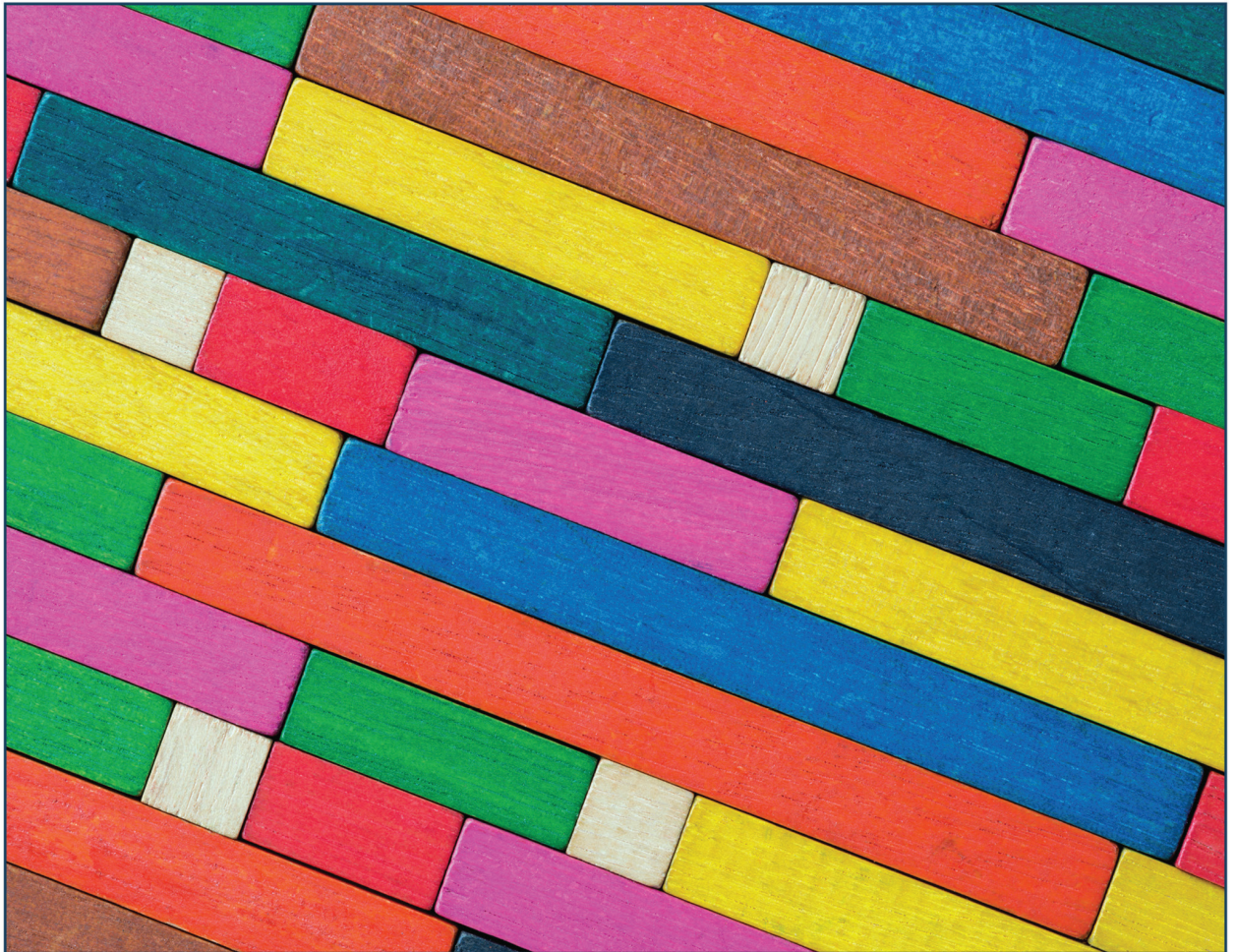


The Pearson Educational Leadership Series

# ORGANIZATIONAL BEHAVIOR IN EDUCATION

Leadership and School Reform

TWELFTH EDITION



Robert G. Owens  
Thomas C. Valesky

Twelfth Edition

# ORGANIZATIONAL BEHAVIOR IN EDUCATION

Leadership and School Reform

Robert G. Owens

*Distinguished Research Professor Emeritus,  
Hofstra University*

Thomas C. Valesky

*Professor Emeritus, Florida Gulf Coast University*



Please contact <https://support.pearson.com/getsupport/s/contactsupport> with any queries on this content

---

**Copyright © 2022, 2015, 2011 by Pearson Education, Inc. 221 River Street, Hoboken, NJ 07030.**

All Rights Reserved. Manufactured in the United States of America. This publication is protected by copyright, and permission should be obtained from the publisher prior to any prohibited reproduction, storage in a retrieval system, or transmission in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise. For information regarding permissions, request forms, and the appropriate contacts within the Pearson Education Global Rights and Permissions department, please visit [www.pearsoned.com/permissions/](http://www.pearsoned.com/permissions/).

Acknowledgments of third-party content appear on the appropriate page within the text.

Cover Image Credit: Kenny Williamson/Moment/Getty Images

PEARSON, ALWAYS LEARNING, REVEL, and MYLAB are exclusive trademarks owned by Pearson Education, Inc. or its affiliates in the U.S. and/or other countries.

Unless otherwise indicated herein, any third-party trademarks, logos, or icons that may appear in this work are the property of their respective owners, and any references to third-party trademarks, logos, icons, or other trade dress are for demonstrative or descriptive purposes only. Such references are not intended to imply any sponsorship, endorsement, authorization, or promotion of Pearson's products by the owners of such marks, or any relationship between the owner and Pearson Education, Inc., or its affiliates, authors, licensees, or distributors.

#### **Library of Congress Cataloging-in-Publication Data**

Names: Owens, Robert G., author. | Valesky, Thomas C., author.

Title: Organizational behavior in education : leadership and school reform / Robert G. Owens, Distinguished Research Professor Emeritus, Hofstra University, Thomas C. Valesky, Professor Emeritus, Florida Gulf Coast University.

Description: Twelfth edition. | Hoboken : Pearson, [2022] | Includes bibliographical references and index.

Identifiers: LCCN 2020020557 (print) | LCCN 2020020558 (ebook) | ISBN 9780135809181 | ISBN 9780136794455

Subjects: LCSH: School management and organization—United States. | Organizational behavior.

Classification: LCC LB2806 .O9 2022 (print) | LCC LB2806 (ebook) | DDC 371.2—dc23

LC record available at <https://lcn.loc.gov/2020020557>

LC ebook record available at <https://lcn.loc.gov/2020020558>

**ScoutAutomatedPrintCode**



ISBN 10: 0-13-580918-5  
ISBN 13: 978-0-13-580918-1

*This book is lovingly dedicated to the memory  
of Barbara and Shellie Owens Winter.*

# ABOUT THE AUTHORS

**Robert G. Owens** is professor emeritus at Hofstra University and the City University of New York. He began his professional career as the teaching principal of a three-room school. While acting as principal for 18 years in a variety of school environments, he served as assistant professor of educational administration at the University of Connecticut. Dr. Owens left K–12 school administration to join the faculty at several universities, including the State University of New York at Buffalo, Brooklyn College of City University of New York, Indiana University, and Hofstra University. His research, publications, and service have always focused on, and been centered in, the practice of improving the organizational effectiveness of schools.

**Thomas C. Valesky** is professor emeritus at Florida Gulf Coast University in Fort Myers, Florida. He was professor and program leader for the Department of Educational Leadership. Previously, he served as professor and program leader for Educational Leadership at the University of South Florida–Ft. Myers and professor and chair of the Department of Educational Administration and Supervision at the University of Memphis. At the University of Memphis, he was also a senior researcher and team leader for the Tennessee state-sponsored Center for Research in Educational Policy (CREP), studying school-based decision making and school finance. His work with CREP resulted in co-authorship of two books: *Training for School-Based Decision Making* (Scarecrow Press, 2003) and *Challenge to Change: The Memphis Experience with School-Based Decision Making* (Technomics Publishing, 1994). In addition, he has written 31 refereed journal articles (published in such journals as *Journal of Education Finance*, *Exceptional Children*, and the *National Forum of Educational Administration and Supervision Journal*), 30 program evaluations and policy reports, 63 scholarly papers presented at national and regional conferences, and three interactive online simulations. The simulations are available for free from the Connexions project at Rice University.

Dr. Valesky began his career in education serving in a variety of positions, including teacher, high school counselor, elementary principal, and superintendent. These positions were both in the United States and overseas, including two positions in International-American schools as superintendent of the American School of San Salvador, El Salvador, and the Anglo-American School in Sophia, Bulgaria, for the U.S. and British embassies.

