The Balanced Leadership

FRAMEWORK®

Connecting vision with action

by

Tim Waters, Ed.D. & Greg Cameron, M.A.

McREL

About the Authors

Tim Waters is President and CEO of Mid-continent Research for Education and Learning (McREL), located in Denver, Colorado. He is the author and co-author of several publications, including *School Leadership that Works: From Research to Results*. He has served as McREL's CEO since 1995, following 23 years in public education, the last seven of which were as the superintendent of the Greeley, Colorado, school system.

Greg Cameron is a Senior Director for McREL Field Services. As a member of McREL's leadership development team, Mr. Cameron designs and facilitates professional development sessions for educational leaders across the United States and Australia. He is the co-author of McREL's *Balanced Leadership Professional Development Sessions* and *Teaching Reading in Social Studies*. Mr. Cameron has been an elementary school principal, an assistant principal, and a middle and high school classroom teacher.

"Wisdom is knowing what to do next, skill is knowing how to do it, and virtue is doing it."

David Starr Jordan, *scientist and educator*

Introduction

Over the past several years, Mid-continent Research for Education and Learning (McREL) has completed multiple meta-analytic studies on the practices of effective schools, teachers, and principals. These studies provide general guidance for *what* school leaders and teachers can do to increase student achievement.

We recognize, however, that simply knowing *what* to do is often not enough to transform schools and classrooms. Leaders also must know *why* certain practices are important, *when* they should be used, and *how* to apply them skillfully in their own schools and classrooms.

That is why we developed the Balanced Leadership Framework—to help school leaders apply findings from our recent research on effective principals to their own leadership behaviors. In so doing, we hope that this Framework will help leaders connect vision (i.e., knowing *what* to do and *why* to do it) with action (i.e., knowing *how* to do it) in their schools.

McREL's research on leadership

Between 1998 and 2003, McREL conducted three major quantitative studies on the effects of classroom, school, and leadership practices on student achievement. The first reported on nine clusters of research-based instructional strategies with statistically significant effects on student achievement (Marzano, 1998; Marzano, Gaddy, & Dean, 2000). McREL described these strategies in the 2001 ASCD

publication, *Classroom Instruction that Works*. The second study reported on school practices, also with statistically significant effects on student achievement (Marzano, 2000; 2003).

The meta-analysis

These two studies set the stage for McREL's meta-analysis of school-level leadership and its effects on student achievement (Waters, Marzano, & McNulty, 2003). This analysis began in 2001 with the review of more than 5,000 studies that purported to have examined the effects of principal leadership on student achievement. From these 5,000 studies, 69 were selected based on the quality of their design, rigor, reliability and relevance of data to the questions McREL was attempting to answer about school-level leadership. In all cases, the studies shared four characteristics:

- The dependent variable in each study was student achievement.
- The independent variable in each study was leadership.
- Student achievement measures were all quantitative and standardized.
- Measures of school-level leadership were all quantitative and standardized.

The 69 studies included more than 14,000 teacher ratings of principal leadership for 2,802 principals. Ratings of principal leadership were correlated with more than 1.4 million student achievement scores. To our knowledge, this is the largest-ever sample for conducting this type of analysis. The findings, conclusions, and technical notes from this meta-analysis have been published in *School Leadership that Works: From Research to Results* (Marzano, Waters, & McNulty, 2005).

The purpose of any meta-analysis is to determine relationships between dependent and independent variables. McREL's meta-analysis of research on school leaders examined the relationship between student achievement and school-level leadership. It produced three major findings.

First, we found a statistically significant correlation between school-level leadership and student achievement of .25, which translates to a one standard deviation increase in principal leadership behavior corresponding with a 10 percentile point difference in student achievement on a norm referenced test. No longer is there a question about the effect of leadership on student achievement. Clearly, leadership makes a difference.

Second, we identified 21 leadership responsibilities with statistically significant correlations to student achievement and 66 practices or behaviors for fulfilling these responsibilities. With this finding, the concept of "instructional leadership" is no longer an abstraction or left only to theory. As shown in Exhibit 1, we now have a well-defined set of research-based leadership responsibilities and associated practices correlated with student achievement.

Exhibit 1: Principal leadership responsibilities & practices

Responsibilities (extent to which the principal …)	Associated practices
Culture: *fosters shared beliefs and a sense of community and cooperation*	Promotes cooperation among staff Promotes a sense of well-being Promotes cohesion among staff Develops an understanding of purpose Develops a shared vision of what the school could be like
Order: *establishes a set of standard operating procedures and routines*	Provides and enforces clear structure, rules, and procedures for students Provides and enforces clear structures, rules, and procedures for staff Establishes routines regarding the running of the school that staff understand and follow
Discipline: *protects teachers from issues and influences that would detract from their teaching time or focus*	Protects instructional time from interruptions Protects/shelters teachers from distractions
Resources: *provides teachers with materials and professional development necessary for the successful execution of their jobs*	Ensures teachers have necessary materials and equipment Ensures teachers have necessary staff development opportunities that directly enhance their teaching

Responsibilities (extent to which the principal …)	Associated practices
Involvement in curriculum, instruction, and assessment: *is directly involved in the design and implementation of curriculum, instruction, and assessment practices*	Is involved in helping teachers design curricular activities Is involved with teachers to address instructional issues in their classrooms Is involved with teachers to address assessment issues
Focus: *establishes clear goals and keeps those goals in the forefront of the school's attention*	Establishes high, concrete goals and expectations that all students meet them Establishes concrete goals for all curriculum, instruction, and assessment Establishes concrete goals for the general functioning of the school Continually keeps attention on established goals
Knowledge of curriculum, instruction, and assessment: *is knowledgeable about current curriculum, instruction, and assessment practices*	Is knowledgeable about instructional practices Is knowledgeable about assessment practices Provides conceptual guidance for teachers regarding effective classroom practice
Visibility: *has quality contact and interactions with teachers and students*	Makes systematic frequent visits to classrooms Maintains high visibility around the school Has frequent contact with students

Responsibilities (extent to which the principal …)	Associated practices
Contingent rewards: *recognizes and rewards individual accomplishments*	Recognizes individuals who excel Uses performance versus seniority as the primary criterion for reward and advancement Uses hard work and results as the basis for reward and recognition
Communication: *establishes strong lines of communication with teachers and among students*	Is easily accessible to teachers Develops effective means for teachers to communicate with one another Maintains open and effective lines of communication with staff
Outreach: *is an advocate and spokesperson for the school to all stakeholders*	Assures the school is in compliance with district and state mandates Advocates on behalf of the school in the community Advocates for the school with parents Ensures the central office is aware of the school's accomplishments
Input: *involves teachers in the design and implementation of important decisions and policies*	Provides opportunity for input on all important decisions Provides opportunities for staff to be involved in developing school policies Uses leadership team in decision making

Responsibilities (extent to which the principal …)	Associated practices
Affirmation: *recognizes and celebrates school accomplishments and acknowledges failures*	Systematically and fairly recognizes and celebrates accomplishments of teachers Systematically and fairly recognizes and celebrates accomplishments of students Systematically acknowledges failures and celebrates accomplishments of the school
Relationship: *demonstrates an awareness of the personal aspects of teachers and staff*	Remains aware of personal needs of teachers Maintains personal relationships with teachers Is informed about significant personal issues within the lives of staff members Acknowledges significant events in the lives of staff members
Change agent: *is willing to and actively challenges the status quo*	Consciously challenges the status quo Is comfortable with leading change initiatives with uncertain outcomes Systematically considers new and better ways of doing things
Optimize: *inspires and leads new and challenging innovations*	Inspires teachers to accomplish things that might seem beyond their grasp Portrays a positive attitude about the ability of the staff to accomplish substantial things Is a driving force behind major initiatives

Responsibilities (extent to which the principal …)	Associated practices
Ideals/beliefs: *communicates and operates from strong ideals and beliefs about schooling*	Holds strong professional beliefs about schools, teaching, and learning Shares beliefs about schools, teaching, and learning with the staff Demonstrates behaviors that are consistent with beliefs
Monitors/ evaluates: *monitors the effectiveness of school practices and their impact on student learning*	Monitors and evaluates the effectiveness of curriculum, instruction, and assessment
Flexibility: *adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent*	Is comfortable with major changes in how things are done Encourages people to express opinions contrary to those with authority Adapts leadership style to needs of specific situations Can be directive or non-directive as the situation warrants
Situational awareness: *is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems*	Is aware of informal groups and relationships among staff of the school Is aware of issues in the school that have not surfaced but could create discord Can predict what could go wrong from day to day

Responsibilities (extent to which the principal …)	Associated practices
Intellectual stimulation: *ensures faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture*	Keeps informed about current research and theory regarding effective schooling Continually exposes the staff to cutting-edge ideas about how to be effective Systematically engages staff in discussions about current research and theory Continually involves the staff in reading articles and books about effective practices

The third finding in the meta-analysis was somewhat surprising. In spite of finding the average effect of student achievement correlated at .25, this study also found that not all strong leaders have a positive impact on student achievement. There were a number of studies in which principals were rated by teachers as strong leaders in schools with below average achievement.

