identifying new opportunities for his or her organization (school) and developing, articulating, and inspiring others with his or her vision of the future (Podsakoff et al. 1990:112). From all of the categories of vision building practices, there are some general but essential ideas of vision building summarized as follows;

1. Vision building deals with setting direction, developing consensus about goals, and creating high performance expectations. It can be inferred from this statement that vision functions itself as the path to achieve shared objectives to accomplish outstanding outcomes from those who exercise the vision.
2. To drive an organization toward excellence and long-range success vision needs to be attractive, worthwhile, and achievable. In this perspective vision should be constructed in a realistic way to assure that it will not turn out as an idealistic slogan that is hard to be measured and obtained.
3. Vision should have practical values in it so that it can be applied to achieve the stated objectives.
4. As a school is as a learning organization, vision needs to be formulated based on the assumptions and beliefs about the nature of learning, about the essence of human being, about the nature of human society, and about the purpose of schooling (Starratt, 1995: 16). This statement indicates that the formulation of vision in school setting should be firmly founded on sound knowledge and good understanding of pedagogic and psychological aspects of learning process.
5. Vision also needs to be expressed in institutional structures; it is institutionalized in everyday life of school, embedded into the policies, programs, and procedures that channel the everyday energies of people in a common effort and it needs to be continuously renewed and restructured (Starratt, 1995: 15).This idea emphasizes on the importance to implement and integrate the formulated vision into the everyday activities of school. It can synchronize the actions of the constituents and it can assure that all actions

are conducted in line with the objectives stated in the vision and geared toward its accomplishment.

The Role of a Visionary School Leader

Obviously the role of a leader in building shared vision is important. The real source of a leader's power is not in the leader's person or position; it is in the vision that attracts the commitment and enthusiasms of people and the point of leadership is not to get people to follow *me;* rather, the point is to get everyone jointly to pursue a dream, an idea, a value by which to make a contribution to the world and realize each person's highest human potential (Starratt, 1995: 16). A leader realizes that all persons are important and understands their absolute value. Therefore, a leader should treat his or her people as subjects and as ends in themselves, not as a means to some organizational goals (Starratt, 1995: 16). As teachers and students are the core members of a school, a school leader needs to understand and respect their potential and personal values and provide them with a supporting and enriching environment for the maximum growth of their human and intellectual potential. A school leader is responsible for nurturing and sustaining a vision that supports the belief of students and teachers in their personal values, talents and abilities and makes it as the driving power in attaining the ultimate goals of schooling and education.

Fundamental to the concept of shared vision is the ability of a school leader in cultivating action in common among school constituents or, in other words, it deals more with their collective relationship and its purposes. In the efforts to do so, a school leader needs to promote mutual trust, openness, and affirmation that are the basic elements in building strong, positive, and productive relationship (Donaldson 2001: 47). People are pulled together when they can sufficiently feel that they can trust each other. Trust bears confidence in and respect to each person's qualities and abilities, which are significant in the implementation and accomplishment of collective purposes. Trust activates people and accelerates their collective efforts. Principals, teachers, or school staff who foster these relationships more visibly and pervasively among staff, students, and community are often more recognizable as leaders (Donaldson 2001: 47). Every person who shares the trust, openness, and affirmation that mobilizes, to some degree, is a leader (Donaldson 2001: 47).

Elements of Leadership

The ideas on the preceding paragraph reemphasize the basic element of leadership as relational and not a solitary endeavor. In his or her book "*Cultivating Leadership in Schools: Connecting People, Purpose, and Practice*" Donaldson proposed three dimensions of

leadership: relational, purposive, and action (2001:52). Although these three dimensions are inseparable and indispensable in cultivating stronger leadership, the first element, relational, is the most determinant factor. It determines the emotional and interpersonal connections toward collective effort (Donaldson 2001: 53). Leadership is not likely to come to fruition until those who lead attend to the group's relationship issues and questions about their ability to act productively together (Donaldson 2001: 53). Leadership does not reside in the individual; it resides in the interpersonal networks among the members of the group (Donaldson, 2001:7). The ideas above emphasize that tending to healthy, positive, and productive relationship is another virtue in building shared vision and promoting successful and quality leadership. A school leader should highlight the interdependent aspects of his or her people and of their works and give attention and importance to interpersonal matters among school members. If leadership is to thrive, the relationship among school members must be sufficiently strong to withstand the stresses and to seize the opportunities the school will encounter (Donaldson 2001:57). When interpersonal relationship is stronger and when people have more constructive opinions toward each other's human and intellectual potential, they will be more adherent and committed to their collective vision and more highly motivated to accomplish their collective purposes.

Communication and Group Network

In establishing positive and productive interpersonal networks or relationships, communication plays major role. When communication flows easily back and forth among members including with the formal leaders, people share information and this ease of communication gives meaning to their personal contacts and increases the trust among them. Relationships can grow best when people can interact directly with one another without any position or structural barriers between them. In contrary, bad communication will not only damage the quality of the communication but it also decelerates and deteriorates the collective efforts of an organization in accomplishing its objectives as stated in its collective vision.

The Importance of Effective Communication

Effective communication is important in today's schools. Through effective communication, relationships are built, trust is established, and respect is gained (Green, 2001). When the leader is an effective communicator, the vision and mission of the school can be effectively shared with staff, parents, students, and the larger community. In the areas of leadership there is no talent more essential than one's ability to communicate (Guarino, 1974:1). Communication is the

lifeblood of the school; it is a process that links the individual, the group, and the organization (Lunenburg & Ornstein, 1996:176).

In the daily operation of the school, leaders not only communicate messages but they receive, monitor, and seek the messages. Studies indicate that school leaders spend up to 80 percent of their time involved in communication with other members of the organization, parents, and members of the community (Sobel & Ornstein, 1996). Therefore, an efficient and effective school operation depends on the leader's ability to communicate with people. A leader who is sensitive and uses reliable network of communication patterns with which members of the organization are familiar and comfortable is not only likely to be effective but he or she will also transform the climate of the school into a pleasant place to work (Green, 2001).

The Communication Process

The communication process involves transmitting information from a person (the sender) to another person or groups (the receivers) and may occur verbally and nonverbally. When a message is transmitted using spoken language or involving the use of words, oral or written, is considered verbal. However, when message is transmitted without the use of words, this communication is considered nonverbal. Nonverbal behaviors are very important to the communication process, for more than half of what is communication is conveyed through body language (Sobel & Ornstein, 1996). The manner in speech, the tone of voice, hand movements, eye movements, and facial expressions are all actions that help to convey a message.

Transmitting the Message

In transmitting the message, the leader must realize that meaning is not in the words of the sender but rather in the mind of the receiver. Meaning is not transmitted; the receiver gives the message meaning (Green, 2001). The receiver gives meaning to the message based on his or her background, knowledge, experience, values, and prior observations. Because of differences in these areas, the same words hold different meanings for different people. Considering this factor, the sender must strive to encode the message, using symbols that will be the most familiar to the receiver. The greater the agreement regarding the meaning of the symbols, the greater the probability of understanding existing between the two parties when the receiver decodes the message (Gibson, Ivancevich, & Donnelly, 1976). The agreement on the meaning of the message can be enhanced through two-way interactive forms of communication and

repetitiveness. It is advisable in most school situations to use multiple forms of communication, as repetitiveness improves effectiveness.

To achieve an effective communication a school leader must be available, approachable, and able to listen intelligently and carefully to others, conveying the feeling that he or she is concerned about them as the situation that is being addressed. A school leader must be attentive to both the content of the message and the feelings of the sender. To be an effective communicator the leader must be an active listener, acquiring the total meaning of the message and observing the underlying feelings of the message, while noting and being sensitive to all verbal and nonverbal clues displayed by the sender. One way for a leader to become an active listener is to view communication as a people process, rather than a language process (Gibbs, 1995), and develop a clear understanding of the networks used in a social system to transmit messages (Green, 2001).

Transmitting Messages in a Social System

Information in school is transmitted through formal and informal networks (Green, 2001). Formal networks are the means of transmitting messages sanctioned by the organization in accordance with its hierarchy. Informal networks emerge as individuals in the organization interact with each other in ways that do not reflect the organization's hierarchy. The leaders must be knowledgeable of both networks and recognize that the network being used to transmit information is essential to goal attainment.

Both networks have their place in the organization and if, effectively utilized, can enhance communication. However, the informal network, often referred to as the grapevine, does have some negative features, of which the most noted are distortion and rumors (unsubstantiated information). When the needs of faculty and staff are not met, rumors tend to spread and may signify that the leader is not meeting the informational needs of the faculty and staff. Although it is somewhat difficult and may be virtually impossible for a leader to eliminate all rumors, his or her knowledge of them can prove to be very beneficial. The positive aspects of the grapevine are flexibility and speed in disseminating information. If used in a positive manner, the grapevine can help keep subordinates informed, give administrators insight into subordinates' attitudes, and provide a test arena for new ideas. However, in a school system, the objective of communication process is to provide a means for the flow of information so that activities regarding goal attainment can be coordinated.

The Flow of Communication in Schools

Communication in schools or school district flows in several directions: downward, upward, horizontally, and diagonally. Downward communication often involves sending messages down the chain of command of the hierarchical structure. This communication is used to keep employees informed, provide a sense of mission, impart information to subordinates regarding their performance, and orient new employees to the system. Upward communication occurs when individuals in subordinate roles send messages up the chain to their superordinates. Upward communication is usually the response to the messages that have come down the chain of command. This communication is the most prone to filtering (sharing only select portions of a message). Sometimes subordinates resist providing leaders with unpopular or negative information. In this case, there is a breakdown in communications as the message is modified, and the leader is only provided information subordinates believe will be well received (Barge, 1994).

When individuals communicate with other individuals of the same status in the organization, horizontal communication is occurring. If individuals at one level in the organization communicate with individuals at another level in a different division or department, then the communication flow is considered diagonal. Communication in an organization can also be described as vertical which describes a pattern that focuses on combining upward and downward communication, making leaders more visible through face-to-face contact. It is the effective flow of communication in schools that provides task coordination and furnishes emotional and social support among peers.

Reducing Barriers to Communication

Leader can remove barriers, prevent breakdowns in communication, and improve communication effectiveness by: 1) establishing effective interpersonal relationships, 2) managing position power, 3) acquiring feedback, and 4) displaying empathy. Using these strategies, the leader can safeguard against communication barriers while benefiting from a variety of ideas, values, cultures as he or she works to influence the type of school climate that enhances decision quality and acceptance.

Interpersonal Relationships

To effectively administer the school, leader is expected to interact and communicate with individuals inside the school, as well as in the larger school community. Therefore, interpersonal relations skills are very important, and

barriers in this area certainly should be removed.

The interpersonal style of the parties in a relationship can be a significant determinant of the quality of the relationship. The manner in which individuals interact creates an emotional climate that characterizes their interaction and determines whether or not communication problems emerge (Rogers & Farson, 1995). For example, if the principal has a poor relationship with teachers, and they do not respect his or her judgment, the quality of the information he or she receives from them may not be sufficient to adequately address school issues. The quality of decisions, to a large extent, depends on the information used to make them. Poor information results in poor decision quality. Therefore, the leader cannot afford to have poor interpersonal relations with his or her faculty. Interpersonal relationship in school has greater effect on the quality of life in that school than the relationship between teacher and principal (Barth, 1990).

Position Power

Another factor that leaders must considerate is the position that he or she holds and the power (position power) that is associated with that position. Because leaders are in a position to reward or punish, individuals will sometimes refrain from providing them information, or at least, they will filter the information if it is negative. When one holds power over another (status difference), there is the possibility that fear can be invoked. It is extremely difficult to have a high level of quality in the organization when people are afraid (Deming, 1986). Leaders must realize that everyone in school has some type of power (expertise, charismatic, or position) and can use that power to negatively or positively influence the attainment of school goals. The leader have to place himself or herself in a collaborating position in order to influence and facilitate the implementation of a vision of learning that is shared and supported by the entire school community (ISLLC, 1996).

Acquiring Feedback

The leader can reduce the possibility of position power interfering with effective communication by creating the type of support environment. The support environment that school can provide is to make it as a learning organization. Learning organizations are places where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are

continually learning how to learn together (Senge, 1990). In a learning organization, the climate and culture are such that individuals feel valued, respected, and appreciated. The leader facilitates team learning, and the communication process fosters full participation, with everyone feeling a sense of importance relative to making a contribution to organizational growth. Such environment promotes effective communication because there is a feeling that individuals listen to one another, welcome comments, and respect and appreciate each other. In this type of environment, leader can anticipate meaningful feedback regarding his or her behavior.

Feedback is literally defined as the information provided to the sender by the receiver conveying how the message was received and acted upon (Cusella, 1987). It is a process that can be used to give individuals and groups important information about their level of performance, and its skillful use is critical to leader's successful management of relational obstacles (Barge, 1994). It is also important in defining roles, motivating and empowering individuals, and managing conflict. Feedback can involve the leader in actively seeking opinions and concerns of followers and in providing a comfort level for the followers to express their true feelings regarding the message being communicated. However, feedback can have meaningful contribution if there is a climate that advances a sense of equity, allowing participants to feel trust, acceptance, and warmth.

Displaying Empathy

Individuals are less likely to communicate openly when others especially leaders convey a feeling of superiority in position, power, wealth, and intellect or arouse some type of defensive position. Such defensive actions interfere with the communication flow, making it difficult for the leader to move the agenda effectively, solve problems, and make decisions using the best data available. Subordinates tend to be receptive to leaders who display empathy in communication process. Empathy is best described as the ability of the sender of a message to put himself or herself in the position of the receiver (Stech, 1983). An important aspect of empathy involves conveying to the receiver that his or her feelings are acknowledged and understood and that both the meaning and feeling behind what is being said are appreciated. It is a way in which the leader can demonstrate a spirit of genuine respect for the potential worth of the individual, conveying the notion that the individual has rights and can be trusted to be self-directed. Most definitely, a leader in a learning community would be an individual who showed empathy in appropriate situations.

CHAPTER TWO

A School Leader: A Cultural Leader

"... the only thing of real importance that leaders do
is to create and manage culture and
... the unique talent of leaders is their ability to work with culture"
(Schein 1985: 5)

Introduction

Another most important asset of future leaders, in addition to being a visionary, lies on his or her ability to deal with culture. In educational leadership, it deals with the ability to reshape culture toward an ethos of excellence and make quality an authentic part of the daily routine of school life (The Jossey-Bass Education Series 2000: 203). This conception gives birth to another feature of quality educational leadership: cultural leadership. This conception is mainly based on the assumption of the interconnectedness of leadership and the development of human resource.

The central point of cultural leadership is on the maximum development of human potential through the effective use of organizational resources and leadership knowledge and skills (Weller et al, 2000: 3). The development of cultural leadership in schools is essential for achieving quality outcomes and maximizing human potential (Weller et al, 2000: 3). The development of cultural leadership requires an understanding that managing people requires different skills and knowledge and it requires the ability to put this understanding into action through leadership, and the leader who is successful does this through the building and sustaining of culture (Weller et al, 2000: 4).

Defining Culture

Culture is formed as school deals with two major problems: external adaptation to respond to the demands of the external environment, and internal integration in blending the efforts of individuals inside the school so that there is a coherent set of behaviors (Schein, 1992). According to Schein (1992), culture is a pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid, and therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to these problems. School culture is not something mandated; rather it is constructed by teachers, administrators, students, and parents in ways that enable them to make sense of the school's predictable and unpredictable features and it becomes the ways of addressing external demands and develop particular patterns and reasons for behaving (Schein, 1992).

School culture consists of three main parts: artifacts and behavior norms; values and beliefs; and basic assumptions (Schein, 1992). Artifacts include such features as jargon, metaphors, myths, stories, heroes, ceremonies, rites, and rituals used by teachers, students, administrators, and parents to describe,

understand, and replicate school behavior and norms. Values and beliefs of a school's culture provide the reasons behave as they do and influence the artifacts and norms. Assumptions provide the underlying basis for our actions, beliefs, and values. As school culture becomes embedded, these assumptions are rarely acknowledged (Schein, 1992).Culture is an important factor in the stability and effectiveness of schools. School culture is necessary for the school to maintain a sense of oneness in the way individuals behave and believe in the organization (Crow et al, 1996).

Creating Culture

Although several sources of organizational culture exist, by far the most discussed source is the founder(s). "Founders and other dominant, early organizational leaders seek out and attract people who share their views, values, beliefs, and assumptions and, through the force of their personalities, further shape the culture" (Ott, 1989). While creating culture, leaders establish a set of values, beliefs, and assumptions and inspire followers to live by them. If the assumptions turn out to be wrong for example they do not enable followers to make sense of their work, the group fails. If the assumptions are right, a powerful culture develops.

Principals are seldom the founders of a school, creating a new culture. Most principals inherit a school with an embedded culture and their role becomes one of maintaining or changing the culture. In these cases, the types of teachers and students recruited, the particular features of school life to which the principal pays attention, and the ways they react to crises help to create an organizational culture.

Principals attempt to influence teachers, students, and parents, persuading them that the assumptions on which the school is built are correct and will provide meaning to teaching and learning. Recruiting, hiring, attending to, rewarding, providing resources, and modeling serve as "power resources" for influencing others to embrace a set of norms, values, beliefs, and assumptions (Crow et al, 1996).

Maintaining Culture

Once teacher, administrators, students, and parents agree that the assumptions, values and beliefs are successful in solving the school's internal and external problems, the leadership role of the principal moves to maintaining this culture (Crow et al, 1996). This role of maintaining culture involves three audiences:

internal veterans, internal newcomers, and external constituents (Crow et al, 1996). Leaders maintain culture by influencing those individuals who are veteran group members to "keep the faith"—abide by the norms of the school's culture. Leaders use rituals, ceremonies, stories, and other artifacts to reinforce the values, beliefs, and assumptions of the shared culture.

The second audience to which principals as leaders address the maintenance of school culture are newcomers. The leader's role involves socializing new members to the norms, values, beliefs, and assumptions of the school's culture. This occurs first through the recruitment and selection of teachers who already possess some values and beliefs held sacred by the school. Yet the socialization also occurs after entry to the school by using artifacts, i.e., stories, rituals, ceremonies, language, etc. Understanding the socialization process of newcomers helps principals to understand the culture's features transmitted to them. However, what new members are taught are only surface aspects of culture. "The heart of a culture…will only be revealed to members as they gain permanent status and are allowed to enter the inner circle of the group, where group secrets are shared". A major complaint of new teachers in their difficulty in uncovering the "secrets" of how things are done in the school.

The third audience to which leaders must attend in maintaining the culture is external—those individuals outside the organization who are nevertheless related to it. This may include central office administrators, government officials, community leaders and political interest groups. The principal is responsible for communicating the norms, values, beliefs, and assumptions of the school's culture to these individuals and groups to ensure their understanding of and enlist their support for the meaning behind the school's activities. This becomes especially important when external constituents change, e.g., a new superintendent, new government officials, or a new, highly-visible, political group (Crow, 1996).

Changing Culture

In addition to creating and maintaining culture, leadership involves changing culture. The two major reasons why cultures need to change reflect the two primary organizational problems: external adaptation and internal integration. First, when environmental demands on the school change and the school's culture is out of step with these demands, cultural change is necessary. "Internal dissent can be forgiven, but a leader who fails in the external functions is abandoned, voted out, or gotten rid of in more dramatic way". The external environment confronting contemporary schools is an excellent example. This

environment has undergone rapid and fundamental change in terms of student population, technology, and democratization. Thus, principals and teachers struggle with cultural assumptions about students learning and school governance.

Change culture also becomes necessary when internal integration breaks down, for example, when morale is low or when individuals perceive that power is distributed unfairly. When groups within the school hold different and opposing values and beliefs, there is little sense of shared community. In these instances, principals must use their influence with followers to reinforce the current set of values or perhaps support cultural change.

