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UMI
THE DYNAMICS BETWEEN LEADERSHIP AND LEARNING
IN SCHOOL PRINCIPALS

DISSERTATION

Presented in Partial Fulfillment of the Requirements
For the Degree Doctor of Philosophy in Education
In the Graduate School of the Ohio State University

By
Daniel S. Hoffman

*****

The Ohio State University
1999

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ABSTRACT

The purpose of this research is to understand better the dynamic relations between productive learning conditions for principals and the quality of their leadership. A second, more emergent purpose of this study is to describe the tensions when natural learning conditions do not support expected roles of the principal. The desired significance of this dissertation is to assist principals and professional development providers with a better understanding of what constitutes productive learning contexts for principals with diverse personalities. Moreover, this research may support the redefinition of the principal’s role in schools of the 21st century.
DEDICATED

To Peggie, Todd, Trent and Trisha
who supported and sacrificed for
my leadership and learning in adulthood

and

To my parents and grandparents
who supported and sacrificed
for my leadership and learning
in childhood.
ACKNOWLEDGEMENTS

First mention belongs to Dr. Brad Mitchell, professor, advisor, mentor and friend. His encouragement and intellect inspired the pursuit of this work. I consider his affirmations and provocations as essential to my growth and development as a leader and learner.

Also deserving special mention in my growth and development as a leader-learner is Dr. Robert Backoff, Professor, and Dr. Franklin B. Watler, Professor. When I am with them, I realize how much I do not know. Their collective wisdom and consistent encouragement and support allowed an old dog to learn new tricks without feeling threatened.

Special mention also belongs to Dr. Richard Ross. His encouragement and support provided the window of opportunity for new learning.

My gratitude also extends to the four principals in this study. They are special principals and special people. Their sharing, insight and collegiality made this work enjoyable.

Special thanks to Barbara Levak, colleague, friend and editor-in-chief. Her years as an English teacher have served me well both in my principalship and now in this dissertation.

Last but not least, my deepest appreciation is extended to Cathy Weaver, a faithful and talented colleague. Her patience, persistence and expertise were vital to this work.
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CHAPTER 1
INTRODUCTION

Leading and learning have been two of the loves of my life. My professional vita reveals years of leadership experiences, but my love for leadership emerged at a very early age. I can remember, in a grade no later than second, organizing a Texas Ranger walk through the playground that required the formation of a cadenced wedge in which the wings of the wedge would fade off the walk as we proceeded, leaving only a point person at the end. I, at the age of seven or eight, commanded the point position most of the time. This memory is my first recollection of wanting to be in the lead. The memory is followed by dozens of others in my childhood and adolescent years. From basketball captain to quarterback, from student council to senior class president, the school years were rich in leadership experiences. My professional experiences have been similar. As an early career teacher and coach, I thrived on leadership opportunities. My journey in professional leadership included being a lead negotiator for the teachers’ association, a head basketball coach, an athletic director, an assistant principal at a junior high and then at a high school, and a high school principal. Leadership work still remains part of my life as the Executive Director of the Ohio Coalition of Essential Schools and Project Director of the Ohio Principals’ Academy.
Learning has been another love. School was such a comfortable place to be that I made schooling my profession. A pattern of continuous learning can be traced. From high school to college to graduate school, consistent opportunities for new learning have been sought. Now this dissertation represents a conscious convergence of leadership and learning. Based on my lived experiences, I believe that the quality of my leadership is dynamically related to learning conditions that challenge and support the development of my selfhood (Palmer, 1998).

This dissertation also marks the beginning of a new professional journey. My hope is that this study will provoke me to assist in the redefinition of the principalship. The principalship is an embattled if not endangered species (Evans, 1996). I have experienced the battle. Despite a trail of “victories and triumphs,” I grew weary from the work. The energy once gained from victory and the synergy once realized from extraordinary teamwork were no longer evident. Ten years were enough. My story is not atypical for school principals. An exodus to central office, coupled with early and first option retirements, are robbing our schools of years of leadership experience and wisdom. The resulting void in school building leadership is not being filled. Currently, approximately 80,000 public school principals exist in the United States. The Bureau of Labor Statistics estimates a ten percent increase in the need for educational administrators by 2006. The National Association of Elementary School Principals predicts that about 40 percent of their membership will retire in the next decade. Urban, suburban and rural school districts report that the average principalship is attracting ten or fewer candidates as opposed to forty or more a decade ago (Education Week, March 3, 1999).
It is not a secret that very few people are getting in line. Young leadership candidates are watching the principalship with a keen eye and are developing serious reservations about life as a principal. Several times in my role as principal, I was startled by the negative reaction of young teachers with promise of principalship capacity when approached about pursuing administrative certification. I vividly remember one conversation with a very promising administrative candidate who was already fully certified but unwilling to transition from teacher to administrator. His reasons of time demands, stress, pay and family all make better sense to me now.

The story of my own principalship leads me to the desire of contributing to the much-needed and long overdue new definition of the role if we are to attract and keep the kinds of leaders that quality schools demand. In my first three years as a principal, in many ways, I behaved and acted as a traditional principal. The Board of Education hired me to better manage the school and I responded in kind. In the fourth year of my principalship, the work took an exciting turn for the better. In retrospect, the turn was probably a product of at least three forces: a new superintendent; a talented, dedicated but dissatisfied faculty; and my own learning. This turn thrust me into the role of lead learner and I moved into areas of instructional leadership and school reform. Suddenly life as a principal was much more exciting than in my earlier years. Slowly, however, the luster of the new work began to fade. In the beginning, I was not sure of the cause of this fade. Now, reflectively, I know that the shine was still bright, but it was my eyes that were weary. The weight of the traditional roles of the principal had not been lifted as I packed new roles and responsibilities into my work life. The responsibility, the
expectations, the demands and the time seemed as if they had formed four walls of a prison. I had become a prisoner of my own making, constructing and fortifying the walls for a decade. Understandably, when a window opened, I was quick to scoot. These reflections led to the development of an essential intention in my next work: to assist in the redefinition of the principalship so that we can avoid becoming prisoners of our own work.

Recently I shared my reflections about the principalship along with my concerns for the increasingly demanding and dichotomous expectations with nearly 100 principals enrolled in the Ohio Principals’ Academy. The reaction of the principals to my written reflections and oral testimony was intriguing. Nodding heads, intense eye contact, and forward leaning postures allowed me to know that I had struck a familiar chord. The session was followed by words of affirmation and shared experiences. My experiences, feelings, observations and words are not unique with seasoned principals. The increasing demands coupled with the dichotomous nature of traditional role expectations and emerging role expectations, are spreading building principals thinly. So thinly, in fact, that the effectiveness and even the need for principals is being challenged.

The threat to the principalship is real. If those in the field do not become assertive about redefining the role, it will be redefined for them. In Seymour Sarason’s latest work, *How Schools Might Be Governed and Why* (1997), he devotes an entire chapter to the question: are principals necessary? Sarason’s conclusion is not flattering to school principals. After reviewing the perceptions teachers have of principals and of principals’
self-perceptions, Sarason suggests that the notion of the idealistic principal is fading. He
remarks,

I did not decide ahead of time that there would be no principal. I did start
with the conviction that whatever scheme I devised demanded that all
participants shared the same responsibilities, obligations and
accountability. It was their school, their creation, their professional
obligation to sustain. They agreed to be the masters of their own fates, the
captains of their own souls, what a poet once said. That soon forced me
on the recognition that the traditional basis for the role of the principal not
only gave that person more power than anyone else, but, no less important,
the daily activities of the principal remove him or her from the classroom.
one of the crucial places where the relation between rationale and purpose
becomes manifest in practice on the existing system. The principal is an
agent of an administrative superior who is even more removed from the
classroom, a place he or she once knew but has long forgotten. Finally,
the empirical evidence is that principals are managers, not educational
leaders; by virtue of who selects, appoints, and evaluates them the
principal has a dual allegiance: the school and the system. In practice, the
principal is as much, and often less accountable to the one as the other.
which is why as time goes on the idealistic principal slowly but steadily
becomes a more or less passive cog in the system (p. 88).

My lived experience is that the principal is vital to the well-being of teaching and
learning in the school. Yet phrases such as “embattled species,” “prisoners of our own
making” and “passive cogs in the system” do describe the principalship. A serious
examination of traditional and emerging roles and responsibilities of the principal is long
overdue. Good people are leaving the principalship and few are getting in line to take the
jobs. From superintendents, teachers, parents and principals, we hear that it is the most
difficult position in schools today. If the difficulty of the role is commonly
acknowledged, then perhaps so, too, may be the call to rethink the role. In an era of
school reform and revitalization, it appears as if the role of the principal may have missed
the ship.
Research Purpose

The research purpose of this study is two-fold. The first purpose is to understand better the learning conditions of four human dynamic personality types identified by Sandra Seagal and David Horne (Human Dynamics, 1997) as they appear in the leadership and learning dynamics of four school principals.

Analyses of interviews, administrative portfolios and videotapes of workspace contents will confirm or disconfirm the presence of identified learning conditions in each of the principals selected for this study, each of whom represents one of Seagal and Horne's four basic human dynamic personality types.

A second, more emergent purpose of this research is to identify potential tensions that may arise in the leadership and learning dynamics when leadership qualities and learning conditions interact. Each dynamic type has unique needs and characteristics that may create unique tensions within types in the role of the principal.

Research Questions

Two research questions guide this study:

1. How are the personal learning conditions for each human dynamic type, as identified by Seagal and Horne, present or not present in the lives of four school principals?

2. What tensions emerge between the learning and leadership needs and characteristics of each human dynamic type and the leadership role of the school principal?
On Defining Learning

My preferred definition of learning has Piagetian roots. In my teacher preparation studies, one quote from Jean Piaget's work framed my belief system as a teacher and principal. Piaget said:

The principal goal of education is to create men who are capable of doing new things, not simply repeating what past generations have done - men who are creative, inventive, and discoverers. The second goal of education is to form minds that can be critical, can verify and not accept everything they are offered. (1964, p. 5)

Piaget defines intellectual growth through the twin processes of intellectual assimilation and intellectual accommodation. The application of past experience to the present is assimilation; the adjustment of that experience to take account of the present is accommodation. The concordance between these two acts is intellectual growth or learning, and he wrote extensively regarding the power and necessity of such experiential learning. By his definition, the learner must interact with the object or subject in order to assimilate a new experience into the already known. This act of assimilation of new experiences to a place of accommodation in the intellect is learning.

Although Piaget preferred not to be labeled a "pedagogue," one of his later works, Science of Education and Psychology of the Child (1970), has much to offer to pedagogy. Piaget spoke of teachers who taught children, not subjects. He stated that children learn best when they are active and spontaneous and believed that much of our knowledge must be experienced to be learned. He called for teachers who understand the importance of seeing the child's point of view and who also understand that each child learns at
his/her own rate in pursuit of his/her own interests. Teachers, he remarked, should be facilitators for discovery rather than dispensers of knowledge.

Piaget's wisdom has influenced my career as an educator and now influences my approach to this research. This research, inspired by my interest in Piagetian learning and school leadership, is embedded in a project, the Ohio Principals' Academy, which is fundamentally a Piagetian approach with adult learners. The instructional team of the Ohio Principals' Academy considers their roles to be facilitators and provocateurs and their primary role has been to plan and facilitate experiences that allow school principals to assimilate and accommodate new knowledge.