Dr. Valesky was president of the Southern Regional Council on Educational Administration (SRCEA) in 2001–2002 and served on the executive board from 1998 to 2003. In addition, he has been active with the National Council of Professors of Educational Administration (NCPEA), where he served as a member of the executive board from 1995 to 1998. Other service to the profession includes membership on editorial boards of eight national peer-reviewed journals and as editor for school finance and business for the NCPEA Connexions project, an open-source peer-reviewed online database hosted at Rice University.

Two awards of significance were as follows:

- Florida Gulf Coast University Senior Faculty Scholarship Award, 2012
- Jack Greer Lifetime Contribution Award, Southern Regional Council on Educational Administration, Atlanta, Georgia, October 2009.

# PREFACE

## ABOUT THE BOOK

This textbook presents an authoritative, well-established, timely look at organizational behavior and how leaders can create more effective school cultures. It offers future and current practitioners the most up-to-date thinking and the most in-depth exploration of organizational leadership as it relates to decision making, organizational change, managing conflict and communications, and motivating staff and others to achieve organizational goals. The authors challenge readers to analyze the successful implementation of school reform, while helping them gain a professional understanding of organizational theory and research that forms the bedrock of modern practice. The readers are encouraged to use this knowledge to develop their own theory of practice that will guide them into becoming exceptional educational leaders.

## NEW TO THIS EDITION

Four major goals of this new edition are the following:

1. Based on readers' and reviewers' positive comments, we have kept or updated the practical applications that we call Voices from the Field in appropriate chapters.
2. We update the treatment of the subject of organizational behavior in schools so that it includes new research and current trends.
3. We incorporate a better connection between organizational behavior, critical theory (CT), and critical race theory (CRT).
4. We integrate theory and practice throughout the text by discussion and expansion on initial concepts in succeeding chapters to provide additional depth of analysis and synthesis.

The following are the specific major changes to this 12th edition of *Organizational Behavior in Education*:

- We integrated the new National Educational Leadership Preparation (NELP) Program Recognition Standards into this preface to help readers identify which chapters focus on the various standards and components of the new standards.
- We have maintained the Voices from the Field in appropriate chapters and updated several. We solicited examples from practicing administrators to show how concepts are being applied in the schools today. These “Voices” provide the reader with a connection between theory and practice as well as help the reader critically apply “book knowledge” to organizational behavior.
- We believe critical theory (CT) and critical race theory (CRT) in education have been elevated to major theories since their initial introduction in the mid-1990s. We also believe it is important to focus on eliminating racism in schools and schooling through a focus on CRT at all levels in the organization. To this end, we have additional content on CT and CRT theory and the newest research on CRT added to Chapter 1.
- The book has been updated throughout to include the Every Student Succeeds Act (ESSA), which is the revision to the Elementary and Secondary Education Act (ESEA).
- New updated research and recent developments in the field have been added in most of the book's 12 chapters to replace older material. For example, we have updated information on

Smarter Balanced Assessment Consortium and Partnership for Assessment of Readiness for College and Careers (PARCC). In addition, we maintained the classical research and theories that have been the foundation of progress in educational leadership.

- The *Suggested Reading* sections at the end of each chapter have been updated to include the best new books available.
- Our reviewers provided us with many ideas for additions and changes to this edition. Here are a few of the changes in addition to those listed above:
  - We eliminated or revised some of the sections throughout the text that were judged to be superfluous to the main topics of the chapters.
  - In Chapter 1, in addition to a more in-depth discussion of CRT, we expanded the discussion of social justice and included LGBT (lesbian, gay, bisexual, and transgender) students.
  - In Chapter 2 we expanded the discussion on Gardner's multiple intelligences.
  - We added the timely topic of organizational citizenship behavior (OCB), also termed extra-role behavior (ERB), to Chapter 4.
  - In Chapter 5 we revised the section on the Myers-Briggs Type Indicator (MBTI) to clarify the four types and updated the section on teacher efficacy.
  - In Chapter 6 we added a discussion on irresponsible leadership (IRL) to expand the section on the "dark side of educational leadership," and we added a discussion on coaching to the section on professional development.
  - In Chapter 12 there are many revisions, including the addition of education savings accounts (ESAs), updates to statistics on market-based reforms, updates to the *Condition of Education*, the addition of a section on private schools versus public schools, and updates to the section on comprehensive school reform (CSR).

## Instructor Resources

This edition of *Organizational Behavior in Education: Leadership and School Reform* provides a comprehensive and integrated collection of supplements to assist students and professors in maximizing learning and instruction. The following resources are available for instructors to download from [www.pearsonhighered.com/educator](http://www.pearsonhighered.com/educator). Enter the author, title of the text, or the ISBN number, then select this text, and click on the "Resources" tab to download the supplement you need. If you require assistance in downloading any resources, contact your Pearson representative.

## PowerPoint Slides®

The PowerPoint® slides highlight key concepts and summarize text content to help instructors structure the content of each chapter to make it meaningful for students.

## Test Bank

The Test Bank provides a comprehensive and flexible assessment package that includes multiple choice and essay items. Feedback is provided for all essay items, providing clear explanations for correct answers.

## ACKNOWLEDGMENTS

We are grateful to those individuals who assisted us with information and reviews of the 12th edition: Deborah Lynch, Chicago State University; Mel D. Coleman, Nova Southeastern University; Reginald Leon Green, University of Memphis; and Rosemarye Taylor, University of Central Florida. This group of reviewers was particularly thorough and provided excellent guidance for revising this edition and future editions.

In addition, we want to acknowledge the following practicing administrators who add great meaning to many of the chapters through their Voices from the Field, connecting the research, theory, and concepts in this book to the “real world” of schooling:

- Peggy Aune, former Principal, Manatee Middle School, Naples, Florida; currently Associate Superintendent for Curriculum and Instruction, Collier County Public Schools, Naples, Florida
- Scot Croner, former K–12 Instructional Coordinator, Marion Community Schools, Marion, Indiana; currently Superintendent, Wa-Nee Community Schools, Nappanee, Indiana
- James Gasparino, former Principal, Pelican Marsh Elementary School, Naples, Florida; currently retired
- Kevin Gordon, former Principal, Gibbs High School, St. Petersburg, Florida; currently Provost, St. Petersburg College, St. Petersburg, Florida
- Kendall Hendricks, former Director of Finance, Brownsburg Community Schools Corporation, Brownsburg, Indiana
- Rocky Killion, Superintendent, West Lafayette Community School Corporation, West Lafayette, Indiana
- Brain Mangan, former Principal, Mariner High School, Cape Coral, Florida; currently Principal on Assignment, Academic Services, Lee County District Schools, Fort Myers, Florida
- Jorge Nelson, former Head of School in Vienna, Austria; currently Principal, Mt. Vista Elementary School, Shelton, Washington
- LaSonya Moore, Assistant Principal, Pinellas County Schools, Florida
- Steve Ritter, former Principal, Lakeland High School, Deepwater, Missouri; currently Superintendent, Sherwood Cass R-VIII School District, Missouri

R.G.O.  
T.C.V.



# BRIEF CONTENTS

*National Educational Leadership Preparation (Nelp) Program Recognition Standards xviii*

<b>Chapter 1</b>	<b>Organizational and Critical Theory</b>	<b>1</b>
<b>Chapter 2</b>	<b>Guiding Concepts for a Theory of Practice</b>	<b>40</b>
<b>Chapter 3</b>	<b>Mainstreams of Organizational Thought</b>	<b>73</b>
<b>Chapter 4</b>	<b>A Systems Approach to Organization</b>	<b>96</b>
<b>Chapter 5</b>	<b>Motivation: Understanding Self and Others</b>	<b>122</b>
<b>Chapter 6</b>	<b>The Human Dimension of Organization</b>	<b>159</b>
<b>Chapter 7</b>	<b>Organizational Culture and Organizational Climate</b>	<b>187</b>
<b>Chapter 8</b>	<b>Organizational Change</b>	<b>216</b>
<b>Chapter 9</b>	<b>Leadership</b>	<b>251</b>
<b>Chapter 10</b>	<b>Decision Making</b>	<b>282</b>
<b>Chapter 11</b>	<b>Conflict and Communications in Organizations</b>	<b>318</b>
<b>Chapter 12</b>	<b>School Reform</b>	<b>341</b>

*Glossary 401*

*Name Index 407*

*Subject Index 411*

# CONTENTS

*National Educational Leadership Preparation (Nelp) Program Recognition Standards* xviii