The Dark Side of Culture

We have celebrated the positive side of culture in terms of the advantages of shared values, norms, and beliefs. But, as Sergiovanni as quoted by Crow (1996) maintains, cultures have a "dark side". He quotes Karl Weick, "strong cultures are tenacious culture. Because a tenacious culture can be a rigid culture that is slow to detect changes and opportunities and slow to change once opportunities are sensed, strong cultures can be backward, conservative instruments of adaptation".

Sergiovanni (1995) suggests two possible results of the dark side of culture. First, cultures may create the inability to perceive clearly what is real in both the organization and the environment. ".....the presence of a strong norm system in a school can collectively program the minds of people so that issues of reality come into question. If this is carried to the extreme, the school might come to see reality in one way but its environment in another". Second, strong cultures can result in group members becoming less rational in their actions. In both instances, principal leadership is critical in providing disconfirming evidence, i.e., information that contradicts the shared vision of school members regarding the school's effectiveness and the environment's assessment.

School Culture

The school is viewed as a system in that consists of interrelated parts (individuals, formal groups, and informal groups) that function to achieve specific ends. These functions are driven by the purpose of the school (school mission, goals, and objectives). The leader (principal) uses various processes to influence movement toward the established goals and objectives (making decisions, delegating, advocating, clarifying roles, and communication to all

stakeholders). The structure is established inside the school (internal organization) to facilitate these activities and to coordinate the behavior of individuals and specify for faculty members, students, parents, and stakeholders who they are and how they are to function defines the culture of the school (Bolman & Deal quoted by Green, 2001).

School culture refers to the belief systems, ways of thinking, norms, values, assumptions, and attitudes that become the characteristics of its constituents. School culture provides the glue that holds school constituents together, stimulates commitment to a common mission, and incites the creativity and energy of its constituents. School culture directs the actions of its constituents. It guides the actions of principal, teachers and students based on the common set of beliefs held about the purpose of schooling and the roles each should play and it characterizes the way people behave toward one another, the way they feel about themselves, and the way the job of schooling is performed, and it gives a sense of community, direction, commitment, and purpose to the organization (Weller et al, 2000: 10). School culture influences the image of the school and the perceptions of school constituents of their school are built upon this perceived image. Schools have been characterized as "good" or "bad" or "desirable" or "undesirable" based on their culture (Weller et al, 2000: 10).

School Cultural Transformation

Similar to vision, school culture needs to go through renewal and restructuring process, which is commonly termed as school cultural transformation. The escalating public's demands and expectations on school `s accountability, and the unpredictable future challenges faced by today's contemporary schools necessitate this school cultural transformation. Furthermore, culture is not static. It grows and makes people grow along with it. However, changing the culture of a school is not an effortless task. It requires proactive, progressive and competent leadership.

To effectively transform school culture, a school leader must be able to sense when cultural change is needed (timing the change initiative is the most important consideration to maximize the probability of successful change), he or she is able to provide direction and targets as alternatives to current conditions and outcomes, and he or she must provide new mental models of a better future, encourage new ideals and assumptions, and help others to envision a new purpose for schooling (Weller et al, 2000:13).

In addition, school cultural change also depends on school's level of readiness to

change. Readiness to change is facilitated by the identification of major sources of existing problems and the re-examination of these values and beliefs within the context of existing social expectations and demands (Weller et al, 2000:13). Readiness to change is also facilitated by the school's "power agents", the informal peer leaders in the school who exercise strong influence over their colleagues and play an important role in successfully bringing about cultural change (Weller et al, 2000:14).

Finally, change of any kind requires a structured, systematic process, which requires systems thinking, broad participation, and clear direction and specific targets for achievement and these achievement targets are best accomplished by designing s change process with incremental steps that are targets in and of themselves, but are sequenced to provide a holistic change model (Weller et al, 2000:14). In sum, changing school culture is neither effortlessly conducted nor quickly accomplished. It requires determination, perseverance, total commitment, involvement, and collaboration of all school constituents.

Cultural Transformation Process

The following are some processes in transforming the existing school culture proposed by L. David Weller Jr. and Sylvia Weller in their book "Quality Human Resources Leadership" (2000: 10-11). The first process is reengineering. It aims at unlocking the existing culture, rethinking the context of work, and redesigning how work itself is performed. This process bridges the gap between what should be provided and what is actually provided by the school and it requires horizontal, nonlinear collaboration to assess core values and beliefs. The second process is cultural transformation. It refers to building cultural linkages between the vision and goals of school and its teachers and students. These cultural linkages are those old traditions, values, attitudes, and beliefs that are closely akin to the new vision and goals and those are incorporated as part of the school's new social characteristics. This process of blending matching old culture with new set of values and beliefs is for the reason that many of the old values are central to schooling. This fusing of the old with the new will ease and smooth the school's transition process.

From all of the ideas on the preceding paragraphs, I can identify that the main role of culture is to establish standards of quality performance and products of an organization Within school, this means that school culture should promote the continuous development of intellectual ability of its member's and increase the quality of teaching and learning process. In short, the essence of school culture is about students, learning, and teaching. The challenge of a school leader is to provide and ensure constant opportunity for teachers to enhance their efficacy in teaching and their contributions to student learning. In this

sense, to effectively manage school culture, a school leader must also exercise his or her function as an instructional or curriculum leader.

School Leader as Curriculum Leader

We all know that the final and primary organizational and educational objective of a school is to prepare youth (students) to enter future marketplace fully equipped with the skills that enable them to be lifelong learners. To reach this most important objective, it largely depends on the quality of school instructions or its instructional programs. The constant economic and environment changes and technology advances necessitate the reformation and redefinition of the structure and fundamental purpose of schooling, which also requires the need to revisioning school instructional programs. To prepare students to be lifelong learners, school instructional programs should focus on enhancing students' ability to think for themselves. Students should be trained to be self-initiating, self-modifying, and self-directing and they must acquire the capacity to learn and change consciously, continuously, and quickly (Costa et al, 1997: xiv).

To accomplish this educational objective, a school leader has to serve as a curriculum or instructional leader. This supposition is based on the results of some researches on quality curriculum that were enclosed in Allan A. Glatthorn's book "The Principal as Curriculum Leader: Shaping What is Taught and Tested" (2000: 23-24). First, a quality curriculum is essential in achieving educational excellence. The quality of the curriculum is one major factor influencing student achievement and the best teaching methods used in delivering poor content result only in a great deal of mislearning. Second, meaningful change in development and implementation of curricula takes place primarily at the school level. Third, there is abundant evidence that a school leader plays a key role in determining the overall effectiveness of a school. Although teachers can work with the school leader collaboratively in discharging these vital leadership functions, there is still a strong need for the school leader to provide ongoing leadership. Fourth, strong leadership on the part of a school leader plays a key role in determining the extent of curriculum or instructional leadership. Fifth, school leaders who have clear long-range policies and goals, have strong expectations for students and convey and monitor those expectations, seek changes in district programs and policies, and solicit input from staff but act decisively are the most effective in ensuring effective curriculum implementation.

School Leader and Culture

Culture is the evidence of human survival and the product of human civilization. Culture is the refining process of human intellectual and moral development. Most importantly, culture is the symbol of human's ability for learning and transmitting knowledge. People create culture; thereafter it shapes them (The Jossey-Bass Education Series 2000: 202). As school culture is the artifacts of school's civilization, it should contain values, beliefs system, norms, traditions, assumptions, and ways that refine the intellectual and moral development of its members. School culture is to fortify and reinforce its members' intellectual capacities to teach and learn.

Since school culture is very much shaped and influenced by the culture of the surrounding community, a school leader needs to know and understand the community in order to work effectively with culture. Simultaneously, a school leader also needs to understand his or her respective school and its existing culture. Having this knowledge, he or she can evaluate the need to reshape or reinforce it; the valuable aspects are reinforced, problematic ones are revitalized, and toxic ones are given strong antidotes (The Jossey-Bass Education Series 2000: 204). As it is stated before, the greatest challenge of a school leader is to shape and reshape the existing school culture.

Since culture is fashioned by chronological events, a school leader must understand school past history and comprehend its present realities. An effective school leader probes deeply into time, work, social, and normative events that have given texture to the culture of a school and realizes that echoes of past crises, challenges, and successes reverberate in the present (The Jossey-Bass Education Series 2000: 204). In another word, a school leader who grounds his or her action on sufficient knowledge of what a school has experienced in the past is the one who can accurately understand the present culture and its implementations.

Symbolic Roles of School Leader

To sustain and continuously reshape school culture, a school leader takes eight major symbolic roles (The Jossey-Bass Education Series 2000: 204):

1). A school leader as a historian: he or she understands the social and normative past of the school,
2). A school leader as an anthropological sleuth: he or she analyzes and. probes for the current set of norms, values, and beliefs that define the current

culture,

3). A school leader as a visionary: he or she works with other leaders and the community to define a deeply value-focused picture of the future for the school and has a constantly evolving vision,
4). A school leader as a symbol: he or she affirms values through dress, behavior, attention, and routines,
5). A school leader as a potter: he or she shapes and is shaped by the school's heroes, rituals, traditions, ceremonies, symbols and brings in staff who share core values,
6). A school leader as a poet: he or she uses language to reinforce values and sustains the school's best image of itself,
7). A school leader as an actor: he or she improvises in the school's inevitable dramas, comedies, and tragedies,
8). A school leader as a healer: he or she oversees transitions and change in the life of the school and heals the wounds of conflict and loss.

In fulfilling these eight roles, a principal does not only function as a school leader but he or she also acts as the role model for all school members and unquestionably their appreciation toward their school culture will very much depend on how well the principal performs these eight roles. To conquer these challenges of transforming school culture, a school leader needs to collaborate with school constituents because basically school culture belongs to all of its constituents, it characterizes their individuality, and most importantly its continued existence and development relies primarily on their active involvement.

CHAPTER THREE

A School Leader: A Managerial Leader

"Essentially the leader's task is consciousness-raising on a wide plane... The leader's fundamental act is to induce people to be aware or conscious of what they feel---to feel their true needs so strongly, to define their values so meaningfully, that they can be moved to purposeful action". (Burns 1978: 44 — 45)

Introduction

The first interesting issue in dealing with the relation of management and leadership in education are on the basic and distinctive definitions of the role of manager and those of a leader. Being a manager is that a school leader is in charge of carrying out policy, exercising competency in fiscal accounting and allocation, and dealing with daily requirements and problems while being a leader he or she is responsible for planning strategically, delegating, motivating, coordinating, influencing, and persuading (Weller et al, 2000; 38). Although there are clear-cut distinctions between being a manager and a leader, as a matter of fact effective leadership requires a school leader to play both roles.

Manager vs. Leader

Managers are primarily concerned with executing policy and making sure that others adhere to the spirit and letter of rules and regulations while simultaneously reserving latitude for them (Weller et al, 2000: 38). Managers are bureaucrats who govern others by rules and regulations for job performance and daily conduct and they are loyal to these rules and regulations, which are the most visible source of organizational power, and not to people (Weller et al, 2000: 38). In relation to power, the term manager has a stronger relationship with the concept of power than does the term leader. Managers provide a more functionary role and rely on their title or positional authority to attain their goals or to fulfill obligations and power is used to gain involuntary compliance through threats of physical, social, and economic force (Weller et al, 2000: 38). Managers barter to accomplish their task (Weller et al, 2000: 38).

Leaders, on the contrary, focus on developing human potential, on delegating responsibility, and on sharing power. Leaders seek to form bonds and relationships with subordinates and rely on influence and persuasion to accomplish organizational goals, leaders view themselves as members of a group or team who strive for consensus and voluntary commitment and work in the best interest of their followers (Weller et al, 2000: 38). Leaders know the concerns, needs, and expectations of others and seek to form a social compact with their followers (Weller et al, 2000: 39).

The Nature of Leadership

Crow in his or her book" *Leadership; A Relevant and Realistic Role for Principals*" said that leadership is an influence between leaders and followers. Defining it in this way allows us to specify a role for principals that is both realistic and relevant. The complex and dynamic nature of schools and their environments requires leadership that goes beyond the work of one individual or one formal position. The principal exercises leadership as do teachers and others by

influencing individuals. This influence occurs by using power resources such as expertise, charisma, interpersonal skills, negotiation, political clout, and rewards.

Defining leadership as an influence relationship acknowledges that instead of coercive power, leadership is more complex and transactional. The process of leaders and followers influencing each other to change a school culture, create a new collective vision for a school, and establish an environment to support school improvement is dynamic. A vibrant set of relationships has power because it stimulates ideas, obtains commitment to programs, and energizes individual performance.

This definition of leadership draws a distinction between leadership and management. If management behavior is used to influence others to follow a particular course or engage in developing a school improvement environment, this management behavior can be considered leadership. However, if it is performed only to run the school more smoothly, it is leadership. This is not to discount the value of good management; rather, it is to distinguish management and leadership. This distinction enables us to identify a relevant role for principals—influencing other to create substantive and transformative change (Crow, 1996; 125-126).

The Participant of Leadership

Leadership involves both leaders and followers. Rather than leadership being permanent designation or confined to formal role, it is a relationship involving the active participation of both followers and leaders. Principals, teachers, students, and parents may be either leaders or followers whose designation may change depending on the particular issue or problem. Followers play a relevant role in being willing to commit to cultural values, a particular vision, and a concept of change as well as being free to question leader actions and directions. Including all relevant individuals in the leadership relationship is more realistic in terms of how schools function and they way in which influence is generated and exercised. The principal clearly is not the only individual leading and influencing. In fact, at times, principals follow the lead of others.

Perhaps the principal's most relevant leadership role is as "leader of leaders" (Schlechty quoted by Crow, 1996). Principals influence teachers, students, and parents to take on leader roles. Developing leadership potential in others is a crucial need in contemporary schools. If schools are too complex and exist in an environment that is too dynamic for leadership to be confined to the activities

of one person, then someone needs to develop the potential in others to disperse leadership throughout the organization (Crow and Slater, 1996). As principals serve as leaders of leaders, they multiply the effect of their influence—not by cloning but by empowering.

Leaders and followers influence each other in maintaining and changing culture, developing a collective vision, and establishing a school improvement environment. The principal's leadership role is both realistic and relevant in these areas. Once establishing a school culture influences the principal's actions as much or more than the principal influences the culture. Likewise, although principals should develop their own visions, they are not the only ones with visions for the school. As for change, research has shown that principals have limited influence on single change projects and thus we need to look beyond these projects for a more relevant role for principals.

Principals lead other leader and followers in the school to "keep the faith" in terms of the current values, norms, and beliefs. However, when these values are ineffective in helping the school address its internal and external problems, principals influence others to acknowledge the disconfirming information and provide enough security to consider change. Principals also play a significant leadership role in influencing teachers, students, and parents to share their own vision and use these in constructing a collective vision for the school. Finally, principals influence others in establishing an environment for school improvement.

Leadership and Management

It is a matter of fact that most of school leaders today strictly function themselves as managers and consequently this managerial preference undermines their other main role as school leaders. Although management is workable in educational setting, a school leader should be aware that being a good manager and exercising skilled management are not sufficient in answering all of the unique challenges experienced by today's schools. The operation of school is totally distinctive from that of private sectors and school requires certain special abilities and approaches that cannot be fulfilled by exercising competent management alone.

It is also an acknowledged fact that effective leadership without skilled management is of no value. An organization with good management, but poor leadership, will preserve the status quo, but may not be able to advance to a higher level of performance. An organization that has an excellent leader, but

nobody with good management skills may aspire to great heights, but crash precipitously because there is no one to follow through (Beekun et al, 1999: 8). Leaders can reframe experience to open new possibilities; managers can provide a sense of perspective and order so that the new possibilities become reality (Beekun et al, 1999: 8).

This realization has led to the application of managerial leadership, which obviously is the practice of combining competent management and quality leadership. To exercise managerial leadership, a school headmaster needs to have a dual role of being a manager and a school leader. This dual role is tightly intertwined to each other so that a lack of one will definitely affect the other.

Talking about the nature of leadership, we should read three controversies in the leadership literature. Crow (1996) identified the controversies; leadership versus management; leadership versus leaders; and leadership as an influence relationship. The following discussion for the nature of leadership responds to these controversies.

1. *Leadership is not management*

First, we focus on leadership and distinguish it from management. This is not to suggest that management in schools is less important or even less desirable than leadership; management and leadership are different. Management is clearly a responsibility of school principals. However, principals in a leadership relationship do something beyond management; they influence others. Planning, coordinating, and monitoring are important management tasks, but they are different from inspiring, guiding, and persuading. Basically, leadership is concerned with directing.

> Rost, quoted by Crow (1996) defines management as "an authority relationship between at least one manager and one subordinate who coordinate their activities to produce and sell particular goods and/or services". Whereas management is a relationship based on authority, leadership is a relationship based on influence. Formal position may be a resource used to influence others but it is certainly not a necessary condition of leadership. "Bosses are not necessarily good leaders; subordinates are not necessarily effective followers. Many bosses couldn't follow a parade. Some people avoid either role. Others accept the role thrust upon them and perform it badly" (Kelly in Crow, 1996; 27).

> Leadership and management can be related. Leaders may use managerial activities to influence others. For example, a principal may attempt to

persuade others to follow some direction by intentionally coordinating activities in a way congruent with his or her vision. By infusing managerial activities with attempts to influence others toward some purpose, they may become leadership activities. However, the relationship between management and leadership is neither necessary nor sufficient.

2. *Leadership is not leaders*
   Schools are complex environments that are more likely to change and adapt because of interrelationships rather than the inspiration of one individual. By focusing on leadership rather than leaders, we avoid the trap of defining principal leadership solely as a set of traits or personal qualities. Although in our discussion of leadership we will describe actions, qualities, and mental images of principals, these have relevance for leadership only within an influence relationship in which principals may be leaders or followers at different times.

3. *Leadership is an influence relationship*
   Our framework of leadership is based in part on Rost's (quoted by Crow, 1996; 28) defining of leadership as "an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes".

   For a relationship to involve leadership it must not be coercive. Although management relationship can be based on coercion, leadership relationships cannot. They must be entered freely by both leaders and followers. Influence attempts can result in three possible outcomes: commitment, compliance, and resistance. Commitment occurs when an individual wholeheartedly approves of the decision or request and internalizes the purpose of the decision. Compliance occurs when the individual agrees to the request but without any enthusiastic support. Resistance occurs when the individual opposes the request or disagrees with the decision. All three outcomes must be possible if the leadership relationship is non coercive. When principals attempt to persuade teachers of the value of collaboration, this attempt may constitute leadership only if teachers perceive they have the choice of committing to the idea, complying with it, or rejecting it.

   Those participating in a leadership relationship use a variety of "power resources" to persuade others. These may include expertise, position, reasoned argument, reputation, prestige, personality, purpose, status, content of the message, interpersonal and group skills, give-and-take

behaviors, authority or lack of it, symbolic interaction, perception, motivation, gender, race, region, and choices. "Influence does not come out of thin air. It comes from leaders and followers using power resources to persuade". Principals frequently use a combination of power resources to persuade the district to accept the school's agenda, e.g., reasoned argument, give-and-take behavior, and personality (Crow, 1996; 27-28).

Total Quality Management

Next to these basic and distinctive descriptions of being a manager and a school leader in the context of educational leadership, the implementation of managerial leadership in school setting is another interesting and worth knowing subject. The introduction of educational managerial leadership has been, in large extent, influenced by the work of W. Edwards Deming on quality management or famously known as TQM: Total Quality Management.

Deming's entire approach rested on the premise that primary responsibility for the shortcomings of organizational performance result from management behavior. His or her theory of TQM emphasizes on quality leadership that is characterized by empowerment, organizational vision and mission, shared governance and continuous improvement, a culture dedicated to cooperation, and quality products and services to meet the needs and expectations of the costumer (Weller et al, 2000: 47).

The lack of the capability of sustaining student achievement and of fulfilling public demands for quality education of the previous school reform movements in the eras of 60s up to 80s have initiated the application of the principles of TQM in school reform and restructuring for the 90s in USA. Successful school restructuring requires a grassroots ' change in school governance practices and a cultural transformation that are firmly founded on shared vision, values, beliefs, attitudes, and assumptions about the process and outcomes of schooling (Weller et al, 2000: 48). This call for new approach in school restructuring has set off the implementation of Deming's Total Quality Management in schools.