The principals selected for this study, all of whom participated in the Principals' Academy promised information-rich cases around leadership and learning. These four principals were selected from nearly fifty candidates based on their individual responses to questions regarding the reciprocity of their learning to their leadership. Each of these principals demonstrates an interest in and attendance to his/her own learning and how such learning impacts their leadership. Likewise, each of these principals also tell stories of the transition of acts of leadership to acts of learning. These stories of assimilation and accommodation provide a compatible starting point to conduct a study seeking both insight into how principals learn and a better understanding of the reciprocity between leadership and learning.

On Defining Leadership

An extensive review of the definitions of leadership is presented by Joseph Rost in Leadership for the Twenty-First Century (1991). He begins with a rather historical
analysis of leadership definitions as presented in dictionaries. His earliest finding of any reference to a leadership definition is in the work of Englishman Cundy in 1694. However, Samuel Johnson (1755) was one of the first to actually use the word "lead" in a dictionary. By 1818, Webster's American edition had thirteen definitions of the word "lead." The Oxford English Dictionary (1933) had six pages of definitions of the words lead, leader, and leading. However, the same edition describes leadership in two lines: "The dignity, office, or position of a leader; also, ability to lead." Interestingly, the word "leadership" does not appear in Webster's International Edition until 1965. Webster's definition includes the two common elements found in most dictionary definitions of this century: (1) the office or position of leader and (2) the ability to lead. From this review of dictionary definitions, Rost arrives at several conclusions.

First, he reminds us that leadership is a twentieth century term that has been inappropriately used in a historical sense. He asserts that our use of the word in prior centuries and civilizations confuses the definition. Secondly, he believes that dictionary definitions have been, and continue to be, oversimplified. He notes that this oversimplification continues erroneously to make management and leadership synonymous terms in our world. Another error that Rost identifies is that because the definitions couple the "position" with the "ability," leadership definitions ignore the relationships of leader and followers. A final misgiving is that dictionary definitions tend to assure that leadership is a "bundle of traits," probably reflective of the predominant leadership theory during the surfacing of the word.
Rost's review of dictionary definitions is just a beginning. He proceeds to analyze 221 definitions that are found in 587 books and articles dealing with leadership. Herein lies the purpose of this section of this dissertation. If one is to enter a study of any facet of leadership, then perhaps a definition of leadership should be presented. Rost finds that more authors than not proceed with their research and writing about leadership without a definition of leadership. Rost refuses to include any of the works without definition in his review. In fact, he uses the word "scandal" in referring to the absence of a definition of the word "leadership" in any research of leadership. Rost's words, his thorough review of scholarly definition, and the prompting of others who are supporting this doctoral research ignite the need to provide a context for the study of leadership and learning by first developing a definition of leadership.

Rost's thorough review of names such as Gibb, Stogdill, Bass, Lasswell, Jacobs, Hunt, and Burns as a foundation for more contemporary thinking. This review and Rost's subsequent definition inspired consideration for the development of a definition for this work. The Rost definition is that "leadership is an influence relationship among leaders and followers who intend real changes that reflect mutual purposes" (p. 102). He proceeds to a conversation around essential elements in leadership. This conversation and many others that preceded it have influenced the following definition of leadership.

Leadership is a set of shared elements between leaders and followers. Those elements are essential intentions, essential accountability, essential relationships, essential conditions and essential affirmations and provocations. This list derives from both the richness of leadership research literature and the richness of conversations from
a contemporary “think tank” of trusted colleagues who collaboratively plan professional
development and growth opportunities for Ohio principals.

Essential intentions refer to the aims or goals of the organization. Leadership is
creating shared intentions within that organization. Those intentions may be designed
and articulated by the leader in such a persuasive way that the followers would share the
intention. Shared intentions might also derive from the followership. Leadership is
careful listening and a leader may learn of essential intentions through careful listening
within the organization. The origin of the intention is not as important as that it is a
shared intention grounded in sound moral and ethical thought and behavior.

Leadership is developing a shared sense of meaningful and appropriate
accountability measures which need to correspond directly with the organization’s
relationship to essential aims. Leadership is articulating those internal and external
accountability measures to the organization’s aims. All of this, of course, affects
relationships and conditions.

Essential relationships in an organization support both individual and group
competency and creativity. Leadership is creating caring, nurturing, supportive, trusting
and challenging relationships for all in the organization. The key term here is mutuality.
The caring, respecting, nurturing, supporting and challenging must be mutual between
leaders and followers.

Leadership is also creating essential conditions that are conducive to supporting
all in the organization both to work at their fullest capacity while simultaneously
increasing their capacity. Conditions which simultaneously allow top performance and
individual growth are necessary conditions. A leader’s basic understanding of the hierarchy of needs will facilitate the necessary conversations, decisions and actions to create those essential conditions. Parker Palmer’s language about a space that should be “both hospitable but charged” describes the aura created by essential conditions.

And finally, leadership is the timely and appropriate issuance of both affirmations and provocations within the organization. Affirmations are the acknowledgement and celebration of effective work. Through affirmation, leaders can encourage best practices which produce best work. Provocation is a Latin derivative meaning “to call forth.” Provocations are intended to arouse others both emotionally and intellectually. Through provocations, leaders can question practices and work that are not of highest quality. Just as with the other elements, affirmations and provocations need not always originate with the leader. Once again, a leader who is a careful listener will hear both affirming and provoking words from others. Reciprocity exists between affirmations and provocations. Affirmations without provocations create a false sense of security and diminishes the will to grow and learn. Provocations without affirmations become agitations and create a sense of insecurity coupled with the loss of hope.

In review, for the purposes of this study, leadership is defined as a set of shared elements that are both mutual and reciprocal between leaders and followers. Those shared elements are intentions, accountability, relations, conditions, and affirmations and provocations. This broad definition provides a context and develops a common language for examining the previously posed research questions.
Significance of the Study

The new expectations of the role, coupled with the retention of traditional expectations, make the work nearly impossible. The complexity of the principalship is caused by the many demands from multiple audiences that require principals to fulfill simultaneous but, often, incompatible roles (Lipham and Hoeh, 1974). The wearing of many hats at once competes with thoughtful, well-planned use of time. The principalship is fast-paced, involving significant interpersonal contact which is more unplanned than planned (Leithwood, 1992).

In the chaos of increasing demands, incompatible roles, and a hectic pace lies an opportunity to redefine the role of the principal in the school culture. The forces at work on schools to change provide an impetus for new learning and new thinking about the role of the principal. This study will build upon existing research of human dynamic types created by Seagal and Horne (Human Dynamics, 1997). The optimum learning conditions for each personality described by these researchers will frame four case studies of four practicing school principals with four different human dynamic types. The hope of the study is that new understandings about principals' learning will assist in the design of more productive learning contexts for principals with different personality types.

Becoming smarter about the learning of principals is vitally important. In most schools, principals can be found at the top of the organizational chart but at the bottom of the learning hierarchy. Traditional expectations from others and self-imposed blockades from principals themselves (Barth, 1996) have undermined principal-as-learner
initiatives. The answer to moving principals off the "embattled if not endangered" list is not an external one. The answer must come from within. Principals, through their own learning, must reflect, review, sense-make and revise the role of the principal for the 21st century.

Limitations of the Study

The limits of this study are embedded in two issues. Leadership and learning are both highly complex phenomena that are interactive with a variety of contents, contexts, and processes. The complexity of leadership alone has confounded researchers. Warren Bennis (1959) remarked that probably more has been written and less is known about leadership than any other topic in the behavioral sciences.

A second limit is the lack of generalization associated with a small purposive sample. The stories of four principals, coupled with my own reflections, do not represent a sweeping analysis of the learning conditions and behaviors of principals in general. However, information-rich cases, when carefully investigated and constructed, have much to offer (Patton, 1990). These cases promise to be information-rich. Each of these principals is a successful leader-learner. They were selected from videotaped sessions of nearly fifty principals around discussions about the relationship of leadership and learning in the principalship. The discussion groups were organized by human dynamic type and the videotapes were reviewed to assist in selecting principals that demonstrated clear characteristics of each type.
Summary and Overview

Chapter One includes the research purpose, the research questions, the definition of leadership, significance of the study and the limitations of the study. The second chapter will be a review of literature on leader-as-learner. Chapter Three discusses the methodology including the paradigm choice, the pilot work, subject selections, data collection, data analysis techniques and trustworthiness.

The fourth chapter is an analysis of the data from four data source perspectives: interviews with the principals, interviews with their peer groups, a videotape of their workspaces and analyses of their administrative portfolio documentation in the Ohio Principals’ Academy. The final chapter will discuss findings and include implications for principals and providers of professional development and implications for further research.
CHAPTER 2
REVIEW OF THE LITERATURE

The literature review in this chapter is organized into three related but distinct sections. The first section is dedicated to a review of leadership models that have incrementally advanced our understanding of leadership. Although this review acknowledges the complexity of leadership and the existence of many unanswered questions, the review also acknowledges the work of scholars who have brought insight and provoked further study on the concept of leadership.

The second section of the review of literature was formulated during the exploratory phase of this research proposal. This section relates to the search for the dynamic relationships between leadership and learning. The literature review in this section is organized around four themes related to the concept of leader-as-learner.

Those themes are:

1. the need and importance of developing leaders-as-learners;
2. the changing view of the principalship;
3. the conditions that inhibit leaders-as-learners; and
4. the conditions that facilitate the leaders-as-learners.

The third section of literature review in this chapter provides transition to the next chapter on methodology. This qualitative research study relies heavily on the work of Sandra Seagal and David Horne’s Human Dynamics (1997). This section provides the
background and logic for the use of Human Dynamics patterns in this research study.

Leadership Models

A rich body of literature exists on the study of leadership for the first half of this century. Many standard works provide solid historical grounding for the study of the complex phenomenon of leadership. Wexley and Yukl (1984), Vroom and Jago (1988), Bass (1990) and Hunt (1991) are just a few. Schweiger and Leana (1986) conducted an extensive review of the existing research on leadership and leadership behavior and they declare only one conclusion certain: that no single approach could effectively be employed with the vast variance of followers, activities and situations.

Having acknowledged that reliance on a single model of leadership is ill-advised, several models and theories that have emerged from the work of scholars in the last several decades still remain and are worthy of review in any contemporary study of leadership. A brief analysis of some of the better-known theories and models is presented.

Contingency or situational theories offer interesting perspectives to any inquiry about the complexities of leadership. Fiedler (1967) developed a contingency theory that clearly articulates that leadership may be a product of at least three components: the leader, the led, and the situation in which they all function. Fiedler's contingency model states:

The group's performance will be contingent upon the appropriate matching of leadership style and degree of favorableness of the group situation for the leader, that is, the degree to which the situation provides the leader with influence over his group members. The model suggests
that group performance can be improved either by modifying the leader’s style or by modifying the group-task situation (p. 262).

Fiedler developed a bipolar scale of adjectives that were used to develop a “least-preferred co-worker” (LPC) scale. Those who described their LPC in unfavorable terms were labeled “task-oriented.” Those that described their LPC in favorable terms were labeled “relationship-oriented.” Fiedler describes the task-oriented leaders as autocratic and the relationship-oriented leaders as participative. Over time, subsequent studies produced many puzzling inconsistencies that led Fiedler to classifying situations through the examination of three elements in a situation:

1. leader-member relations,
2. task structure, and
3. leader position power.