## **Chapter 1 Organizational and Critical Theory 1**

- Schools as Educative Organizations 1
- Organizational Theory 2
  - Theory Defined and Described 2
  - Two Major Perspectives on Educational Organizations 3
- Critical Theory 9
  - Critical Race Theory 10
  - The Concept of Social Justice 13
- The Relevance to School Leadership Today 14
- Vision and Educational Leadership 15
  - Whose Vision Is It Anyway? 16
- The No Child Left Behind Act and Every Student Succeeds Act 18
- Research in Education 20
  - The Tennessee STAR Study—An Education Example 21
  - Research and NCLB 21
- Voices from the Field: Rise Above the Mark 23**
  - Assumptions, Beliefs, Behaviors 25
  - The Nature of Scientific Progress 26
  - Impact of Behavioral Science 28
    - Cognitive Psychology 29
    - Social Psychology 30
  - Leadership as Coaching 32
    - Coaching as a Method of Teaching 33
      - Final Thoughts* 34
      - Reflective Activities* 35
      - Critical Incident: The Vision for South Shore High School** 36
      - Suggested Reading* 36
      - References* 38

## **Chapter 2 Guiding Concepts for a Theory of Practice 40**

- Two Principal Sources of Conflict 41
  - The “Great Debate”: Traditional Versus Progressive Education 42
  - The Beginnings of the Great Educational Debate 42

The Backlash of the 1950s	44
The Neoproggressives Emerge in the 1960s	45
The Contemporary Debate on Schooling	46
Three Critical Books	47
A Paradigm Shift in Education	50
A Passion for Equality	50
The Traditional Paradigm of Intelligence	50
A New Paradigm of Intelligence—or the Lake Wobegon Syndrome?	52
Multiple Intelligences Theory	54
Gardner’s Multiple Intelligences Theory (MIT)	55
Perkins’s Learnable Intelligence Theory	57
Emotional Intelligence	59
The Debate Continues	61
Theory of Action	62
Theory of Practice	65
<b>Voices from the Field:</b> How One Principal Implements Her Theory of Practice	66
The Game Plan: A Coaching Metaphor	68
<i>Final Thoughts</i>	68
<i>Reflective Activities</i>	69
<b>Critical Incident:</b> Controversy at the Principals’ Meeting	69
<i>Suggested Reading</i>	70
<i>References</i>	71

### **Chapter 3 Mainstreams of Organizational Thought 73**

Organizational Behavior	73
Two Concepts of Organization and Behavior	74
Why Study Organizational Behavior?	75
Impact of the Industrial Revolution	76
Frederick W. Taylor and Scientific Management	76
The Beginning of Modern Organizational Theory	77
Emergence of Bureaucratic Organizational Theory	78
The Rise of Classical Organizational Theory	79
Scientific Management Versus Classical Organizational Theory	80
Organizational Concepts of Classical Theory	81
Classical and Neoclassical Administrative Concepts	82
The Ideas of Mary Parker Follett	82

The Human Relations Movement	83
The Western Electric Studies	84
Sociometry	85
Behavior Patterns in Groups	85
Leadership as a Group Function	86
The Paradox of Organizational Structure	87
The Organizational Theory Movement	88
Human Relations and Organizational Behavior	90
<i>Final Thoughts</i>	92
<i>Reflective Activities</i>	93
<b>Critical Incident: A Philosophical Disagreement</b> <i>on Administration</i>	93
<i>Suggested Reading</i>	94
<i>References</i>	94

## **Chapter 4 A Systems Approach to Organization 96**

Organizational Structure and People	96
General Systems Theory	97
Social Systems Theory	99
Role Conflict	102
Role Ambiguity	102
Functional Roles in the Group	103
Organizational Citizenship Behavior	103
Role Related to Social Systems Theory	104
Equilibrium	106
Homeostasis	108
Feedback	108
Sociotechnical Systems Theory	109
<b>Voices from the Field: A Systems Approach to District</b> Budget Development	111
Contingency Theory	113
Rational Planning Models	113
Open System Related to Contingency Theory	115
Technological Change in the Suprasystem	115
Interaction with the External Environment	116
Contingency Theory and Organizational Behavior in Schools	117
<i>Final Thoughts</i>	118
<i>Reflective Activities</i>	119

**Critical Incident: A Tale of Two Principals** 119  
*Suggested Reading* 120  
*References* 120

**Chapter 5 Motivation: Understanding Self and Others 122**

The Meaning and Patterns of Motivation 122  
    First Pattern: Direction in Making Choices 122  
    Second Pattern: Persistence 123  
    Third Pattern: Intensity 123  
The Extrinsic-Intrinsic Debate 124  
    Extrinsic, or Behaviorist, Views 124  
    Intrinsic Views of Motivation 124  
Individual and Group Motivation 125  
    The Western Electric Studies Revisited 125  
Individual Differences 128  
    In Praise of Diversity 128  
**Voices from the Field: Critical Race Theory** 130  
    Archetypes 131  
Human Intelligence 131  
Temperament and Organizational Behavior 132  
    The Four Psychological Types 133  
    The Myers-Briggs Type Indicator (MBTI) 133  
    An Educational Application—True Colors® 136  
    Final Thoughts on Temperament and Organizational Behavior 136  
Intrinsic Motivation 137  
    Cognitive Views of Motivation 137  
    The Humanistic Perspective 143  
        *Final Thoughts* 154  
        *Reflective Activities* 154  
    **Critical Incident: Changes at Washington High School** 155  
        *Suggested Reading* 156  
        *References* 157

**Chapter 6 The Human Dimension of Organization 159**

Reconceptualizing the Nature of Organizations to Focus on People 159  
    A New Paradigm of Organizational Theory 161  
    A Focus on People: The Rise of Qualitative Research Methods 162  
    Educational Organizations as Loosely Coupled Systems 163  
    Educational Organizations as Dual Systems 164

Building Human Capital	166
Human Resources as Assets	168
The Dark Side of Leadership	169
Human Resources Development	172
Developing Human Capital Through Positive Organizational Culture	173
Basic Assumptions of Effective Schools	173
<b>Voices from the Field:</b> Curriculum and Professional Development	177
Professional Development (PD)	177
<i>Final Thoughts</i>	180
<i>Reflective Activities</i>	182
<b>Critical Incident:</b> <i>Turning Madison High Around</i>	183
<i>Suggested Reading</i>	184
<i>References</i>	185

## **Chapter 7 Organizational Culture and Organizational Climate 187**

Defining and Describing Organizational Culture and Climate	187
The Importance of Organizational Culture	191
Organizational Culture and Organizational Climate Compared and Contrasted	192
Organizational Culture	193
Levels of Culture	195
How Organizational Culture Is Created	196
How Organizational Climate Is Created	198
Describing and Assessing Organizational Culture in Schools	202
Relationship Between Organizational Culture and Organizational Effectiveness	203
<b>Voices from the Field:</b> Changing the Culture, Making the Grade: Going from an F to Almost a B	207
Four Management Systems	209
<i>Final Thoughts</i>	211
<i>Reflective Activities</i>	212
<b>Critical Incident:</b> <i>Two Schools—Two Different Cultures</i>	213
<i>Suggested Reading</i>	213
<i>References</i>	214

## **Chapter 8 Organizational Change 216**

Historical Context for Change	217
Historical Impact on Today's Change Efforts	218

School Reform and Change	220
Power Relationships and School Restructuring	220
Aims of Educational Reform	221
The Tradition of Change in American Education	222
Natural Diffusion Processes	222
Planned, Managed Diffusion	223
Three Strategies of Planned Change	224
Empirical–Rational Strategies of Change	224
Power–Coercive Strategies of Change	227
Normative–Reeducative or Organizational Self-Renewal Strategies	229
<b>Voices from the Field: Changing the Mission and Culture to Become a School of Choice</b>	233
The Effectiveness of Organizational Development	242
Two Emerging Questions	243
Can the Schools Do It Alone?	243
Is School Reform Enough?	244
<i>Final Thoughts</i>	245
<i>Reflective Activities</i>	246
<b>Critical Incident: The Man for the Job!</b>	246
<i>Suggested Reading</i>	247
<i>References</i>	248

## Chapter 9 Leadership 251

Adaptive Leadership	251
Leadership and Management	252
Power and Leadership	254
Leadership Different from Command	254
Power Defined	256
Two-Factor Leadership Theory Abandoned	257
Leadership as a Relationship with Followers	258
Your Understanding of Human Nature Is Critical	260
Transformational Leadership	261
Transformational Leadership Compared and Contrasted with Transactional Leadership	261
Moral Leadership	262
A Progression	262
A Process of Growth and Development Through Instructional Leadership	262

Implementing Transformational and Moral Leadership	263
Distributed Leadership	264
Professional Learning Communities	264
Parent Involvement	266
<b>Voices from the Field:</b> Utilizing Effective School Research Through Professional Learning Communities	267
Sustainable Leadership	269
Research on Sustainable Leader Behavior	273
<i>Final Thoughts</i>	276
<i>Reflective Activities</i>	277
<b>Critical Incident:</b> <i>Leadership at North River Middle School</i>	278
<i>Suggested Reading</i>	279
<i>References</i>	280