While there are many possible explanations for this third finding, described as "the differential impact of leadership," two emerged as most plausible to the researchers. First, the effect of strong leadership could be mitigated if a principal is focused (and focuses the school) on practices that are not likely to impact student achievement. There are many practices and activities on which a principal can focus the attention, energy, talent, and other assets of a school. Not all of them have the potential to positively influence student achievement. They may be important in the running of a school, but not essential for improving achievement.

Accordingly, the researchers concluded that one possible explanation of the differential impact of leadership is the *focus* of leadership. Focused on the "right" classroom and school practices, leaders can have a powerful positive effect. Focused on practices unlikely to make a difference, a strong (but ineffective) leader can have a minimal or even negative effect on student performance.

The second explanation for the differential impact of leadership is the *order of magnitude* of change implied by the principal's improvement efforts. Simply stated, even when principals focus on the right classroom and school practices, they must understand the implications these changes have for stakeholders and adjust their leadership behaviors accordingly.

Experts in the field of leadership, change, and the adoption of new ideas, including Heifetz, Fullan, Beckard, Pritchard, Hesslebein, Johnson, Kanter, Bridges, Rogers, Nadler, Shaw, and Walton, make the case that not all change is of the same magnitude. Some changes have greater implications than others for stakeholders. Although there are a variety of labels given to differing magnitudes of change (technical vs. adaptive challenges, incremental vs. fundamental, continuous vs. discontinuous), we use the terms "first-order" and "second-order" change to make this distinction. Exhibit 7 in a later section of this document describes these distinctions in greater detail.

Failing to understand these implications and manage them can result in a good idea—even one that is focused on the right school or classroom practices—being poorly imple-mented. As a result, even the best laid plans can have a minimal, if not detrimental, impact on student performance.

The factor analysis

Following the meta-analysis, McREL researchers conducted a factor analysis. The purpose of a factor analysis is to reveal inter-correlations among independent variables and underlying "factor" structures that might not be easily recognized by researchers, but that could substantially enhance understanding of the independent variables.

Thus, the first purpose in conducting the factor analysis was to determine if there were inter-correlations among the 21 leadership responsibilities identified in the meta-analysis. For example, it was anticipated that the leadership responsibilities of *Relationships, Communication*, and *Culture* might be inter-related to the degree that the number of responsibilities could be reduced to a more manageable set. The second purpose was to test the hypothesis that the "differential impact of leadership" might be related to a leader's understanding of their leadership initiatives as first- and second-order change for staff and the shareholders.

To conduct this analysis, McREL collected data from more than 700 principals using a 92-item McREL online survey, which was designed to measure principals' behaviors in terms of the 21 responsibilities as well as the extent to which the school was involved in first-order change or second-order change.

The researchers were surprised by the results of this analysis. First, they did *not* find sufficient inter-correlations among the 21 responsibilities to warrant eliminating or combining any of them. They found that each responsibility is distinct enough to include it in our set of 21 responsibilities. This finding indicates strong construct validity in the results of the meta-analysis.

Second, they found an empirical relationship between the 21 leadership responsibilities and change. That is, principals reported varying their emphasis of the 21 responsibilities based on their estimates of the order of magnitude of change associated with improvement initiatives. Specifically, we found that all 21 responsibilities were *positively* correlated with first-order change. This finding indicates that principals appear to evenly balance their emphasis of all 21 responsibilities when leading change perceived as routine or first-order.

The researchers were most surprised, however, by the second factor that emerged in this analysis: second-order change. Eleven of the leadership responsibilities correlated at a level of statistical significance with second-order change. As shown in Exhibit 2, seven were *positively* correlated with second-order change, and four were *negatively* correlated with second-order change.

Exhibit 2: Responsibilities correlated with second-order change

Positively correlated	Negatively correlated
• Knowledge of Curriculum, Instruction, and Assessment • Flexibility • Change Agent • Ideals and Beliefs • Monitor and Evaluate • Intellectual Stimulation • Optimize	• Culture • Communication • Input • Order

This finding suggests that when leading second-order changes, principals emphasize the seven responsibilities in the

left-hand column of Exhibit 2 while struggling to effectively fulfill the four responsibilities in the right-hand column.

This is *not* to suggest that these four responsibilities have a *negative* impact on second-order change. Indeed, fulfilling these responsibilities effectively will likely increase the prospects for successful implementation of second-order change initiatives.

Nor does this finding suggest that principals are not working hard to fulfill these responsibilities effectively. Rather, we think of this finding as the "unintended negative consequence" of second-order change.

Michael Fullan (2001) and others have written about "implementation dip" associated with second-order change. Declines in performance in schools (and other organizations) when struggling to implement changes requiring new knowledge and skills, that challenge prevailing norms, or conflict with personal values are well documented. The implementation dip is the experience of things getting worse before they get better.

McREL's factor analysis offers some empirical validation of the implementation dip. It suggests that when schools undertake an initiative with second-order implications for most stakeholders, teachers may feel there is less cohesion and more fragmentation in the school and less clarity regarding the school's vision *(culture)*. They may also feel like the principal is less accessible and less willing to listen to their concerns *(communication)*. Furthermore, they may feel like they have less influence on the day-to-day functions and direction of the school *(input)*. Finally, they may feel like patterns of behavior, communication, and decision making are no longer predictable *(order)*.

As stated earlier, this finding does not imply that principals are not attending to these responsibilities. Rather, it suggests that it is difficult to fulfill these four responsibilities effectively when leading changes with second-order implications for stakeholders—especially when they are heavily emphasizing the six responsibilities positively correlated with second-order change. This is what we mean by the "unintended negative consequence" of second-order change—the possibility that teachers' perceptions of a principal's effectiveness in these areas of responsibility will be negatively affected *by* second-order change.

We encourage principals to consider sharing leadership of the four negatively correlated responsibilities with others—members of their leadership team or staff members—when leading initiatives they estimate as second-order change for the majority of their staff. While emphasizing the seven responsibilities positively correlated with second-order change, a principal should consider asking others to attend to the responsibilities of Culture, Communication, Order, and Input.

The Balanced Leadership Framework

McREL developed the Balanced Leadership Framework because we understood the difficulty of keeping 21 leadership responsibilities and 66 practices in mind. We also wanted to connect our research findings to existing research-based knowledge on change management, diffusion theory, collective efficacy, institutional theory, living systems theory, community development, asset utilization, and school improvement. The result of this effort is the Balanced Leadership Framework (see Exhibit 3), which groups the 21 responsibilities into an organizing structure: Leadership, Focus, Magnitude of Change, and Purposeful Community.

Exhibit 3: McREL's Balanced Leadership Framework

Purposeful Community

Leadership

Purposeful Community

Leadership

FOCUS

School practices

Classroom practices

Student

MAGNITUDE

Create demand

Implement

Manage transitions

Monitor & evaluate

Leadership

Purposeful Community

Leadership

Purposeful Community

We believe this Framework, which serves as the foundation for our Balanced Leadership professional development program, not only organizes the myriad of responsibilities of school leaders, but also, and perhaps more importantly, helps them connect their vision for their schools with a plan of action.

Leadership

Leadership is the foundation component in the Framework. We place it within the Framework strategically as the interface among Focus, Magnitude, and Purposeful Community. It is our view that leaders are continually engaged in focusing the work of the school, leading change with varying orders or magnitude, and developing purposeful community both within the school and in the larger community. The dotted lines between leadership and the other three Framework components are intended to reflect permeable, rather than hardened or rigid, boundaries between leadership and school and classroom practices, students, change, and the community.