The use of TQM as the new paradigm in school reform movement has resulted in varying degree of success (Weller et al, 2000: 48). The application of TQM in school setting has been reported to be significantly improving student achievement and self-esteem and increasing teacher morale, job satisfaction, and self-confidence (Weller et al, 2000: 49). The success of TQM is basically attributable to its conceptual framework that is extensively grounded in the importance and development of human capital/potential, which we all have already known that this framework is the basic concept of quality leadership.

School-based Management

Another interesting issue on the relation of management and educational leadership is the introduction of school-based management or school-site management. In spite of its many different definitions proposed by numerous prominent figures in education, school-based management in these various definitions was characterized by similar elements that are mainly focusing on delegation, decentralization of authority, and shared decision-making. The assumption of school-based management is exclusively grounded in the opinion that decisions about the educational programs such as the decisions on curriculum, instruction, and the organization of time, people, facilities, and other resources for students should be made by people who are closest to the students. This hypothesis of school-based management is further supported by the rationale that these practices of delegation and decentralization of authority and shared decision-making will result in more effective organization of a school which has been proven to have positive correlation with student performance (Murphy et al, 1995: 11-35).

Empowerment

The basic and central theme of school-based management is on the empowerment of local school stakeholders. Empowerment promotes ownership, which sequentially enhances professionalism and organizational performance (Murphy et al, 1995: 11-35). Empowerment is supposed to enhance widespread participation of local stakeholders in the activities of the school.

There are some basic premises embedded in this supposition of empowerment as proposed by Murphy et al in their book "School-based Management as School Reform" (1995: 25-26). First, school stakeholders have the right and responsibility to be involved in the decision-making. Second, teachers, students, and parents should play a significant role in school decision-making because they are most closely affected by school-level decisions. Third, students, parents, school staff, and communities have unique needs and that these needs can best be identified and addressed by them. Finally, because school is the fundamental decision making unit within the educational system, schools have to be given the capacity to identify and respond to student needs. Greater decision-making authority at the school level will enable the school to respond more efficiently, effectively, and flexibly to the needs of its students.

Ownership

This broad-based involvement and participation of local school stakeholders is essential in the formulation of collective perspectives, which promotes general sense of ownership. The general sense of ownership by school stakeholders is essential because effective change process and school improvement efforts can only happen when there is a presence of general ownership.

Next, empowerment and ownership are significant in improving organizational processes and outcomes (performances) through their influence on school stakeholders' commitment, efficacy, and satisfaction/motivation (Murphy et al, 1995: 26). It is generally believed that people will show greater level of support for educational decisions in which they have meaningfully participated. Participation reduces alienation, promotes sense of connectedness, enhances teachers' sense of efficacy/professional confidence, improves the morale of school and its community, increases motivation and satisfaction, and nurtures commitment to organizational decisions (Murphy et al, 1995: 25-27).

Decision Making: Quality and Acceptance

As being explained above that support level for educational decision very much depends on the level of participation allowed to school stakeholders in the whole process of decision making itself. In school setting, decision making is the one of the primary leadership functions. School leader is continuously making decisions about individuals, groups, school structure, the instructional programs, and many other factors that ultimately determine if school functions effectively. Therefore, the understanding of decision making process and how to improve it becomes fundamental to succeed in leading school to reach its organizational goals.

Decision making is defined as a systematic process of choosing from among alternatives to achieve a desired result (Kamlesh & Solow, 1994). Selecting among alternatives often involves providing resources to some individuals and groups. Conflicts usually arise when the decision made results in different outcomes for different school members. Therefore, school leader should seek to minimize negative consequences and maximize positive outcomes of every decision he or she makes. The possibility of achieving this objective can be enhanced if the leader makes informed choices and acts with integrity and in ethical manner. Informed choices are likely to be made when the leader has a thorough understanding of decision processes and uses that knowledge to select and implement alternatives that result in decision quality and acceptance.

A Model of Decision Making

In the first step, the leader identifies the problem. The next step is to analyze the problem to determine the real issues. A thorough analysis is needed to identify a satisfying alternative. The analysis should take into account individuals who are affected, situations that are impacted, and the type and sources of data that are needed to select an appropriate solution.

In the third step the leader develops problem solution alternatives. A note of caution at this stage is that the alternatives seldom appear in an either/or manner. If the problem is carefully analyzed as described instep two, the leader will likely come to realization that several alternatives exist. Also, in some instances, leaders have a tendency to resort to past experiences in applying an alternative. This temptation should be resisted, as problems may seem alike but in actuality are different, thus necessitating a different alternative. Therefore, it is advisable for the leaders to explore all possible alternatives.

Once the alternatives have been identified, they should be assessed in terms of their match with the problem. The leaders should determine which one of the generated alternatives will most effectively address the problem (decision quality) and which one will produce the least amount of conflict (decision acceptance). After assessing all alternatives, step five is taken to select the most appropriate alternative.

The sixth step involves the implementation of the alternative. This step should be carefully planned, as decisions of high quality serve no meaningful purpose if they are not implemented effectively and in a manner that is acceptable to stakeholders.

Finally, step seven is an evaluation of the process used to make the decision. The entire process should be assessed, and the decision alternative implemented should be monitored to determine if the problem is being addressed adequately. The leader needs to know that the decision alternative selected solved the problem and that the process used to identify it was not flawed. If the leader fails to evaluate the process and the success of the alternative chosen, flaws in the process, if any, will not be identified and are likely to be repeated.

Approaches to Decision Making

It is a matter of fact that there is no one best way to make effective decisions. The complexity of school situations and time frames that demand decisive actions often influence leader behavior in a manner quite different from that suggested by theory and research. In addition, making good decision in schools is

contingent on the nature of the situation and the process used by the leader.

Although there is no one best way to make decisions, there are a number of theoretical models that, if appropriately applied, can improve one's decision making capability. In applying theoretical models, the leader may elect to use either a normative (rational) or a descriptive (non-rational) one.

The Normative Models

If a normative model is used, leaders follow a series of prescribed actions. They begin with a problem that is logically addressed by engaging in a series of sequential steps that leads to an effective problem solution (Gorton, 1987). Using a normative model in a school situation, the principal would identify the problem and its causes, analyze it, develop alternatives or possible solutions, evaluate the alternatives, and select the alternative that seems the most satisfactory for implementation, then evaluate the outcome. In utilizing a normative model, varying degrees of rationality are available to the decision maker. Normative models are often referred as rational models because the steps taken in reaching a solution are sequential, and it is assumed that the leader will be rational in following them (Gorton, 1987).

Descriptive Models

Garbage Can, Political, and Incremental Models are the common models of descriptive model. If the leader chooses one of these models, the focus is on the manner in which the decision is actually reached, rather than how the decision should be made. Descriptive models are somewhat non-rational and tend to simply describe the process the leader follows in reaching the decision.

The Classical Model

The classical model is completely rational and has as its prime objective maximizing achievement of the goals of the organization by finding the best solution from among all possible alternatives. The process, which presupposes that all alternatives are identifiable, consists of a series of sequential steps that begin with problem identification and end with the achievement of the desired outcome.

The Administrative Model

The administrative model offers a systematic process to enhance the

identification of the appropriate alternative when competing alternatives exist. It is an acceptable alternative to the classical process when a strategy is employed. Because leaders do not have all the data necessary to find the one best alternative to complex issues, they may settle for what it is known as bounded rationality. In such cases, the leader uses a rational sequential process to find the most satisfactory solution possible. The process consists of distinct phases: 1). Recognition and definition of a problem, 2) analysis of difficulties, 3) establishing criteria for success, 4) development of an action plan, and 5) the appraisal of the plan. Using such a process, leaders can obtain wise solutions to problems using sound decision-making strategies. Decisions can be reached using a means-ends analysis; in this process, the leader selects a means to reach a desired end. Although the solution reached may not be optimal, it is satisfactory.

The Incremental Model

The incremental model allows the school leader to make changes in small increments to avoid unanticipated negative consequences. Outcomes of decisions made are assessed and compared to the desired direction or what is accepted before other decisions are attempted. This model is based on the amount of complexity, uncertainty, and conflict that schools face. It is then accepted for school leader to make small decisions, and evaluate the consequences of each, proceeding until they reach the ultimate desired alternative.

The Mixed Scanning Model

The mixed scanning model allows the school leader to combine the flexibility of the incremental model with the rationality of the satisficing model. Problems can be surveyed, difficulties analyzed, and a tentative action plan initiated; if it fails, something new is attempted. This model guides the decision process allowing the school leader to remain focused while reflecting on consequences of the selected alternative and the common good.

The Garbage Can Model

The garbage can model and the political model are often used in school situation. The garbage can model allows individuals to act before thinking an issue thorough, an action that should be infrequent in its occurrence, but is sometimes necessary. In such instances, rather than beginning with a problem and ending with a solution, decision outcomes are products of independent streams of events. As problems occur and alternatives are formed, they are deposited into what is referred to as a garbage can. When the solution, the problem, and the

participant just happen to connect, making a fit, the problem is solved. If the solution does not fit, then the problem remains unsolved (Cohen, March, & Olsen, 1972). This model relies on chance and provides an explanation for the actions of school leaders who appear to make decisions in an irrational manner.

The Political Model

The political model is used when organizational goals are replaced by personal influence, and power is the overriding force (Kanter, 1982). Most organizations have defined goals, which they strive to achieve. However, in some instances, the power and influence of individuals and/or groups suppress organizational goals. In such instances, personal perspectives and preferences influence decisions in the organization. Individuals and/or groups maneuver to influence organizational outcomes so that objectives they favor might be achieved, rather than the objectives of others in the organization. The prevailing order is manipulation. Conflict, bargaining, and game playing are intensive and pervasive.

Participatory or Shared Decision Making

In addition to determining whether to use a normative model or a descriptive one, the leader must determine whether to involve others in the process (participatory) or make the decision independently (autocratic).

If the leader chooses an autocratic approach and makes the decision with little or no involvement of subordinates, contingent on the situation, decision quality and acceptance could become problematic. If the situation is reversed and the leader chooses to involve subordinates and/or other stakeholders and such involvement is not warranted, the decision reached could also be of poor quality and not well received. The leader should not conclude that an autocratic decision will always either be superior or inferior. The goal should be to involve subordinates in the decision-making process when their involvement will improve the quality and/or the acceptance of the decision. Choices range from totally autocratic behavior to joint participatory behavior. The question on whether a group will do a better job of making a decision than the leader acting independently depends on a large extent on the complexity of the issue, the expertise of the participants selected, and whether or not the issue is in the participants' zone of concern (Yulk, 1994).

The Complexity of the Issue

The basic assumption of decision making is that the more influence subordinates have, the more they will be motivated to implement a decision, and when

decision acceptance is not already high, subordinate participation will increase decision acceptance (Yulk, 1989). This model is considered the best-known model for management of participation in organizational decision making (Hoy & Tarter, 1995). An addition to this model is offered by Vroom and Jago (1988) by putting the dimensions of time and subordinate development. Participatory decision making is very time consuming, and the leader must give consideration to the importance of making the decision in a timely manner. If a decision to be made with expediency, then selecting a participatory style may be counterproductive. If subordinates have the skills and attributes necessary to participate in the decision process, then, under certain conditions, they should be invited. Such conditions would suggest that an immediate decision is not necessary, and subordinates have the skills and attributes necessary to participate. Then, selecting a participatory style may produce a more acceptable alternative.

The challenge around participation and the inclusion of members in the decision-making process remain a complex issue. The two major concerns regarding the use of a participatory approach are designing a system in which subordinates can effectively function and fear from leaders that if subordinates are allowed to participate too frequently they will abuse the privilege (Bolman & Deal, 1997).

The Expertise of the Participants

Group performance is jointly affected by the intervening variables, quality and acceptance (Maier, 1963). Decision quality takes into account the objective aspects of the decision that affect the performance of the group. These objective aspects are considered aside from any effects mediated by decision acceptance. Using the group process depends on the contribution of group members and their ability to communicate effectively, use good judgment, be accurate in their assessment of the concerns and issues, and remain focused. If members of group do not have the expertise necessary to make a contribution to group discussion, lack interest in the topic, or function in conflict with other members of the group, decision quality is likely to be less than desired (Maier, 1963).

Decision acceptance refers to the degree to which subordinates are committed to implementing a decision in an effective manner (Maier, 1963). In some instances, decisions made by the leader are accepted by subordinates simply because the decisions are beneficial to them or because of the approach used by the leader in reaching the decision. In some instances, subordinates refuse to accept a decision because it was made in autocratic manner. One approach that is widely accepted in determining if subordinates are to be involved in the decision making process is two dimensional. First, the leader should determine if subordinates have the

expertise to contribute to finding an appropriate solution to the problem being addressed, and second, if the problem lies within the subordinate's zone of concern (Yulk, 1989).

Participant Expertise and Zone of Concern

A decision is within the subordinate's zone of concern or interest when he or she is affected by the decision and/or expected to be involved in the implementation of the decision (Green, 2001). When decisions are outside of the zone of concern or interest of subordinates, they are not likely to be highly motivated to participate in the decision making process. However, if a decision is within their zone of concern and subordinates are excluded from participating in the process, they are likely to feel deprived and develop a level of dissatisfaction for the administrators. The subordinates included in the decision making process should not only have a stake in the outcome of the decision, but they should be able to contribute to decision outcome and implementation (Bridges, 1967).

Barriers and Traps that Inhibit Decision Effectiveness

Although there are a number of advantages to both autocratic and participatory decision making, there are also a number of barriers and traps that interfere with decision effectiveness or cause decisions to be flawed when either is used. Those barriers are groupthink, the overuse of groups, and fair process.

Groupthink can be a barrier because sometimes groups become so cohesive that members resist challenging ideas to maintain the integrity of the group. Because group members do not want to risk disrupting the stability of the group, information from outside of the group that would possibly enhance decision quality is rejected, and creative thinking is stifled (Green, 2001).

The leader must also safeguard against involving too many people in the decision making process. Involving individuals in decisions that should be made by the leader can be as problematic as not involving individuals when the situation warrants their involvement. This condition constitutes poor leadership.

Fair process is another issue leaders should give special attention as decisions are reached. In many instances, individuals on the faculty of a school will like the outcome of a decision that has been reached by the principal or others, but will not like the process that was used to produce the decision. The process that produces a decision is a major concern of many individuals. People care about decision outcomes, but they also care about the process that is used to reach those outcomes. They want to feel that they had an opportunity to participate in

the process, even if their point of view is rejected. There are three principles of fair process offered by Kim and Mauborgne (1997):

1. Engagement: individuals are involved in decisions that affect them. The leader asks for their input and allows them to refute the merits of one another's ideas and assumptions.
2. Explanation: everyone involved and affected should understand why final decisions are made as they are.
3. Expectation Clarity: once a decision is made, managers state clearly the new rules of the game.

Leaders should also be aware of hidden traps in decision making. Decisions are often flawed because of hidden traps that get in the way of effectiveness. There are eight traps that leader might consider in attempting safeguarding against flawed decision making (Hammond, et al, 1998):

1. Status quo: the source of status quo trap lies deep within our psyches, in our desire to protect our ego from damage.
2. Sunk-cost: we make choices in a way that justifies past choices, even when the past choices no longer seem valid.
3. Confirming-evidence: we seek out information that supports our existing instinct or point of view while avoiding information that contradicts it.
4. Framing: we can use different frames to assess a problem. The same problem can elicit very different responses when frames use different reference points. A poorly framed problem can undermine even the best-considered decision.
5. Estimating and forecasting: we often fail to get clear feedback regarding the accuracy of our estimates and forecasting.
6. Prudence: when we are faced with high-stakes decisions, we tend to adjust our estimates to be on the safe side.
7. Recall ability: we frequently base our predictions about future events on our memory of past events, and we can be overly influenced by dramatic events-those that have a strong impression on our memory.
8. Over confidence: we tend to be overconfident about our accuracy relative to our estimates. This can lead to errors in judgment and result in bad decisions.

Managerial Leadership

The application of managerial leadership is obviously the practice of combining competent management and quality leadership. To exercise managerial leadership, a school headmaster needs to have a dual role of being a manager and a school leader. This dual role is tightly intertwined to each other so that a

lack of one will definitely affect the other.

Essentially, managerial leadership is oriented toward the continuance and development of school efficiency and effectiveness. As school leaders achieve results by working through others, managerial leadership primarily focuses on maximizing productivity and effort of all school constituents. An effective school leader consistently brings out the best in everyone and gets the most out of his or her people.

Four Focuses of Managerial Leadership

In school setting there are four segments of population that should be the focus of school leaders" attention in the effort to maximize school efficiency and effectiveness. These four subgroups are students, teachers and staff, community, and school leaders themselves. In his or her book " Lead, Follow, or Get Out of the Way: How to Be a More Effective Leader in Today's Schools" (1999: 39-63) Robert D. Ramsey proposed the guides on how to get the most out of these four school subpopulations.

The first important job of school leaders is to get the most out of students. It is the responsibility of school leaders to ensure that every student has a chance and is set up for success. It is the leaders' job to remove obstacles and meet student needs so that all learners can do their best and be their best. Students have always needed structure, discipline, challenge, respect, recognition, chances, choices, second chances, amnesty, and tough love. Finding ways to satisfy these needs is what educational leadership and being a school leader is all about. The easiest, best, and quickest way to get students to do their best is to expect the best. Positive expectation can transcend all barriers. However, it takes courage to make excellence the only acceptable standard and school leaders need to develop the courage on their own by consistently doing the right thing despite resistance and against the odds. Based on the results of a research conducted by the Minneapolis-based Search Institute as quoted by Ramsey, there are 40 crucial developmental assets that all students need in order to achieve their full potential and avoid at-risk behaviors. These assets fall into eight broad experiential categories:

1) Support,
2) Empowerment,
3) Boundaries and expectations,
4) Constructive use of time,
5) Commitment to learning,

6) Positive values,
7) Social competencies, and
8) Positive identity.

The more of these assets a student has, the more likely he or she is to succeed in school and in life. The building of these assets is the greatest challenge for a principal for getting the most out of today's students. An effective school leader puts students first and collaborates with school community to promote building these assets in students.

The next important job of school leaders is to get the most out of teachers and staff. One way to promote utmost performance from teachers and staff is to analyze why they frequently fail. Boredom, lack of respect, powerlessness, low standards, inferior and ineffective coworkers, poor working conditions, and lack of leadership are the most common reasons why teachers and staff fall short. It is the responsibility of the principal to get rid of these obstacles. In addition, to get the most out of teachers and staff depends a great deal on the way the principal treat them. The best way to nurture maximum productivity of teachers and staff is through a steadfast emphasis on high expectations and unwavering encouragement. Teachers and staff need to know that their principal believes in them and stands ready to provide all available resources to help them succeed. Once teachers and staff are convinced, they will give their best.

The next main job of school leaders is to get the most out of school community. One characteristic of effective school leaders are the ones who extend their leadership beyond the school in order to multiply their resources and get all help and support possible to push their programs over the top. There are three things that a principal needs to do to get the attention and support from school community. First, a principal needs to become visible beyond the school. To increase leadership quotient, a principal needs to get out, get known, and get noticed. Second, a principal needs to build strong linkages to parent population. School works only when the home-school partnership works. It is the leader's job to build that relationship. Savvy school leaders understand that their real customers are the parents, not the children. The school with the greatest parental support is going to be the most successful and the most likely to get extra support. Third, to get the most from community is simply to give the public what it wants. Pay attention to attendance and discipline, support parental choice, release test results are some of the things that a principal can do to engage everyone's interest in and support to school.

The final important job of school leaders is how to get the most out of

themselves. All organizations deserve leaders who can give of their best. One of the characteristics of effective leaders is that they continually find joy in their jobs. This gives them energy to energize others. They maintain positive outlook and avoid burnout by focusing on what is right than what is wrong, constantly learning and growing on the job, making friends with problems, picking the right partners, keeping their sense of humor, and getting a life outside of work. Living a balanced life is another secret of sustained and successful leadership. To be an effective school leader, a principal needs to work smarter. Working smarter usually begins by learning to control the four greatest time wasters for school leaders: paperwork, interruptions, meeting, and procrastination. If school leaders can handle these daily problems, they can easily find the time to be effective leader and to live their own life as well.