## Chapter 10 Decision Making 282

Individual Versus Organizational Decision Making	284
Rationality in Decision Making	285
Rational Decision-Making Models	286
Limits on Rationality in Decision Making	288
The Gap Between Theory and Practice	288
Vroom and Yetton's Five Leadership Styles	289
Seven Situation Issues	289
Decision-Process Flowchart	290
The Nature of Managerial and Administrative Work	292
The Influence of Organizational Culture on Decision Making	293
Theory of Practice	294
Human Resources Development—A Theory of Decision Making	294
Participative Decision Making	296
Participative Decision Making and Empowerment	296
Participative or Democratic?	297
An Explicit Decision-Making Process	300
Who Identifies the Problem?	300
<b>Voices from the Field:</b> Collaborative Decision Making	301
Emergent and Discrete Problems	302
Who Should Participate?	303
Desire of Individuals to Participate	304
Participation Requires High Level of Skills	304



Paradigms for Collaborative Decision Making	306
School-Based Decision Making and the Total Teamwork System	306
Data-Based Decision Making and Total Quality Management	310
<i>Final Thoughts</i>	314
<i>Reflective Activities</i>	315
<b><i>Critical Incident: Deciding How to Decide</i></b>	315
<i>Suggested Reading</i>	315
<i>References</i>	316

## **Chapter 11 Conflict and Communications in Organizations 318**

The Nature of Conflict in Organizations	318
Conflict Different from Attacks	319
Contemporary Views of Conflict	320
Effects of Organizational Conflict	320
The Criterion: Organizational Performance	321
The Dynamics of Organizational Conflict	323
Hostility	323
A Contingency View	324
A Process View of Conflict	324
A Structural View of Conflict	325
An Open-Systems View of Conflict	326
Approaches to Organizational Conflict	327
The Win-Lose Orientation to Conflict	328
A Contingency Approach to Conflict	329
Diagnosing Conflict	329
Dealing with Conflict	330
Dealing with Difficult Individuals	332
Dealing with Stress from Conflict	334
<i>Final Thoughts</i>	334
<i>Reflective Activities</i>	335
<b><i>Critical Incident: Conflict in the First-Grade Team</i></b>	338
<i>Suggested Reading</i>	338
<i>References</i>	339

## **Chapter 12 School Reform 341**

Market-Based School Reform	344
Origin of Market-Based Reforms	345
Economic Theory and School Reform	348
School Reform as Investment Opportunity	351

Current Status of Charter Schools	354
Vouchers	363
Public Versus Private Schools	365
Successes of Market-Based Reforms	366
Standards-Based School Reform	368
Common Core State Standards	371
Assessing the Common Core State Standards (CCSS)	375
The Condition of Education and the Nation's Report Card	376
High-Stakes Testing	378
PISA and TIMSS	380
Summary Findings of the EPI Study	381
Whole-School Reform	382
Increasing School Autonomy	382
Support for School Leaders	384
Research Support for CSR Models	384
Response to Intervention (Rtl)	388
<b>Voices from the Field: Rtl Interventions in a Small Rural High School</b>	390
A Broader, Bolder Approach to Education	391
<i>Final Thoughts</i>	392
<i>Reflective Activities</i>	393
<b>Critical Incident: District Test Scores Decline Once Again</b>	393
<i>Suggested Reading</i>	394
<i>References</i>	395
Glossary	401
Name Index	407
Subject Index	411

# NATIONAL EDUCATIONAL LEADERSHIP PREPARATION (NELP) PROGRAM RECOGNITION STANDARDS (Formerly Known as the ISLLC and ELCC Standards)

The Interstate School Leaders Licensure Consortium (ISLLC) Standards have been at the center of Educational Leadership program reform for over a decade. In 2008, with support from the Wallace Foundation, the standards were revised and called the Educational Leadership Policy Standards. Originally, each of the six ISLLC standards included a list of knowledge, skills, and dispositions (KSDs), totaling nearly 200 KSD indicators.

The authors of the ISLLC standards assumed that an entire university preparation program, not any single course, should engender all knowledge, dispositions, and performances of the ISLLC standards, but even then, programs were not to be evaluated based on these indicators alone. In practice, however, the KSD indicators were used as standards themselves, which was not the intent of the original ISLLC developers. In the revised standards document, the authors state that “the very nature of listing examples of leadership indicators was unintentionally limiting and negated other areas that could have been included in an exhaustive listing” (Council of Chief State School Officers, 2008, p. 5). Therefore, the KSD indicators were abandoned in the revised standards, and “functions” were added to define each standard and to assist administrators in understanding the behaviors expected for each. The revised standards are purposely called “policy standards” to help guide policy-level discussions related to educational leadership, rather than direct practical applications.

The ISLLC standards provided the basis for evaluating university programs by the National Policy Board for Educational Administration (NPBEA) and the National Council for Accreditation of Teacher Education (NCATE), which was superseded in the fall of 2016 by the Council for the Accreditation of Educator Preparation (CAEP). A brief history of the development of the ISLLC standards might help the reader understand the importance of these standards.

The NPBEA was formed in 1988 with membership from the following 10 national associations:

- American Association of Colleges for Teacher Education (AACTE)
- American Association of School Administrators (AASA)
- Association of School Business Officials (ASBO)
- Association for Supervision and Curriculum Development (ASCD)
- Council of Chief State School Officers (CCSSO)
- National Association of Elementary School Principals (NAESP)
- National Association of Secondary School Principals (NASSP)
- National Council of Professors of Educational Administration (NCPEA)
- National School Boards Association (NSBA)
- University Council for Educational Administration (UCEA)

Later, ASBO dropped its membership in NPBEA and the National Council for Accreditation of Teacher Education (NCATE) joined.

In 1994, the NPBEA formed the Interstate School Leaders Licensure Consortium (ISLLC) to develop standards for our profession. ISLLC was funded by a grant from the Pew Charitable

Trusts, and the process of developing the standards was managed by the Council of Chief State School Officers (CCSSO) under the direction of Joseph Murphy and Neil Shipman. The NPBEA adopted the ISLLC standards in 1996. The NPBEA then formed a working group from among its membership to form the Educational Leadership Constituent Council (ELCC), which worked to develop a set of standards for evaluating programs in educational leadership to be used by NPBEA and NCATE.

Considerable controversy surrounded the original ISLLC standards, which included the following issues: (a) The standards did not provide a supporting research base; (b) no weighting was given to the standards in terms of which standards (and the knowledge, dispositions, and performances) were more likely to lead to higher student achievement; and (c) the standards did not include or emphasize the importance of some critical areas, such as technology. The NPBEA acknowledged some of these criticisms and in the summer of 2005 formed a working group to begin a revision of the ISLLC standards. A 10-member steering committee was formed from nine of the member organizations (all except the National School Boards Association). The NPBEA agreed that the standards would be revised under important assumptions, including the following:

- Revamping the ISLLC and the ELCC standards would be done at the same time.
- The *ISLLC Standards for School Leaders* needed to be updated, not rewritten from scratch.
- The context in which both sets of standards were being revised had changed dramatically since their inception.
- NPBEA will own the copyright to the revised standards.

The plan was to present the final revision of the standards to the NPBEA for approval in the spring of 2008, a goal that was achieved early because the new Educational Leadership Policy Standards were approved in December 2007 by the NPBEA. The first of the criticisms listed above was resolved in this revision. A research base was developed, and each of the new functions is directly connected to supporting research publications. The resulting document was titled *Educational Leadership Policy Standards: ISLLC 2008* (Council of Chief State School Officers, 2008).

In 2015, the NPBEA issued a revised set of standards titled the Professional Standards for Educational Leaders (PSEL). One goal of the new revision to the standards was to use a thorough review of the empirical literature about effective school leadership. Another goal was to capture the day-to-day experiences of school leadership to close the gaps that existed between practice and the previous standards. To accomplish this goal, focus groups and surveys captured the ideas from over 1000 practitioners. Since the PSEL standards are broad based and apply to all educational leaders, the National Educational Leadership Preparation (NELP) Program Recognition Standards, which are aligned to the PSEL, were developed for university preparation programs. The NELP standards replaced the ELCC standards and are now used by CAEP in the accreditation process (National Policy Board for Educational Administration, 2018). There is one set of NELP standards for beginning building-level administrators (mainly principals and assistant principals) and another set of standards for district-level administrators. These two sets of standards and components are comparable with a few exceptions. The exceptions are noted below.

In view of the NELP standards' importance to university preparation programs, we want to identify for you the NELP standards for beginning school-level administrators that are significant aspects of this book. Each NELP standard has several *components*, as opposed to *functions* in the previous standards. The following tables are matrices of each standard covered in each chapter.

By looking at each standard table, you can see which chapters in our book contain related content. It is clear that some standards are covered more thoroughly than others. By scanning across the rows for the components, you can determine which chapter contains related material. We hope that this information is of value to students and professors alike, and we welcome any feedback that might guide us in making this information more useful in future editions.