The Framework also provides guidance to principals as they fulfill the 21 leadership responsibilities. Focusing the work of the school, leading change, and developing purposeful communities is what effective principals do. Skillfully emphasizing the 21 leadership responsibilities is how they do it.

To guide the use of these findings, we have placed combinations of the 21 responsibilities in the three Framework components, as shown in Exhibit 4. The following sections describe each of these components in detail, including what one might expect to observe as a principal emphasizes responsibilities to focus his or her school, lead change, and develop purposeful community.

It should be noted that principals fulfill multiple responsibilities simultaneously. Our primary placement of the responsibilities and how they are fulfilled is intended as the beginning of this application, not the last word on when, why, and how these findings should be applied.

Exhibit 4: Primary placement of leadership responsibilities in Framework

Purposeful Community	Focus	Magnitude
Affirmation	Contingent rewards	Change agent
Communication	Discipline	Flexibility
Culture	Involvement in curriculum, instruction, and assessment	Ideals/beliefs*
Ideals/beliefs		Intellectual stimulation
Input	Focus	Knowledge of curriculum, instruction, and assessment
Relationships	Order	
Situational awareness	Outreach	Monitor/evaluate
Visibility	Resources	Optimize

*All 21 leadership responsibilities are divided among the three components of the Framework. However, the *Ideals/beliefs* responsibility appears in two components: Purposeful Community and Magnitude of Change.

Although McREL's factor analysis identified it as one of the seven leadership responsibilities positively associated with second-order change, it is also included in Purposeful Community due to its importance in building collective efficacy.

Why "Balanced" Leadership?

These studies were initially published as *Balanced Leadership: What 30 Years of Research Tells Us about the Effect of Leadership on Student Achievement* (Waters, Marzano, and McNulty, 2003). The notion of "balanced leadership" as the concept for presenting this work emerged from the observations of McREL's research team as they reflected on the research findings through the lens of decades of combined experience working with and in schools.
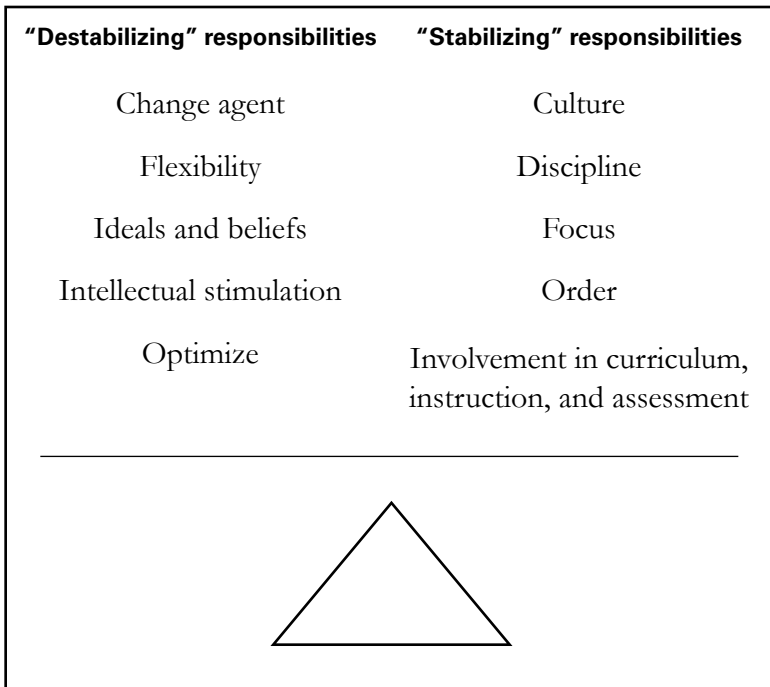
Principals are asked to fulfill many and varied responsibilities that are important in running a school. Not all of them, however, are *essential* to improving student achievement. For example, maintaining facilities, managing budgets, complying with regulations, and arranging transportation are all *important* aspects of running a school, but not *essential* to creating higher levels of student achievement. Thus, we hope our research findings can help principals balance their time and efforts in fulfilling *important* and *essential* responsibilities.

In addition, we observed something of a paradox in the 21 responsibilities identified through the meta-analysis. Some of the responsibilities have the effect of stabilizing or "normalizing" patterns of organizational and personal behavior. For example, emphasizing the responsibilities of *culture, discipline, focus, order,* and *involvement in curriculum, instruction, and assessment* reinforce the status quo of routines, procedures, and practices.

At the same time, as depicted in Exhibit 5, many other responsibilities tend to have the effect of *de*-stabilizing or challenging "normal" organizational and individual behavior patterns. Most notably, the responsibilities of *change agent, flexibility, ideals and beliefs, intellectual stimulation,* and *optimize*, are likely to disrupt routines, procedures, and practices.

Balancing when and how to maintain the status quo with when and how to challenge it is often the difference between effective and ineffective leadership. Highly successful principals strike an appropriate balance between answering questions with asking them, between stepping up and taking charge with stepping back and letting others lead, between pushing people and systems with supporting them, and between speaking and listening.

Exhibit 5: "Balancing" leadership responsibilities

"Destabilizing" responsibilities	"Stabilizing" responsibilities
Change agent	Culture
Flexibility	Discipline
Ideals and beliefs	Focus
Intellectual stimulation	Order
Optimize	Involvement in curriculum, instruction, and assessment

In summary, we hope that these research findings and this Framework help practitioners balance their emphasis of destabilizing or "challenge" responsibilities with stabilizing or "maintenance" responsibilities.

Focus of leadership

We have already summarized McREL's finding of the strong positive general effect of principal leadership on student achievement. Yet several of the 69 studies included in the meta-analysis reported a negative correlation between leadership and student achievement.

This variance was described as the "differential impact" of leadership. We have also presented what we view as the most plausible explanation for this finding: the *focus* of a leader's improvement initiatives and the magnitude of *change* associated with these improvement initiatives. Accordingly, focus and change are two of the components in the Framework.

Following are examples of how the focus of a strong principal's improvement initiatives could have a differential impact on student achievement.

- A principal might focus attention on improving school practices and classroom practices that are already well developed and effectively implemented. As a result, focusing on these practices is not likely to produce measurable impact on student and school performance. This might be thought of as putting new spark plugs into an automobile that is already running well. It doesn't hurt, but it doesn't help because it's not what's needed.

- A principal might focus attention on school and classroom practices for which the staff lacks the knowledge and skills to implement effectively. This would result in marginal implementation. For research-based classroom and school practices to improve achievement, they must be implemented with quality, fidelity, consistency, and intensity. Marginal, inconsistent, or unskillful implementation is not likely to produce desired results. This might be thought of as providing spark plugs to someone to install in a poorly running automobile without instructions for installing them. Providing the right parts and tools for improving performance without the knowledge to use them correctly will not produce needed improvements.

- A principal might focus his or her school on practices with weak relationships to student achievement. This might be akin to putting new seat covers in a car that is backfiring or stalling. Superficial or trendy changes that neglect the real problem will not result in better performance.

Based on this explanation of the "differential impact" of leadership, we suggest that school-level leaders strengthen their knowledge and use of research on the school and classroom practices with the largest effect sizes or predictable influence on student achievement.

McREL's ongoing examination of the past 30 years of research on effective schools and classrooms has been reported in several Association for Supervision and Curriculum Development (ASCD) publications, including *Transforming Classroom Grading* (Marzano, 2000), *Classroom Instruction that Works* (Marzano, Pickering, & Pollock, 2001),

What Works in Schools (Marzano, 2002), and *Classroom Strategies for Helping At-Risk Students* (Snow, 2003). Additional research and insights into effective schools and classrooms have been captured in the McREL reports, *The Effectiveness of Out-of-School-Time Strategies in Assisting Low-Achieving Students in Reading and Mathematics: A Research Synthesis* (Lauer, et al., 2004), *Noteworthy Perspectives: Success In Sight* (Dean, Galvin & Parsley, 2005), and *McREL Insights: Schools that Beat the Odds* (2005).