CHAPTER FOUR

A School Leader: A Community Partner

"Leaders help bring focus to others' behaviors as well as their own. ...They know which few things are important,
and in their statements and actions they make these priorities known. .. It is an ongoing process of choosing what to emphasize and what to leave alone".
(Vaill 1998: 53)

Introduction

The new phenomenon of the rapid change of demographic composition of today's modern society has, as a matter of fact, altered of the composition of current school community and in certain extent it affects the relationship between schools and the community. It is not only that now schools are serving more diverse population but it also creates more challenging school-community relationship than ever before. This new demographic trend is not only happening in American schools but it is also occurring across the world especially in schools of big, urban cities. School community is now composed of more diverse ethnic and race groups, more various student cultural backgrounds, and more dissimilar student socioeconomic status and social classes, which all present their own uniqueness, interests, needs, and expectations.

This circumstance requires new and different approaches in establishing school-community rapport. Since community support and involvement makes the difference between successful and unsuccessful schools, schools should be more active and progressive in building school-community partnership in this era of changing society. To achieve this, schools should be more responsive to the needs of this diverse community and be able to provide and assist the community in meeting its needs.

School-Community Relation

The following are some of the important and basic ideas to successfully manage school cultural diversity and school-community relations taken from "Educational Administration: A Problem-based Approach" (2000: 88-119) by William C. Cunningham and Paula A. Cordeiro. The very first thing that schools need to do in relation to diverse and changing school community is to build a school atmosphere and nurture common attitude that are conducive, tolerant, and reverent to diversity. Diversity includes differences in age, gender, sexual orientation, political beliefs, socioeconomic status, religion, physical and mental ability, language, and ethnicity. It does not mean that schools only acknowledge and act on the diversity found in their populations and communities but they have to extent and promote the respect for and tolerance of diversity in larger scope: the state, the nation, and on the earth. Staff and students need to be encouraged to value diversity, to have knowledge and understanding about diversity, and on the basis of that knowledge, take action.

Since culture is defined as open-ended, dynamic, and permeable, schools need to assist and ease the process of cultural transitions of their students. In addition, schools in anthropologist concept are categorized as borderlands; liminal zones where cross-cultural encounters take place, and often for the first time. In the borderlands,

groups' cultural programs evolve historically as their members adapt to changes in the social environment. A growing number of classrooms typify borderlands where children and adults from diverse backgrounds influence each other. In these borderlands, students forsake some aspects of their native cultures if the cultures conflict with the values and behaviors that produce social acceptance and success in school.

It is important for school leaders and educators to remember that often schools are the first places in which children internalize their ethnicity as a category for describing themselves. Helping students go through this stage of self-and cultural adjustment can eliminate the undesirable outcomes of this mainstreaming process because although all students deal with issues of identity, immigrant and minority children in particular often feel torn between the worlds. It is the responsibility of school leaders and educators to respond to the marginalization of ethnic groups in the mainstream culture within the school environment. The culture of the school and the relationship between school and student's family are the key factors in minimizing the occurrence of negative behaviors that may result from this process.

Practice of Prejudice and Discrimination in Schools

Another thing that is typically associated with diverse school community is the practice of prejudice and discrimination. Prejudice is a negative or narrow attitude or belief toward an entire group of people and it is related to the use of stereotypes-generalizations about people. Stereotypes and prejudices against a certain cultural group usually results from the lack of contact and direct experience with that particular group. Based on some researches on prejudices and stereotypes, they found out that children begin categorizing and stereotyping certain kinds of differences among people at a very young age and these prejudices and stereotypes are modified into categories along the process of growing up. Environment and personal experiences are judged to be contributory to the reinforcement or discharge of some stereotypes. Meanwhile, discrimination occurs when people act on their beliefs and problem discrimination arises when people's beliefs and actions are not based on evidence.

It is still an acknowledged fact that today's schools are not free yet from problems of educational and societal discrimination. The discrimination that children face in schools is not a thing of the past and school practices and policies still continue to discriminate against some children in very concrete ways. There are nine identified educational structures in which prejudice and discrimination affect student learning:

1) tracking,
2) testing,

3) curriculum,
4) pedagogy,
5) the physical structure of the school,
6) disciplinary policies,
7) the limited role of students,
8) the limited role of teachers, and
9) the limited role of parents.

Another phenomenon of discrimination in schools is what so called "second-generation discrimination". This type of discrimination denies minority students access to education and limits integration of schools. Academic grouping and disciplining students in a discriminatory manner are the examples of this second-generation discrimination. School leaders need to ask critical questions about the above nine educational structures to protect their schools from committing discrimination against students, teachers, and parents (community).

School leaders must be advocates for students, teachers, and parents (community) and ensure that they are respected, treated, and served equally and fairly regardless of their diverse personal and cultural attributes. Only when school leaders show and prove their serious commitment and dedication to serve school and its community, then community support and involvement will not be too much to expect for.

Parental Involvement and Community Participation in Their Children Education

An effective school leader realizes the importance of parental involvement in their children education and the power of community participation in the accomplishment of school missions and objectives. Unfortunately, despite the proposition of the significance of parental and community involvement, parents and community members have always been granted restricted engagement in their children education and in school activities and programs. Many of the rituals, activities, and roles for parents in school functions have changed little in this century.

These activities have been institutionalized to involve parents in limited way and furthermore they tend to relegate all the power to the school and usually ignore the needs of the subgroups of school community, particularly those families representing different cultural groups who might be unfamiliar with the school's expectations (Cunningham et al, 2000: 112). In other occasions, in spite of school's efforts in increasing parent attendance in school-based activities, many parents cannot and do not participate at the school site.

In their book "Educational Administration: A Problem-based Approach" (2000: 88-119) William C. Cunningham and Paula A. Cordeiro offered a number of reasons why parents are not directly involved in their children's school activities. The changing demographics of families resulting in new, unconventional and nontraditional family structures are among the reasons. In many families, older siblings, grandparents, or an aunt or uncle have primary responsibilities of childcare. Consequently, schools need to expand the definition of family and enlarge the participation net. Another reason is the changing concept of relationship between school and families. Schools need to think of family members as partners. Since partnership is by definition voluntary, partnership involves sharing and membership and it means that all voices will be heard and that reciprocity of some type is involved.

For schools and educators partnership means that family and school share power. Family members are given opportunities to provide ideas and advice just as educators are. Both partners are obliged to be committed and are responsible for doing their part. The concept of involvement is the next reason. School leaders and educators traditionally think of parental involvement as attendance of parents at school functions and volunteering at school. If school leaders and educators continue to think about involvement in these limited ways, little will change in the relationship between schools and families.

Models of School, Family, and Community Partnership

There are two major models of school, family, and community partnership that can assist school leaders and educators in changing their perspective of parent involvement: Swap's partnership model (Swap, 1993) and Epstein's typology of parent involvement (Epstein, 1995: 701-712).

Swap's Partnership Model

Swap's partnership model consists of four models of home-school relationships: the protective model, school-to-home transition model, curriculum enrichment model, and partnership model. In protective model, parents delegate to the school the responsibility for educating their children. The goal of this model is primarily to reduce the possible conflict that can result between schools and families. The school-to-home transition model involves enlisting parents in supporting the school's goals. It becomes the responsibility of the family to reinforce these goals at home. The curriculum enrichment model involves families in developing and enriching the school curriculum. For example, parents are encouraged to take a child to a museum if related topics are being covered in the curriculum. The partnership model attempts to reshape the

school environment by emphasizing two-way communication and joint problem solving. In these model families, school leaders, and educators work to enhance all aspects of the school, rather than certain parts of the curriculum.

Epstein's Typology of Parent Involvement

Epstein's typology of parent involvement consists of six types of involvement.

1. Type 1 is parenting. In this type of involvement, school assists families with parenting skills, family support, understanding child and adolescent development, and setting home conditions to support learning at each age and grade level. Families assist schools in understanding families' backgrounds, cultures, and goals for children.
2. Type 2 is communicating. School communicates with families about school programs and student progress in varied, clear, and productive ways. School creates two-way communication channels: school to home and home to school, so that families can easily communicate with teachers, administrators, counselors and other families.
3. Type 3 is volunteering where school improves recruitment, training, activities, and schedules to involve families as volunteers and as audiences at the school and in other locations.
4. Type 4 is learning at home. In this type, school involves families with their children in academic learning activities at home, such as homework, goal setting, and other curriculum-related activities and decisions. This type encourages teachers to design homework that enables students to share and discuss interesting work and ideas with family members.
5. Type 5 is decision making. School includes families as participants in school decisions, governance, and advocacy activities through school councils or improvement teams, committees, PTA/PTO, and other parent organizations.
6. Type 6 is collaborating with community. School coordinates resources and services for families, students, and the school with community businesses, agencies, cultural and civic organizations, colleges or universities, and other community groups. School enables students, staff, and families to contribute their service to the community.

The practices of these two major models of school, family, and community relationship in some American schools have shown some significant results. One of the important results is that students are more positive about school and learning and do better in school if their families and communities are involved in their education in productive ways. Therefore, to successfully lead a school and to support student learning, a principal needs to take into account the importance and the power of school, family, and community partnership.

CHAPTER FIVE

A School Leader: An Ethical Leader

"The true work of leadership is in marshalling to end-values, such as liberty, justice, equality.
.. that raise up through levels of morality".
(Burns 1978: 426)

Introduction

Essentially, the concept of ethical leadership or moral leadership in education is grounded in the belief that education is invested from the outset with a moral character. Accordingly, school leaders and educators must be aware of the ethical implications of their work and that they must continually strive to make and be guided by morally sound decisions and to encourage others to do the same.

Ethical Leadership

Much of the recent attention to moral and ethical leadership in education has risen in response to a growing awareness of the complex dilemmas facing educational leaders. In their book "Ethics in Educational Leadership Program" (1994: 1-17), Lynn G. Beck and Joseph Murphy stated that today's school leaders must discover ways to work with teachers, students, and parents representing a wide range of circumstances. Within their schools, they must cultivate a shared vision, meaningful and coherent professional and personal experiences, and a sense of membership in a community of learning with persons who may have some profound differences in living conditions, values, and beliefs.

Complicating this challenge is the fact that many of the norms, ideals, and assumptions that once provided a fairly stable framework to guide leaders are under attack. We now live in a somewhat jaded age where behaving ethically is not always the norm anymore and everything seems to be negotiable-even moral values (Ramsey, 1999: 187). The preceding statement is not without evidence. Almost every day we witness, hear and read examples of unethical, dishonest, and immoral behavior on the part of politicians, entertainers, professional athletes, military personnel, government officials, and business leaders-those who are supposed to be the leader and role model for everybody. These scandals and allegations of misconduct involving people in power position have set the opinion that leadership and ethics are completely two different things and one does not characterize the other.

So, do ethics matter anymore? In schools, the answer is definitely yes. There are some argumentation to this answer offered by Robert D. Ramsey in his or her book "Lead, Follow, or Get Out of The Way: How to Be a More Effective Leader in Today's Schools" (1999: 187-201). First, high ethical standard is one of the basic requirements in building a better school. It helps attract the best people, helps them become peak performers because they feel good about where they work, and even helps them withstand crises. Second, ethical leadership sets a tone where values are contagious. It sends a powerful message about what is important, how people are to be treated, and how school operates on daily basis.

It also requires that decisions be based on moral values. Ethical integrity and moral courage remain the trademarks of effective school leaders.

Three Components of School Ethics

According to Starratt's model in his or her article "Building an Ethical School: A Theory for Practice in Educational Leadership" on Educational Administration Quarterly (1991: 185-202), there are three ethics that comprise an ethical school: caring, justice, and critique.

1. The ethic of caring is based on the assumption that I caring is a way of being in relation and it is not a set of specific behavior. Caring includes modeling, dialogue, practice, and confirmation. In other words, caring stresses on the function of role model, the use of open-ended and sincere exchange of ideas, the opportunity to experience and practice caring, and the mutual affirmation and encouragement among school members. The ethic of caring involves relationships with others and responsibilities that accompany those relationships, including the relationship with environment. The ethic of caring empowers students to be involved in decision-making. When making a decision school leaders and educators ask in what way it will benefit children. It is the responsibility of school leaders to develop the attitudes and skills required to sustain caring relationships in schools.
2. The ethic of justice, the second model, deals with equity and fairness in relation to individual and community choice. The ethic of justice sets the tone on how school is governed. The ethic of justice demands that school leaders serve as advocates for students, including advocating for optimal learning conditions. Justice involves individuals acting impartially and a community that governs its action fairly. With the ethic of justice, a school has fair policies that are implemented in a just fashion.
3. The third model, the ethic of critique, is based on critical theory. Critical theory questions framework of the way we organize our lives or the way our lives are organized for us. In ethic of critique, school leaders are required to be a critical theoretician. Through dialogue, he or she must ask and help others to ask questions that challenge the status quo. The ethic of critique facilitates conversation and dialogue between people in organizations. It does not only permit conflict but it also encourages conflict. It is fundamental to the ethic of critique that conflict be addressed with civility. In promoting the ethic of critique, school leaders must examine their value and the influences of those values on decision-making and conflict resolution.

In short, the bottom line of educational ethical leadership is that education is a moral enterprise and it is what schools are supposed to be about. Thus, school leaders are

inescapably involved in this moral enterprise. This understanding implies that to be an ethical and morally sound school leader, a principal needs to adhere his or her actions to ethical and moral principles and to foster moral integrity among the members of school community. This moral integrity is built upon and reinforced through the practices of the principles of the ethics of caring, justice, and critique.

Leadership as a Moral Quality

Thus far the leadership perspectives we have examined are non-evaluative. They could be used to describe Hitler or Gandhi. They involve transactions between and among followers and leaders to achieve some task, to support certain types of behavior, to overcome some situational constraint, or to influence some activity. Yet they do not account for the occurrences of leadership to transform organizations. Burns quoted by Crow (1996) defines transformative leadership as a process in which "leaders and followers raise one another to higher levels of morality and motivation".

The previous perspectives tend to focus attention on the self-interests of followers and leaders to accomplish some task to receive reward, or to realize some individual or organizational objective. However, leadership as a moral quality goes beyond these simple exchange transactions, to raise consciousness to higher levels, even to question individual or organizational objectives. This allows leaders and followers to evaluate the direction of their organization and to work together to achieve some greater purpose. Gardner (1965) relates this view to societal leadership. Leaders "express the values that hold society together. Most important, they can conceive and articulate goals that lift people out of their petty preoccupations carry them above the conflicts that tear a society apart, and unite them in the pursuit of objectives worthy of their best efforts" (Burns quoted by Crow, 1996)

Transformational Leadership

Notion of transformational leadership has recently gained attention in the educational leadership literature. Leithwood and his or her colleagues at the Ontario Institute for Studies in Education (Leithwood and Jantzi, 1990; Leithwood and Steinbach, 1991, 1993; Leithwood, 1994) have applied the notion of transformational leadership to the work of principals. They identify various transformational leadership practices of principals as to purpose (e.g., builds a consensus about school goals and priorities); people (e.g., provides intellectual stimulation); structure (e.g., distributes the school); and culture (e.g., uses symbols and rituals to express cultural values).

As this last set of leadership practices suggest, the work on leadership as a moral or transformational quality also produces an interest in the symbolic or cultural side of leadership (Schein, 1992). Whereas most leadership work has focused on the technical

side of leadership, be it task-or person-oriented, this perspective focuses on the values, beliefs, and assumptions of work—how values and beliefs are formed, how they are modified. Leadership from this perspective examines what principals do to build and maintain a schools culture that reinforces values, norms, and beliefs and to add meaning to educational work that goes beyond mere accomplishment of discrete tasks.

Ethical and Moral Behavior of School Leaders

Ethical leadership is one of the most important characteristics of quality educational leadership. Without ethics and without moral base, leadership is of no value at all. In this morally worn-out society, being an ethical leader is not easy. This becomes even harder for school leaders because school leaders are held to a higher standard and their ethical and moral behavior is judged against stricter criteria than is true for leaders in many other fields (Ramsey, 2000: 189).

There are some reasons why public holds higher and harsher standards toward the ethical and moral behavior of school leaders. In his or her book "Lead, Follow, or Get Out of The Way: How to Be a More Effective Leader in Today's Schools" (1999: 189-191), Ramsey said that public's almost zero tolerance for misconduct by school personnel is because school leaders are entrusted with public's money and the public's children. Those who are entitled with this high trust are expected to behave exemplary. Next, school leaders are more visible than most business or other leaders and they are known throughout the community. Consequently, clean behavior becomes the only viable option. Another reason is that this high level of ethical performance is a result of the self-fulfilling prophecy of the profession. People become teachers because of their personal values and family virtues that are grounded in truthfulness, honesty, fidelity, and loyalty. They become teachers because they care and want to make a difference by assisting others and instilling these values in future generations.

Many teachers will look up only to leaders who share the same values and demonstrate these characteristics in their daily living. In addition, people want their school to demonstrate the best that the society stands for. People still expect those who work in schools to be the role models that the rest of society does not always provide anymore. School leaders influence everyone else's behavior by modeling ethical and principled conduct. In all organizations, and especially in schools, people tend to live up to the image of the leader. The final reason is that educational leadership involves children. Public entrusts school leaders with their children and their children's future. This makes school leaders different from other types of leaders.

Although school leaders are expected to perform exemplary behavior and conduct, they are still human beings who are not always free from making mistakes and other human frailty. The secret to survive these lapses, according to Ramsey, is prompt and honest admittance, genuine repentance, thorough restitution, and a willingness to learn a hard lesson (Ramsey 1999:191). Yet, these lapses waste the time and opportunities.

Approach to be Ethical Leader

Now, how does a school leader acquire the skills to become an ethical leader? Based on some researches in educational administration, there are some approaches that school leaders can use to help develop skills to function as ethical school leaders (Cunningham et al, 2000: 215-216). Building a code of ethics and developing an educational platform are among the approaches. According to Ramsey (Ramsey 1999:197- 201), a code of ethics is the directory of the right ways to act. It defines appropriate day-to-day ethical conduct and moral behavior. He wrote that a good code of conduct spells out all of the obligations that every school leader acquires upon entering the profession, including responsibilities to learners, teachers and staff, colleagues, the community, and the profession. A code of conduct must be widely applicable, legally defensible, and observably measurable. It also needs to be reviewed and updated periodically. He preferred for and emphasized on a written code of conduct. He argued that a written code of conduct could eliminate excuses for misbehavior and become a covenant binding all parties to the same conditions and standards of conduct. It takes the guesswork out of moral professional behavior.

Another approach is to develop an educational platform, which is the statement of school leader's beliefs and philosophies about education. It is a work in progress and should be periodically revisited and updated. It must be observable and reflected in the actions carried out by the espousing school leaders. There are ten factors that should constitute an educational platform proposed by Sergiovanni and Starratt as quoted by Cunningham et al in "Educational Administration: A Problem-based Approach" (2000: 216-217). Those ten factors are:

1) The aims of education,
2) The major achievement of students,
3) The social significance of learning,
4) The image of the learner,
5) The value of the curriculum,
6) The image of the teacher,
7) The preferred kind of pedagogy,

8) The primary language of discourse in learning situations/the level and quality of learning,
9) The preferred kind of teacher-student relationships, and
10) The preferred kind of school climate.

Yet, the moral demands of educational leadership go well beyond considerations of specific acts of moral choice as represented in a code of conducts and an educational platform. According to Starratt (1991), the much more essential work of moral educational leadership is to create a school wide learning environment that promotes the moral integrity of learning as the pursuit of the truth about oneself and one's world, however complex and difficult that task may be. He further stated that schooling implicates learners in the enterprise of appropriating the way by which their society interprets and understands itself and the world. This knowledge helps or hinders learners to identify who they are, what they are worth, what they are responsible for, how they exist in nature and society, and how they might conduct themselves in their personal and public lives.