Leader-member relationships are most favorable when a relationship of trust exists. Trust instills willingness on the part of group members to follow the leader. Task structure is most favorable when leaders and followers know exactly what to do and how to do it. The task can be either complex or simple, but the procedures to do the work must be clear and the required abilities to do the work must reside within the group. Highly structured tasks create a more favorable situation for the leader. The term “leader position power” refers to the formal power of the leader in the organization. The freedom to hire, to fire, to reward and to discipline are aspects of this element. The stronger the position power, the more favorable situation for the leader. Fiedler argues that leader effectiveness and thus group performance depend on the nature of the interaction of the leadership style and the situation favorableness.
Despite years of research, the evidence on contingency theory remains contradictory. Some researchers reason that only laboratory-based studies have suggested this theory and that field-based studies often produce contradictory evidence. They also challenge the construct validity of the scale created by the least-preferred co-workers concept.

Hersey and Blanchard (1982) expounded on Fielder's work by adding a maturity variable to the situation theory. They believe that the responsiveness of followers is related to their maturity defined as the readiness to tackle the task facing the group. Trust and capacity to do the work were also factors in readiness.

Hersey and Blanchard posit four leadership behaviors: telling, selling, participating and delegating. They contend that these behaviors are leadership strategies on a continuum with the maturity level of the followers. In short, low maturity level followers need telling and high maturity level followers can handle delegation. Both the nature of the task and the subordinate's level of maturity should be assessed by the leader before determining the appropriate leadership model. This model could be helpful to practitioners, but most researchers believe that this model has not acquired a sufficient research base.

A leadership model, however, that does have wide exposure to practitioners is the Vroom-Jago leadership model. Building upon earlier work by Vroom and Yelton (19873), Vroom and Jago (1988) have developed a model to assist principals with decision-making. The model is designed to assist leaders in making rational choices among alternative decision processes to reach a decision that is both good and feasible.
The authors developed a taxonomy of five decision options that confront work groups. Two alternatives are autocratic, two are consultative and one is consensus.

The most important role of the leader in this model is to diagnose correctly the nature of the problem and to assess the best decision process to resolve the problem. The leader must make decisions about the group's expertise and commitment along with the relevance of the issue to their work and well being. Factors such as the press for time are also considered. Even though the Vroom-Jago model is narrowly focused on decision-making, the model provides practitioners with a routine to consider the process of making a decision when confronted with a complex issue. At the very least, this model reduces the choices for a bad decision and encourages the involvement of others in the decision.

The path-goal theory is another situational theory, but the focus is on an end product or a goal attainment rather than on such elements as task specificity or group maturity. The emphasis is on how leaders can influence followers' perceptions of their work, their own personal goals and the various paths available to attain the goals.

This theory, built on the earlier works of Evans (1970) and House (1971), has two major postulates. First is that followers will accept a leader's behavior when they perceive that behavior to be either an immediate or future source of satisfaction. Secondly, the leader's behavior will be accepted if the followers perceive the leader as assisting them to higher levels of performance. Leader behavior in this model is characterized in one of four ways: directive, supportive, participative, or achievement-oriented. Each of these behaviors is appropriate under certain conditions and thus its link to other contingency theories.
According to the path-goal theory, the effect of leadership actions on motivation, satisfaction and goal attainment depends on the situation. The characteristics of the followers and the environment determine both the potentials for increased worker motivation and the way in which a leader must act. Siegel and Lane (1987) describe the implications of path-goal theory for leaders. They assert that effective leaders:

1. ascertain follower needs and structure outcomes in order to satisfy those needs,
2. remove obstacles which are preventing followers from meeting their goals,
3. coach and counsel followers individually, and
4. reward followers for attaining their goals.

Although path-goal theory seems intuitively sound and logical, there remains a lack of personal research on the model.

Another theory with a long history of research is the trait theory of leadership that suggests that leaders share certain traits. The research has been bountiful and such traits as intelligence, self-confidence and high-energy have been identified again and again. In a review of trait research, House and Baetz (Shaw, 1979) arrive at three conclusions:

1. interpersonal skills are important to leaders,
2. dominance and drive are important to leaders, and
3. a need for achievement and a desire to excel are important to leaders.

Ten years later, Warren Bennis (1989) published this list of traits for leaders:

1. leaders have a strong vision of where the organization needs to go and a strong orientation to established outcomes,
2. leaders are able to communicate this vision to others, often through the use of metaphors,
3. leaders are persistent,
4. leaders know their organizations and find ways and means to remove obstacles, and
5. Leaders empower others and create an environment in which workers strive for excellence (p. 85).

His list supports the findings of House, Baetz and others who were constructing similar lists from their own research findings.

Also contributing to trait theory research is Maccoby’s work (1981). Maccoby, in a study of six leaders, found common personality traits such as intelligence, ambition, will and optimism. He also found that the leaders are persuasive communicators. In addition to affirming these traits, Maccoby notes three new qualities. He states that all six of the leaders have a caring, respectful and responsible attitude towards others; are flexible with people and within the organizational structure; and have a participative approach to management with a willingness to share power.

In addition to these mainstream theories, a number of alternative leadership theories have emerged in the past several decades. Perhaps the most notable of the lot is James MacGregor Burns’ transactional and transformational leadership. Burns’ fame among alternative leadership scholars is largely due to the ethical and moral dimension of leadership that rests in his transformational leadership theory. Although earlier scholars have included values in leadership theories, Burns is explicit about the need for leaders to be working for the good of the whole and that followers intrinsically value the work in the organization. He distinguishes the transactional leader from the transformational leader. A transactional leader is a manager-maintainer who leads well in a stable organization. A transformational leader, on the other hand, is constantly mapping new directions, securing and mobilizing old and new resources, and responding to present
challenges and future projections. The transformational leader assumes that change is inevitable and good.

Burns' thinking is challenging to the mainstream scholars, and his work is considered radical in some quarters. Nonetheless, Burns' work opened the door for alternative thinking on leadership theory. Dubin, Mintzberg, Peters and Waterman, and others began to publish against the mainstream (Rost, 1991). Today, leadership study continues to move into new frontiers with contemporary scholars. Leading the paradigm shift are Thomas Sergiovanni, Seymour B. Sarason, Roland Barth, Lee Bolman, Terrance Deal, Margaret Wheatley, Peter Block, John Kotter and Parker J. Palmer to name a few.

Despite our human interest in leadership theory, this review of literature on leadership reveals the complexity and uncertainty of leadership study. In 1959, Warren Bennis wrote:

> Of all the hazy and confounding areas in social psychology, leadership theory undoubtedly contends for top nomination (p.259).

Hazy and confounding seem to remain appropriate adjectives for the complex phenomenon of leadership.

**Leadership and Learning**

The literature review in this section is organized around four themes related to leader-as-learner:

1. the changing view of the principalship,
2. the need and importance of developing leaders-as-learners,
3. the conditions that facilitate the leaders-as-learners, and
4. the conditions that inhibit leaders-as-learners.
The Changing View of the Principalship

The struggle to find resources may be infinite unless a new perspective of the role of the principal is accepted. Time to learn, although important, will not alone make a learning organization. Creating a learning organization demands a new view of leadership. Peter Senge, in his popular *The Fifth Discipline: The Art and Practice of the Learning Organization* (1990) states,

Our traditional views of leaders - as special people who set the direction, make the key decisions, and energize the troops —are deeply rooted in an individualistic and non-systemic worldview . . . The new view of leadership in learning organizations centers on subtle and more important tasks. In a learning organization, leaders are designers, stewards and teachers. They are responsible for building organizations where people continually expand their capabilities to understand complexity, clarify vision, and improve shared mental models--that is--they are responsible for learning (p. 340).

He describes the new view as more subtle: a move from setting directions, making decisions and energizing to designing, teaching and stewarding. Principals focused on stewarding schools as learning organizations has powerful implications.

Stewardship is a term also used by Sergiovanni (1992). He contends that morally based leadership is a form of stewardship which touches people differently, appeals to their values and taps their emotions. Peter Block (1993) further examines the notion of stewardship. In his work, Block identifies nine compelling principles of stewardship:

- maximizing the choices closest to the work,
- reintegrating managing and doing the work,
- allowing measurements to serve workers,
- yielding on consistency across groups,
- being service-oriented,
- de-glorifying tasks and de-mystifying functions,
- ending secrecy,
• seeking commitment, and
• re-distributing wealth (p.64-67).

Block’s list extends beyond issues of learning, but his basic contention that leadership become more service-oriented is sage advice for principals. A service-minded orientation, coupled with renewed commitments to their own learning, can be powerful in improving the lot of principals.

Encouraging words of a new commitment to the importance of the principal’s own learning was recently published in an important document for secondary principals entitled *Breaking Ranks: Changing American Institutions* (1996). In a partnership with the Carnegie Foundation for the Advancement of Teaching, the National Association of Secondary School Principals (NASSP) studied the high school as an institution with particular interest in the role of the principal. The NASSP offered the best thinking of experienced principals while Carnegie provided a rich array of scholarly research dating decades about the issues of teaching and learning. In the report, teachers, administrators and other educators were encouraged to make their own learning an integral part of their professional role. Each educator, including the principal, is charged with developing his/her own Personal Learning Plan. Specifically the report states,

> The principal of a high school, as a model for the staff, will pursue his or her ongoing professional growth while helping to lead the professional development for the entire school (*Breaking Ranks*, p. 22).

A recent study conducted by Fred Newman and Associates affirms that schools that are most effective are developing a sense of professional community by working with teachers to stimulate the intellectual inquiry in the school (Newman, et al, 1996).
Stimulating intellectual inquiry and providing stewardship to the learning organization provide a new view and new hope for the principalship.

The Need and Importance of Developing Leaders as Learners

To create and sustain for children the conditions for productive growth without those conditions existing for educators is virtually impossible (Sarason, 1990, p. 147).

Clearly, the primary purpose of school should be centered on student learning. This focus is a basic premise that, nonetheless, needs constant vigilance. Evidence of this reminder appears in virtually every educational reform movement in America today. Howard Gardner would define the focus through multiple intelligences; Ted Sizer would frame the message around having students use their minds well; and James Comer would remind us to attend to the social, psychological and physical needs of the child in concert with a focus on student learning. A great deal of research has been conducted on the variables, processes and contexts that promote or inhibit student learning. Yet, there is little research on the relationship between how principals learn and the quality of schools and schooling.

Seymour Sarason’s (1990) research offers some help. If the school is to be a learning organization, then all of its members must be learners. Sarason pins conditions for growth in students to the conditions for growth in the adults of the school. His reasoning has ample support in the literature.

However, before reviewing supportive literature, a quick introduction to the sense of urgency on this issue is warranted. Principals, for the most part, are not prioritizing resources for their own learning. Parallel studies by Richard Gorton and Kenneth
McIntyre (1978) and by Lloyd McCleary and Scott Thomson (1979) examine the rankings of the ideal and the actual allocation of time by high school principals. The first study is of principals deemed effective and the alarming finding is that the principals rank their own professional development as the eighth priority in nine task area choices (Sergiovanni, 1987). The second study is of randomly selected principals. In this study, principals rank their own professional development as sixth, but their actual time allocated to professional development activities rank ninth (Sergiovanni, 1987).