# NATIONAL EDUCATIONAL LEADERSHIP PREPARATION (NELP) PROGRAM RECOGNITION STANDARDS: BUILDING LEVEL

<b>STANDARD 1: MISSION, VISION, AND IMPROVEMENT</b> Candidates who successfully complete a building-level educational leadership preparation program understand and demonstrate the capacity to promote the current and future success and well-being of each student and adult by applying the knowledge, skills, and commitments necessary to collaboratively lead, design, and implement a school mission, vision, and process for continuous improvement that reflects a core set of values and priorities that include data use, technology, equity, diversity, digital citizenship, and community.												
<b>Chapters</b>												
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>	<b>11</b>	<b>12</b>
<b>Components</b>												
<b>A. Component 1.1</b> Program completers understand and demonstrate the capacity to collaboratively evaluate, develop, and communicate a school mission and vision designed to reflect a core set of values and priorities that include: data use, technology, equity, diversity, digital citizenship and community.	•							•		•		
<b>B. Component 1.2</b> Program completers understand and demonstrate the capacity to lead improvement processes that include data use, design, implementation, and evaluation.	•	•				•		•		•		•

<b>STANDARD 2: ETHICS AND PROFESSIONAL NORMS</b> Candidates who successfully complete a building-level educational leadership preparation program understand and demonstrate the capacity to promote the current and future success and well-being of each student and adult by applying the knowledge, skills, and commitments necessary to understand and demonstrate the capacity to advocate for ethical decisions and cultivate and enact professional norms.												
<b>Chapters</b>												
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>	<b>11</b>	<b>12</b>
<b>Components</b>												
<b>A. Component 2.1</b> Program completers understand and demonstrate capacity to reflect on, communicate about, cultivate, and model professional dispositions and norms (i.e., fairness, integrity, transparency, trust, digital citizenship, collaboration, perseverance, reflection, life-long learning) that support the educational success and well-being of each student and adult.	•	•			•	•	•		•	•	•	

	Chapters											
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>B. Component 2.2</b> Program completers understand and demonstrate capacity to evaluate, communicate about, and advocate for ethical and legal decisions.	•				•				•	•	•	
<b>C. Component 2.3</b> Program completers understand and demonstrate the capacity to model ethical behavior in their personal conduct and relationships and to cultivate ethical behavior in others.					•	•			•	•	•	

<b>STANDARD 3: EQUITY, INCLUSIVENESS AND CULTURAL RESPONSIVENESS</b> Candidates who successfully complete a building-level educational leadership preparation program understand and demonstrate the capacity to promote the current and future success and well-being of each student and adult by applying the knowledge, skills, and commitments necessary to develop and maintain a supportive, equitable, culturally responsive, and inclusive school culture.												
	Chapters											
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>A. Component 3.1</b> Program completers understand and demonstrate capacity to use data to evaluate, design, cultivate, and advocate for a supportive and inclusive school culture.	•				•	•	•		•	•	•	
<b>B. Component 3.2</b> Program completers understand and demonstrate the capacity to evaluate, cultivate, and advocate for equitable access to educational resources, technologies, and opportunities that support the educational success and well-being of each student.		•		•					•			•
<b>C. Component 3.3</b> Program completers understand and demonstrate the capacity to evaluate, cultivate, and advocate for equitable, inclusive, and culturally responsive instruction and behavior support practices among teachers and staff.	•						•			•		•
	•				•	•	•		•			

<b>STANDARD 4: LEARNING AND INSTRUCTION</b> Candidates who successfully complete a building-level educational leadership preparation program understand and demonstrate the capacity to promote the current and future success and well-being of each student and adult by applying the knowledge, skills, and commitments necessary to evaluate, develop, and implement coherent systems of curriculum, instruction, data systems, supports, and assessment.												
Chapters												
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>A. Component 4.1</b> Program completers understand and can demonstrate the capacity to evaluate, develop, and implement high-quality, technology-rich curricula programs and other supports for academic and non-academic student programs.	•	•		•						•		•
<b>B. Component 4.2</b> Program completers understand and can demonstrate the capacity to evaluate, develop, and implement high-quality and equitable academic and non-academic instructional practices, resources, technologies, and services that support equity, digital literacy, and the school's academic and non-academic systems.	•	•		•					•	•		
<b>C. Component 4.3</b> Program completers understand and can demonstrate the capacity to evaluate, develop, and implement formal and informal culturally responsive and accessible assessments that support data-informed instructional improvement and student learning and well-being.	•			•						•		•
<b>D. Component 4.4</b> Program completers understand and demonstrate capacity to collaboratively evaluate, develop, and implement the school's curriculum, instruction, technology, data systems, and assessment practices in a coherent, equitable, and systematic manner.									•	•		



<b>STANDARD 5: COMMUNITY AND EXTERNAL LEADERSHIP</b> Candidates who successfully complete a building-level educational leadership preparation program understand and demonstrate the capacity to promote the current and future success and well-being of each student and adult by applying the knowledge, skills, and commitments necessary to engage families, community, and school personnel in order to strengthen student learning, support school improvement and advocate for the needs of their school and community.												
Chapters												
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>A. Component 5.1</b> Program completers understand and demonstrate the capacity to collaboratively engage diverse families in strengthening student learning in and out of school.	•								•		•	
<b>B. Component 5.2</b> Program completers understand and demonstrate the capacity to collaboratively engage and cultivate relationships with diverse community members, partners, and other constituencies for the benefit of school improvement and student development.	•								•			
<b>C. Component 5.3</b> Program completers understand and demonstrate the capacity to communicate through oral, written, and digital means within the larger organizational, community, and political contexts when advocating for the needs of their school and community.									•		•	

<b>STANDARD 6: OPERATIONS AND MANAGEMENT</b> Candidates who successfully complete a building-level educational leadership preparation program understand and demonstrate the capacity to promote the current and future success and well-being of each student and adult by applying the knowledge, skills, and commitments necessary to improve management, communication, technology, school-level governance, and operation systems to develop and improve data-informed and equitable school resource plans and to apply laws, policies, and regulations.												
Chapters												
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>A. Component 6.1</b> Program completers understand and demonstrate the capacity to evaluate, develop, and implement management, communication, technology, school-level governance, and operation systems that support each student's learning needs and promote the mission and vision of the school.				•					•	•		

	Chapters											
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>B. Component 6.2</b> Program completers understand and demonstrate the capacity to evaluate, develop, and advocate for a data-informed and equitable resourcing plan that supports school improvement and student development.												
				•					•	•		•
<b>C. Component 6.3</b> Program completers understand and demonstrate the capacity to reflectively evaluate, communicate about, and implement laws, rights, policies, and regulations to promote student and adult success and well-being.						•						

<b>STANDARD 7: BUILDING PROFESSIONAL CAPACITY</b> Candidates who successfully complete a building-level educational leadership preparation program understand and demonstrate the capacity to promote the current and future success and well-being of each student and adult by applying the knowledge, skills, and commitments necessary to build the school's professional capacity, engage staff in the development of a collaborative professional culture, and improve systems of staff supervision, evaluation, support, and professional learning.												
	Chapters											
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>A. Component 7.1</b> Program completers understand and have the capacity to collaboratively develop the school's professional capacity through engagement in recruiting, selecting, and hiring staff.									•			
<b>B. Component 7.2</b> Program completers understand and have the capacity to develop and engage staff in a collaborative professional culture designed to promote school improvement, teacher retention, and the success and well-being of each student and adult in the school.	•						•	•	•	•		
<b>C. Component 7.3</b> Program completers understand and have the capacity to personally engage in, as well as collaboratively engage school staff in, professional learning designed to promote reflection, cultural responsiveness, distributed leadership, digital literacy, school improvement, and student success.						•	•		•			

Components	Chapters											
	1	2	3	4	5	6	7	8	9	10	11	12
<b>D. Component 7.4</b> Program completers understand and have the capacity to evaluate, develop, and implement systems of supervision, support, and evaluation designed to promote school improvement and student success.						•						

The final NELP standard is related to clinical practice that is evaluated by CAEP. This standard is, of course, not content for this text, but is repeated below for your information.

## STANDARD EIGHT: INTERNSHIP

Candidates successfully complete an internship under the supervision of knowledgeable, expert practitioners that engages candidates in multiple and diverse school settings and provides candidates with coherent, authentic, and sustained opportunities to synthesize and apply the knowledge and skills identified in NELP standards 1–7 in ways that approximate the full range of responsibilities required of building-level leaders and enable them to promote the current and future success and well-being of each student and adult in their school.

### Component 8.1

Candidates are provided a variety of coherent, authentic, field and or clinical internship experiences within multiple school environments that afford opportunities to interact with stakeholders and synthesize and apply the content knowledge and develop and refine the professional skills articulated in each of the components included in NELP Building-Level Program Standards 1–7.

### Component 8.2

Candidates are provided a minimum of 6 months of concentrated (10–15 hours per week) internship or clinical experiences that include authentic leadership activities within a school setting.