Schools ought to assist the learner in exploring how this knowledge was generated and on what assumptions that generation rests. The obligation to come to terms with what one knows, to explore its use and its misuse, to avoid its distortion or manipulation is both moral and intellectual obligation. He concluded that learning is a moral search as well as an intellectual search for truth-truth about us, about our community, about our history, about our cultural and physical world. The truth involves human beings with choices about themselves and about the kinds of communities they want to create. This quest to find the truth of oneself and one's world is the real meaning of moral educational leadership and moral enterprise of learning and schools are accountable for this pursuit of moral integrity.

CHAPTER SIX

A School Leader:
A Change-Adaptable Leader

"Whether we will be able to move ahead...
will depend on our collective ability
to think in new ways
about the meanings and responsibilities of shared leadership."
(Lieberman 1988: 653)

Introduction

The political, economic, social, and technological contexts within which schools find, and anticipate finding, themselves are obviously crucial considerations in implementing educational leadership in today's and future schools. These contexts significantly influence and shape the concepts of today's and future schools as they touch many dimensions of schooling and impinge on the direction of the schools. Consequently, to successfully lead today's and future schools school leaders need to have the knowledge and understanding of the implications of these political, economic, social, and technological contexts in their schools.

Implications of Political, Economic, Social, and Technological Contexts in Schools

In their book "*Changing Leadership for Changing Times*" (1999: 204-223), Leithwood et al offered six most significant implications of these political, economic, social, and technological contextual forces in the concepts of today's and future schools.

The first two implications press schools toward greater centralization. The increasing competition for public funding by other social services and the eroding resources allocated to public schooling create the pressure on schools toward greater centralization. This centralization will allow more efficient use of available resources through the practice of economies of scale. Transportation and purchasing, the combining of programs and institutions, and the merger of central office structures are the examples of this pressure for centralization as a means of becoming more efficient.

The next reason for the pressure on schools toward centralization is the existence of non-traditional and alternative family structures that result in the erosion of family educational cultures and its consequent impact on social capital. Consequently, now schools are expected to respond to and fulfill the social, emotional, and physical needs of their students. Since schools are judged not very well equipped to consummate this role of parents and social workers, partnerships with other social agencies to better position their students for success at school is becoming the best alternative. These partnerships have become a centralizing force for schools. In sum, these first two implications necessitate schools to be more inclusive in their decision-making and more comprehensive in the dimensions of student growth.

The next two implications of political, economic, social, and technological contextual forces in the concepts of today's and future schools press schools toward greater organizational decentralization. The changing perception and practice of major

decision-making authority in school-related matters is the first reason of this organizational decentralization. The authority of making major decisions concerning schools is no longer the only privilege of school leaders and administrators. Parents now are given more direct control over schools including their role in school's decision-making. This decision-making authority of parents is the most obvious manifestation of this decentralizing force on schools.

Second, school organizational decentralization is generated by the rapid technology integration in educational and administrative work of school. It is a matter of fact that the widespread use of computer in the society has brought pressure and incentives for schools to adopt it in a meaningful way from many resources. This technology integration not only provides access to information but it significantly changes conventional classroom structure. Through technology integration, students can learn and interact with teacher and other students without the need to be in the same physical location. This impact of technology integration on student learning is conclusively another force of school organizational decentralization. In brief, these implications require schools to be more efficient and effective in accomplishing learning outcomes.

The last two implications of political, economic, social, and technological contextual forces in the concepts of today's and future schools challenge the institutionalization of schooling. These de-institutionalizing trends are influenced by the contemporary understandings of how learning occurs and the widespread recognition of the need for lifelong learning. The inadequacy of present constructivism-based curriculum and instructional initiatives in connecting classroom learning experiences with real world requirements has induced the need to renew and reconceptualize the meaning of learning process. While providing students with inert knowledge, these constructivism approaches are deemed to be insufficient in preparing students for transitions to work or to tertiary education.

School De-institutionalization

The ideas above bring a realization of the introduction and proposition of authentic learning process. Authentic learning emphasizes on problem solving skills and meaningful learning where students are able to solve real problems within some domain of practice and able to personally construct their own meaning. This new concept of learning is the modest forms of de-institutionalization, which necessitate the provision of significantly more workplace contexts for formal education.

Widespread commitment to lifelong learning is another de-institutionalization force on schools. This concept of lifelong learning is extensively based on the concept of

school as learning society and knowledge economy. This concept acknowledges lifelong learning as instrumental to a rapidly changing job markets as well as to opportunities for individuals to choose from a rich range of options, from which they may construct a satisfying and enriching pattern of activities and life enhancing choices for themselves. Lifelong learning implicates people in systematic education at all stages in their lives. This concept not only broadens the range of learning stages, pre-adult and adult stages, it also changes the traditional concept of learning institutions because in lifelong learning concept learning can take place either through formal institutions or through individual and independent learning. In conclusion, these implications oblige schools to be capable of adapting productively to changing expectations and changing knowledge.

Political Leader

It is a matter of fact that the nature of schooling has been in the large extent impinged and fashioned by the trends in politics, culture, economy and, technology. Effective school leaders need to take into consideration the importance and possible implications of these trends in executing their leadership roles.

Politics is a fact of life in schools and effective school leaders need to have the capability in handling politics. In his book "Lead, Follow, or Get Out of The Way: How to Be a More Effective Leader in Today's Schools" (1999: 92-120), Ramsey stated that politics is a basic tool that all successful leaders use to achieve goals through people and to be effective school leaders principals need to be political leaders. He characterized good leaders as leaders who understand and use politics to their advantage. This requires understanding power structures. Principals who want to lead successfully must learn to read the political power swings within the organization and to activate, unite, and integrate diverse political forces behind common goals. The secret to be successful school leaders is to be political but to remain authentic and principled at the same time. They need to develop a degree of political savvy.

Ramsey suggested that the best ways to remain professional while practicing savvy political leadership are to develop collaborations, form coalitions, build partnerships, influence decision, look for win-win situations, take risks, and share power. He added that effective leaders earn their degree in political savvy by finding out as much as possible about who has the power, how it is used, and how things really get decided and done in the organization. Once leaders have a good feel for how the organization works, then and only then they are really

ready to use organizational politics to their advantage.

The next determining factor in nature of schooling is the development of global modernization in economy, culture, and technology that results in worldwide economic and market competition. The new economy gives emphasis to the creation and distribution of information, and the manipulation and application of knowledge. Knowledge, learning, information, and skilled intelligence become the new raw materials of this global economy. Thomas A. Mulkeen in "Democratic Leadership: The Changing Context of Administrative Preparation" (1994: 3-13) offered some possible implications of this new economy for public education.

The new economy argues for fundamental changes in what we teach, to whom we teach it, and how we teach it. The essence of new economy is knowledge-based innovation and therefore school is to motivate, instruct, and support children in doing the tasks that will enhance their ability to use knowledge while at the same time promoting civic literacy and working toward more democratic constructions of schooling. The new workforce will need the ability to communicate complex ideas, to analyze and solve complex problems, to identify, order, and find direction in an ambiguous and uncertain environment, to invent workable solutions to nonroutine and nonrecurring problems, and think and reason abstractly. Education becomes learning how to learn, how to evaluate information to make decisions, how to cope with change, and how to build a body of knowledge that evolves throughout life. This implies needs to fundamentally reconceptualize the schooling process as well as the need to change the way curriculum and instruction are organized.

The next implication of new economy according to Mulkeen is the inadequacy of sole reliance on formal schooling in this complex, technical, and mutable economy. Technology and scientific advancement requires rising levels of education and formal schooling alone cannot keep pace with this demand. Schooling must be the foundation for continuous learning, preparing children to think critically and creatively. This new economy also requires educational system that can respond quickly and efficiently to adult training demands. Schools need to be tied to a system of continuing education.

Mulkeen also argued that the new economy requires fundamental restructuring of education. If the demands of the technologically new world are to be met, hierarchically organized schools will need to abandon their rigid, efficiency-driven, factory-type organizational structure in favor of models that push responsibility for decision making downward to parents, teachers, and students.

The more knowledge-based an institution becomes, the more it depends on the willingness of individuals to take responsibility for contributing to the whole, for understanding the objectives, the values, the culture of the whole, for directing specialized knowledge toward organizational achievement.

If schools are to develop students with intellectual curiosity and insight into significant ideas, then the structure of schools must be redefined to accommodate technologies appropriate to the task and educators need to think of themselves as professional in a knowledge-work organization. Educators need to think of themselves as leading organizations whose primary purpose is to invent knowledge-work for students so they will learn what they need to know to live and work in a world of ideas, symbols, abst'action, and theories.

The demographic shift and the poverty rate among minority groups are the next implication of this new economy. According to Mulkeen, the challenges for school leaders in the next decade in large extent derive from the social context in which they find themselves. Schools need to expand their influence to each child, each family, each community and school leaders need to become prepared to address a multitude of noninstructional needs brought about by poverty. The challenge to public education is to respond effectively to the children of poverty and to keep their hopes alive for an economically viable adulthood.

In conclusion, school and society along with its political, social, economic, and cultural aspects have a reciprocal connection and mutual dependency to each other. What affects society and its political, social, economic, and cultural aspects also affects schools. As school mirrors and reflects the society, school leaders need to understand the trends in society and anticipate the implications of these social trends in school overall performance and student learning.

Conflict in Today's Schools

Conflict is a major occurrence in today's schools. Many of the factors influencing that conflict have surfaced as a result of massive change. The current educational reform movements are advocating massive changes in the way the schools are structured, the curriculum format, the role of faculty, staff, and administrators, and in the way schools are administered (Conley, 1997). These suggested changes, in one way or another, emphasize empowerment, participation, and collaboration. All these concepts suggest that individuals and groups in the school and its community can work in harmony. However, when decisions and changes of the magnitude occur, conflict is likely to emerge.

Definition of Conflict

Conflict is defined as the interaction of interdependent people who perceive opposition of goals, aims, and views, and who see the other party as potentially interfering with the realization of these goals (Putnam & Poole, 1987). Conflict is a social phenomenon that is heavily ingrained in human relations, expressed and sustained through communication, and occurs when individuals and/or groups become dependent on one another to meet identified needs (Barge, 1994). Because of the interdependent nature of individuals and groups, conflict in organizations is inevitable, endemic, and often legitimate. It is a normal part of social relations and can be either functional/positive or dysfunctional/negative.

The Nature of Conflict in Schools

There is general agreement that conflict occurring in schools is latent and exists because of divergent views and incompatibility of those views (Owens, 1995). Conflict is considered functional when the organization benefits; there is a win-win attitude, and harmony exists. Functional conflict facilitates the accomplishment of goals by members of the organization and/or generates new insights into old problems (Putnam & Poole, 1987). When conflict is dysfunctional, there is a win-lose attitude, and hostility is produced (Owens, 1995). Dysfunctional conflict can negatively affect members of the organization to the extent that their activities are disrupted. Therefore, if schools are to effectively achieve established goals, it is necessary for the leader to develop an understanding of the nature of the conflict in school and to acquire skills sufficient to manage it in a functional manner.

CHAPTER SEVEN

Higher Education: Management and Leadership Strategies in Action

Introduction

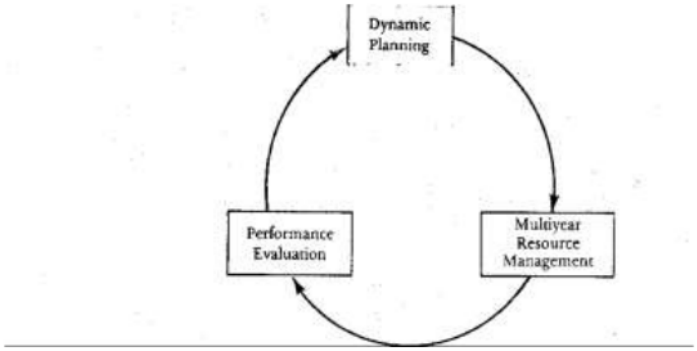
Looking ahead, campus leaders can establish academic and financial planning processes, resource allocation procedures, and performance assessment techniques to assist in the attainment of institutional objectives. Different management can aid the maintenance of quality while minimizing the possibility of reducing budgets, terminating programs, and lying off faculty and staff. In the past, when faced with complex problems, administrators have often accepted simplified concepts and decision rules, such as across-the board cuts in budgets and hiring freezes (Drucker, 1980). The challenge to academic administrators is to develop more sophis or herticated and defensible criteria for resource allocation than these "equal" but seldom equitable formulas. Faculty will be challenged to bring their critical academic perspective to planning and assessment, to provide timely coun sel on fast-breaking problems, and to put professional and institutional obligations ahead of disciplinary and personal self-interest in rendering personally trying judgments on programs and colleagues.

Elements of Effective Management

The primary components of management adequate to meet the challenges facing academic institutions are planning, resource management, and assessment of results. These three basic management functions form a cycle—a sequence of management steps, transformations, and intellectual transactions conducted repeatedly over time to reach desired outcomes. As illustrated by Figure 1, in this cycle, the results of evaluation in-form subsequent planning, which in turn affects resource decisions, which are then evaluated in terms of their results at the completion of the cycle. Plans will, of course, change, and re-sources will vary over time, but the management cycle, once correctly established, need not change. The three essential characteristics of the process are always present—dynamic, integrated, and iterative. They are dynamic in the sense that plans are viewed as "living" concepts, not as static blueprints that are updated every five years and left unchanged in the interim. Such static plans end up adorning bookshelves and desktops but not guiding management decisions. Planning, managing resources, and assessing results are integrated in the sense that planning and assessment are both attitudes of management and a frame-work for thinking about and reaching day-to-day decisions. They do not exist "parallel" to an ongoing system of management, nor are they laid on top of existing practices. Instead, long-term strategic planning guides development of specific intermediate goals that can be transformed into multiyear resource plans and allocation decisions. The annual budget process —as important as it is, particularly to public institutions—is set in the broader context of resource acquisition and management. In addition, assessing results is treated as an integral part of ongoing management activity, emphasizing flexibility to allow resources to be moved to new activities when needed.

Being dynamic and integrated, these three management functions are also iterative and not left to chance. Clearly stated and understood planning goals guide policy and resource use. Resource decision processes assure that plans are implemented. And both qualitative and quantitative assessment judges institutional effectiveness and efficiency in meeting planning goals and provides the basis for taking ongoing corrective planning and resource actions.

Figure 1. The Management Cycle



Many administrators and faculty would agree that management approaches that thus integrate planning, resource management, and assessment of results are critical to meeting the challenges of the 1980s. The main reason that they have made little progress in integrating these processes, apart from isolated changes in administrative personnel and piecemeal changes in planning, budgeting practices, and program review procedures, has been the absence of clear means for linking long-term planning and annual budget making.

The major innovation of the approach to management, compared with most traditional approaches to management, is its introduction of an intermediate step between strategic planning and annual resource allocation in which long-term objectives and strategies developed during the planning process are converted into definite multiyear goals and program plans to be realized in a "rolling" two- to three-year time period, and, at the same time, resource allocations are set in a context that transcends the annual budget cycle. This approach both shortens the planning horizon so that plans and priorities are made more realistic and concrete and, at the same time, lengthens the resource allocation time line beyond one year in order to provide more certainty and sufficient lead time to adjust resources to achieve planned pro-gram changes.

It is believed that this approach to management offers major hope to academic institutions in meeting their objectives and the challenges confronting them. It helps replace the prevailing resignation to "muddling through" and surviving year-to-year with a sense of being able to influence the future and regain some control over institutional destinies through logical incremental or evolutionary change. It gives full consideration to the retention, protection, and enhancement of academic values and to the complicated decision processes that set higher education institutions apart from most other organizations. It can be conducted in a personal, informal, collegial manner that meets the needs of faculty and administrators to reach consensus on multiple objectives, allocate resources in light of them, and evaluate largely nonquantitative outcomes in an environment of shared governance. Above all, it links the pieces of a comprehensive "systems" approach to academic management that are already emerging as college and university leaders struggle to make the difficult choices they face. It ties promising efforts at long-range planning for future program changes down to specific resource allocation and reallocation decisions. It feeds the results of excellent efforts to review the quality of academic programs back into operational decisions. It focuses the assessment on what has happened as a result of implementing past planning goals onto reconsideration of these goals and their implementation. And it provides the basis for developing information systems that provide useful data rather than unused print-outs for assessing results, planning, and managing resources to meet the challenges ahead.

How these management concepts and processes can best be applied at any one institution will depend on the unique character of the institution and its leadership. It would be both inappropriate and a disservice to suggest homogenizing the rich diversity of higher education through a prescriptive manual of standardized administrative procedures for adoption. Consequently, it emphasizes on the basic concepts and cycle of management that administrators can adapt in shaping the future of their institutions so that these institutions do more than merely survive. This active shaping of the future is the managerial imperative for higher education during the rest of the 1980s.

The "Stage Three" approach to management during an era of uncertainty is desirable but the fear is that its introduction is impractical in the midst of serious financial constraints and the scramble to react to worsening economic and enrollment pressures. Admittedly, concern about institutional survival is over-whelming.

The response to this concern is that management practices advocated are the most practical of any for such an era, albeit with intense commitment and effort. The essence of these management practices is management by anticipation. Odiorne

(1981, p. 174) contrasts this approach to that of crisis management, in which "planning, thinking, reflection, invention, and creativity ... are likely to disappear." Colleges and universities whose leaders fall into crisis management rather than actively planning for change are experiencing increasing difficulties in coping with present challenges and weakening their ability to survive.

A time of uncertainty allows leaders to make creative changes if they take advantage of opportunities that arise despite financial constraint.. Dynamic planning can help administrators and faculty leaders develop more options, gain a greater sense of control over events, and be less reactive to those that cannot be controlled. The task of reviewing, refining, and reshaping goals and objectives as circumstances change—a more frequent and narrowly constrained task than in the growth era—keeps the range of vision of institutional leaders broad and moving. Not incidentally, the task provides extensive opportunities for leaders to communicate their aspirations and outlook. It also can foster greater institutional cohesion and *esprit de corps,* build a closer sense of identity, avoid focusing on what cannot be done rather than on what can, present positive rather than negative challenges to faculty and staff, and guide the allocation of resources in more effective and efficient directions. Reducing the effects of shocks and surprises is essential in managing, particularly under uncertainty. By keeping change more or less constant and incremental, even when drastic action must be taken, planning can remove much of the trauma endemic in crisis management.

The multiyear resource management processes outlined can give leaders the needed resource flexibility to use unforeseen opportunities in moving toward desired goals, decrease risks by increasing resource availability to meet unforeseen problems, and lead to more effective resource use. Similarly, the assessment of results as illustrated can guide change and provide early indication of problems for which anticipatory planning provides a range of possible responses. The five types of review mechanisms advocated in those chapters can narrow the inconsistencies and anomalies that often inhibit full use of available resources. When such feedback information is distributed to those close to the point of action, their corrective responses can be quick, small, and constant (Odiorne, 1981).

Careful planning, strategic use of resources, and evaluation of results can enable even those institutions now in difficulty to assure their long-term viability by setting internal expenditure priorities, cutting back on the size and scope of low-priority programs, sharing financial resources among departments, and raising additional funds from new sources. They can develop their comparative advantage by assessing their strengths and weaknesses within the context of their unique objectives. They can build on strengths by eliminating programs not central to their mission and by using economic incentives to encourage a desirable

configuration of programs and resources.

Leadership for Change

The benefits of improved approaches to management are obvious. But what is needed to implement them? Clearly leader-ship plays the primary role. It is the chief executive who ensures that objectives and strategies are set. He must establish processes to see that resources are used to achieve objectives efficiently and effectively. He is responsible for seeing that performance is assessed routinely, and he selects persons for critical positions and provides the opportunity for their growth in those positions. He is the ultimate—and sensitive--arbiter of conflicts arising from incompatible or opposing needs of constituents. These are the primary leadership tasks required for instituting and accomplishing change.

Opportunities for Leadership.