While we do not claim that these analyses represent all that there is to know from the research on school and classroom practices, we believe they are as good a collection as any available to help principals focus their schools on the "right" things to do. For example, a principal might ensure that his or her school has a "guaranteed and viable curriculum" or that teachers are using the nine strategies presented in *Classroom Instruction that Works*. Exhibit 6 demonstrates how principals can use seven key leadership responsibilities to focus their schools on research-based classroom and school practices that have statistically significant effects on student achievement.

Exhibit 6: Leadership responsibilities used to focus schools on research-based practices

Responsibilities	Classroom & school practices
Resources: *provides teachers with the materials and professional development necessary for the successful execution of their jobs*	Research-based instructional strategies, classroom management, and curriculum design are the primary focus of school improvement. Ongoing professional development is provided to enhance teachers' use of research-based instructional strategies, curriculum design, and classroom management practices.

Responsibilities	Classroom & school practices
Involvement in curriculum, instruction, and assessment: *is directly involved in the design and implementation of curriculum, instruction, and assessment practices*	There is agreement on a "guaranteed and viable" curriculum, i.e., essential content, knowledge, and skills that all students are expected to learn. There is adequate time for students to learn essential knowledge and skills. Instruction and assessment are aligned with essential knowledge and skills. All classes teach the vocabulary students will need to succeed on assessments. Attention remains focused on the goals for learning the essential curriculum regardless of distractions that may arise during a year.
Focus: *establishes clear goals and keeps those goals in the forefront of the school's attention*	Challenging goals are set for the school as a whole as well as for individual teachers and students. Concrete performance targets are set for the school as well as for students and teachers. Students and teachers are expected to meet performance targets. Teachers and students have easy access to meaningful formative data on their performance. Performance is reported in relation to goals and performance targets.
Outreach: *is an advocate and spokesperson for the school with all stakeholders*	Parents and community are involved—parents are invited and genuinely encouraged to become involved in the school. Parents are involved as classroom aides, monitor school activities, and are used as expert resources in classrooms. Parents are included in school-level governance processes and decisions when appropriate.

Responsibilities	Classroom & school practices
Order: *establishes a set of standard operating procedures and routines* **Discipline:** *protects teachers from issues and influences that would detract from their teaching time or focus*	There is a safe and orderly environment—students and teachers know and understand expected behaviors. Consequences are clear, fair, and consistently applied. Time for teaching and learning is protected from external distractions.
Contingent rewards: *recognizes and rewards individual accomplishments*	There is a high level of collegiality and professionalism—norms and standards for professional conduct are formalized and modeled by teachers and staff. Effort and quality performance are the bases for recognition.

Magnitude of change

Our second explanation for the differential impact of leadership is based on our understanding of the nature of change, the implications of change, the change process, and the leadership of change. We have asserted that strong leaders, even when focusing their change initiatives on the right school and classroom practices, can have a negative impact on achievement if they fail to understand the implications for stakeholders. This assertion is the underlying basis for the *change* component of our Framework.

McREL's earlier work describes the characteristics of change that will be perceived as either first-order or second-order based on the implications of change for community members. It is important to note that the terms first-order and second-order have less to do with the actual change initiatives themselves and more to do with the *implications* of change for individuals expected to carry out the change effort.

In other words, like beauty, magnitude of change lies in the eye of the beholder. As described in Exhibit 7, whether stakeholders perceive a change as first-order or second-order has less to do with the change itself than it does with their own knowledge, experience, values, and flexibility. As a result, few changes are of the same magnitude for *all* stakeholders. Indeed, the same change can be perceived as a first-order change for some stakeholders and a second-order change for others.

Exhibit 7: Comparison of first-order change & second-order change

First-order Change When a change is perceived as:	Second-order Change When a change is perceived as:
An extension of the past	A break with the past
Within existing paradigms	Outside of existing paradigms
Consistent with prevailing values and norms	Conflicted with prevailing values and norms
Implemented with existing knowledge & skills	Requiring new knowledge & skills to implement

Examples of first- and second-order changes

An example of a change that most teachers might view as first-order is teaching the vocabulary students must understand to perform well in their school's assessment and accountability program. Teaching vocabulary that appears in the essential curriculum and in assessment instruments makes sense to most teachers. It is consistent with their prior experience, an incremental step that builds on the existing knowledge of pedagogy, and is consistent with their personal values and the perceived norms of their school and district. However, this is not true for all teachers. For some, vocabulary instruction can be a second-order change, one that is not consistent with their prior experience, conflicts with their personal values and the prevailing norms of their school or district, or requires them to gain new knowledge and skills. As a result, even a seemingly simple effort to encourage direct teaching of vocabulary can have second-order implications for some stakeholders.

Consider a second example: implementing a system of standards-based record keeping, grading, and reporting. This initiative asks teachers to base their assessment of student performance on the standards or benchmarks adopted for their grade level or course of study. In other words, teachers now calculate grades based on students' demonstrated learning at the end of a grading period, rather than averaging performance from the beginning to the end of the grading period. Grades reflect how students perform against a rubric tied to each benchmark and report cards reflect student performance against those rubrics. In such a standards-based grading system, poor performance might earn no grade, based on the premise that "if the work does not meet a high standard, it isn't finished." Conversely, meeting high standards results in good grades. As a result, there is no "bell curve" and, thus, it becomes possible for all students to earn good grades.

In most schools and districts, this approach to grading would represent a second-order change for the majority of stakeholders. However, some teachers and principals might view this change as a logical next step to their work with standards and benchmarks, consistent with their personal values, and in step with school and district policy development. For these educators, this initiative would simply be a first-order change.

In order to avoid the "differential impact of leadership," principals must understand and accurately estimate the order of magnitude of their improvement initiatives for all stakeholders. Moreover, they must also understand the change process—that is, they must understand which leadership responsibilities to emphasize and *how* to emphasize them when working with stakeholders for whom the change may have different implications.

Leading change

In light of rising global competition, the universal call for higher levels of student achievement, and increasingly rigorous systems of accountability, schools are confronted with the need to make dramatic changes in the ways they operate. Research-based practices, when successfully implemented, are generally viewed as good for teachers, good for principals, and good for students. However, even the most well-documented, well-defined, and powerful research-based practices, can be met with resistance—especially when they require new knowledge, new relationships, and new procedures for those expected to implement them.

In this section, we describe phases of the change process and the leadership responsibilities that must be fulfilled to effectively lead second-order changes (see Exhibit 8). The results of the factor analysis described earlier provide important new information for principals leading second-order change. In many ways, these data confirm what seasoned school and district leaders already understand: that leading change initiatives with major implications for stakeholders can be a high-stakes proposition, and fulfilling key responsibilities exceptionally well is both difficult and imperative.

**Exhibit 8: Responsibilities positively correlated with second-order change**

Responsibilities (the extent to which the principal...)	Associated practices
Ideal/beliefs: *communicates and operates from strong ideals and beliefs about schooling*	Holds strong professional beliefs about schools, teaching, and learning Shares beliefs about schools, teaching, and learning with the staff Demonstrates behaviors that are consistent with beliefs
Optimize: *inspires and leads new and challenging innovations*	Inspires teachers to accomplish things that might seem beyond their grasp Portrays a positive attitude about the ability of the staff to accomplish substantial things Is a driving force behind major initiatives
Flexibility: *adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent*	Is comfortable with major changes in how things are done Encourages people to express opinions contrary to those with authority Adapts leadership style to needs of specific situations Can be directive or non-directive as the situation warrants

Responsibilities (the extent to which the principal...)	Associated practices
Knowledge of curriculum, instruction, and assessment: *is knowledgeable about current curriculum, instruction, and assessment practices*	Is knowledgeable about instructional practices Is knowledgeable about assessment practices Provides conceptual guidance for teachers regarding effective classroom practice
Intellectual stimulation: *ensures faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture*	Keeps informed about current research and theory regarding effective schooling Continually exposes the staff to cutting-edge ideas about how to be effective Systematically engages staff in discussions about current research and theory Continually involves the staff in reading articles and books about effective practices
Change agent: *is willing to and actively challenges the status quo*	Consciously challenges the status quo Is comfortable with leading change initiatives with uncertain outcomes Systematically considers new and better ways of doing things
Monitor and evaluate: *monitors the effectiveness of school practices and their impact on student learning*	Monitors and evaluates the effectiveness of curriculum, instruction, and assessment

Phases of change

Effective change leadership requires a deep understanding of the change process, which is complex, non-linear, and recursive. This makes it difficult for leaders to have a clear understanding of where they are in the process. In an effort to support a leader's understanding of the change process, Exhibit 9 presents a simplified diagram illustrating McREL's theory of change, composed of four phases: *Create Demand*, *Implement*, *Manage Personal Transitions*, and *Monitor and Evaluate*.