### Component 8.3

Candidates are provided a mentor who has demonstrated effectiveness as an educational leader within a building setting; is present for a significant portion of the internship; is selected collaboratively by the intern, a representative of the school and/or district, and program faculty; and has received training from the supervising institution.

# NELP PROGRAM RECOGNITION STANDARDS—DISTRICT LEVEL

The district-level standards are comparable to the building-level standards, except that each standard and component is directed toward the preparation of district-level administrators, rather than building-level administrators. Therefore, the crosswalk of the building-level standards and components by chapter above can also be applied to the district-level standards and components for Standards 1 through 5 and Standard 6, Components 6.1 and 6.2. District-level Standard 6, Component 6.3, is not comparable to the building-level Component 6.3. In addition, the district-level Standard 7 is not comparable to the building-level Standard 7. These different components are described below by chapter.

	Chapters											
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>A. Component 6.3</b> Program completers understand and demonstrate the capacity to develop, implement, and evaluate coordinated, data-informed systems for hiring, retaining, supervising, and developing school and district staff in order to support the district’s collective instructional and leadership capacity.									•			

<b>STANDARD 7: POLICY, GOVERNANCE, AND ADVOCACY</b> Candidates who successfully complete a district-level educational leadership preparation program understand and demonstrate the capacity to promote the present and future success and well-being of students and district personnel by applying the knowledge, skills, and commitments necessary to cultivate relationships, lead collaborative decision making and governance, and represent and advocate for district needs in broader policy conversations.												
	Chapters											
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>A. Component 7.1</b> Program completers understand and demonstrate the capacity to represent the district, advocate for district needs, and cultivate a respectful and responsive relationship with the district’s board of education focused on achieving the shared mission and vision of the district.									•			

	Chapters											
	1	2	3	4	5	6	7	8	9	10	11	12
<b>Components</b>												
<b>B. Component 7.2</b> Program completers understand and demonstrate the capacity to design, implement, cultivate, and evaluate effective and collaborative systems for district governance that engage multiple and diverse stakeholder groups, including school and district personnel, families, community stakeholders, and board members.	•								•			
<b>C. Component 7.3</b> Program completers understand and demonstrate the capacity to evaluate, engage in decision making, implement, and appropriately communicate about district, state, and national policy, laws, rules, and regulations.									•	•		
<b>D. Component 7.4</b> Program completers understand the implications of larger cultural, social, economic, legal, and political interests, changes, and expectations and demonstrate the capacity to evaluate and represent district needs and priorities within larger policy conversations, and advocate for the needs and priorities of the district at the local, state, and national level.	•	•							•			•

## REFERENCES

Council of Chief State School Officers. (2008, June). *Educational leadership policy standards: ISLLC 2008. As adopted by the National Policy Board for Educational Administration*. Council of Chief State School Officers. <https://www.danforth.uw.edu/getattachment/about/core-competencies/isllc-2008.pdf/>

National Policy Board for Educational Administration. (2018). *National Educational Leadership Preparation (NELP) Program Recognition Standards: Building Level*. <http://npbea.org/wp-content/uploads/2018/11/NELP-Building-Standards.pdf/>

# Organizational and Critical Theory

A school is a world in which people live and work. Like any other social organization, the world of the school has power, structure, logic, and values, which combine to exert strong influence on the ways in which individuals perceive the world, interpret it, and respond to it. In short, the behavior of people at work in an educational organization—individually as well as in a group—is not merely a reflection of their individual unique personalities but is powerfully shaped and molded by the social norms and expectations of the culture that prevail in the organization. This interplay between individuals and the social environment of their world at work is a powerful agent in the creation of organizational behavior, the behavior of people in the school organization. Those who want to be effective educational leaders must have a clear grasp of the essentials of organizational behavior in deciding how to engage in the practice of leadership. As you read this text, you should think about what you read, question it, challenge it, and ask yourself—and discuss with other people—how it all fits into the practical realities of your work, your experience, and your personal view of the world. By being a reflective practitioner, this text will be much more useful to you both now and in the future.

## SCHOOLS AS EDUCATIVE ORGANIZATIONS

Although U.S. schools have tended throughout their history to reflect the values and views of industry, commerce, and the military, it is becoming increasingly clear that schools are in fact distinct, if not unique, kinds of organizations that differ in important ways from industrial, commercial, governmental, or military organizations. Because schools are unique among organizations, they require ways of thinking, styles of leadership, and approaches to administrative practice that are especially suited to them.

The uniqueness of educational organizations resides in their educative mission. Many organizations are created for the basic purpose of making money by manufacturing products, selling them, or providing for-profit ancillary services that support those activities. Governments create a vast array of organizations that, collectively, are intended to provide public order and security. The distinctive mission of the schools to educate requires organizations that, by their very nature, enhance the continuing growth and development of people to become more fully functioning individuals. Such organizations must foster the learning, personal growth, and development of *all participants, including students as well as adults at work in the school.*

Educative organizations seek to increase the personal and interpersonal competencies of their participants, to develop the skills of the group in collaborating, to make hidden assumptions explicit and to examine them for what they mean in terms of individual and group behavior, to enact cooperative group behavior that is caring and supportive of others, to manage conflict productively and without fear, and to share information and ideas fully. They place high value on and support openness, trust, caring, and sharing; they always strive for consensus but support and value those who think differently; and they prize human growth and development above all. Effective educational leaders, then, strive for a vision of the school as one that seeks to be engaged in a never-ending process of change and development, a “race without a finish line” (or *kaizen*, as the Japanese call constant growth achieved through small incremental steps), rather than one that seeks the big dramatic breakthrough, the mythical silver bullet, that will, supposedly, finally make everything right.

The processes of becoming (McGregor, 1960)—of people growing and developing as individuals and as group members, and of the organization doing so, too—combine to create the essence of enduring vitality in organizational life, whereas academic outcomes are transient, ephemeral evidence that the processes are working. The conundrum of power is a major concern in the environment of the educational organization: Hierarchy prevails. We have never found a substitute for hierarchy in organizational life, but we can ethically and honestly do much to share power and distribute it more equitably in efforts to minimize its deleterious effects on the behavior of people in the organization. In the process, we can make the school a more growth-enhancing environment, which is a very different concept of organization from what we generally find in industrial and business organizations, and it should be because the essential, unique mission of schools is educative.

## ORGANIZATIONAL THEORY

Discussion of different perspectives that may be used in thinking about organizations, bureaucratic and nonbureaucratic, is really discussion of organizational theory. Practicing educational administrators are commonly skeptical of theory, often regarding it as some ideal state or idle notion—commonly associated with the pejorative term *ivory tower*. This attitude is often rationalized by those who work in schools, who state they must deal with the tough practicalities of daily life in the “real world.” Far from being removed from daily life, however, theory is crucial in shaping everyday perception and understanding of commonplace events. School leaders need to know about organizational theory so that they can think more clearly about making better informed choices in a world where things are characteristically ambiguous, uncertain, unclear, or unknown.

### Theory Defined and Described

Theory is not a guess or a hunch. Theory is systematically organized knowledge thought to explain observed phenomena. Good theory is based on good research (we discuss research practices later in this chapter). Just as we have theories about the causes of disease, the forces that make it possible for airplanes to fly, and the nature of the solar system, we also have theories about organizations and how they work. Just as theoretical reasons underlie the fact that we know we should wash our hands frequently, exercise regularly, and maintain a nutritionally sound diet, so also should theoretical underpinnings bolster our understanding of schools as organizations and how to make them more effective.

Theory is useful insofar as it provides a basis for thinking systematically about complex problems, such as understanding the nature of educational organizations. It is useful because it enables us to *describe* what is going on, *explain* it, *predict* future events under given circumstances, and—essential to the professional practitioner—think about ways to exercise *control* over events.

## Two Major Perspectives on Educational Organizations

Since the dawn of organizational studies in the 20th century, people have generally elected to conceptualize organizations in one of two ways. One way is traditional theory, usually called bureaucratic, though it is often sardonically referred to by staunch critics of public schooling as the factory model of organization. Whatever name is used, bureaucratic organization conjures in one's mind some well-worn stereotypes:

- The 18th-century army of Frederick the Great, with its characteristically robot-like regimentation, top-down authority, all controlled by extensive written detailed rules and directives—the “book” by which the organization is run
- Franz Kafka’s famously vivid, indelible images that depict bureaucracy as a nightmarish, maddeningly indecipherable, obtuse organization that creates bizarre unpredictable outcomes in the name of sweet reason.

Nevertheless, bureaucratic organization remains by far the most common theory of organization worldwide. Indeed, to many people in the world, bureaucracy is the defining concept, the very essence, of what an organization is. However, as time passed and the world changed, a second way of understanding organizations arose.