Within some constraints management structure and style reflect the personality and preferences of the chief executive. He or she sets the tone and direction for the campus not only by what is delegated to whom but by communication mechanisms established, consultation orchestrated, decision processes used, and policy guidance provided. His or her influence is modified by sharing governance with faculty and, whatever the extent, shared governance introduces potential tensions at the boundaries of participation. These tensions and compromises should not be interpreted as lack of leadership, particularly during times of severe financial strin-gency. In the final analysis, the chief executive retains the power of the purse. Although the contents of the purse may be diminished, its power is still sufficient to provide the checks and balances necessary for determining institutional direction. Management of financial resources to achieve academic change is a powerful and underdeveloped tool available to chief executives and other academic managers. Administrative officers can significantly influence what disciplines should be emphasized; what types of student (such as undergraduate, graduate, or professional) are given priority; the size, number, and array of given programs; and the quality of all programs. They can influence programs through establishing new procedures for program approval, questioning program plans and operations, focusing academic program reviews on quality, and increasing interchange with academic deans to communicate program problems and objectives, as well as by direct intervention in resource allocations. Teaching, research, and consulting responsibilities of faculty can be influenced by criteria imposed in judging faculty performance, in setting compensation and benefit levels, and in allocating faculty time.

For example, a new president recently let it be known that he proposed to recruit more research-oriented faculty members and to shift the image of the institution from its traditional emphasis on teaching toward multiple objectives. This announcement itself was interpreted by faculty members as a major revision in promotion criteria. They responded by placing less emphasis on their commitment to undergraduate students and have begun to plan research activities and expanded graduate programs. The president's goal will undoubtedly be reinforced within two or three years as individual personnel actions give greater weight to scholarly publication and creativity than in prior years. In contrast, another president has embarked on a program of placing greater emphasis on documenting instructional performance and reviewing the relative time faculty members spend in the classroom. Not only do such policies change the behavior of existing faculty members, but they convey a sense of "what counts" to new faculty and to the public at large.

Next to salary and time, space is probably the most sensitive resource for an academician, particularly a "bench scientist." One economist has suggested that space, rather than money, could easily be the "medium of exchange" in universities. Thus, even space can be a valuable management tool to accomplish specific academic objectives, entice and retain particularly able scholars, and strengthen institutional quality. Rather than being powerless in affecting institutional directions, administrators retain an extensive array of incentives with which to influence change.

Talents of Leadership.

Successful leadership blends rational management processes with political skill and acumen to effect change. That is, the processes and structures for planning, managing resources, and assessing results can be designed logically so that:

(1) They are clearly understood and accepted as legitimate;

(2) Problems arising within the institution are handled expeditiously in the appropriate sequence by the right people; and

(3) Similar problems arising at different points in time are handled consistently. When these management procedures and arrangements are clear and consistent, the probability is high that objectives and strategies emerging from planning will be accepted and applied, resource decisions will lead to goal achievement, and assessment processes will provide factual information for future actions with a minimum of resistance and subterfuge. But the decisions reached and the actions taken on the basis of these processes are most likely to be effective in achieving their goals if leaders use personal interaction, tact, persuasion, power, interpersonal sensitivity, negotiation, and compromise definitely political skills.

Effective college and university presidents understand that decisions among

competing interests must be reached and implemented by political processes—*political* meaning the total complex of relations among people rather than conflict resolution through expedient, short-run, and self-serving measures. When decisions are the result of both rational procedures and persuasive arguments, even difficult choices between competing programs and people are hard to fault or undo. By themselves, either rational procedures or political approaches are inadequate. On the one hand, substituting political machination and manipulation for logic and careful analysis can compromise the integrity of administrators and destroy their base of support. On the other, when leaders rely totally on the strength of rational procedures and overlook the political opportunities, they and their institution may suffer in the competition for resources and support. A lengthy history of rational arguments supported by careful analysis makes the use of political power far more effective.

The vast majority of administrators know the importance of legitimate decision-making procedures and political persuasion, but many of them doubt their ability to apply these techniques successfully in the face of looming stringencies. The managerial talents are numerous, but they can be learned. They are neither arcane nor innate. Among them, two are absolutely essential in applying an integrated approach to planning, resource management, and assessment. One of them, toward the rational and analytic side, is the talent of gaining good information. The other, toward the political side, is the ability to involve trustees, faculty, and other constituent groups productively in the management cycle.

Information

Effective management obviously requires accurate and timely information. But top administrators and policy groups need different information from that commonly available to them (Arrow, 1963).

First of all, their information needs differ from those of operating units. One of the most serious deficiencies in management information systems has been their reliance on data-gathering and analysis systems designed for day-to-day operations. As a result, more raw data than information have been available to key administrators and policy makers. For example, department and program heads use very detailed financial data and frequently unquantified information about individual faculty members and students to help make programmatic decisions on course offerings and faculty hiring. College deans need information on departmental enrollments, program quality, and trends in faculty workload for resource allocation and planning. But presidents or chancellors require quite different information to develop planning guidelines and policy parameters for the campus, allocate resources to meet campus goals, and assess resource use and policies ranging from space utilization to research contracts and grants in order to determine whether institutional objectives are being met at an acceptable rate.

Conventional pay-roll and personnel data systems illustrate how operating-level data fail to meet the needs of top administrators. These systems contain a plethora of information about the characteristics of each employee—sex, age, academic degree, title code, status, fund and account source, and more. All this information is needed for functional managers to do their jobs. But top administrators need little information on particular individuals for their tasks. Instead, they need group data on trends such as faculty age distribution and related costs. Existing systems can provide great detail on individuals, but the software to transform these data about individuals into information for use by policy makers is often lacking. A separate, though not complicated, system is required to produce an age distribution and projected turnover analysis of faculty. This is the type of personnel information that chief administrators most often need.

The time requirements of top administrators for such in-formation are also very different from those of administrators of operating units. For policy analysis, there is often not time for a cautious accounting of how every last amount of money has been spent. Academic administrators ask a different type of question than accountants. For example, they need broad indications of where funds are going in support of major activities, even if a high degree of accuracy in these data must be forgone. Equally important, they need environmental information such as indicators of government funding, and political and economic trend indicators not found in institutional data produced by operational data systems. If data provided by operational systems are viewed as the exclusive sources for management information, then only a part of the information managers need will be available to them.

Part of the problem with getting useful information is that top administrators seldom decide precisely what information they need. As part of their faith in the science of data processing, they have assumed that critical performance variables will somehow be defined in the process of obtaining and analyzing computerized data: Thus, "needs assessments" have too often been left in the hands of systems analysts whose penchant has been to collect everything because someone someday may ask the right question. And decisions about how to define "full-time students" and to compare "credit hours" to "class hours" have been considered less academic policy decisions than mere decisions of data definition. This absence of policy decisions by managers about how to define, assemble, and present data in order to exercise leadership has had a serious side effect. Technical staffs have tended to make independent decisions on what is appropriate. Yet this staffs are seldom competent to make what amount to policy decisions. They lack sufficient experience with academic program management to grasp the usefulness and limitations of the data and they tend to be overconfident with the meaning, validity, and interpretation of quantitative data. Hoos (1977, p. 9) has commented that "preoccupation with numbers has subverted educational theory and philosophy. Accountability substitutes for integrity; the final accounting is a

printout that, like an infinite hall of mirrors of self-reflection, creates only an endless regress. The cause of efficiency may thus be served, but the costs are incalculable and will have to be borne by the whole society, now and in the future." A false sense of security has come from implicitly assuming that computers produce information that is better than that obtained elsewhere. The numbers that appear on cathode-ray tubes and computer printouts appear to be "objective" data, containing important facts and constituting revealed truth on which hard choices can be soundly based. This is simply not true.

Most administrators have gained the wisdom—sometimes by sad experience—to recognize the limitations as well as the power of computers. Computers can organize data quickly and inexpensively return them in any specified format, once the rules for organizing them are determined. Managers—not technical staff nor systems analysts-have to provide rules and define formats to generate useful information for monitoring and controlling. Only then can operating systems, reporting systems, and analytical systems be developed to support management activities.
Many managers have also learned that building comprehensive, fully integrated computerized information systems is not always the best solution to information needs. Preparing occasional reports by hand, sampling only a portion of cases, and using one-time surveys to handle issues not likely to recur are all methods of information gathering that are simpler and cheaper than comprehensive systems and equally adequate for some purposes. As Arrow notes, "A relatively small amount of information, properly chosen, may have large incentive effects" (1963, 20). A random audit of three or four departments for policy compliance can stimulate greater compliance by all.

In sum, adopting a more systematic approach to the planning, resource management, and assessment cycle does require new and more targeted information specified by decision makers, information that will come from a number of sources. In-formation needs will not be met solely by adopting large-scale computerized data systems. Equally important, in contrast to some administrators' fears, the more systematic approach does not require quantification of institutional or educational out-comes.

Howard Bowen (1977) and other economists agree that higher education must be accountable to its constituents and its benefactors but that to meet its responsibilities to develop human intellect, personality, and values, its operations cannot be determined by quantifiable data about its impact. The joint products and multiple objectives characterizing higher education are not easily quantifiable in theory, let alone in practice. Thus, as Bowen points out, administrators should not expect to develop, in an accounting sense, direct and reliable comparison of costs

and outcomes. Prudent administrators "arrive at decisions by acquiring as much information or evidence as possible and then rely on informed judgment—a combination of sensitivity, insight, logical inference, and common sense" (1977, 22). To accept the notion that lack of measurability renders such information invalid would deny higher education leaders use of some of their most essential information. Emphasis on measurement—a by-product of the intense development of natural sciences and technology in the past forty years—has contributed greatly to human- knowledge and well-being. But it has dominated thought in many other fields to the point at which they are in danger of losing valuable perspective on the issues they must deal with. More opportunity exists to improve management in higher education by integrating quantitative and qualitative information in assessment processes than by concentrating efforts on gathering only quantifiable data about higher education outcomes.

No magic ways exist to get information with which to answer the hard questions of how to encourage institutional vitality and assess institutional effectiveness. Some administrators tend to retreat from decisions about these issues because they do not think they know enough about them. What they must understand is that information is only a companion to experienced and enlightened judgment. It is not, nor should it inadvertently become, a surrogate for judgment.

The Politics of Change

Administrative officers may occasionally retire to the quiet of their studies and emerge with decisions that are theirs alone. But while they have lonely responsibility for many decisions, they are rarely alone in reaching them. Most major institutional decisions involve and benefit from the participation of trustees, faculty, staff, and students, and effective administrators try to organize this participation so that it is both most useful and economical.

This diffuse and intricate process for reaching decisions makes academic management distinctly different from management in either business or government organizations. Many corporations and government agencies are as complex as universities in terms of purpose, structure, personnel, and operating processes. A large number of them must also plan and manage multiple fund sources as well as meet multiple objectives. More and more of them have decentralized their decision making. But just as the intangible nature of end products in education contrasts sharply with the tangible output of most industrial, commercial, and service enterprises and government offices, the shared-responsibility in management decisions between administrators and faculty of colleges and universities is vastly different from that existing between management and labor in the private sector or between officials and

staff in government. Further, once decisions have been made, there are innumerable opportunities for the intent of the decisions to be subverted as external agencies and internal political coalitions work to modify them.

Business and industrial leaders and public officials often criticize the extensive, time-consuming consultation and seeming lack of clear authority characteristic of academic governance as indications of poor management. Academics themselves sometimes describe their management environment in exasperation as one of "organized anarchy" (Cohen and March, 1974). Jacques Barzun (1968, 96) captures the essence of academic management as "a congeries of persons and devices. What is known on campuses as `central administration' is but one part; and its ostensible power, derived from the trustees and based on a few statutes, is little more than a concentration of influence? When one looks for the administration at a given university, one must knock at almost every other door." This amorphous leadership structure, characteristic of only a few organizations, such as universities, hospitals, and research institutes whose function is to coordinate the work of a group of associated professionals, means that the role of the college or university executive can be fully appreciated only in the context of what the governing board, faculty, staff, and students are expected to contribute to administrative decisions. It also means that success in this role depends on involving the right people at the right time and in the right way in the planning, resource management, and assessment cycle.

Most academic administrators have been successful faculty members, but ironically, some of the qualities that made them such—a strong sense of working independently, self-reliance, and confidence in their own ability to manage details—frequently interfere with their ability to involve others easily in decisions and to delegate authority effectively. They may unwittingly adopt a centralized style of crisis management on the grounds that institutional problems are so complex and events so uncertain and fast-changing that consultative approaches are not going to be effective. Some may adopt a "political" view of academic government (Baldridge and others, 1978) in which short-term political expediency dominates the legitimate political processes of negotiation, persuasion, and compromise. More-over, they may see information as power and as a manipulative tool to be closely guarded and controlled as a means of attaining such power. They may keep assignments of responsibility unclear to diffuse responsibility while retaining centralized authority. They may appoint study groups or task forces as facades to "contain" sensitive problems while taking unilateral action on them. They may even create confusion precipitate crises in order to use the turmoil to accomplish their own objectives.

A serious weakness of this politically expedient style of decision making is the suspicion it creates about whether leaders are acting in the best interests of the institution or merely in the interest of their own survival. Irrespective of individual motivation, the suspicion will persist as long as decisions and actions appear to be dominated by administrative fiat. A more serious result lies in the resistance to decisions that develops among those excluded from the process. Not only are the legitimacy and integrity of the process suspect in the eyes of nonparticipants, the validity of the decisions is rejected. Resistance to change in colleges and universities is deep-seated and common enough as is; it does not need the added burden of accusations of illegitimate decisions about change.

College and university leadership calls for the best political skills of administrators—not just expediency. Political acumen involves sensitivity to the politics of change. In 1513, Machiavelli wrote, "It must be considered that there is nothing more difficult to carry out, nor more doubtful of success, nor more dangerous to handle, than to initiate a new order of things. For the reformer has enemies in all those who profit by the old order, and only lukewarm defenders in all those who would profit by the new order, this lukewarmners arising partly from fear of their adversaries, who have the laws in their favor; and partly from the incredulity of mankind, who do not truly believe in anything new until they have had actual experience of it. Thus it arises that on every opportunity for attacking the reformer, his or her opponents do so with the zeal of partisans, the others only defend him half-heartedly, so that between them he runs great danger" (1513 , 1950, 21). A university president, more pressed for time, recently put the problem more succinctly: "Friends come and go; enemies accumulate."

Resistance to change of any kind is universal in all organizations, but because of the diffuse nature of academic government, faculty, staff, and other participants all have particular opportunity and right to resist change. Administrators must take this resistance into account in seeking to achieve change. Among the more important sources of resistance that they should consider are these:

1. Instructional programs are managed directly by departmental faculty members who are likely to continue to do what they are doing unless incentives or persuasion convinces them otherwise. Administrative control over program funding is not absolute, particularly in the short run; hence the leverage of economic incentives is not complete.
2. Students currently enrolled also have a stake in the continuation of programs essentially in the form that originally attracted them. Everyone recognizes that

a substantial change in one program may have unexpected consequences for others and for students as well as faculty, through changes in demand for related courses, schedules, space requirements, and budgetary needs.

3. Many staff members believe that little either can or should be changed. This is especially so among those in nonacademic middle-management positions. The bureaucratic environment of these tasks produces this "anti-planner" orientation (Odiorne, 1981) because staff members get so enmeshed in detailed activity that they forget the organization's goals. The activity goes on; everyone is busy; but tangible out-comes and forward movement are often hard to detect.

Like everyone else, faculty, students, and staff approve of those changes they themselves create. However, when change is forced on them, resistance is strong. Innovators who forget this fact may not only fail to get their changes accepted but pay a personal or professional price for their attempt. Those who actively oppose the change may claim that it has already been tried before and failed, that it is "against policy," that others would never approve it, or that the motives of the proponent are suspect. Less active opponents may subvert the change either by encouraging endless debate over minor points or by simple defiance.

Resistance can be overcome, but to do so, innovators must lead resisters to see that the advantages of change are greater than its disadvantages. Skillful innovators know the futility of attempting to achieve major change in the absence of overwhelming evidence of a need to do so. Most important to this task is involving faculty and other groups in the planning, decision, and assessment process.

Increasing Faculty Involvement.

Faculty members are the primary resource of educational institutions. They pride themselves on intellectual and professional independence and do not easily perceive themselves as subject to management. Successful administrators recognize this faculty perspective on its role and encourage, rather than discourage, a strong sense of professorial independence. At the same time, administrators understand that overall institutional performance depends on how well faculty talents and time are allocated and used. Sustaining high faculty morale by providing full information in essential matters, involving faculty appropriately in institutional decisions, and guarding faculty time by providing needed administrative support are key to successful academic administration. If faculty members are dissatisfied with institutional management, those who are mobile (often the most able) can accept employment elsewhere, while others subscribe to collective bargaining as the most immediate alternative.

The role of individual faculty members in university management is complex. Each is a professional with nearly absolute control over the conduct of instruction in the classroom and research in the laboratory or library. As members of academic departments, they share a common concern for the content of an academic program, recruitment of new faculty, student achievement, teaching assignments and schedules, and even division of assigned space, time, and support services. As members of faculty bodies such as academic senates, they may carry a broader campus-wide responsibility for educational policy, admission and graduation requirements, personnel and program evaluation, and development of library, computer, and other academic support services. Appointment to faculty and administrative committees further draws faculty into management. Joining together independent of the institution for such purposes as legislative lobbying and collective bargaining involves them in additional decision processes, though potentially in adversarial, rather than a participatory, role in the institution. The wide array of issues demanding informed academic judgment underscores both the complexities and the importance of faculty involvement in management.

Perhaps more than nonacademic staff, when institutional change is needed, faculty members respond to facts, logic, and persuasive argument. Hence, information analysis, discussion and debate are particularly essential for successful change involving the faculty. To create an awareness and understanding of issues among the faculty, forthright written statements by the president, face-to-face dialogue between administrators and faculty, well-prepared staff papers, and joint faculty-administrator task forces can all be used successfully.

All colleges and universities trying seriously to plan involve faculty members early in the planning process. Administrators have learned by experience to include them for the special talents they can bring to the resolution of issues as well as for their support. But administrators must not try to give the appearance of faculty involvement and consultation in decisions in which the faculty have really had no or limited participation, nor expect faculty members to defend and endorse such decisions. They may win faculty acquiescence in an occasional crisis decision when administrative response is required in a short time without the usual faculty consultation, but only if the faculty have earlier had the opportunity to consider plans and policy from which the decision flows.

Just as faculty members must participate in goal setting if they are to direct their efforts toward implementing them, once goals are set, their implementation and

assessment of those goals must be legitimized. Faculty forums, faculty-administrator retreats, and cooperative refinement of draft policies are useful means of doing so. These processes are particularly important in preparing for possible retrenchment. The pitfalls of retrenchment are sufficiently numerous that administrators will be criticized for whatever actions they take. Consultation on priorities can be particularly useful in muting criticism if it occurs before cutbacks are imminent. Such early involvement is less important for winning faculty acceptance for reductions of budgets, positions, or programs-since after initial dissatisfaction, the faculty almost always accept the decisions-than it is for retaining high morale. Acceptance is not enough: Damage to faculty enthusiasm, initiative, and productivity can stem from less than satisfactory management of decline. Administrators who have successfully accomplished faculty termination because of financial exigency have found that the burden of proof is on them to demonstrate-almost to guarantee-that the net result will leave the institution as a whole better off than before. To do so, the logic for termination must be nearly overwhelming.

Institutions that have squarely faced the issue of retrenchment have typically been confronted with serious financial distress before their administrators and faculty joined together in planning and executing necessary changes. Other institutions would be well advised to organize careful faculty-administrator study of the future environment, institutional objectives, management practices and programmatic strengths and weaknesses before the onset of serious financial stress. Administrators have claimed that faculty members are unwilling to participate in analyses that may lead to retrenchment. But increasingly, individual faculty members and faculty senates are aware of the need for contingency planning. They are growing openly critical of administrative officers who lack resolve in facing the possibility of retrenchment. Faculty recognize that new and more dynamic approaches are required to induce change and that low-priority programs may have to be curtailed or eliminated to strengthen essential programs and develop new areas of knowledge that will contribute to the betterment of society. They understand that in many instances these ends can be accomplished only if internal reallocation of money and positions takes place, and they recognize that some tenured faculty members may have to be terminated. They see the merits of joint faculty and administrative planning of retrenchment, knowing that if evidence of better management is not forthcoming, loss of public confidence will lead to further financial erosion. Therefore, faculty leaders are beginning to call for somebody to "bite the bullet" before academic quality further erodes. They are looking to academic administrators for the needed leader-ship and yet are acutely concerned with establishing their role in managing retrenchment.