Exhibit 9: Four phases of the change process
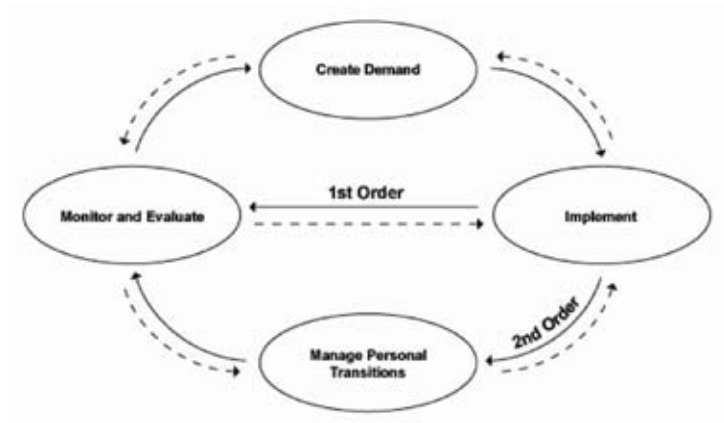
There are several important characteristics of the process of change illustrated in this figure. First, they are highly inter-dependent. For example, successful implementation requires effective management of personal transitions, which is based on close monitoring of the implementation of a change. Monitoring and evaluating the quality, fidelity, consistency, and intensity of implementation may increase or decrease demand for change.

Second, the phases of change are not sequential; they are recursive. For example, at the implementation phase, it is likely that leaders continue to create demand as a means to revitalize change initiatives that are losing ground.

Third, the change process is substantially different for change perceived as first-order from change perceived as second-order. For example, as shown in the exhibit, the phase "Manage Personal Transitions" is related only to change perceived as second-order. Because first-order change is perceived as an extension of the past and consistent with stakeholders' accepted ways of doing things, leaders do not typically need to manage the personal transitions that accompany change perceived as first-order.

However, because the change process is dynamic and complex, it is possible that for a change perceived as first-order for most members of an organization there may be some stakeholders for whom change will be second-order. This means that leaders must be highly attuned to their staff, their organization, their community, the magnitude of change implied by their improvement initiatives, and the phases of change.

Create demand

Little change occurs in an organization or community that is satisfied with the status quo. If a change is to be initiated, it is generally the result of one of two possibilities. The first is the emergence of a shared vision that challenges the current reality. In this case, the vision is attractive and compelling enough that individuals or groups are willing to accept changes required to realize the vision, in spite of risk and discomfort that might be associated with it.

The second possibility is that the current reality is so unpleasant that individuals or groups are willing to accept the risk and discomfort associated with changing the status quo, hoping that a new reality will ultimately be less painful than the current one. In both cases, the tension between the current reality and a preferred future develops sufficient energy and motivation to move individuals or groups away from the status quo.

The tension that contributes to a demand for change can be a product of many different forces. As shown in Exhibit 10, two of the seven leadership responsibilities positively correlated with second-order change, *Intellectual Stimulation*, *Change Agent,* and *Ideals and Beliefs* can create demand for change.

By fulfilling the *Change Agent* responsibility, the principal focuses directly on the change process by actively challenging the status quo, modeling a comfort level with leading change with uncertain outcomes, and systematically considering new and better ways of doing things. Principals who create demand by fulfilling the *Intellectual Stimulation* responsibility use current research, cutting-edge ideas, and books and articles about effective practices to create a tension between current and desired practices.

Exhibit 10: Leadership responsibilities associated with creating demand

Responsibilities associated with 2nd-order change	Phase of change process
Intellectual stimulation: *ensures teachers and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture* **Change agent:** *is willing to and actively challenges the status quo* **Ideals and beliefs**: *communicates and operates from strong ideals and beliefs about schooling*	**Create demand** — A pervasive expectation of continuous improvement, regardless of perceived obstacles or limitation contributes to a push for continuous improvement. Principals expose teachers to research and related information about effective practices, and then engage them in discussions about how to apply research findings in their classrooms. School leaders challenge the status quo, always considering new and better ways of doing things. Principals also keep themselves up-to-date on cutting-edge ideas about how to improve individual and school effectiveness. They routinely share beliefs about teaching and learning, modeling these beliefs through actions.

Implement

Once leaders have created demand for change, the challenge becomes implementing appropriate research-based practices effectively. To sustain the tension that was created in the previous phase and to guide teachers and others through this phase of the change process requires principals to maintain a relentless focus on the quality, fidelity, consistency, and intensity of implementation. All too often, change initiatives fail at this phase because leaders assume that the demand created in the initial phase will carry the initiative forward.

However, sustaining the tension and effectively implementing the change requires that principals develop a deep and shared understanding of the content of the change initiative while supporting and inspiring others to embrace the change. As shown in Exhibit 11, two leadership responsibilities support principals in this effort: (1) *Knowledge of curriculum, instruction, and assessment* and, (2) *Optimize.*

Exhibit 11: Leadership responsibilities associated with implementing change

Responsibilities associated with 2nd-order change	Phase of change process
Knowledge of curriculum, instruction, and assessment: *is knowledgeable about current curriculum, instruction, and assessment practices* **Optimize:** *inspires and leads new and challenging innovations*	**Implement** — Principals develop knowledge of effective, research-based curriculum, instruction, and assessment practices, and then use this knowledge to provide conceptual guidance to teachers. Principals also inspire teachers to use demanding, research-based classroom practices and believe that teachers can successfully implement these practices and convey this belief to teachers. Principals should interpret disappointments in ways that help school staff to see them as temporary and isolated and interpret successes in ways that help staff view them as permanent and universal.

First, principals must be highly knowledgeable about curriculum, instruction, and assessment and the research-based practices associated with the change initiative. They must also provide conceptual guidance regarding the related school and classroom practices. Second, they must support teachers and others in realizing and implementing the change through inspiration, by portraying a positive attitude about their abilities, and being a driving force behind the initiative.

Manage personal transitions

Often, changes in programs and practices, which represent a *gain* for students, schools, or school districts, can be perceived as a *loss* for teachers or principals—especially, when they must gain new knowledge, develop new approaches and procedures, redefine relationships, and re-examine their norms and values. School improvement initiatives often require stakeholders to undergo personal transitions, which they often respond to by resisting change.

It is important to note that managing personal transitions created by second-order change is *not* the same as managing change. Bridges (1991) makes the distinction between *change* and *transition* by describing the former as external and the latter as internal (p. 3). *Personal* transitions, according to Bridges, are *internal*, personal, psychological processes that are often the result of *external* changes.

For principals, managing personal transitions created by second-order change, and understanding individual responses and managing them effectively is imperative to successful change leadership. Because personal transitions vary between individuals and groups, principals must fulfill the leadership responsibility *Flexibility* (see Exhibit 12). That is, they must be flexible in their approach to leadership and differentiate their

leadership behaviors by being directive or non-directive as the situation warrants.

This flexibility includes understanding when to use authority to direct resources and to answer questions, as well as knowing when to step back, frame strategic questions, and encourage others to help find answers. Principals must find the balance between setting direction for the school with listening to beliefs and opinions contrary to their own. Finally, principals themselves must be comfortable with

Exhibit 12: Leadership responsibilities associated with managing personal transitions

Responsibilities associated with 2nd-order change	Phase of change process
Flexibility: *adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent*	**Manage personal transitions** — The principal understands when to direct, when to step back, when to answer questions and when to ask them, when to speak and when to listen. He or she understands the fear and stress of second-order change for stakeholders. There is attention to the importance of symbolic events and a willingness to establish temporary agreements to assist those who need extra support. The principal makes clear the reasons for change, shares an attractive vision of what will be different because of the change, develops a change management plan, and specifies the new roles, responsibilities, and activities for all stakeholders.

major changes in how things are done. Often, principals may need to lead changes that are for themselves second-order. This requires that principals engage in reflective practice and maintain an awareness of the implications of change for themselves as well as others.