The second way is the contemporary nonbureaucratic theory that developed in large part from the constant growth and accelerating tempo of change in today’s world. The present-day acceleration in the development of technology and changes in politics, economics, and society have generally left rigid bureaucracies floundering and unresponsive. To thrive in today’s rapidly changing world, schools must be nimble, adaptive to change, and constantly evolving. These are the kinds of organizations that Peter Senge (1990) called learning organizations. They are not only adaptable to new challenges emerging in the world but also adaptable to the worldwide rise in expectations for increased democracy, personal freedom, individual respect and dignity, and opportunities for self-fulfillment.

**BUREAUCRATIC THEORY** The bureaucratic approach tends to emphasize the following five mechanisms in dealing with issues of controlling and coordinating the behavior of people in the organization:

1. **Maintain firm hierarchical control of authority and close supervision of those in the lower ranks.** The role of the administrator as inspector and evaluator is stressed in this concept.
2. **Establish and maintain adequate vertical communication.** This practice helps to ensure that good information will be transmitted up the hierarchy to the decision makers, and orders will be clearly and quickly transmitted down the line for implementation. Because the decision makers must have accurate information concerning the operating level in order to make high-quality decisions, the processing and communicating of information up the line are particularly important but often not especially effective. The use of computers to facilitate this communication is highly attractive to adherents of bureaucratic concepts.



3. **Develop clear written rules and procedures to set standards and guide actions.** These include curriculum guides, policy handbooks, instructions, standard forms, duty rosters, rules and regulations, and standard operating procedures.
4. **Promulgate clear plans and schedules for participants to follow.** These include teachers' lesson plans, bell schedules, pull-out schedules, meeting schedules, budgets, lunch schedules, special teacher schedules, bus schedules, and many others.
5. **Add supervisory and administrative positions to the hierarchy of the organization as necessary to meet problems that arise from changing conditions confronted by the organization.** For example, as school districts and schools grew in size, positions such as assistant principal, chairperson, director, and coordinator appeared. As programs became more complex, positions for specialists (director of special education, coordinator of substance abuse programs, school psychologist, compliance officer, and school social worker, to name a few) appeared.

The widespread acceptance of these bureaucratic mechanisms as the preferred way for exercising control and coordination in schools is illustrated by the reform movement that emerged in 1983, when *A Nation at Risk* was published during the Reagan presidency. The effectiveness of schools became a major theme in the political agenda on education and joined the linked duo that had been inherited from the 1970s—equality and access. Although a body of research literature on effective schools and what they were like had been steadily growing, a nearly unrelated reform movement suddenly erupted in 1983 that—in the popular press and electronic media, at least—seized center stage and strongly influenced numerous efforts to improve the functioning of schools. This point is of interest to us here because it illustrates the very strong conviction of many political leaders that bureaucratic methods are appropriate in thinking about schools and how to improve them.

Clearly, there is a strong tendency for some educational reformers to keep in mind bureaucratic methods or some other set of assumptions about the nature of schools on which the logic of their efforts pivots. Often those assumptions are the same as those underlying the traditional factory, in which management decides what is to be done, directs the workers to do it, then supervises them closely to be sure that the directives are followed in full. But as Doyle and Hartle (1985) observed:

It simply doesn't work that way. The impulse to reform the schools from the top down is understandable: it is consistent with the history of management science. The explicit model for such reform was the factory; Frederick Taylor's scientific management revolution did for the schools the same thing that it did for business and industry—created an environment whose principal characteristics were pyramidal organization. . . . The teacher was the worker on the assembly line of education; the student, the product; the superintendent, the chief executive officer; the school trustees, the board of directors; and the taxpayer, the shareholder. (p. 24)

These beliefs seem to undergird the current reform strategy, as the No Child Left Behind (NCLB) Act of 2001 demonstrates. NCLB was a reauthorization of the 1965 Elementary and Secondary Education Act (ESEA). It seemed clear that the trend toward federal influence in education would continue. It also seemed clear, based on the 2009 Race to the Top (RTTT) foci, that the scope and power of the federal role in education policy would be expanded on an unprecedented scale. Then in December 2015, Congress passed changes to NCLB and named it the Every Student Succeeds

Act (ESSA), allowing more state control in judging school quality. NCLB, RTTT, and ESSA made extraordinary amounts of funding available to the states from Washington, DC.

Although the 2001 version of ESEA, which had been named the No Child Left Behind Act of 2001, was recognized as a major breakthrough in the history of U.S. public education, it had also given rise to significant problems. The outcome of the entire enterprise would unquestionably hinge on the extent to which the conviction of those with political power in Washington and the state capitals would remain unshakable about the following:

1. That they have the best ideas about how to bring about improvement in school outcomes in the classrooms of the 95,000 or so schools in the United States
2. That they have sufficient knowledge about the circumstances in the classrooms in those school districts to make the judgments necessary to draw up action plans and legal mandates to implement the top-down organizational strategy in the belief that it is incontestably the most promising option available to bring about the desired changes that are sought in the schools.

The NCLB Act was—in the history of the Republic until that time—the boldest venture on the part of the federal government to redirect the schooling of children throughout the land. By 2018, federal participation continued to escalate on an unprecedented scale. It will take more time to see how well founded the beliefs so confidently held by politicians in Washington, DC and in the state capitals actually were. We will discuss NCLB later in this chapter and refer to it throughout this book, as it touches on many topics in the study of organizational behavior.

**HUMAN RESOURCES DEVELOPMENT THEORY** As we have suggested, a very different set of assumptions exists with regard to the organizational characteristics of schools and the behavior of teachers in their classrooms. It is a view that places teachers foremost in creating instructional change and therefore questions the wisdom of any change strategy that seeks to force change upon teachers arbitrarily and without their participation in the processes of deciding what should be done. As we have seen, this is far from a new view of organization. But recent failures of bureaucratic methods to rectify severe organizational difficulties—especially in the corporate world—coupled with the emergence of newer organizational perspectives (such as the power of organizational cultures to influence behavior) have brought newer, nonbureaucratic concepts to the fore as a major way to think about organizational issues.

Bureaucratic organizations strive to create organizational cultures that strongly emphasize the primacy of the organization's officially prescribed rules, and their enforcement, as the central means of influencing individual participants to perform dependably in predictable ways. Non-bureaucratic approaches, in contrast, emphasize developing a culture in the organization that harnesses the conscious thinking of individual persons about what they are doing as a means of involving their commitment, abilities, and energies in achieving the goals of the organization. The central mechanism through which the nonbureaucratic organization exercises coordination and control is the socialization of participants concerning the values and goals of the organization, rather than through written rules and close supervision. Through this intense socialization, participants identify personally with the values and purposes of the organization and are motivated to see the organization's goals and needs as being closely congruent with their own. Thus, the culture of the organization epitomizes not only what the organization stands for and expects but also the core beliefs and aspirations of the individual participants themselves. The culture of an

organization makes clear what the organization represents—its values, its beliefs, its true (often as distinguished from its publicly stated) goals—and provides tangible ways by which individuals in the organization may personally identify with that culture. The culture of an organization is communicated through symbols: typically in the form of stories, myths, legends, and rituals that establish, nourish, and keep alive the enduring values and beliefs that give meaning to the organization and make clear how individuals become and continue to be part of the saga of the organization as it develops through time.

In this view, close inspection and supervision are far from the only means of ensuring the predictable performance of participants. Personal identification with and commitment to the values of the organization's culture can provide powerful motivation for dependable performance even under conditions of great uncertainty and stress. Consider, for example, what causes an individual to join an organization, stay in it, and work toward that organization's goals. For principles of human resources development theory to work, leaders need to believe in a particular philosophy of human behavior in the organization. Douglas McGregor helps us understand leader philosophy about people and the organization. His depiction of leader philosophy is called Theory X and Theory Y (McGregor, 1960).

**THEORY X AND THEORY Y** Theory X rests on four assumptions that the administrator may hold:

1. The average person inherently dislikes work and will avoid it whenever possible.
2. Because people dislike work, they must be supervised closely; they must be directed, coerced, or threatened with punishment in order for them to put forth adequate effort toward the achievement of organizational objectives.
3. The average worker will shirk responsibility and seek formal direction from those in charge.
4. Most workers value job security above other job-related factors and have little ambition.

Administrators who—tacitly or explicitly—think that these are basic facts of organizational life will, of course, use them as a guide when dealing with employees in the organization.

Theory Y embraces very different assumptions about the nature of people at work:

1. If it is satisfying to them, employees will view work as natural and as acceptable as play.
2. People at work will exercise initiative, self-direction, and self-control on the job if they are committed to the objectives of the organization.
3. The average person, under proper conditions, learns not only to accept responsibility on the job but also to seek it.
4. The average employee values creativity—that is, the ability to make good decisions—and seeks opportunities to be creative at work.

Administrators who—tacitly or explicitly—accept this explanation of the nature of human beings at work could reasonably be expected to deal with subordinates in ways quite different from the ways of those who hold Theory X views.