In sum, the uncertainties of the 1980s require extensive faculty involvement in academic

planning, resource decisions, and assessment. Because unionization limits drastically the dimensions of shared governance, collective bargaining will largely negate the opportunities for extensive faculty participation in management activities. In contrast, if administrators inform the faculty members and assure their real participation cooperative methods to guide and achieve needed change should develop, and faculty support for change will follow.

Increasing Staff Participation. Enrollment growth rates in most colleges and universities since the 1950s have been paralleled, if not surpassed, by growth of administrative and academic support service staff and "functional managers"—assistant vice-presidents, assistants to various officers, directors, assistant directors, and coordinators, to name a few. This cadre of middle-level administrators and staff has evolved on many campuses into a necessary bureaucracy to manage a wide array of business services. Nearly all these managers and staff are career professionals in university administration.

Whether or not one agrees that the growth in this professional staff has been fully justified, its development has influenced college and university management significantly. Analytical strengths have increased within the administrative organization; student services have improved; external relations have been strengthened—all positive outcomes. Yet the balance of power between the faculty and administration has shifted in the direction of staff control; faculty suspicion has grown about administrative understanding of academic values and processes; and bureaucratic rigidities and compartmentalization have led to pursuit of narrow goals based partly on unit self-interest. Often, because of less than adequate management guidance, these units and their staff have only a narrow perspective about how their activities relate to institutional objectives. In the past, persons have been appointed to staff positions because of their specific technical skills but without adequate concern for their understanding of the academic environment. Without this understanding, their ability to adapt assigned tasks to new needs has been seriously compromised. Many overly circumscribe their activities because of limited knowledge of the full range of actions that they could take to achieve objectives.

Leaders must increase the understanding of these staff about the academic environment, recognize potential for growth among them, provide opportunities for growth, reward them on the basis of performance, and be prepared to dismiss them for inadequate performance. Developing their skills improves the quality of their work, increases faculty productivity, and reduces management costs.

Overcoming resistance to change among staff demands different strategies than among faculty. Staff are more often wedded to specific procedures than are faculty. To some staff, any attempt to introduce a new approach appears an attack on them

for following an old approach. Getting the facts together to persuade staff of the need for change is not enough. The facts must be interpreted by top management and specific implications drawn with respect to present staff activities. Unlike faculty, staff expect clear direction by top management. They are accustomed to hierarchical organizational structures and to the delegation of responsibility and authority within the hierarchy. Thus, they will respond more positively than faculty to work assignments specified by administrators. Of course, like faculty, staff respond most favorably if they are given positive feedback for changing, highlighting the favorable consequences of change and reducing` it's perceived risks can increase their co-operation.

Involving Other Groups.

The faculty and staff are those who are involved with change on a day-to-day basis and whose individual careers are most directly affected. Therefore, administrators must plan their involvement in decisions. But governing boards, with their responsibility for oversight and policy direction, are equally important, since they must concur in and sup-port the chief executive if any major change is to be achieved. Students may have legitimate concerns for changing programs and may suggest, support, or oppose changes. The chief executive must establish positive means for obtaining student perspective. The interests of external groups such as legislative commit-tees, coordinating bodies, alumni, and various public interest groups are important and must be taken into account as the chief executive, together with his or her internal advisers, plans for change.

Governing boards, particularly of public institutions, have undergone important changes. Board members are increasingly drawn from a wider pool than the business and philanthropic groups that furnished the majority of board members in the past. Terms have been shortened in many institutions, requiring presidents and experienced trustees to spend more time in bringing new board members up to a basic threshold of knowledge about their institutions. Board meetings are subject to greater public attention as "sunshine laws" require open meetings. These changes have influenced the quality of debate, both positively and negatively.

Many presidents find it more difficult than it once was to share problems openly with their boards. Discussions are increasingly formal, for the participants often lack the benefit of common experience. Administrators can no longer turn automatically to board members for expert advice on questions of finance and management. Time and political acumen are needed to develop a solid working

relationship in which the president can apprise the board of necessary policy changes and expect both constructive reaction and assistance.

Relationships with external groups—state/federal 1202 commissions, government at various levels, other colleges and universities, secondary schools, alumni, and the general public—are varied, complex, ever changing, and difficult to control. On controversial issues the chief executive is inevitably required to deal with several groups of concerned constituents, each advocating a different position. For example, possible changes in ad-mission requirements may be seen by other colleges as a threat to their own future enrollments. Funding sources may take one position with respect to potential costs and another on the social desirability of the change. Secondary schools will interpret the change and react on the basis of its expected effect on their programs and students. Those in or out of the eligibility pool who expect to be affected will make their positions known, and the faculty will view any change as a raising or lowering of standards and will react accordingly. Each constituency will expect an "impartial" hearing and then action that matches its perception of what is "right."

Since gaining a stronger voice in the late 1960s and early 1970s, students have been added to some governing boards and are increasingly consulted on courses and the quality of instruction.

This environment requires careful planning and timely consultation. Each group requires individual attention in how it is approached and what is emphasized, but the information transmitted must be accurate and consistent both during the de-liberations and once the decision to change is made.

Conclusion

Academic administrators often despair of managing a college or university to their own satisfaction, knowing the impossibility of managing the institution satisfactorily from everyone else's point of view. The approach to academic management presented here can provide administrators greater self-satisfaction while increasing acceptance of academic management by others. It emphasizes creativity rather than constraint, continuity rather than crisis, initiative rather than conformity, achievement rather than protocol.

The rate at which such an approach to planning, resource management, and assessment can be introduced in an institution depends on how well and how fast faculty and staff can accept broader and changing responsibilities, perform within policy guidance rather than procedural directives, respond to incentives

rather than restrictions, and view circumstances and events as they are, not as they were in the past or as faculty and staff wish they were. Presidents must seek and appoint persons to whom they can delegate authority to help institute its processes at all levels and educate present faculty and staff in this direction.

Deans, department chairs, and other administrators who are attuned to institutional objectives and goals, who unde6-stand the need for and the methods of achieving change in academic institutions, and who have the respect and support of the faculty to do so are critical in instituting such an approach. De-centralizing authority and rewarding leadership performance at all levels will help attract the most able academic managers.

To adopt this dynamic, cyclic approach to planning, re-source management, and assessment of necessity requires education. But the job of the university is education. Faculty, staff, and administrators must be educated to keep their skills current, increase their responsibilities, and cooperate in achieving common goals; and a systematic approach to the management cycle can aid this education. Education is not by lecture but by policies and practices that reinforce planning, self-evaluation, and self-development. Just as this management approach sup-ports continuous institutional renewal through a never-ending cycle of analysis, action, and adaptation to new challenges, so it can contribute to individual growth and renewal among all members of the institution—trustees, administrators, and students as well as faculty and staff-so that the process of change is continuous and dynamic. The approach to academic management presented here can provide administrators greater self-satisfaction while increasing acceptance of academic management by others. It emphasizes creativity rather than constraint, continuity rather than crisis, initiative rather than conformity, achievement rather than protocol.

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The leadership styles of college and university leaders must change as well. The charismatic leader of the forties and fifties gave way to the hardened negotiator in the sixties and the compromiser in the seventies. Leaders in the eighties must be statesmen in the true sense of the word—regarded as unbiased promoters of the public good. These "statesman-leaders" will have to take more risks than their predecessors if they are truly dedicated to the continuing vitality of their institutions. They will have to rethink the way colleges and universities do business and stress the need not only for presidents to be statesmen but also for faculty, outside policy makers, and those who pro-vide resources to be statesmen as well. We believe that only then will universities be able to consolidate past strengths and build new ones to meet changing objectives and future challenges.

CHAPTER EIGHT

Managing Resources To Attain Institutional Goals

Introduction

Planning points the way to desired change, but academic leaders give life to plans by managing people, space, time, and money—the basic resources of any organization. As Jacques Barzun has said, "Administering a university has but one object: to distribute its resources to the best advantage" (1968, p. 95). Chief administrative officers can exert significant influence on the quality, size, number, and operation of all institutional pro-grams, often through better planning and assessment, by improving communication and raising basic questions of purpose and mission, and by clarifying policies and procedures, but most directly by affecting the allocation of resources. Resource allocation is the most powerful management tool available to academic administrators. The constraining environment of the 1980s calls not only for better planning in higher education but also for technically sophisticated resource management in order to effect change in the absence of new resources.

Resource management" encompasses more than acquiring resources and the traditional budgeting activities of assessing needs and allocating people, space, time, and money to them. It emphasizes anticipating likely resource levels, reallocating and "deal locating" resources, and finding ways to make better use of present resources through more sophisticated financial management, accounting, and performance assessment.

Today, resource management in higher education is in-adequately integrated with planning and inadequately oriented toward making difficult choices among competing priorities in lieu of new resources. Many experienced academic administrators understand that to attain planning objectives requires careful and creative management of resources, but general uncertainty and threat of change complicate their adaptation of new resource management techniques to the decision processes and incentive systems characteristic of colleges and universities. In the meantime, challenges grow more ominous while opportunities to act are further constrained.

Resource Management during the Golden Age

During the 1950s and 1960s, the growth of college and university resources and the expansion of their relation with government forced greater administrative attention on resource management procedures, although these procedures did not necessarily result in improved management. Externally imposed

budgeting techniques were not necessarily well adapted to academic institutions. Many newly hired professional budget staff were unfamiliar with academic management and did not understand how to work effectively with academic leaders in resource planning. At the same time, faculty members were asked to assume administrative posts for which they lacked experience, particularly in planning and managing resources. Together they implemented many management practices that now constrain the ability of institutions to adapt to a different environment and to manage resources effectively and efficiently.

For example, regarding human resources, decisions to hire faculty members were made independently of long-term costs; tenure commitment were made with inadequate regard for the age distribution of faculty members were employed to meet specific, immediate instructional needs with inadequate attention to individuals' capabilities to stimulate continued academic growth. Administrative and academic support staffs were selected for immediate service needs without enough concern given to grow or attention to their development. High turnover among academic administrators encouraged bureaucratic regimens and large administrative staffs that became en-trenched, making administrative change difficult. Inflexible administrative units were created to meet foreseeable needs, but when needs changed, they often remained in place while new units were added around them. Meanwhile, cumbersome and time-consuming consultation processes captured faculty time from more central scholarly responsibilities. In addition, state personnel procedures imposed special constraints on public institutions. State control over the number and grades of positions stifled incentive for effective internal management; state control of compensation rendered administrative use of financial rewards and penalties difficult; and the extension of civil service hiring, merit, and promotion systems to higher education staff personnel severely constrained internal personnel management. Now program change is constrained not only by these systems and by the narrowly specialized skills of faculty and staff but also by low turnover rates. Most faculty and administrators are less mobile now between institutions and with-in their careers than in past years, while inflation and changes in retirement laws are encouraging them to remain in full-time employment as long as possible.

Regarding financial resources, the time-worn budgeting practices of line-item allocations and precontrol of expenditures in many colleges and universities severely inhibit their creative use. Expenditures in specific categories such as travel, secretarial support, salaries, computers, and instructional equipment are predetermined even before allocations are received by the operating units. Approvals for transfers between categories must come from higher authorities, and because it is "politically un-wise" for a unit to return unexpended balances at the end of

the year, all funds will be spent within categories and resources will be used less than optimally. Although a department chair-person may determine by midyear that part of the department's budget for graduate student use of computers might be better employed as support for student field study, under line-item procedures this trade-off may seem unavailable. While small deviations in expenditures from budget are usually permitted under line-item budget allocations arid precontrol of expenditures, reporting requirements and the fear of subsequent budget reductions can deter more timid administrators from taking ad-vantage of the flexibility offered them.

In addition, administrative concentration on acquiring new resources, particularly in public institutions, has over-shadowed efforts to improve internal analyses of resource needs and use. Departmental resource requests aggregated from the bottom up without planning and policy guidance tend to lock resources in place through political compromise rather than through agreement on goals first and resource needs second. As enrollment-driven formulas became the focal point for the external debate over funding levels for public institutions, internal allocation procedures were so strongly influenced by these external formulas that more internal formula budgeting was adopted than was called for even by funding agencies. And ac-counting for the expenditure of funds solely by fund source moved the emphasis of allocation away from the use of all avail-able funds in an integrated manner to achieve objectives. As the number of fund sources grew, responsibility for fund management became fragmented, making coordinated use of resources to accomplish objectives difficult, despite careful planning and policy guidance.

Government practices constrained financial management of public institutions in a number of ways: Language added to appropriation bills to control expenditures became inhibitive. Withdrawing fund balances at the close of the fiscal year (a common approach to control and accountability) limited efficient use of funds by providing the incentive to spend balances to prevent their reversion. Legislative emphasis on net budget. Increments encouraged a sense of permanence in base budgets, while emphasis on annual increments rather than multiyear resource decision deterred sound use of resources. Appropriating operating funds separately from capital funds and prohibiting trade-offs between them may have protected against serious overbuilding but it created an artificial barrier to efficient resource use and, in some cases, encouraged costly facility leasing and lease-purchase arrangernents. Mandating programs without providing adequate funding to meet compliance costs also be-came a serious deterrent to good resource management. This practice has increased sharply as both the federal and state governments have sought to implement a number of policy objectives at little direct governmental cost. Compliance is obligatory and the objectives may be worthy, but requests from institutions for funds or implement the directives either go unanswered or elicit the suggestion that resources be reallocated internally to meet new "needs." And the desire of state government to control institutional expenditures of all financial resources, including student fees, private gifts, and

federal grant and contract in-come, has restricted the efficient and effective management of all resources, has implied a lack of trust and confidence in college and university leadership, and has tended to deter many administrators from creative or bold resource management choices.

Regarding the management of space, institutions tended to build for specific "permanent" tenants and program needs, thereby limiting future flexibility. New approaches to teaching and changes in student interests have resulted in excesses in some specialized space and serious shortages in other types—for example, as the need for large instructional laboratory bays in engineering has given way to that for small spaces to house complex equipment, and as enrollment growth in biological sciences has increased demand for "wet" laboratories. Even physically compartmentalized administrative space has inhibited management approaches that rely on greater interaction among groups and individuals. The near absence of capital depreciation funds and renovation allowances in capital management programs has limited facilities renovation to accommodate these changing programs and needs. External constraints imposed by government agencies and local groups affecting expansion and space use include challenges from the surrounding community to further additions of space because of traffic, noise, or esthetic considerations; substantial government control over design and construction; and the dedication to austerity in design and furnishings that reduces flexibility and effectiveness in use of so many publicly funded structures for higher education.

Regarding time management, the tendency to segment time into separate annual budget periods has had a disruptive effect on the continuity of operations essential to good resource management. Faculty groups typically deliberate on important issues for extended periods, while administrators have been forced to act on these issues on short notice. Faculty bodies re-act slowly to administrative requests, often because they have not participated in planning discussions on the issues. Engaging faculty earlier in the planning process would have given administrators the timely and thoughtful support they needed as the planning horizons for higher education were affected by the shortening perspectives of external political processes. There is a need to lengthen the planning horizon, not shorten it, in colleges and universities; yet the political processes in the country are moving in the opposite direction. This is best evidenced in the lack of external appreciation for the longer time frame that academic institutions need for effective academic planning.

Stage One: Managing Resources for Slower Growth

During the 1970s, most colleges and universities saw real dollars decline, reduced or eliminated a few academic programs and faculty positions, and substantially modified their earlier academic planning objectives. Decisions were often painful, difficult, and unpopular; but some hard choices were made. Unfortunately, the initial responses to slower growth and strategies adopted utilized the resource management practices inherited from the 1950s and 1960s. They were short-time, reflecting a widespread attitude that the circumstances forcing adjustment were only transient. By their very nature, they often bore only a modest relation to a rational solution to long-term institutional. Problems and the attainment of long-term objective. Priorities were set and decision made in the absence of planning strategy and often under crisis conditions. Without preparation for dealing with new challengers, these priorities and decisions further constrained options and foreclosed opportunities to meet them. These responses took several forms:

Evasion.

The initial reactions of some administrators were evasive—for example, understating the magnitude of the problem to themselves, the faculty, and the governing board; developing arguments to refute the evidence of potentially adverse trends, such as claiming that enrollment growth was inevitable because it was essential to the nation's continued economic development and prosperity; taking symbolic actions, such as forming study commissions and task forces to reconsider institutional missions; allowing expenditure of endowment corpus to pay current operating expenses; threatening to cut vital, popular, or highly visible programs, as by reducing library hours or health care services; developing a siege mentality ("circling the wagons"), partly to maintain *esprit de corps* and partly to buy time; and throwing difficult problems to higher levels of decision making, either within the institution or outside it to coordinating bodies or the state legislature. These palliatives failed to address basic problems, and some of them had long-term detrimental consequences. Tossing the problems to higher levels, for example, forfeited autonomy to these levels and set precedents for greater government coordination and control over future decisions.

Fund Raising

When these evasive tactics fell short, management effort turned to resource acquisition: increasing the fund-raising staff; undertaking annual fund drives; orchestrating external support for government aid; raising tuition and fees to offset increased costs; raising financial aid to keep pace with in-creased tuition and to maintain enrollment; making definitional changes in budget requests by such means as altering the method of counting

students and redefining student workload standards, in order to maximize revenues; instituting user fees for public services previously offered without charge; and seeking all funds wherever possible for which the institution might be eligible—even at the risk of distorting institutional priorities and objectives.

Along with these fund-raising efforts, institutions sought to diversify their programs, clientele, and constituencies by instituting or expanding part-time and off-campus programs in order to broaden their base of enrollments. Besides recruiting more students, they sought to increase retention rates to avoid loss of revenue. These strategies were not necessarily cost-effective, however, in generating additional money. In some cases, enrollment increases actually resulted in a decline in available dollars per student. Some state legislatures provided no new re-sources for additional students, and some public universities saw appropriations decline at the margin as they enrolled more students. Administrators in both public and private institutions did not foresee the burdens that increased numbers of part-time students would place on student services, despite the significantly lower revenue they generated than did full-time students. And increased enrollments led to workload imbalances between departments, resulting in overcrowding and scheduling difficulties in some fields and pressing hard on academic standards.

Spending Discretionary Funds

The next step most institutions took in response to reduced growth and tighter budgets was committing discretionary funds, such as unspent salary monies, unrestricted gifts and endowments, and other reserves, to meet current operating needs. But this tactic created a serious loss in flexibility by reducing institutional ability to use uncommitted funds to shift direction. For example, one major state university in our survey group that suffered nearly a 50 percent cut in its organized research budget in one year replaced this loss with discretionary funds. By so doing, it was able to continue its research program for the next year at the previous level, but it lost indefinitely the use of a substantial portion of its uncommitted funds that had allowed it to gain distinction. In another case, a private university facing a large deficit forced academic departments to expend all their flexible funding to cover their operating costs, not only seriously sacrificing their flexibility and reducing incentive to raise additional funds but also merely postponing addressing the university's long-term financial plight.

Selective Cuts in Costs

A further step to reduce expenditures involved withdrawing subsidies from auxiliary enterprises, setting up internal recharge mechanisms, adopting full-cost accounting, reducing staff support, and cutting the cost (and often the quality) of

supplies and services. For instance, re-charging campus support services to academic departments became a widely used device as resources declined, although it also reduced financial flexibility. Recharging support services can, of course, increase efficiency in resource use provided the re-charge rates accurately reflect the costs to users of the services they purchase. But if the recharge is merely a general tax to sup-port an activity that has sustained a budget cut, its impact can be doubly negative—not only reducing the flexibility of academic units in their support budgets but also assuring continued funding for levels of support service that may exceed institutional needs.