Finally, it is important to remember that poorly managed personal transitions are likely to exacerbate the feeling of loss that people may experience when engaged in what they view as second-order change. When people feel like they are losing something, they may look for someone to blame for their loss. The easiest person to blame in any organization is the one responsible for the change itself: the principal. For precisely this reason, change leadership can be a high-stakes proposition.

Monitor and evaluate

Monitoring the implementation of research-based improvement initiatives requires that principals fulfill the responsibility *monitor and evaluate* (see Exhibit 13). They do this by

- Collecting and analyzing data on the quality, fidelity, consistency, and intensity of implementation.
- Assessing the impact of implementation on student achievement.
- Determining the impact of implementation on implementers.

By monitoring the impact of change on those who are responsible for implementing it, principals will know how accurately they estimated the order of magnitude of change implied by their improvement initiatives and thus, be able to adjust their leadership behaviors accordingly.

Exhibit 13: Leadership responsibilities associated with monitoring & evaluating change

Responsibilities associated with 2nd-order change	Phase of change process
Monitor and evaluate: *monitors the effectiveness of school practices and their impact on student learning*	**Monitor and evaluate** — There is real-time access to and use of all relevant data on needs and performance of individuals, groups, and the organization. Attention is paid to the quality of implementation of research-based instructional and classroom practices. Analyses of formative data on leading indicators of implementation and impact are fed into decisions about the pace and intensity of additional changes. Change implementation is also carefully monitored.

The consequences of second-order change

McREL's factor analysis provided an additional insight into the dynamics of change leadership. Just as the three leadership responsibilities included in Exhibit 10 are *positively* correlated with leading second-order change, there were four responsibilities *negatively* correlated with second-order change: *Culture*, *Order*, *Communication*, and *Input*.

The fact that principals struggle to fulfill these responsibilities when leading second-order changes is not altogether surprising. We have all experienced second-order change that produced feelings of disorientation, breakdowns in communication, leaders who seem less accessible, personal vulnerability, and the loss of voice or influence in the decision-making process. Regardless of how much

additional attention and effort a principal might give to these responsibilities, the results of our factor analysis suggest teachers and others in the school community are likely to perceive that their leaders are not attending to these responsibilities as well as they should.

To help mitigate the negative consequences of second-order change, we advise principals to consider asking others to share these responsibilities when leading second-order changes in their schools. Exhibit 14 provides examples of how a school leadership team or a designated transition team (e.g., school-level administrators, central office resource staff, teachers, parents, students, and other community members) might fulfill these responsibilities while the principal emphasizes the seven responsibilities positively correlated with second-order change.

Exhibit 14: Sharing leadership responsibilities negatively associated with second-order change

Responsibilities	The leadership and/or transition team...
Culture: *fosters shared beliefs and a sense of community cooperation*	Help articulate a vision or picture of where the school or program is heading. They help set up vicarious and mastery experiences that support acquisition of new knowledge and new skills. They encourage positive attitudes. They focus on successes and interpret disappointments as opportunities for improvement. They help clarify parts that individuals can play in successfully implementing changes.

| Responsibilities	The leadership and/or transition team...
Order: *establishes a set of standard operating procedures and routines*	Plan and stage ceremonial events that honor the past, clarify what is ending, and what is beginning. They develop or negotiate temporary agreements or policies to provide new structures to guide and support behavior as new norms emerge.
Communication: *establishes strong lines of communication with teachers, staff, and among students*	Listen to concerns about clarity of the plan for change, implementation of the plan, and needed support. They continually articulate the new direction of the organization, clarify and simplify, when possible, helping individuals see connections between shared values and aspirations and new direction, focusing on the relative advantage of changes to everyone involved. They highlight short-term successes to feature evidence of impact as well as learning opportunities.
Input: *involves teachers in the design and implementation of important decisions and policies*	Encourage and actively seek experiences of the staff with implementation. They plan and facilitate periodic study sessions to learn what is working, what is not working, and to reiterate the reasons or purpose for the change initiative.

Purposeful Community

The idea of principals, teachers, and community members joining forces to improve student achievement is not new. Indeed, a long list of researchers have noted the importance of collegiality and professionalism. Rosenholtz (1991) documented the conditions of teacher workplaces. Newmann and Wehlage (1995) examined successful schools, tracing the relationship between increased student achievement and the level of professional community. Fullan (1993) discussed the power of collaboration in schools that are grounded in relationships where trust, compassion, and respect abound. Similarly, Dee Hock, founder and former CEO of Visa (1999), asserts that

> It is essential to determine with absolute clarity, shared understanding, and deep conviction the purpose of the community. From that, all else must flow. It is what will bind the group together as worthy of pursuit. (p. 7)

After reviewing hundreds of studies on school improvement, we have concluded that virtually everything in a school occurs within the context of a community, composed of students, parents, teachers and other school staff members, central office administrators and support personnel, the school board, other social agencies, and businesses. The more this diverse community is able to coalesce around shared purposes, the more sustainable and effective a school's change efforts will be.

Thus, one of the key components of the Balanced Leadership Framework is what we call "Purposeful Community." We define *Purposeful Community* as one with the *collective efficacy* and capability to *use all available assets* to accomplish purposes and produce *outcomes that matter to all* community members through *agreed-upon processes* (see Exhibit 15).

Exhibit 15: McREL's Definition of Purposeful Community
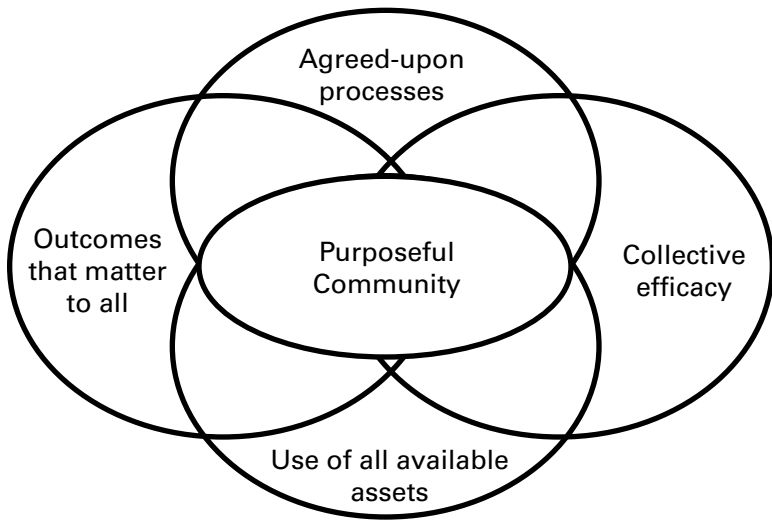
A compelling body of research evidence demonstrates the impact of leadership on the development of these attributes of Purposeful Communities (Bandura, 1997; Hoy, Smith, and Sweetland, 2002; Seligman, 1990). In the following sections, we describe in more detail how leaders can develop these four interconnected characteristics of purposeful communities.

Outcomes that matter to all

There are many types and forms of community; some more purposeful or intentional than others. In *Making the Grade*,

Wagner (2002) describes how purposeful or intentional communities are different than "coincidental communities":

> Historically, most communities were created by accident. They were usually the result of some physical proximity or immediate shared need. Sometimes they furthered the goals and growth and development of their members, sometimes they didn't—as any long-time resident of a small town will tell you. By contrast, an intentional community is created for a purpose. In fact, the intentional community was first widely used to describe efforts of the nineteenth century utopians to create communities whose goal was the intellectual and spiritual growth of its members. (pp. 148–149)

Leaders create purposeful or intentional communities by developing a vision of meaningful outcomes that they can only achieve as a community. Simply stated, they help community members answer the question, *What is it that we can do together than we cannot do as individuals?*

Obviously, individuals can accomplish many things. A Purposeful Community does not discourage them from completing individual tasks that lead to important outcomes. Rather, it helps them identify which outcomes can only be accomplished because the community exists and works together. Indeed, one distinguishing difference between purposeful and coincidental communities is the agreement among community members on what they can accomplish only because they are together as a community.