Although these two studies are nearly twenty years old, it appears that the mindset of principals has not dramatically changed. Last year, upon completing a four-year program to promote leadership and learning among New Jersey principals, Roland Barth lists the impediments to a principal’s learning and states that, collectively, they have an especially “chilling effect” on the capacity of the school principal to be a leader-learner. He notes that very few principals have reputations as learners and that one staff developer had deemed that “principals aren’t educable” (Education Week, March 5, 1997). The specific impediments to the principal’s learning will be further examined later in this chapter. With the need established, let us return to the importance of the principal-as-learner that Sarason has staged.

Working specifically with principal centers, Roland Barth’s experience as a public school principal and as a senior lecturer with Harvard allows the development of multiple perspectives about this issue. In his work, Improving Schools From Within (1991), he describes the principal’s personal and professional learning as the invigorating antidote to both the debilitating demands of the job and a major resource in building a
community of learners. Barth suggests that perhaps the most powerful reason that
principals should be learners is the extraordinary influences of modeling behavior. He
states,

Do as I do, as well as I say, is a winning formula. If principals want
students and teachers to take learning seriously, if they are interested in
building a community of learners, they must not only be head teachers,
head masters of instructional leaders, they must, above all, be head

Although acknowledging impediments to the principal-as-learner, Barth also
gives hope on this issue. He shares that when he worked with 28 outstanding principals
in the Boston area to design a Principals’ Center, of common ground to all 28 principals
was a vital interest in their own professional development and in the professional
development of their colleagues.

In Moral Leadership (1992), Thomas Sergiovanni proposes that leaders act upon
what is morally right. He believes that adult learning in a school is not only right but
critically important. Using the term “virtuous school,” Sergiovanni’s first characteristics
listed in the covenant of a virtuous school are centered on the development of a learning
community with overt attention to the learning of the adults within the school
community. He notes,

The virtuous school believes that to reach its full potential in helping
students learn, it must become a learning community in and of itself. It is
therefore committed to a spirit of curiosity, inquiry and reflection that
touches adults and students alike (p. 112).

Robert Quinn, a University of Michigan professor of organizational behavior,
provides ample support for leaders-as-learners from beyond the ranks of education. He
observes that there is an important link between deep change at the personal level and
deep change at the organizational level. He argues that the personal change can only occur through new learning and a willingness to “journey into unknown territory and confront wicked problems we encounter” (1996). Quinn stresses the need for leaders to learn about themselves first. In presenting an agenda for self-improvement, he suggests that leaders learn about themselves first in each role identified in his competing values model. Those roles are innovator, coordinator, broker, monitor, producer, facilitator, director, and mentor (1988). His logic is that we must assess and understand ourselves in these roles in order to lead effectively.

Quinn’s competing values model extends the work of Barnard’s (1938) logical and non-logical processes, Burn’s (1960) Theory X and Theory Y and Burn’s (1978) transactional and transformational leadership. Perhaps the best known work in dichotomous leadership theory is Burn’s (1960) Theory X and Theory Y. He identified two orientations. The first assures that people are interested primarily in security and have little ambition or desire for responsibility. The second assumes that people are interested in self-direction and self-control in pursuit of goals to which they are committed. Burn’s presents these two views as either-or. Likewise, Burns (1978) also presented a clearly differentiated model with his presentation of transactional and transformational leadership. Burns viewed transaction and transformation as polar ends of a continuum. There are several advantages to Quinn’s competing values framework that are not available in earlier models. Most importantly, the model does not demand either-or thinking but rather promotes both-and thinking. The nature of the model demands paradoxical thinking that is so important to self-understanding (Palmer, 1998).
This model also recognizes leadership style as dynamic and changing. In short, Quinn's model of competing values may be one of the most useful contemporary models for developing self-awareness in leaders.

Other leadership literature supports leaders attending to their own development. Warren Bennis and Burt Nanus (1985), in their dialogue about leadership and management, promote self-understanding as a key leadership component. In speaking of managing non-profit organizations, Peter Drucker (1990) states that "paying serious attention to self-development -- your own and everyone in the organization -- is not a luxury for non-profit executives" (p. 189). Stephen Covey, a current leadership guru, introduces continuous learning as the first characteristic of principle-centered learning. He observes,

Principle-centered people are constantly educated by their experiences. They read, they seek training, they take classes, they listen to others, they learn through both their ears and their eyes. They are curious, always asking questions. They continually expand their competence, their ability to do things. They develop new skills, new interests. They discover that the more they know, the more they realize that they don't know; that as their circle of knowledge grows, so does its outside edge of ignorance. Most of this learning and growth energy is self-initiated and feeds upon itself (1990, p. 33).

Quinn is convinced that transformational leadership can be learned. He denounces transformational leadership abilities as a gift or an intuition. In fact, he states the opposite is nearer the truth:

One is more likely to 'capture the moment' when everything one learned is readily available . . . Perhaps it is our training in linear cause-and-effect thinking and the neglect of our capacities for imagery that makes us so often unable to see the multiple potential of the moment. Entering the situation blank is not the answer. One needs to have as many frameworks

If leadership skills can be learned and if human beings have a natural lust for learning (Senge, 1990), then principals not garnering resources for their own learning makes little sense and creates a confounding condition in the quest to improve public schools.

**Conditions That Facilitate Leader Learning**

Listening with an open mind, trying new things, reflecting honestly on successes and failures—none of these require a high I.Q., an MBA degree, or a privileged background. Yet remarkably few people behave in these ways today, especially after the age of thirty-five and especially when they are already doing well in their careers (Kotter, 1996, p. 180).

The literature reveals at least five interactive, connected conditions that facilitate learning for leaders:

1. having the capacity, desire, and time to be reflective,
2. being a good listener and open to the ideas of others,
3. being in collegial relationships,
4. being willing to take risks, and
5. identifying purposes and passions that allow the learning to become intrinsically rewarding.

Being a reflective practitioner is an initial step in the learning process for leaders. To have the capacity and desire to be reflective and then to prioritize the time for reflection are essential. The literature review supports the concept of self-reflection using a variety of names: gaining self-knowledge (Bennis and Nanus, 1985); learning about yourself (Quinn, 1988); personal mastery (Senge, 1990); knowledge from within (Block, 1993); seek first to understand, then to be understood (Covey, 1989); and reflecting honestly on one's successes and failures (Kotter, 1996).
Howard Gardner, in *Leading Minds: An Anatomy of Leadership* (1995), describes the leader’s need to determine a certain rhythm of life. He notes,

... the leader must know her own mind, including her own changing thoughts, values and strategies. For that reason, it is important that the leader find the time and the means for reflecting, for assuring distance from the battle or the mission (p. 36).

Gardner’s studies of developed leaders find that although leaders are often immersed in crowds, they also find time to “go to the mountaintop” to seek periods of isolation for reflective practice. Barth uses a different metaphor. He describes school as a ballroom dance floor on which the principal must dance but must also occasionally retreat to the balcony to observe the flow and ebb of the dance. Warren Bennis describes this reflective process as having a Socratic dialogue with oneself: asking the right questions, at the right time in order to discover one’s own truth (1989).

Learning from others is also an important mark of a leader-learner. Leaders and followers must design their organizations and relationships around common values (Gardner, 1995). Common understanding can only occur when good listening is being practiced (Bennis, 1989). John Kotter also lists careful listening or a propensity to listen to others as one of his five most important mental habits that support lifelong learning (1996).

The conditions that facilitate leaders’ learning are interconnected. Being a good listener and promoting good communications have a natural relationship with building a sense of collegiality in an organization. In Roland Barth’s work with principals, he observes,
Most came to realize that isolation and competition are inhospitable to learning. That talking about practice, observing one another engaged in practice, sharing craft knowledge with one another and helping others become better at what they want to become better at, all serve to push learning to new heights (1996, p. 19).

Although this level of collegiality is from principal to principal, Barth has long been a proponent of collegial relations for all in the schools. He describes good teacher-principal relationships as being helpful, supportive, trusting, and revealing of craft knowledge. If teacher-principal relationships are suspicious, guarded, distant, judgmental or adversarial, then so will be the tone of the school. The collegiality between the principal and the teachers has a profound impact on all other relationships in the school, including the willingness to share knowledge and learn together (Barth, 1990).

Collegial relationships allow shared learning that can, in turn, lead to common understandings and purpose. Senge (1990) devotes an entire chapter to “team learning” as a means of developing shared visions. He credits the ability to dialogue and discuss as basic to creating an atmosphere of team learning and a sense of collective vision. A guiding coalition (Kotter, 1996) can be developed to move schools through an improvement process.

A second distinct advantage of collegial relationships in a school is that it allows risk-taking. The willingness as a leader to take risks is essential to new learning. Leaders who want to learn must be willing to take risks, to try new things, to experiment without fear of failure; understanding that a mistake can be a learning opportunity (Bennis, 1985), they actually embrace error.

This leaving of one’s comfort zone is basic to leadership and new learning
Margaret Wheatley, in *Leadership and the New Science* (1992), advocates seeking surprise. She writes,

> Were we to become truly good scientists of our craft, we would seek out surprises, relishing the unpredictable when it finally decided to reveal itself to us. Surprise is the only route to discovery, the only path we can take if we’re to search out the important principles that can improve our work. The dance of this universe extends to all the relationships we have. Knowing the steps ahead of time is not important; being willing to emerge with the mission and move freely onto the dance floor is what is key (p. 142-143).

She observes that good leaders are able to transform from control to order. The new leader will be able to understand the order of the dance without controlling every note of music or movement of step.

Barth observes, in his Dodge Foundation work with principals, that the learning curve is steepest when principals are “out on the limb” (1996). He also notices that when the principal’s risk-taking and new learning are visible, an unusual accountability develops creating an extra incentive for the learning.

A final condition that facilitates leader-as-learner behavior is that the learning be intrinsically rewarding. Motivating leaders to learn through external measures creates extrinsic, short-term gains with a very calculated and limited investment by the learner. Rewarding what gets done is stifling to individual and organizational learning. However, if we follow Sergiovanni’s rule that what is rewarding gets done, then we can assume that the intrinsic value of learning will promote life-long learning for leaders (Senge, 1990; Sergiovanni, 1992). Transformational leadership derives from intrinsic and internal forces. Quinn speaks of visionary leadership as being internally driven, full of self-
determination, self-authorization and self-choice in one’s own learning (1996). Gardner notices that visionary leaders are able to embody their own stories in the creation of new stories that resonate with their followership (1995).

Roland Barth also believes that principals can learn best when they craft their own stories or create their own knowledge. He observes that people learn best when they construct their own knowledge rather than passively absorbing the expertise of someone else (1996). Constructing knowledge and creating new knowledge are supported in the literature. Quinn’s model challenges effective leaders and learning organizations to develop new strategies and begin to identify new cues in those new strategies. In effect, the leaders and the organization co-create new knowledge. Supporting literature for the learning organization’s value of creating new knowledge is found in the work of Ikuijro Nonaka and Hirotaka Takeuchi. (1995). They present the power of knowledge creation versus knowledge acquisition. Mere acquisition of knowledge does not necessarily engage action whereas the creation of knowledge is dynamic. They contend that new knowledge provides the fuel for innovative activities and often triggers a sense of urgency within organizations and that sense of urgency can stimulate creative chaos. This need for a sense of urgency to make change is supported by John Kotter (1996). Nonaka and Takeuchi’s thinking on knowledge and innovation from creative chaos is eloquently presented by Wheatley in her sixth chapter, “The Creative Energy of the University--Information” (1992). In that chapter, Wheatley describes the perennial organizational frustration of attempting to manage information. Her point is that information cannot be managed. We expect information to be usable, stable and
controllable when, in fact, it is dynamic, changing and self-generating. The good news is that learning organizations allow free and open flow of information which, in turn, allow the organizations to improve themselves. New information and informative feedback are healthy to organizational growth. These conditions have a better chance to exist in schools where the principal is a learner.