Eliminating or reducing expenditures that could be deferred, such as building maintenance and repair, and equipment and library book purchases and replacement, was common in hopes of using funds for direct instruction. Most administrators now recognize that these "savings" from reduced maintenance and deferred purchases adversely affected instruction and re-search. Deferral was looked on as a temporary expedient, until re-sources could be regained to return expenditures to former levels; but this hope was not always fulfilled. Inflation greatly increased the cost of deferral; reduced routine maintenance such as exterior painting and waterproofing or upkeep of heating and cooling systems shortened the life of facilities and equipment, resulting in higher replacement costs; and deterioration in the quality of space and equipment impaired faculty and student productivity. Cutting support service staff was equally widespread and often equally counterproductive. In the absence of clear objectives or criteria, the tendency was to cut support services so deeply that faculty productivity suffered. In one university, services were so severely curtailed that the president was finally forced to pro-vide emergency funds to restore minimum services.

Relying on Turnover in Personnel

Another tactic of cost reduction was to use "natural" attrition through death, resignations, and retirements to reduce the number of faculty and staff. Yet only by chance did vacancies match program needs. By withdrawing vacant positions from certain departments and reallocating them to others, administrators were able to counter some distortions in workload that were developing, but turn-over was not adequate in many institutions to meet the personnel changes required to keep existing programs vital, let alone meet new program needs. Moreover, if institutions took positions away from departments where the vacancies resulted from adverse personnel evaluations or denial of tenure, departments sometimes responded with more lenient reviews in order to protect the number of their positions, thus inviting erosion of faculty quality over time. At the same time, a conscious policy of avoiding future tenure commitments gave some institutions a

"revolving door" reputation toward nontenured personnel, hampering their ability, except for the most prestigious, to at-tract top-quality young scholars. And because most turnover tends to occur among younger faculty and staff, the strategy of relying on turnover tended to result in raising the average age of the faculty and narrowing its age distribution.

Cutting Costs across the Board and Freezing Positions

*Fi*nally, nearly every institution imposed across-the-board cuts on the budgets of all units or instituted a general personnel freeze. Uniform budget cuts transferred decisions on reductions to the individual units of the institutions, but they were an expedient insensitive to differences in programs and the needs of students. Quality programs were treated the same as those that could benefit from extensive reorganization or even demise, and those that had managed effectively and efficiently received no reward over less well-administered units. General personnel freezes concentrated vacancies in the lowest-level support jobs where natural turnover is the greatest, thus requiring higher-salaried and overqualified employees to assume clerical and stenographic duties. They also tended to be particularly detrimental to small units, whose flexibility was already less simply because of their smallness. Like decisions to discourage any new program development, these cuts and freezes postponed serious planning and decision based on careful assessments.

Stage Two: Managing Resources for Financial Stringency

Administrators who understood the long-term consequences of their initial responses to financial stress and who realized that their institution's financia l woes were anything but transient looked for new resource management method's and policies to deal with continued austerity. Their "Stage Two" actions emphasized three strategies: (I) recovering flexibility, (2) reducing costs while increasing efficiency, and (3) maintaining program quality.

Recovering Flexibility

Rather than evading problems, administrators sought to recover flexibility first by educating faculty and trustees in depth about the nature and sources of financial and enrollment problems. Externally, they worked more closely with their professional associations in shaping legislation and government agency regulations. They sought to persuade state and federal officials to help maintain institutional budgets despite enrollment declines. They placed greater restrictions on accepting funds with too many strings attached; they assessed public attitudes about the institution through public opinion polls and contacts with community leaders and

alumni; and they sought to improve institutional images through the mass media.

Rather than looking primarily to government for funds, administrators sought to raise more money from business, industry, and private sources. They endeavored to rebuild depleted financial reserves to help absorb the impact of future setbacks and capitalize on future opportunities. They designated some faculty positions as available only on a temporary basis, in order to reverse the trend of heavily tenured departments—recognizing that this tactic tends to establish two classes of faculty with-in academic departments and that the core of excellent academic programs cannot be built or maintained on temporary appointments.

Reducing Costs While Increasing Efficiency

In Stage Two, institutional leaders began to phase out lesser-quality and lower-priority programs; reexamined their financial aid policies to re-duce financial overexposure and concentrate aid more effectively; assessed institutional marketing, recruitment, and admissions efforts to assure greatest cost effectiveness; and made progress in holding down the costs of academic support services. For example, sharing of library resources among institutions and use of automated library systems became commonplace to improve service while reducing the cost of processing and accessing library materials. Outside contracting of some activities became an accepted practice, especially to avoid hiring year-round staff to meet seasonal or sporadic needs. "Off-loading" work from central administrative staff to departmental staff sought to re-duce total costs. Students, after many years, were again hired to provide gardening, janitorial, and other services encouraged both by the nature of financial aid packaging and by lower cost. Across-the-board percentage budget cuts were replaced by re-distributing taxes designed to distribute resources differentially among units over time.

Maintaining Quality

To assure the quality of programs, some long-ignored resource management methods reappeared that had once been commonly practiced in many institutions. Resource sharing within multicampus institutions and among neighboring institutions extended from the sharing of books, as mentioned earlier, to sharing of faculty, elaborate technical re-search equipment, and facilities. Most positive were serious analytical efforts to understand the future implications of present staff patterns and resource distribution, including analysis of present and projected faculty teaching loads, dollars spent for various purposes by various units, and the quality of performance of these units. These analyses provided the information from which reallocation plans could be developed and set the stage for current reforms in resource management.

Stage Three: Managing Resources for Uncertainty

Stage Three resource management rests on a number of critical operational concepts, among them the following:

1. Planning and resource management is a continuous process.
2. Any decision that commits resources is a policy decision.
3. Clear goals and assessment of results in light of them are better guides to resource use than detailed control over expenditures mandated at the time of allocation. They permit decentralized performance-oriented decision rather than centralized tradition-oriented routine.
4. Flexibility in the use of resources can do as much as increased allocations to bring about desired program changes while improving efficient use of resources.
5. Assessing future fund needs, fund prospects, and constraints on fund use is essential for meeting short-term contingencies and assuring long-term financial strength. Such assessments permit central administrative officers to make commitments to units beyond one-year budget periods and before resources are actually realized.
6. Managing funds from a number of sources in concert can take advantage of differences in time of their availability and limits on their use in order to meet objectives more fully than managing and committing funds separately.
7. Face-to-face discussions between central administrative officers and unit managers at all levels, and among administrators and faculty, are essential for understanding of needs and priorities and for agreement on goals and resource decisions.

Resource management practices based on these modern concepts are available for use by chancellors and presidents in helping turn the challenges of the 1980s into opportunities.

Protecting and Enhancing Institutional Quality

To meet this first challenge of the eight described in Chapter One, academic program reviews by internal groups of faculty and staff and by external review teams can be employed. Among the factors they can consider in assessing quality are the characteristics of incoming students, national and international reputation of the faculty as judged by scholarly accomplishments, placement of graduates, ability of faculty to attract extramural funding, comparison of program characteristics with similar programs in the region or nation, and effectiveness and efficiency in using re-sources to

achieve program goals.

Reducing the size and scope of one or more programs can also enhance institutional quality by freeing resources for reallocation to higher-priority programs. A more limited strategy is to require an adequate level of budgetary support before a department can fill a vacant faculty position. Special analyses can be conducted on resource use and relative levels of support among departments in related disciplines and among diverse programs. Understanding current programs in light of their use of resources is essential before resources can be allocated more effectively.

To stimulate professional growth, sabbatical leaves can be assured for those eligible; they can be focused on study and scholarship, with their objectives planned and agreed on in advance, and their achievement of these objectives reviewed on conclusion. Additional incentives that may stimulate growth include nonmonetary rewards for superior performance, such *as* citations, letters of commendation, and social gatherings to honor individuals. Outstanding teaching or research awards, grants from private funds to outstanding faculty members, and one-time bonuses reward quality performance monetarily with-out committing resources to higher salaries.

Junior faculty can be protected from time-consuming administrative assignments so that they have ample opportunity to become established scholars. Keeping senior faculty in contact with undergraduates and graduates in the classroom provides incentive for them to remain current in their fields and provides an important balance in approach and perspective for students. Disparities of workload brought about by differential growth rates among fields can be reduced by increasing flexibility in staffing through temporary appointments, such as lectureships and visiting professorships. Where workloads are disparate, dis-couragement and low morale are evident among both the overwork and the underworked. Reducing inequities can improve the performance of both groups. Program and institutional quality are more easily enhanced when faculty and staff morale is high. One important contribution to good morale is an attractive physical environment. Dirty windows, leaking plumbing, and holes in the walls do not inspire the best from academicians, in spite of the reputation they may have for ignoring their surroundings.

Maintaining Financial Viability and Independence

To protect their resource base and acquire additional support—the second of the eight major challenges—institution can emphasis development program for diversification of funding sources; direct increasing attention to obtaining

unrestricted gifts; scrutinized proffered gifts more carefully to determine what commitments of other funds will be required to meet their terms if they are inconsistent with planned program direction; and attempt to alter the terms of prior gifts and endowments carrying excessive restrictions that limit their usefulness.

Time devoted to improve management of funds already in hand may have as great a return as that spent in seeking new funds at the margin. Accounting capabilities can be improved to provide better information on resource use. Fund use accounting—the classical approach—may continue to meet fiduciary re-porting requirements, but it is not particularly helpful for management. The more important information, from a management perspective, relates expenditures to programs whose outcomes can be compared with the estimated value of achieving goals and objectives or analyzed in terms of the least expensive means of accomplishing given outcomes.

Financial viability may depend on the institution's ability to adjust its expenditures downward rapidly. Inevitably, some programs will have to be curtailed to generate the revenues to pursue new academic directions. Program reviews are obviously necessary to these reduction policies. Transfer and layoff policies and plans to reduce or discontinue programs must be developed well before they need to be used in order to minimize the legal challenges that inevitably accompany attempts at reducing staff or faculty. Not to do so is poor management.

Although sound academic reasons such as tenure exist for much of the inflexibility in salary budgets, institutions can improve their financial responsiveness by employing more part-time, temporary, visiting, and other irregular-rank faculty. To do so requires careful monitoring of overall program quality, but the advantages in attracting people with new ideas and perspectives certainly warrant departure from traditional tenure-track hiring practices. Temporary or visitor positions need not be funded at low levels, as is often the practice. In fact, high salaries can be used effectively to attract distinguished visitors for shorter periods. In addition, employment periods can be matched to needs for services (for example, through nine- rather than eleven-month departmental staff appointments). Interinstitutional cooperation can share the cost of expensive teaching and support staff and facilities. Additional needed space can be leased rather than purchased by investing large sums of money in new construction, while facilities not currently in use can be leased to others.

Keeping Human and Physical Resources Vital

To induce program changes, deans and provosts can withhold faculty positions until potential appointees are identified who meet program specifications. Should opportunities arise to hire outstanding scholars to further these programs, funds can be made available in advance, in exchange for positions scheduled to be vacated through retirement in the near future.

Incentives to faculty members for developing programs and courses that further planning objectives can include personal advancement, added support for the program, "seed money" to institute a program, additional time to participate in the program, and removing constraints imposed on faculty members pursuing outside funding. For example, excessive internal rules on how extramural funds can be used need to be examined to see whether they serve the best interests of the campus.

To maintain vitality among faculty, administrative, and staff personnel, colleges and universities can expand in-service training, and rotate job assignments. Variety in assignments helps retain interest and offsets some of the undesirable features. Part- or full-time administrative duties can be assigned to some faculty members, not only for variety but also to make way for new blood in the faculty. Partial and phase retirement of less productive faculty members may be a desirable option for some. Generous severance pay and assistance in finding alternative employment are positive incentive to encourage less productive staff members to leave. In fairness to those faculty and staff whosever the institution well, it is essential that institutions encourage continued development and productivity in all employees and all that is reasonable, fair, and legal to remove those who fail to perform satisfactorily for whatever reason.

Rather than creating new organizational structure, assigned staff to handle possibly transient issues, administrators can assemble, on a temporary basis, necessary talents from different parts of the organization to deal with the issues. To revitalize a weak but important program, a core of faculty can be retained for a specified period during which the unit is strongly challenged to revitalize itself; otherwise the pro-gram can be closed down until the resources can be marshaled to reopen it with acceptable quality.

Needed program changes to maintain vitality are not automatic, nor will planning and resource management guarantee that necessary changes will be accomplished. Some business firms have experimented with "change agents" to encourage and inspire self-study in units and discover ways of strengthening, revitalizing, and redirecting current activities. In academic institutions, the closest parallel activity

seems to be the accreditation process. Periodic self-study can be effective in stimulating program updating, but in combination with reports of accreditation teams and outside consultants needed change is likely to be more successfully induced.

Increasing Participation and Improving Access

Concern for improved access can go beyond earlier efforts to increase the number of students from underrepresented ethnic and economic groups. Admission requirements can be evaluated and broader criteria sought that will attract qualified students from a larger pool of capable prospects. Admissions personnel can adopt a strongly positive mode in dealing with potential students without engaging in unethical recruitment. Prospective students at the secondary school level can be assisted to meet college entrance requirements and to prepare for college and university study. Institutions that have adopted recruitment practices that are not commensurate with the academic values they espouse need to question the long-term benefits of stepped-up recruitment. Students should not be admitted who cannot successfully pursue the academic programs offered. Retention rates can be improved both by this policy and by increasing emphasis on faculty advising, peer advising, learning assistance, and planned educational leaves, or "stop outs."

Enhancing Operational Efficiency and Increasing Productivity Allowing units to use all or part of any savings accruing from more efficient operations rather than withdrawing all savings to a higher level in the organization (as is commonly done) is a positive incentive for good management and a strong inducement to increasing efficiency and productivity. All academic departments and other units have a long list of worthy projects for the future. To be able to introduce one occasion-ally when necessary resources can be recaptured from current activities stimulates all members of the unit to look for ways of saving elsewhere.

Personnel policies that directly relate salary levels and titles to the number of persons supervised are a disincentive to efficient management and need to be changed. More sophisticated criteria should be developed that take into account relative responsibility, demands for leadership skills, sensitivity and centrality of the position, and the nature of decisions required.

Every vacancy that occurs in administrative and staff positions provides an opportunity to change the number of positions and management skills of the institution slightly. Such opportunities should not be left to chance, nor should auto-matic replacement based on present assignments be allowed without review of staffing plans. Equally important is the careful assessment of both short- and long-

term staff requirements as they relate to new technology. Computerization, word processing and communications technology are having profound effects on the numbers and array of staff talents required on campuses; yet many have been introduced without adequate attention to their impact, leading both to inefficient staffing and to extend periods of poor performance of service units after the new technology is introduced.

Assigning space to academic and administrative units to promote greater interaction and communication can contribute to greater efficiency in resource use. The quality and effectiveness of planning and resource management activities are greatly enhanced if those who must interact do not sense physical barriers to communication. Traditional "vice-presidential suites" and rows of individual staff offices are not conducive to modern decision and organizational planning concepts. Housing central administrative officers in different buildings almost precludes coordinate decision; making on college campuses. In facilities poorly designed for interaction, both faculty and administrators must spend unnecessary time and energy in developing compensating—and usually more expensive—means of communication.

Improving External Understanding and Support

One immediate step all institutions can take to increase external under-standing is to exercise more care in the quality of information that is made available to the public. For example, how faculty members make use of their time is not well understood off cam-pus, nor is the amount of nonclassroom time that they devote to students and public service. Informing students, faculty, staff, parents, and friends about how the institution functions and the problems it faces can help increase public understanding, since these constituents are in positions to represent and promote the interests of the institution.

Public colleges and universities must come forth with convincing arguments to separate budget allocation levels from enrollments. One approach may be to focus the acquisition bud-get more on specific funding issues and program objectives that have qualitative as well as quantitative dimensions. This type of argument will be difficult to "sell" to budget analysts in state government but may be attractive to legislators and governors.

To preserve autonomy, it may be necessary to refuse government funds when the conditions attached to them become excessive, resist_ openly and often political intrusions in policy making, and, as a final recourse, seek relief through the courts. These strong measures may help gain a greater understanding among the public at large of the need to preserve a necessary degree of protection from 'political interference in higher education. Other changes in the way government deals with higher education could do much to improve efficiency in operations, although the chance of such changes is small.

For one thing, allowing colleges and universities to retain part or all of any savings they generate and apply these savings to planned program changes would provide a strong positive incentive for efficiency. For another, a more rational basis for establishing accountability than through line-item budgets and excessive regulation would also improve efficiency. Accountability is absolutely necessary for any recipient of public funds, but current means of attaining it too often result in stultifying restrictions that stifle managerial ingenuity except in seeking to circumvent the worst of them. Another breakthrough that could greatly improve resource management would be for legislatures to adopt multiyear resource commitments as an instrument of institutional support. Legislators need to understand the time required to bring about necessary changes in program, particularly when appropriation cuts are considered. A fourth would be for state agencies to understand the importance of institutions' retaining independent control over nonappropriated funds and those obtained from government sources other than the state, if institutions are to succeed in developing private and federal sources further.

Learning to Live with Uncertainty

Steps can be taken to convey a sense of resource continuity in turbulent times and in-crease the ability of faculty, staff, and administrators to serve effectively when circumstances change unexpectedly. Increasing the potential mobility of individuals through retraining and job rotation is the most common approach in the business sector, Academic administrators can provide opportunities for faculty to increase their adaptability, knowing that persons with more skills and options are far more likely to retain confidence in the face of uncertainty.

Changing resource management practices can also help. Making advance commitment of positions and support to needy departments and other units, in some cases through reductions in other units can provide a strong sense of uncertainty to units in need, while advance warning to the units losing resources enables them to prepare for cutbacks. Accurate and timely announcement to major decision affecting available resources can do much to provide greater continuity. It is too much to expect good resource management among operating units when they can plan only from one budget appropriation to another with little information or guidance on what resources are likely to be available beyond the appropriation. Garnering of modest reserves to dampen variations in income over time can also reduce the impact of uncertainty and help achieve continuity.

Developing and Implementing Improved Management Processes

In a line of retrenchment, the procedures and criteria used in reaching resource decisions must be not only clear but reasonable if they are to withstand challenge. Those adversely affected may not like the decisions, but if they under-stand the process of consultation by which decisions are reached and the reasons behind them, debate can center on substance rather than on procedure. Periodic review and updating of all administrative processes can help avoid procedural challenges, keep organizations current, and achieve savings of effort and money. The traditional separation of academic, financial, business, plant, and executive management is no longer optimal. Administrative structures that bring together these different perspectives in an "open" decision process in which problems are collectively addressed, not defined and fragmented by functional boundaries, lend themselves to consultation and action among all administrative officers. This approach to problem solving and decision making should not be confused with an ambiguous organization in which the principals are unsure of their responsibilities or authority. The line is a fine one, but of paramount importance. Individual administrators retain their responsibility for action, but their actions are coordinated rather than unilateral. Rewarding those who function in this way can help make the normal mode of organizational behavior one of cooperation. Rotating administrative assignments can prepare individuals for this type of role both in attitude and in experience. "Matrix" organization may help facilitate interchange among administrative specialists if it avoids the tendency to be-come overformal and rigid. Faculty members with expertise in organizational theory, industrial psychology, operations research, policy analysis, or related fields can be asked for advice by their own institutions in areas in which their perspective can be helpful. Finally, for reasons more pragmatic than theoretical, more and more administrators may need to follow the advice of a number of astute presidents who maintain that the best way to encourage cooperation and coordination among units and staff members in achieving peak workload is to remain deliberately understaffed.

Already, chief executives on many campuses have adopted one or another of these "Stage Three" strategies for responding to the challenges of the 1980s with improved resource management. They are no longer preparing "for the past war." But beyond the eclectic adoption of discrete strategies, a consolidated approach to better resource management is possible. Chapter Six explains its elements, and Chapter Seven illustrates its application.

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