Use of all available assets

The second characteristic of McREL's definition of Purposeful Community is the development and use of

all available assets to accomplish outcomes that matter to all community members. Assets can be tangible—that is, physical, observable, and measurable. For example, computers, software, textbooks, science laboratory equipment, personnel, and financial resources are all tangible assets, which can be touched, seen, and easily measured.

Intangible assets, though more difficult to measure, are equally important. In fact, in the view of some financial analysts, they are as important as tangible assets because without intangible assets, the value and impact of tangible assets are typically marginalized. Low and Kalafut (2002), for example, report that 35 percent of the market value of "for profit" companies involved in mergers and/or acquisitions is based on an analysis of their intangible assets. Examples of intangible assets include leadership, strategy execution, transparency, customer reputation, innovation, and adaptability. These intangible assets and the ability of the community to capitalize on them are a reflection of leadership at all levels of the community (Kaplan & Norton, 2004).

It is important to understand that all communities have the potential to develop and utilize these assets. Some communities, however, use their assets more effectively than others. In school settings, the strategic and effective use of these assets can dramatically enhance the sustainability of improvement efforts and the impact of research-based school and classroom practices.

Agreed-upon processes

Complex living systems emerge around simple, but powerful, organizing principles. These principles are made operational through agreements that exist among members of the system. Regardless of whether these principles and the agreements

are explicit or implicit, conscious or unconscious, they produce relationships and complex patterns of behavior that can be at times elegant and productive, and at other times, confusing and conflicted. The most basic examples of simple, but powerful, organizing principles that produce elegant, complex, productive, and synchronous patterns of behavior can be observed in flocks of birds and schools of fish.

Every member of a flock of birds or school of fish understands how to flock or how to move at the same speed, banking or turning in the same direction at precisely the same moment without colliding into one another. They behave in accordance with the principles of flocking or of schooling, yet no one tells them to do it. Without regulations, policies, guidelines, or leaders telling them what to do, selected species of birds and fish demonstrate a deep understanding of "organizing principles" of flocking and schooling.

This dynamic of simple organizing principles producing complex, synchronous patterns of behavior is dependent on all members of the system honoring the principles. In fact, in the earliest computer simulations developed by scientists at the Santa Fe Institute, complex patterns of behavior emerged around simple organizing principles given to "boids," the term they gave to computer simulations of birds. The principles given to their computer-simulated birds were these:

- Maintain a minimum distance from other objects in the environment, including other birds.

- Match the velocity with other birds in the neighborhood.

- Move toward the perceived center of the mass of birds in the neighborhood.

With only these organizing principles, elaborate flocking behavior developed. Note that there is no specific direction given to the flock (Waldrop, 1994).

Similar phenomena can be observed in formal organizations. In her groundbreaking work, Margaret Wheatley (1992) describes organizations in which one can tell "what the organization's values and ways of doing business are by watching anyone, whether it be a production floor employee or a senior manager. There is a consistency and predictability to the quality of behavior." According to Wheatley, these organizations

> trust in the power of guiding principles or values, knowing that they are strong enough influencers of behavior to shape every employee into a desired representative of the organization. These organizations expect to see similar behaviors show up at every level in the organization because those behaviors were patterned into the organizing principles at the very start (p. 132).

Wheatley is describing the organizational example of flocking and schooling behavior; every member of the system understands the organizing/operating principles at a deep level and agrees to honor them. The "right" set of organizing principles, and agreements among members to honor them, produce consistent, elegant, synchronous, productive patterns of behavior. These become the "ways of doing business," or agreed-upon processes.

Agreed-upon processes in a Purposeful Community are those that contribute to stability within the community. They are processes that lead to patterns of communication, relationships among community members, a sense of individual well-being, connections between the school and

other critical institutions, shared leadership opportunities, and a sense of order and discipline.

On the other hand, they also can be processes that provoke the community into action, especially when stability, or the status quo, is not moving the community toward achieving its purposes. When instability rather than stability is needed, these processes will challenge the community to examine current realities in light of preferred futures and produce the energy and direction necessary to move in new directions.

Collective efficacy

The final characteristic of Purposeful Community is collective efficacy, which is a *shared perception or belief* held by a group that they can organize and execute a course of action that makes a difference (Goddard, 2001). In schools with high levels of collective efficacy, there is a shared belief among teachers that collectively they will have a positive impact on student achievement (Goddard, Hoy & Hoy, 2004). According to Goddard, Hoy, and Hoy, collective efficacy is measurable and varies from group to group. It is, in fact, a better predictor of student and school success than student socio-economic status or race (Goddard, 2003; Hoy, Smith, & Sweetland, 2002).

Moreover, collective efficacy is task specific. For example, when faculty members perceive their colleagues as being competent in instructional strategies, there is a higher level of collective efficacy than in schools where this perception does not exist. Collective efficacy is diminished when faculty members perceive their colleagues as incompetent in particular curricular or instructional areas. Collective efficacy, or a strong belief among members that they can exert some measure of control over their circumstances and make a positive difference through their united effort, is the

characteristic that distinguishes a purposeful community from other learning communities.

Why Collective Efficacy?

Fundamentally, the research on collective efficacy has shown that students achieve at higher levels in schools where the culture is characterized by having a high sense of collective efficacy (see Goddard, 2003; Goddard, LoGerfo, & Hoy, 2004; Hoy, Smith, & Sweetland, 2002). This critical characteristic of purposeful community is necessary for schools to transcend challenging goals and ultimately create student success. Furthermore, research provides guidance on how to constructively nurture and sustain collective efficacy. Bandura (1997) identified the following sources of collective efficacy:

- **Mastery experiences**. Efficacy grows when people experience initial success and have opportunities to build on these successes. Establishing conditions for "early wins" and building on these experiences reinforces group beliefs.

- **Vicarious experiences**. Efficacy is strengthened when individuals and groups have the opportunity to observe successful individuals in situations with similar circumstances.

- **Social persuasion.** This source of efficacy is also referred to as "normative press." Influential individuals within a group create high expectations and provide encouragement and support to others to persist in pursuit of desired outcomes.

- **Affective states**. A shared sense of hope and optimism that the group can accomplish its desired outcomes, even after disappointments, is another key source of collective efficacy.

- **Group enablement**. Groups build efficacy when they have opportunities to provide input on challenges/problems and to develop their own responses and solutions to these challenges.

Of these five processes, researchers have found that mastery experiences have the most positive effect on collective efficacy (Goddard, 2001; Hoy, Smith, & Sweetland, 2002; Ross, Hogaboam-Gray, & Gray, 2004).

Purposeful vs. Professional Learning Community

While much has been written about the role that community plays in schools (e.g., DuFour & Eaker, 1998; Hord, 1997), we contend that the traditional view of community, including shared goals and a collaborative setting, is insufficient. The notion of "purposeful community," with its more robust characteristics, more adequately distinguishes highly effective from less effective school communities. In particular, the notion of "collective efficacy" distinguishes McREL's definition of purposeful community from other models of school communities, as shown in Exhibit 16.

Exhibit 16: Purposeful community compared with other models

Purposeful Community Waters, McNulty, & Marzano, 2005	Professional Learning Community DuFour & Eaker, 1998	Professional Learning Community Hord, 1997	Communities of Practice Wenger & Snyder, 2000
"A Purposeful Community is one with the collective efficacy and capability to develop and use assets to accomplish goals that matter to all community members through agreed upon processes."	"PLC schools have (1) a solid foundation consisting of collaboratively developed and widely shared missions, visions, values and goals, (2) collaborative teams that work interdependently to achieve common goals, and (3) a focus on results as evidenced by a commitment to continuous improvement."	"A school in which the professionals (administrators and teachers) continuously seek and share learning to increase their effectiveness for students and act on what they learn."	"Groups of people informally bound together by shared expertise and passion for a joint enterprise."
Accomplish purpose and produce outcomes that matter to all	Shared mission, vision, values and goals Focus on results	Shared values and vision	Joint enterprise

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Purposeful Community Waters, McNulty, & Marzano, 2005	Professional Learning Community DuFour & Eaker, 1998	Professional Learning Community Hord, 1997	Communities of Practice Wenger & Snyder, 2000
Use of all available assets	Commitment to continuous improvement	Collective learning and application of learning	Passion, commitment and identification with group's expertise
Agreed-upon processes	Collaborative teams that work inter-dependently	Supportive conditions Shared personal practice Shared and supportive leadership	Build and exchange knowledge
Collective efficacy			

Purposeful Community and Leadership

A purposeful community develops largely as a result of its leadership. McREL identified 21 leadership responsibilities that are positively associated with student achievement. Exhibit 17 lists the eight leadership responsibilities that McREL suggests that principals emphasize to develop a purposeful community and provides guidance for translating these eight responsibilities into specific and potentially measurable indicators of purposeful communities.