The power of principals controlling their own learning and constructing their own knowledge can have powerful implications for school change. Collectively, the conditions that facilitate the principal-as-learner seem simple, yet widespread evidence of principals-as-learners does not exist. Perhaps it is because the inhibiting influences of principal-as-learner are stronger than the facilitating forces.

**Conditions That Inhibit Leader Learning**

In Barth’s address to the Dodge Foundation, he identifies five impediments to educators becoming learners: lack of time, “past baggage” regarding staff development, a Calvinist attitude about investing time and resources towards one’s own learning, poor rewards system and the risks of visibility. All act as potential inhibitors for a principal’s own learning.

Finding time for learning by principals is a major roadblock. Sarason (1982) observes that principals’ time is spent on maintaining order and administrative housekeeping matters. In a study of 137 principals in Toronto (Edu-con, 1984), 90% of the principals report an increase in demands on their time from the previous five years (Fullan, 1991). More than twenty years ago, Lipham and Hoeh observed,
The principalship places inordinate time demands on an individual in terms of frequency, nature, numbers, and scope of problems and people he deals with (1974, p. 352).

They also acknowledge that it is impossible to “read and run” but encourage principals to link theory and practice structures to counter the dilemma of time demands (1974). Phil Schlechty (1990) suggests that good principals are not only asking what needs to be done that’s not being done, but what should we quit doing so we can do what we need to do (p. 106). Rethinking and redesigning the use of time by principals are essential to making time for new learning.

A shortcoming in our own design is our own failure to create time for learning within our organizations. Educational organizations have made routine the use of time to develop habitual tendencies that are not necessarily the best use of time for students and adults. In fact, Donald Schon in his book, The Reflective Practitioner (1984), blames public classroom practices which demand quick responses and actions as a contributing factor to a culture which is impatient with and negligent to thinking time. Learning takes time and Senge adds, “How can we expect people to learn when they have little time to think and reflect, individually and collaboratively?” Ted Sizer, in his work with hundreds of educators on school reform, encourages schools to institutionalize time to think for both students and adults (1984).

A related observation by Barth is that some principals are unwilling to use the precious time and resources of school for their own learning. He shares that Dodge Fellows often felt guilty about costs and time away from the building. In countering this “Calvinist affliction,” he uses the metaphor of the flight attendant’s familiar instruction
prior to takeoff: attend to your own oxygen mask before attending to the oxygen mask of your child. The presumption is that the adult must first breathe and live in order for the child to live and breathe. If we can accept this metaphor with the principal’s learning, then perhaps we can move beyond guilt feelings regarding time and resources devoted to the principals’ own learning. Principals must learn so that their teachers and students may also do so.

The visibility of becoming a learner in the school also suggests to others that the principal does not know it all. This is contrary to traditional expectations for principals who were to have knowledge and expertise in all areas of the school’s operation (Lipham and Hoeh, 1974; Sergiovanni, 1987). Compounding the issue of the vulnerability of new learning is Howard Gardner’s belief that many leaders are not capable of managing the deluge of new information and skills needed for effective leadership. He remarks,

> In nearly every domain, knowledge continues to accumulate at a spectacular rate and technical experts are expected to be on top of this accruing knowledge (1995, p. 300).

He cites a growing tension between the demands of thoroughly digesting and weighing new knowledge against a leader’s inability to master the information.

In review, this section has explored the changing view of the principalship, the need and importance of leaders-as-learners, and the conditions which both facilitate and inhibit leaders-as-learners.

**Background for Human Dynamics as a Methodology Choice**

The use of Human Dynamics as a grounding for this research project aligns this study most closely to the trait theory of leadership. Before moving directly to Seagal and
Horne’s work (1997), it is important to acknowledge the more accepted and more broadly used typologies related to that theory. Perhaps the most famous applications of trait theory was developed by Katherine C. Briggs and her daughter, Isabel Briggs-Myers. Relying on the earlier works of Carl Jung, Myers and Briggs developed a useful instrument of 126 questions that assist people in identifying their natural tendencies.

Answering the questions quickly and honestly reveals preferences along four dimensions:

1. extroversion-introversion,
2. sensing-intuiting,
3. thinking-feeling, and
4. judging-perceiving.

In 1962, Isabel Briggs-Myers published a manual for the indicator instrument and its utility and fame quickly grew.

The Myers-Briggs Type Indicator has been utilized in leadership study. Barr and Barr Consultants have issued the instrument to thousands of leaders and executives. Their work, The Leadership Equation (1989), informs leaders of their preferences and offers suggestions on awareness and balancing. Barr and Barr contend that a personality inventory is essential in assisting leaders in understanding themselves first.

Contemporary Stephen Covey’s fifth habit in the Seven Habits of Highly Effective People is to first understand, then seek to be understood. Oliver Wendell Holmes once said, “What lies behind us and what lies before us are tiny matters compared to what lies within us” (Covey, p. 66).

In discussing the term “people savvy,” Barr and Barr state that we can no longer afford to overlook the people element with the arrogant judgment that people cannot be read. They assert,
We have to learn to see, to hear and to recognize a person's habitual ways of communicating, processing information, judging and controlling. We assert that the patterns exist; skilled readings of those patterns can be learned.

Leaders must be excellent readers of people. They must read themselves as accurately and objectively as they read others. They must read change and continue their own internal growth and expansion to meet the new challenge (p. 164).

A second personality identification scheme of growing interest is the work of Sandra Seagal and David Horne. Since 1979, Seagal and Horne have been developing research on their framework for understanding people and realizing their potential in organizations. Labeled "Human Dynamics," the researchers have worked with more than 40,000 people in 25 cultures.

The origin of the framework is derived from Sandra Seagal's early research regarding voice intonation. Seagal noticed three distinct frequencies in voices. She shared her observations with others and soon a cohort of interested scholars were studying the phenomenon of three distinct voice frequencies. In the study of individuals, Seagal and colleagues noticed that although every individual was different, distinct patterns of functioning existed. Three major themes were identified and eventually termed "mentally-centered," "emotionally-centered" and "physically-centered."

Human dynamics is not a typology. Peter Senge, in the forward of Human Dynamics (1997), shares his affinity for Human Dynamics by stating that this process does not "put people in boxes." Rather, it is a framework that identifies fundamental structures that underlie distinctions in the functioning of people as whole systems. This is a description for a way of being. It is a dynamic system with the capacity for
development. Unlike Myers-Briggs, no paper and pencil test exists. People must identify their personality dynamic through self-discovery. Human Dynamics informs us of ways in which human life is organized, not for the sake of categorizing, but to illuminate our varied ways of functioning so that we might become more efficient and enlighten ourselves. In introducing their most recent published work, Seagal and Horne remark,

> Through recognizing and understanding distinctions in the fundamental makeup of people, we are better able to approach people's specific ways of experiencing their environment; processing information; communicating; learning; problem-solving; relating to themselves and others; maintaining wellness; and developing, both personally and transpersonally. We can, therefore, work consciously to meet the needs of each personality dynamic group, helping them to grow and learn, communicate and cooperate, make use of their particular gifts, and avoid the misunderstandings that arise through not recognizing that the groups do indeed experience life differently (p. 24).

Seagal and Horne explore five personality dynamic types by first introducing the three principles that are common to all dynamic types: mental, emotional and physical. The mental principle is associated with activities of the mind. Functions include logical thinking, objectivity, planning, focusing, conceptualizing and analyzing. People with a well-developed mental principle act with detachment, perspective, clear vision and well-defined principles and values.

The emotional principle is one of connections and relationships. It is the part of us that knows and recognizes our feelings and the feelings of others. Functions include feeling, communicating, relating, personalizing, empathizing, organizing, harmonizing, processing and imaging. People with a well-developed emotional principle are aware of their own feelings without being dominated by them. They are able to communicate and empathize and form positive relationships with others.
The physical principle is associated with the body and the translation into action of what is thought and felt. This principle is the pragmatic part of people expressed in action. People that have a well-developed physical principle have an affinity for group life and cooperative efforts. They are good team players. They are reliable and productive and complete tasks well.

Each of these principles is present in all people but active to varying degrees and in varying combinations. Seagal and Horne have developed a pattern of nine possible personality dynamic combinations. The visual representation of these nine personality dynamic types is exhibited from Human Dynamics (p. 31):

Figure 1: The nine personality dynamics
Although the researchers believe nine dynamic types exist, they also believe that the western culture is dominated by five predominant dynamics. The five— one way of being centered mentally (mental-physical), two ways of being centered emotionally (emotional-mental and emotional-physical), and two ways of being centered physically (physical-mental and physical-emotional)— are the focus of their current research and publication. Four of the five predominant human dynamic types are represented in this research. One of the dynamic types, physical-emotional, is not present in the sample of subjects selected from the Ohio Principals' Academy. Although a fifth case study would make this study more complete, the similarities between physical-mental and physical-emotional, coupled with the low frequency of physical-emotionals (5%), counter the sense of loss of a fifth case study.

The use of Human Dynamics as a lens in a leadership study is one more attempt to gain insight into the extremely complex phenomenon of leadership behavior. In his endorsement of Human Dynamic research, Peter Senge states,

...the knowledge era will require much more sophistication in understanding one another. Knowledge matters only when it is embodied in people. Knowledge is only generated by people. Moreover, knowledge sitting in books on a shelf has no direct impact on families, companies or societies. It only matters when people do something with it. So if knowledge and learning are indeed becoming a key source of competitive advantage, the industrial age view of people will have to change. In the future, understanding the diversity of human functioning will play a central role in the success and sustainability of both organizations and societies. Nothing less will suffice if businesses are to thrive, if schools are to offer genuine opportunities for growth and learning for all children, and if societies throughout the world are to be peaceful and nurture a sense of community and belonging for all (p. xviii).

Senge's words assist making the case for the use of Human Dynamics in this
study. Seagal and Horne’s framework brings potential understanding of one another. The holistic nature of their model allows us to think and reflect from multiple perspectives. The knowledge about the model has been knowledge generated by the people using the model. The hope for this study is that it, too, can generate new knowledge for those in the study and those who are informed by the study. For these reasons, the Human Dynamic framework makes sense.
CHAPTER 3
RESEARCH METHODOLOGY

A Sense of Where You Are

Many years ago I read a book profiling Bill Bradley entitled A Sense of Where You Are (McPhee, 1965). In that book, Bradley, a former Rhodes Scholar and professional basketball player for the New York Knicks, parallels the importance of knowing the location of self to the rest of the environment. Written during his years of basketball stardom at Princeton, Bradley displayed an uncanny ability to parallel location on the basketball court to location in life that left a remarkable impression on my mind. Perhaps my years as a basketball player, coach and fan sparked the interest, but clearly Bradley’s ability to transfer the game to life distinguished the work. Now years later, retired U.S. Senator Bill Bradley and his book come to mind as I attempt to position within a research paradigm. As in the game of basketball, the action must often begin before that “sense” can be determined. Thus, establishing a “sense of where I am” involved jumping into the research.