These theories are not something for you to accept or reject; they are merely a simple illustration of how theoretical views of the organization are actually used by practitioners of educational administration in their work—a guide to rational decisions and actions on the firing line. Those with administrative, management, or leadership responsibilities tend to believe that one of these theoretical statements more accurately represents the nature of reality in the organization

than the other does. Leaders will generally act in ways that are harmonious with the theoretical statement they think is true. Those who tend to hold a Theory X view of people, for example, are inclined to believe that motivation is basically a matter of the carrot and the stick; they tend to readily accept the necessity for close, detailed supervision of subordinates, and they tend to accept the inevitability of the need to exercise down-the-line decision making. Collegial approaches to organizational life are likely to be viewed as perhaps a nice ideal in the abstract but not very practical in the real world of schools.

As Chris Argyris (1971) put it, Theory X views give rise to Behavior Pattern A on the part of leaders. This pattern of behavior may take one of two principal forms:

1. Behavior Pattern A, *hard*, is characterized by no-nonsense, strongly directive leadership, tight controls, and close supervision.
2. Behavior Pattern A, *soft*, involves a good deal of persuading, “buying” compliance from subordinates, benevolent paternalism, or so-called “good” (that is, manipulative) human relations.

In either case, Behavior Pattern A, whether acted out in its hard or its soft form, has the clear intention of motivating, controlling, and managing in the classical sense. It is based on Theory X assumptions about the nature of human beings at work.

Theory Y assumptions that leaders hold about people at work are very different. Theory Y assumptions give rise to Behavior Pattern B on the part of the leader. This style is characterized by commitment to mutually shared objectives, high levels of trust, mutual respect, and helping people in the organization to gain satisfaction from the work itself. Pattern B leadership may well be demanding, explicit, and thoroughly realistic, but it is essentially collaborative. It is a pattern of leader behavior intended to be more effective and productive than Pattern A because it is thought to reflect a more accurate understanding of what people at work are really like.

In this discussion of the relationship between theory and understanding organizational behavior in schools, it should be emphasized—as Argyris cautioned—that Behavior Pattern A, *soft*, is often superficially mistaken for Behavior Pattern B. This ambiguity has caused considerable confusion among those trying to apply these theoretical ideas to schools. But the Behavior Pattern A, *soft*, approach often used by supervisors to manipulate teachers into compliance with what is basically highly directive management—in the guise of “good human relations”—has done much in U.S. education to discredit the plausibility of Theory Y as applicable to the real world of schools and school systems.

**LIKERT'S FOUR SYSTEMS** The practical usefulness of thinking in this way is illustrated by the work of Rensis Likert. In more than 30 years of research in schools as well as in industrial organizations, Likert identified a range of management styles, called Systems 1, 2, 3, and 4. The definitions of each system are explained in terms of leader behavior and how others in the organization are involved in decision-making processes: These systems range on a continuum from authoritarian leader behavior and no involvement by others in the decision-making process in System 1, to collaborative leadership and broad involvement by others in decision making in System 4. Figure 1.1 defines each system and juxtaposes Likert's four systems with McGregor's Theory X and Theory Y. Likert's studies supported the hypothesis that the crucial variable that differentiates more effective from less effective organizations is human behavior in the organization. Blake and Mouton (1969) found that effective organizations involve individuals in important organizational decisions. They submitted that

---

<b>THEORY X</b>	<i>System 1</i>	<i>Management is seen as having no trust in subordinates.</i> a. Decision imposed—made at the top. b. Subordinates motivated by fear, threats, or punishment. c. Control centered on top management. d. Little superior–subordinate interaction. e. People informally opposed to goal by management.
	<i>System 2</i>	<i>Management has condescending confidence and trust in subordinates.</i> a. Subordinates seldom involved in decision making. b. Rewards and punishment used to motivate. c. Interaction used with condescension. d. Fear and caution displayed by subordinates. e. Control centered on top management but some delegation.
	<i>System 3</i>	<i>Management is seen as having substantial but not complete trust in subordinates.</i> a. Subordinates make specific decisions at lower levels. b. Communication flows up and down the hierarchy. c. Rewards, occasional punishment, and some involvement are used to motivate. d. Moderate interaction and fair trust exist. e. Control is delegated downward.
<b>THEORY Y</b>	<i>System 4</i>	<i>Management is seen as having complete trust and confidence in subordinates.</i> a. Decision making is widely dispersed. b. Communication flows up and down and laterally. c. Motivation is by participation and rewards. d. Extensive, friendly, superior–subordinate interaction exists. e. High degree of confidence and trust exists. f. Widespread responsibility for the control process exists.

---

**FIGURE 1.1** Likert's Management Systems Theory related to McGregor's Theory X and Theory Y.

System 4 management is most effective and System 1 least effective. In examining extensive research on school organizations specifically, Gordon Lippitt (1969) agreed with Blake and Mouton's conclusions.

Both McGregor and Likert were basically concerned not with being nice to people or making work pleasant, but with understanding how to make organizations more effective, which is as pressing a need in business and industry as it is in education. This general point of view is widely and strongly supported by a vast amount of organizational research. Robert R. Blake's and Jane Srygley Mouton's (1969) organizational research, Gordon Lippitt's (1969) studies of organizational renewal, and Paul Berman's and Milbrey McLaughlin's (1978) extensive studies of change in U.S. schools are only a few of the many early studies that supported the general theoretical position held by pioneers such as McGregor and Likert.

Traditional classical organizational views (bureaucratic theory) would indicate the opposite practices: tighten up rules and procedures, exercise stronger discipline and tougher management, and demand more work from subordinates. In the parlance of neoclassical theory exemplified in NCLB, the focus is on teacher accountability, specified performance objectives, and market-based approaches to reform. Yet much of the best research in organizational behavior strongly

suggests that this latter approach would be, at best, self-defeating. Throughout this book, we present evidence to support this claim.

A word of caution is in order here. Bureaucratic and human resources perspectives have been compared and contrasted as ideal cases for the purpose of clarifying and delineating the very real, basic differences between them. In the real world of schools, of course, one rarely encounters ideal cases, which is not to suggest that organizations cannot properly be classified as being bureaucratic or nonbureaucratic. Indeed, they can be and often are. Nor does it mean that, to be described as nonbureaucratic, an organization must be totally devoid of policies, regulations, and standard operating procedures, or that to be described as bureaucratic, an organization must be totally devoid of sensitivity to or respect for people. This fact is particularly true of schools, which are bureaucratic in some ways and nonbureaucratic in some very important ways. What it does suggest is that organizations may be properly described as *relatively* bureaucratic or *relatively* nonbureaucratic. It also suggests that schools are undoubtedly far more organizationally complex than is generally understood.

## CRITICAL THEORY

A group of educational academicians who subscribe to a type of social criticism known as *critical theory* (CT) have had a major impact on how we view organizations and leadership. These theorists have been especially sensitive to and vociferous about shortcomings in the school hierarchy, particularly traditional bureaucratic institutions with top-down authority and limited allowances for typically marginalized groups to add their voices to organizational governance.

Critical theory holds that institutionalized oppression of groups of people in a society—cultural, ethnic, racial, and gender groups—is often supported by the oppressed peoples themselves, who believe the system to be in their own best interests. This coercion, critical theorists contend, is achieved by the manipulation of meaning by those in power to legitimate the values and beliefs of the power elite: “In essence, the oppressed groups work to support the interest of the dominant groups. By doing so, they consent to their own oppression” (Palmer & Maramba, 2011, p. 439). In that view, some critical theorists in the Marxian tradition would say—indeed, have said—that workers in capitalist societies are oppressed by the powerful capitalist class but do not perceive it because, through control of the press, education, organized religion, and other social institutions, those in power systematically induce workers to believe that the values and beliefs of the capitalist class are legitimate and in the workers’ best interests.

Paulo Freire (1970) is often credited with bringing CT to education in his famous work *Pedagogy of the Oppressed*, in which he analyzed educational practices and their impact on the poor and other marginalized groups. He contended that education should not treat children as empty, passive vessels into which teachers implant knowledge, which he called *banking*; education in his view should be *problem posing*, in which teachers and students engage in dialogue and students are proactive learners in their own knowledge acquisition. These concepts gave rise to the term *critical pedagogy*. In this way, he believed that education could mobilize social transformation. Freire was from Brazil, and although his work had an impact in the United States, CT was firmly planted in the United States by the works of Michael Apple (1971, 1986) and Henry Giroux (1983). Other notables in their field are Derek Bell (1992), Richard Delgado (1995), and Peter McLaren (1998), among others. Often Jonathan Kozol (1991, 1995, 2005) is considered a critical theorist for exposing the problems of poverty among children in U.S. schools, beginning with *Savage Inequalities* in 1991; his research brought the effects of poverty on schools and children to the attention of many in mainstream education circles. Kozol showed how students living in poverty were typically in schools