Exhibit 17: Leadership responsibilities to create purposeful community

Leadership responsibilities	Characteristics of purposeful communities
Culture: *fosters shared beliefs and a sense of community and cooperation* **Ideals and beliefs:** *communicates and operates from strong ideals and beliefs about schooling*	There is consensus on reasons for working together – general agreement exists on why the community exists, what can only be accomplished because the members of the community are together as a community, and that they can accomplish what is important to them. The principal promotes cooperation, a sense of well-being, and cohesion among the staff. There is a shared understanding of purpose and a vision of what the school could be like. The principal holds and shares strong beliefs about teaching, learning, and the capability of the community to accomplish specific outcomes. The principal demonstrates behaviors that are consistent with his or her espoused beliefs.
Communication: e*stablishes strong lines of communication with teachers and among students* **Visibility:** *has quality contact and interactions with teachers and students*	There are critical connections among key members of the community – the principal is easily accessible to teachers, other staff, students, and community members. The principal uses systematic and frequent visits to classrooms, within the school, and in the community, to reinforce the importance of learning and the community's capability of accomplishing outcomes that matter.

Leadership responsibilities	Characteristics of purposeful communities
Input: *involves teachers in the design and implementation of important decisions*	Leadership is widely shared throughout the community. Rather than being seen as a position and defined only through positional authority, leadership becomes everyone's responsibility and all community members have opportunities to lead. The principal reinforces this density of leadership by providing opportunities for input on all important decisions. Leadership density is also increased through the development and use of a leadership team.
Relationships: *demonstrates an awareness of the personal aspects of teachers and staff* **Situational awareness:** *is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems*	Consensus is developed on ways of working together. The "ways of working" reflect the "agreed-upon processes" that characterize purposeful communities. These agreements are a product of the human and personal connections created by remaining aware of personal needs, staying informed about significant issues in the lives of community members, and acknowledging significant events in the lives of community members. These connections allow the principal to stay informed about relationships among groups and issues that might not surface on their own. These connections contribute to the ability of the principal to predict what could go wrong from day to day.

Leadership responsibilities	Characteristics of purposeful communities
Affirmation: *recognizes and celebrates school accomplishments and acknowledges failures.*	Attention is given to building on strengths in addition to addressing weaknesses – most communities focus on weaknesses or needs. Productive communities (and organizations) balance their attention on needs or weaknesses with a focus on community strengths and the importance of playing to them. These strengths are among the community's most important assets. The principal systematically and fairly recognizes and celebrates accomplishments of teachers, staff, and students. The principal is also willing to acknowledge failures along with successes. Failures are viewed as learning opportunities. The principal reinforces and builds on the individual strengths of all community members.

Generally, schools serve "accidental" communities (Wagner, 2002). Communities created by political or policy decisions always start as accidental. The nature of how they are created or designated makes them accidental. Members of these communities do not have a common understanding of what they can only accomplish because they are a community. They do not have agreed upon ways of working together. They do not share knowledge of their tangible and intangible assets. They have not developed collective efficacy.

They can, however, be developed into purposeful communities through strong and effective leadership. For this to happen, principals must understand the value and attributes of Purposeful Community, and emphasize leadership responsibilities in ways that contribute to this development. Without Purposeful Community, it is difficult to imagine schools successfully implementing and sustaining the changes necessary to prepare all of their students to live and work in an increasingly competitive, fast-paced global economy. Within a Purposeful Community, it is difficult to imagine anything else.

Conclusion

At no time in recent memory has the need for effective and inspired leadership been more pressing than it is today. With increasing expectations in society and in the workplace for knowledgeable, skilled, responsible citizens, the pressure on schools intensifies. The importance of truly effective educational leadership is clear and the time for improving schools is short. It is our hope that the Balanced Leadership Framework will provide the guidance principals need to enhance effectiveness, translate vision and aspirations into action, and improve achievement for all students.

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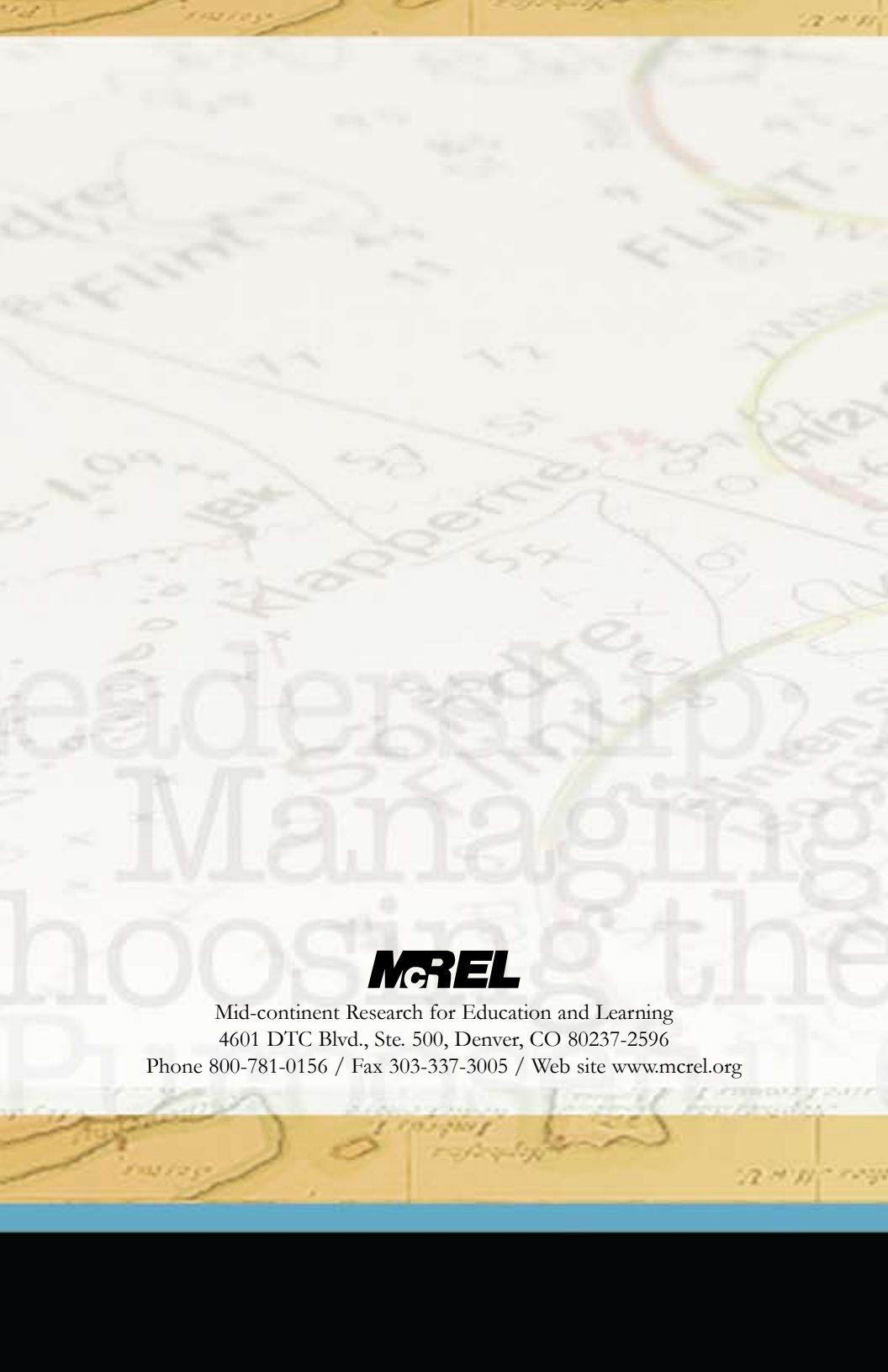## McREL's Balanced Leadership Profile®

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