Patricia Maguire (1987) speaks to the importance of the paradigm choice. She believes that the choice of paradigms forces us to abandon “the myth of safe, value-free work be it education, activism, or research” (p. 33). Speaking specifically to the task of paradigm selection, she notes,
... every input of our work is influenced by the particular paradigm out of which we choose to operate. Perhaps the most dangerous position is one of blind and tacit acceptance of any paradigm without conscious and critical exploration of the choice-making involved in the implications of those choices. Making explicit choices forces us to come to grips with our own values. Who and what purposes does our work serve? (p. 32-3)

Positioning within a paradigm was not the simple task that I presumed it to be. However, the intent and purpose of research in the critical paradigm best fit my leadership behavior to date.

In the critical paradigm, researchers attempt to enlighten individuals so that they view a situation differently. The theory is oriented towards transforming ways in which people view themselves in their situations. The critical paradigm is seeking change. The paradigm is also known as emergent or emancipatory. As a high school principal, I was considered a change agent and risk-taker; therefore, I have some affinity for the critical paradigm. The critical paradigm's basic premises resonate with my experience as a principal. Also, I have interest in supporting the research that is redefining leadership in our schools. Patti Lather (1986) observes that research that is committed to critiquing the status quo becomes "research as praxis." Challenging the status quo of the role and expectations of the principalship is important work. Research about the principalship, around issues of leadership and learning, can provide impetus and support for reforming principalship expectations. The review of literature reveals that the view of the principalship is changing and in the midst of this change, opportunities exist to influence the direction of that change. Research about leader-as-learner, directed specifically at the principalship, can play an important role in promoting the merits of intellectual leadership as an essential quality for leadership in America's schools in the 21st century.
Even though the critical theory paradigm has natural attractions for the purposes of this study, this research more aptly belongs in the interpretive theory paradigm. Stephen Covey (1989) reminds me first to understand and then to seek to be understood. A quick entry into the critical paradigm with this study may be seeking to be understood before fully developing my own understanding on leader-as-learner concepts.

The interpretive paradigm theory arises from patterns of meaning and action of the group being studied. The theory seeks to explain and clarify. The paradigm product is insight, not action. Other names for the paradigm include naturalistic and hermeneutic.

To broaden my own understanding through the experiences of other leader-as-learner principals may indeed develop an increased capacity on my part to address vital redefinition issues for the principalship. McCutcheon and Jung (1990) describe the work of interpretivists as designers of research problems who seek to uncover and illuminate meanings from events and phenomena experienced in lives. This study is a reflection of the phenomenon of leader-as-learner in my own principalship and an attempt at understanding and illuminating related issues in the stories of other leader-learners. The design and reflexiveness of this study also aligns with McCutcheon’s (1990) claim that interpretivist researchers do not work with totally preordinate research designs but must develop the process as new understandings emerge.

Further evidence that this work belongs in the interpretive paradigm is provided by Andrew Sparkes (1992). In describing the interpretive paradigm, he states:

The interpretive paradigm is undergirded by a network of ontological and epistemological assumptions that are very different to those of positivism... knowledge is seen as the outcome of consequence of human activity, that is, knowledge is a human construction, which means...
that it can never be certifiable as ultimately true but rather is problematic and ever-changing (p. 26).

The interpretive paradigm is about the pursuit of meaning and understanding. Good interpretivist work extends beyond explanation into a deeper understanding of social constructs, conditions and interactions. Geertz (1973) insists that interpretive theory-building proceeds by the construction of a “thick description,” defined as a “description that goes beyond the mere or bare reporting of an act (thin description), but describes and probes intention, motives, meanings, contexts, situations and circumstances of action” (Denzin, 1988, p. 39). The interpretivist believes that in order to understand this world of meaning, one must interpret it (Schwandt, 1994).

Commonly referred to as the “middle ground” of research (John K. Smith, 1989), the interpretive paradigm makes the most sense for this study of school principals, their leadership and their learning.

Pilot Work

The seeds for this inquiry were sown from a larger research project sponsored by the Building Excellent Schools for Tomorrow (BEST) initiative. In that project, a research team of ours from The Ohio State University was commissioned to conduct a policy and practice investigation in four of Ohio’s most effective and efficient school districts. The purposes of that study were to:

- highlight common practices, policies and leadership actions in these school districts,
- assist the BEST schools initiative to support or amend their agenda for school improvement, and
- create a nexus between the common core of good practices and the working knowledge of Ohio’s policy makers.
The selected framework for that study was an adaptation of the Malcolm Baldridge National Quality Award of Education. The Baldridge design contains seven categories of inquiry: leadership, information and analysis, strategic and operational planning, human resources and development, educational and business process management, school performance results, and study and stakeholder satisfaction. This comprehensive design, coupled with a four-person research team, generated a thick but sweeping array of field data. From this field experience and its data, I narrowed my research focus to the leadership category. Specifically, I was attracted to the notion of leader-as-learner and the impact that a school leader-as-learner has on his or her school culture. This interest emerged from my fieldwork in the BEST initiative where I encountered two vivid examples of school leaders-as-learners. In interviews with these leaders, evidence existed that their own learning was influencing the culture of the organization. Those two interviews and other related interviews and observations in their schools provided a pilot to guide the development of a more definitive, focused study.

Design Thoughts

Denzin and Lincoln’s (1994) description of a researcher as bricoleur provides additional grounding for this project design. Shaped by my own history, gender, class, race and ethnicity, a bricolage of complex, dense and reflexive understandings and interpretations will emerge from the stories of others. Denzin and Lincoln describe the work as interactive and reflexive which are qualities sought in this research design. The
dynamics of multiple leadership styles, mixing with multiple learning styles in multiple settings, demand reflexivity and a "compassing of direction" as this research proceeds.

The focusing lens for this study about leadership and learning is the research presented on human dynamic personality types by Sandra Seagal and David Horne in Human Dynamics (1997). Although qualities and characteristics of each dynamic will be considered in the analysis of data, specific attention will be directed at the learning conditions that the researchers present for each human dynamic type.

Site and Subject Selection

The original intent of this study was to utilize sites from the pilot work in the BEST pilot study. Although the idea held promise due to the information-rich possibilities, the site search shifted as the study became more focused. When the decision to expand upon the research of Seagal and Horne was made, the BEST sites lost relevance to the study. Information-rich cases were still needed, but now a need arose to find those cases in Seagal and Horne's human dynamic types.

Concurrent with my role as researcher was my role of Project Director of the Ohio Principals' Academy (O.P.A.). The O.P.A. is a pilot project for the leadership development of school principals in Ohio. The goals of the project are to:

- nurture and develop outstanding early career principals who were in the first or second year of their practice,
- introduce the newly-adopted Ohio Administrative Competencies to practicing administrators,
- develop strategies and designs for the creation of administrative portfolios, and
- create a collaborative network that would continue to support and promote leadership development of principals.
Higher education professors, local superintendents and the Ohio Department of Education nominated the principals selected to participate in the Ohio Principals’ Academy. The Academy staff selected candidates with both a quality reputation and an expressed interest in attending to their own learning.

In the work with fifty principals in the first year of the pilot, each of the principals was asked to self-select into one of four human dynamic types based on four stories constructed to facilitate and guide human dynamic selection. After the principals self-selected their human dynamic types, they were grouped by types with two prompting questions that would focus a two-hour conversation. The prompting questions were:

- What learning has most affected your leadership style?
- What act of leadership created new learning for you?

These conversations were simultaneously videotaped. The videotapes were thoroughly reviewed in search of information-rich cases. Based upon the richness of the stories and conversation in the eight hours of videotape, four principals were selected and invited into the study. The videotapes also allowed the researcher to be mindful of balance in diversity of gender, race and years of experience in the principalship.

The purpose of this study is not centered on capturing the human dynamics of high performing principals. Although each of the selected principals are exceptional school leaders, their selection for this study was based on the information-rich dialogue that appeared in the videotaped sessions. The intent of this study is directed at describing, comparing and analyzing the personal learning and leadership dynamics of four principals distinguished by their human dynamic profile.
Sampling

Although no rules exist for sampling size and variety in qualitative studies, some variation of experience, gender, ethnicity and school type seemed prudent. The four human dynamic types determined the sample size of four. Within the sample of four were:

- two males and two females,
- one African-American and three Caucasians,
- one early career administrator and three veteran administrators,
- one high school principal and three elementary principals, and
- two urban schools and two suburban schools.

Even though a balance was obtained, this sample should not be judged on the variety but is better judged on the purpose and rationale of this study. The logic of purposeful sampling is quite different than the logic of probability sampling and the utility and credibility of this sampling should not be thrust against the criteria of probability sampling (Patton, 1990). Patton notes,

The validity, meaningfulness and insights generated from qualitative inquiry have more to do with the information-richness of the cases selected and the observational/analytical capabilities of the researcher than with the sample size (Patton, 1990).

Each of these cases appeared information-rich based on the videotaped conversations about leadership and learning and based on the solid reputations that had earned the principals’ nominations into the first Ohio Principals’ Academy.
Data Collection

The data collection involved four sources: three interviews with each principal, an interview with the principal’s colleagues, a videotape of the principal’s workspace and the administrator’s portfolio that was constructed during his/her participation in the Ohio Principals’ Academy.

The initial interview with each principal was open-ended, allowing the principals to influence the course of the inquiry to some degree. Open-ended research designs build a collaborative rapport that moves the inquiry to a collective experience (Noffke, 1990, Tierney, 1991). The reflexivity of this design will allow the researcher to both lead and follow in the inquiry. The second and third interviews were more focused. The second interview was constructed around the principal’s human dynamic type selection. Prior to the interview, each principal was asked to re-read the stories to confirm or disconfirm his/her original choice of dynamic types. The third interview focused on the documentation decisions in the administrator’s portfolio. During that session, the workspace of the principal was also methodically videotaped. The videotaping was conducted with permission but without prior announcement so that the workspaces could be captured in natural form.

The interview with colleagues was the last of the interviews. The interview was open but prompted and guided by questions that might prompt observations and insights regarding the human dynamic type selection.

The final source of data collection was the administrative portfolio. Each administrator allowed his/her portfolio to be photocopied for review and analysis. This
documentation, coupled with the interviews and videotapes, allowed for the triangulation of data. A member check was also conducted after the completion of the focus stories in Chapter Four.

Data Analysis

This study has been conducted over eighteen months with a series of observations, interviews and document reviews. Reflexive studies of this nature require patterns of interim analysis (Huberman and Miles, 1994). To guide the analysis of data, a matrix of learning conditions and data sources was developed. The matrix design is:

<table>
<thead>
<tr>
<th>Learning Condition</th>
<th>Portfolio Analysis</th>
<th>Peer Interview Analysis</th>
<th>Workspace Analysis</th>
<th>Interview Analysis</th>
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Figure 2: Matrix for data analysis of personal learning conditions

Each data source was color-coded by learning condition. The color schemes allowed for some qualification in order to determine the level of confirming, disconfirming and/or conflicting evidence for each of the personal learning conditions. Although the
qualification attempts assisted in passing judgment, the power of the stories within the interviews, videotapes and documents was more influential in the final judgment.

Trustworthiness

Guba and Lincoln (1989) identify the research techniques that are most commonly accepted as means to a credible investigation. Those techniques are prolonged engagement, persistent observation, peer debriefing, negative case analysis, progressive subjectivity, and member checks (p. 237-8).

The site selection and data collection for this study began early in the 1997-1998 school year and carried into the 1998-1999 school year. The observations, interviews and data collection occurred over time.

The process also included a peer interview specifically designed to confirm and/or disconfirm the human dynamic type behavior. Another criterion for a credible investigation was met through a member check. Each of the principals was asked to read and respond to his/her section in Chapter Four. Some new insights and adjustments resulted from the member check.

One threat to credibility is a novice researcher. Kvale (1995) places considerable stock in the craftsmanship of the research and the credibility of the researcher in determining validity. Validity, he states, is both an issue of methods used and the researcher’s person. A well-crafted investigation includes continually checking, questioning and theoretically interpreting the findings. Simply stated, to validate is to check, question and theorize (p. 29-30). This study permitted interim analysis and adjustments that create conditions conducive to meeting Kvale’s methodological criteria.
for validity. Nonetheless, a novice researcher has difficulty meeting Kvale’s definition of a credible researcher. His credibility rests with the quality of past research. A novice researcher can gain some credibility by developing appropriate lines to preceding research. Credibility can also be earned via one’s lived experienced in one’s field of research. Hence, initial credibility seems to have been developed in the field as a principal rather than in direct research work. This statement about credibility is not discounting the need for sound research practices. Personal credibility, in the larger sense of the word, is painstakingly slow to develop but surprisingly quick to dissipate if delivered in substandard ways (Kouzes and Posner, 1993). I am mindful that this dissertation work can be crediting as well as discrediting.

Ethics and Politics

At base, my assumption is that qualitative educational research cannot be value free; it must be ethically conducted and ethically concerned (Jonas Soltis, 1989).

Jonas Soltis shared an under-girding premise for qualitative research that resonates with the intent of my work. He states that education is a “moral enterprise” with an ultimate goal of developing and contributing to the good life of individuals and society (Soltis, 1989). The hope for my inquiry is that it will both inform and liberate. The hope is to inform principals and principal preparation programs of some principle learning conditions and to liberate principals from the traditional impediments to their own learning. With these goals in mind, serious ethical and political issues seem avoidable.
All studies, however, have some ethical and political issues. Two of the first issues that confronted this work were that of selecting participants and gaining entry. A balanced approach to selection (gender, race, experience, and school type) assisted in the integrity of the selection of participants. The self-selection of human dynamic types from within a pool of Ohio Principals' Academy participants also governed the participant selection process.

Gaining entry has not been problematic. My institutional background and wide circle of acquaintances in the field have opened doors rather easily (Punch, 1994). Once entry had been gained for each of the four sites, as researcher, I had to develop and maintain fieldwork relationships in an ethical manner (Lincoln, 1990). Generally, the research code of ethics addresses individual rights to dignity, privacy, confidentiality and avoidance of harm (Punch, 1986).

Limits of Research

The limits of this research are at least two fold. First, leadership and learning are both huge, complex phenomena which cannot be viewed through a simple lens. This research hopes to build on earlier research about learning conditions as those conditions apply to school principals. This research is a small step towards better understanding of the relationship of leadership and learning.

A second limitation to this study is the small, purposive sample. Although a larger study might have enhanced the inquiry, time and resources directed a small, information-rich sampling pattern.
CHAPTER 4
PRESENTATION OF DATA

The data analysis in this chapter will begin with providing the professional context for each principal. The professional context will include educational background, teaching history and administrative history. Context will also be provided for the size and nature of the school that the principal currently serves.

Following the contextual backdrop will be the presentation of the preferred personal learning conditions identified in the Human Dynamics personality approach (Seagal and Horne, 1997). Subsequently, the data gathered will be analyzed through the lens of the preferred learning conditions. Data sources will include the principal's administrative portfolio designed while participating in the Ohio Principals' Academy, transcripts from interviews with each principal, transcripts from interviews with some of the principal's co-workers, videotaped conversations with each principal about his/her own leadership and learning, and a videotape of the principal's workspace. Confirming, disconfirming, and conflicting evidence of their personal learning conditions will be analyzed. Patterns and tensions in the principals' personal learning conditions and their leadership embodiment will be sought.
Analysis of the Emotional-Objective

Background of Mrs. West.

The principal selected from the emotional-objective cohort is a white female in her fifties. Twenty-one years of secondary school teaching preceded her work as an elementary school principal. As a University of New Mexico graduate, Mrs. West began her teaching career by teaching English on a Navajo reservation. Her early teaching career had short stints in California and Florida before settling into longer assignments in Ohio. Mrs. West’s resume reveals that she was awarded Teacher of the Year honors in three of the four districts in which she taught.

In 1985, while teaching senior English in an Ohio high school, Mrs. West was approached by her superintendent to become an elementary principal in one of the elementary schools in the same district. Two years prior, Mrs. West had completed a second Masters degree in educational administration from the University of Dayton. She accepted the superintendent’s offer and entered her first principalship in the fall of 1986 in a large elementary school in a rural-suburban area. The school enrolled 670 students in grades K-5.

In the spring of her sixth year in the principalship, Mrs. West was approached by two board members in the suburban community in which she lived and had raised two children to consider applying for a local elementary school principalship. The school’s image had suffered and the board members were recruiting Mrs. West to lead the building in new ways. Mrs. West deliberated the move as she was very comfortable in her current position. Eventually her “sense of homecoming” prevailed and she accepted
the invitation to apply for the principalship in the elementary school that her children have attended. She is currently beginning her seventh year.

Her current school houses grades K-4 and has an enrollment of 401 students. The students are 92% white, 6% African-American, 2% Asian. Twenty-nine percent of the students are eligible for free or reduced lunch. The per pupil expenditure is $4,102.00. The student attendance rate is 95% and staff attendance is 97%. There are 19 teachers and one administrator in the school. The average length of experience is 11.5 years. The school district that Mrs. West serves has 5,335 students. The average per pupil expenditure, $5,256.00, places the district in the middle to low end of comparative spending by other districts in the county. The district’s ethnicity is 88% white, 9% African-American, 1% Hispanic, 1.5% Asian, and .5% multi-racial. Nearly 9% of the district’s students have been designated as disabled or impaired.

Mrs. West works in a school district that has been recognized as innovative. Specifically, her building was a first-round Venture Capital grant award winner which was a series of monetary awards issued to schools that demonstrated a capacity for change. The school was also granted a BEST Practices Award from the Ohio Department of Education which is a recognition of innovative practices in public schools. During Mrs. West’s principalship, this elementary building, one of five in the district, has moved from the lowest performing to the highest performing school in the district on fourth grade proficiency tests.

Mrs. West’s leadership skills have been recognized by both her constituents and her peers. In an all-school survey to students, parents and teachers, the principal received
a 99% effective rating for the past six years. She has been identified as a mentor by eight
different organizations and has mentored thirteen beginning principals. Just recently, she
was elected as President of the County Elementary Principals Association.

Learning Conditions of Emotional-Objective

Seagal and Horne (1997) contend that emotional-objective individuals learn most
effectively under the following eight personal learning conditions:

1. a structured, though not extremely defined, presentation that is brisk, enthusiastic and inspirational,
2. diagrams and models, rather than elaborate verbal explanation,
3. movement forward, little repetition,
4. purpose of learning made clear,
5. auditory emphasis with opportunities for discussion or debate,
6. opportunities for active experimentation,
7. connection with instructor through the exchange of ideas and mutual respect, and
8. open-ended problem-solving.

These eight conditions make better sense when we consider some of the other beliefs and
characteristics that the authors describe when introducing the emotional-objective
dynamic.

Seagal and Horne announce that a metatheme for emotional-objective people is
"movement forward" which can be played out in multiple forms: learning, relationships, communication, leadership, and family life. A close inspection of the learning conditions
supports this metatheme. Seven of the eight conditions imply movement forward. The
only condition that might imply delay is the fifth condition which honors discussion and debate.

Movement forward has time implications and the emotional-objective dynamic’s value of time is clear. This dynamic views time as finite with each day filled with
passing opportunities. This sense of urgency is also reflected in most of the identified learning conditions.

Another characteristic that emerges in the conditions of learning is the emotional-objective’s penchant for taking risks and accepting challenges. Challenge and risk excite them. They often move into action quickly, provoking others to act and begin collecting data and examining results along the way in order to inform other adjustments. These characteristics support the learning conditions of movement forward, opportunities for active experimentation and open-ended problem solving.

Emotional-objective people also value collaboration. The authors contend that although emotional-objective people value independent work, that the mature emotional-objective begins to realize that “nothing of real value can be created and sustained without collaboration” (p. 98). The learning conditions that also value collaboration are opportunities for active experimentation, connection with others through the exchange of ideas and mutual respect, and open-ended problem-solving.

A final characteristic of the emotional-objective dynamic that relates to personal learning conditions is their preference for face-to-face communication. Emotional-objective people are generally good conversationalists with the ability to both speak and listen. They prefer direct and objective talk. This communication preference relates to the learning conditions of a structured but brief and inspirational message, movement forward with little repetition, opportunities for discussion and debate, connection with others through the exchange of ideas and mutual respect, and open-ended problem solving.
Analysis of Mrs. West’s Personal Learning Conditions

The analysis of the data of Mrs. West’s human dynamic type through the eight conditions of learning identified by Seagal and Horne will be presented from the conditions with the most confirming evidence to the conditions that have very little confirming evidence.

The analysis of the comparative strength or weakness of confirming data was performed by developing the matrix of the personal learning conditions shown in Chapter 3 (Figure 2) with data analysis documents prepared for each of the data sources. Using this grid, a color coding system was developed for the analysis of each data source. After coding, each source was rated in three categories:

<table>
<thead>
<tr>
<th>+</th>
<th>substantial evidence existed for this learning condition in this data source</th>
</tr>
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<tbody>
<tr>
<td>✓</td>
<td>some evidence existed for this learning condition in this data source</td>
</tr>
<tr>
<td>-</td>
<td>little or no evidence existed for this learning condition in this data source</td>
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Figure 3: Definition of data analysis coding

This matrix design and subsequent rating of data sources produced the following for Mrs. West:
The most confirming evidence in this study was produced around the fifth, sixth and seventh conditions listed by Seagal and Horne. Those conditions are the auditory emphasis with opportunities for discussion or debate, and opportunities to connect with others through the exchange of ideas and mutual respect. An auditory emphasis with opportunities for discussion and debate has a direct relationship to connecting with others through the exchange of ideas and mutual respect. The study of Mrs. West produces convincing data that these two conditions are applicable to both her personal learning conditions and her related leadership style.
The interview with Mrs. West’s colleagues provides overwhelming testimony for connecting with others through an exchange of ideas to develop mutual respect. More than a dozen situations were described that supported this condition for Mrs. West. Her teachers believe that her willingness to listen, coupled with her own repertoire of reading and good thinking, has caused the development of an extraordinary relationship of mutual trust and respect between the principal and her teachers. The teachers share stories about how their respect for her has influenced their own practices. They believe that Mrs. West’s own learning influences the learning culture of the school. They share that if she mentions that she values something that she has read that they often want to read from the same source. Teachers also cite Mrs. West’s hard work of data gathering and analysis of proficiency tests as influencing their practice. Their logic was that if she believes that data gathering and analysis around proficiency tests to be this important, then it must be so.

Mrs. West’s workspace also reflects an air of exchange and mutual respect. Her workspace is a place that is warm and inviting. A welcome sign is at eye level near the doorway. The browsing of her huge collection of school artifacts such as a schoolhouse lamp, a school bell, and a wooden apple can be fascinating for visiting students, teachers and parents. Her computer station is separated from her desk and she issues a standing invitation for its use by students in need of an additional computer workspace. The children’s literature and the display of student artwork in her office are other indicators of respect for students. Perhaps her most convincing evidence of respect for others is in her display of pictures. She has numerous pictures of family, staff and students. Family
portraits are numerous. A stranger can detect that she is a very proud parent of two and
grandparent of one. Her display of photographs also includes a group faculty picture and
an overhead picture of the school’s students on the playground. The display of pictures
of family, teachers, and students is an indicator of her respect for the people that she
loves and serves.

Reflective writing within Mrs. West’s administrative portfolio also reveals
eamples of a mutual respect for others. One reflection recalled the story of a young
Vietnamese student that she placed in her top reading group out of respect for his
intellectual capacity as opposed to his current command of a new language. The boy
excelled in the new language by the end of the year. Another reflective writing reveals
deep respect for the choice of a parent. Mrs. West shared a story about a mother who
wanted home schooling for her child but also wanted to remain connected with the
schools for standardized testing and other special events. In the reflection, Mrs. West
reveals compassion and respect for the parent and the parent’s choice. Going against the
policy grain of the other elementary schools in the district, she accommodated the
parent’s wishes.

In fact, the parental choice that Mrs. West and her staff have designed at their
elementary school is an indication of mutual respect for all students and parents. Her
portfolio articulates the three choices that a parent and student have as they enroll in their
school: the student and parent can choose from a very traditional one teacher, one year
arrangement; or a multi-aged grouping arrangement with some team teaching; or a looped
two-year experience with the same teacher. The construction of this choice demonstrates a mutual respect for parents, students and teachers.

Other reflective writing pieces are laced with mutual respect. One writing centers on the merits and talents of a young colleague that Mrs. West had been assigned to mentor. Noting that her new friend has a great deal to offer in the relationship, Mrs. West writes that she considers the relationship a mutual learning partnership. Another reflective writing shares some of Mrs. West's feelings regarding her participation in a Critical Friends Group with her faculty. To become a participant in a Critical Friends Group, a collegial design for straight talk about the quality of student and teacher work, one must enter on a level playing field. To be an active member of a well-functioning CFG is certainly an example of connecting with others for an exchange of ideas in an air of mutual respect.

Direct interviews with Mrs. West add to the confirming evidence around this condition for learning. Her respect for others permeated the conversations. She presents a genuine caring for students, parents, teachers and the community-at-large. She provides several examples of connecting with others and respecting all of the voices in the school. One of the most interesting stories recounted her first three days in her current principalship. She inherited a faculty that was very divided over school reform issues. In her first three days with staff, she was able to hear all the voices while beginning to lead the faculty to the ability to think paradoxically. She moved the staff to believe that there are many good ways of teaching and different learning styles need different teaching styles. Within a year, the school had become a school of choice. The
story personifies this condition of learning and moves it to an act of leadership. This story was also one that was repeatedly cited by her colleagues in their interviews as a significant act of leadership.

Strongly related to connecting with others in an exchange of ideas and mutual respect is the fifth condition: auditory emphasis with opportunities for discussion or debate. Auditory emphasis implies the need for good listening skills. Confirming data emerged regarding Mrs. West's listening skills in all interviews and in her portfolio. An interesting entry in her portfolio is entitled "The Greatest Influence on My Life: Personal and Professional." The story describes her relationship and learning with her father. She conveys that her father taught her the skill and importance of being a good listener. As a Presbyterian minister her father claimed that listening was a way to help people. Mrs. West writes,

I use this advice everyday in my work as a principal. It is a skill I learned from my father. Listening comforts the speakers, gives him/her a platform needed at the moment, and gives credence to their ideas, concerns, etc. It is an ideal way to stand on if not the same, similar ground to look at a situation and determine a path to follow or a trail to blaze... 

Mrs. West also attributes good listening skills to her motherhood. She believes she became a better listener as she raised her own children. She speaks of the wisdom of listening to children. She indicates that she intentionally sets aside time everyday to listen to the students in her building.

Mrs. West's colleagues also provide confirming evidence around this learning condition. Her listening skills are specifically mentioned by her teachers. One teacher describes Mrs. West's first three days as principal as a lesson in listening. The teachers
also remark about Mrs. West's consistent presence and availability. An open door policy is coupled with intentional walks and talks around the building. Mrs. West seldom fails to greet or bid farewell at the beginning and end of school days. These practices often make Mrs. West available to listen to the voices within her school.

This learning condition has implications beyond being a good listener. The emotional-objective dynamic also calls for opportunities for discussion and debate. Beyond the examples already provided, more evidence exists that reveals Mrs. West's promotion of discussion and debate. One provocation present in her portfolio is a set of opening questions for a professional development day aimed at beginning a new school improvement plan. The opening questions are,

- How do you perceive “goodness” of life in our school?
- Who are the winners?
- Who are the losers?

Designed by Mrs. West, the questions certainly imply that she is willing to engage in discussion and debate.

The teacher interviews also characterize Mrs. West as one who is willing to participate in discussion and debate. In fact, one teacher mentions that it is often difficult to determine where Mrs. West stands on some issues because she permits such democratic debate.

Open discussion and debate often lead to democratic practice as a leader. Several examples of democratic practice can be found in the data. The faculty’s decision to offer a choice to students and parents certainly reflects both democratic decision-making and democratic practice. Another example cited in an interview is that everyone in the
building, including the secretary, cooks, and custodian, were part of the Venture Capital governance committee. A pattern that emerges in the analysis of these first two personal learning conditions is that they may indeed relate to a more democratic leadership style. If a principal learns best through:

- connecting with others,
- exchanging ideas,
- creating an air of mutual respect,
- being a good listener, and
- inviting discussion and debate,

then perhaps the stage is set for a more democratic leadership style.

A third learning condition that receives ample support in the data analysis is opportunities for active experimentation. In setting the context for Mrs. West, the school’s reputation for innovation was noted. Innovative practice is born in opportunities to experiment. Several examples of innovative practice have already been cited. The student and parent choice system is certainly unique. Within the choice system exists two innovative instructional delivery designs: multi-age grouping and looping. In multi-age grouping students are allowed to organize around their interests and abilities rather than by their age group or grade level. The concept of looping allows a teacher to remain with the same students for two years.

An award-winning innovation is the school’s summer learning program. Entitled “I Am So Bright That I Have to Wear Shades,” the program is a strategy to extend learning time. Mrs. West and her faculty have designed a series of learning packets that contain a week’s worth of active, fun, interdisciplinary learning activities that could be enjoyed by the student and his or her family. Approximately 50 per cent of the students
and families arrive each Wednesday during the past two summers to receive their new learning packets. Teachers rotate the Wednesday’s work of collecting the completed work and distributing the new packets. Meeting and greeting approximately 200 students and their parents on a weekly basis, Mrs. West is an active partner in the project.

A third innovative practice that sets this elementary school apart from the other schools in the district is year round latchkey care. The neighborhood utilizes the building after school hours and far beyond the days of the school calendar. Also noteworthy is the presence of a public pre-school initiative in the building. The pre-school initiative is the only one that exists in the district.

In their interviews, teachers trace their willingness to experiment actively to the trust in their principal. One teacher describes that her willingness to take risks is based on her faith in the principal. She states that it is the principal’s “unilateral acceptance of others that allows her to lead people to the edge.” She concludes, “I guess [it is] the warm presentation of what she knows, who she is, and what she is going to say to you. It is all real accepting. It makes you willing to take risks.”

Mrs. West credits the leadership conditions within the district for her willingness to experiment actively. She specifically cites the Superintendent and Board of Education’s posture of results-oriented, site-based management. She describes what she labels “unbelievable freedom” to do what they think is best for the students in their school. She notes, however, that that freedom is accompanied by the “huge responsibility” of increasing student achievement. Mrs. West cites several examples of her school’s freedom. One such example is the school’s affiliation with the Coalition of
Essential Schools, a national school reform initiative founded on the research of Dr. Theodore Sizer. She indicates that she never sought permission or a blessing from the Superintendent or Board of Education for the affiliation. The affiliation is an internal choice made by the principal and her faculty. Mrs. West believes that very few schools have such independence.

Another indication of Mrs. West's fondness for active experimentation, discovered in her workplace, has already been mentioned. Mrs. West has a computer station in her office that she and her students utilize. She shares that she often gathers with the students at the computer. Most of her own learning growth in technology has been with the students as teachers.

Another personal learning condition related to active experimentation is open-ended problem solving. Ample evidence for this condition was discovered in the interviews with Mrs. West and her colleagues. Already described was Mrs. West's first three days with her faculty. Her first act of leadership was an act of learning based on open-ended problem solving. She led her faculty through three days of brainstorming the strengths and weaknesses of the school, generating and discussing a list of the various teaching and learning styles that existed in their building and assessing the implications of these lists for the course of the school. A new mission statement for the school was born from their work. Through this open-ended problem solving technique, Mrs. West learned a great deal about the history and culture of the school in a very brief period while simultaneously guiding them towards a new vision.
Another example of Mrs. West's open-ended problem-solving approach emerged with the school's need to improve fourth grade proficiency scores. Recognizing that one of the first investigations for improved proficiency test performance is curriculum alignment, Mrs. West immersed her faculty in a summer's worth of curriculum redesign. Through an open-ended democratic process, Mrs. West allowed her teachers to "discover" that there was a great deal of redundancy and some obvious gaps in their curriculum. A curriculum plan of essential knowledge and skills was developed. In three years, the school moved from the district's poorest performing elementary school to its highest performing elementary school on the fourth grade proficiency test.

Other evidence of this personal learning condition for Mrs. West emerges in the reflective writing in her portfolio. Several of her reflective entries are posed around problems. In one reflection, she wonders about the feuding between public and private schools. In another entry, she ruminates about the difference between school culture and school environment. An interesting reflection is one that problematized her own principalship, speculating that she may be better suited for teaching than administration.

Mrs. West's participation in a Critical Friends Group would also indicate her willingness to engage in problem-solving. Every member of the group is responsible for posing some problem or area of professional growth that he/she would like to pursue. In the course of the year, the members provide critical feedback and support for one another's work to improve.

Confirmation of open-ended thinking also directly emerged during an interview with her. Mrs. West was describing the message she interpreted from the recent reading
of the Gift of the Jews by William Cahill. She was comparing Christian thought and
Jewish thought as circular and linear. She explained that circular thought had a “nothing
new under the sun” mentality. She responded, “I don’t want to think that there is nothing
new under the sun. I just do not want to think that.”

Mrs. West’s portfolio and workspace support another learning condition for the
emotional-objective: a structured, though not extremely defined, presentation that is
brisk, enthusiastic and inspirational. The fondness for inspiration is a noticeable attribute
in both the portfolio and the workspace. Mrs. West’s portfolio is peppered with
inspirational quotes, poems and statements. The school’s mission statement is one
example that seems to reflect structure, brevity, enthusiasm and inspiration:

As a child-centered school we, the West Elementary staff, believe that all
children can learn. We believe that all students have their individual
learning styles and developmental levels. It is our job as a teaching staff
to provide lessons/learning opportunities that maximize each student’s
potential, assess their academic growth, and celebrate their achievements.
We believe parents are a child’s first and most important teachers. Our
school will provide every opportunity for parental input in the life and
learning of our school community.

We believe our children must learn in a safe and caring environment. We
will nurture their safety with our care in all aspects of their school life.
We pledge ourselves to this mission – our hearts, our talents, and our time.

Phrases and words such as “child-centered school,” “maximize,” “celebrate,”
“opportunity,” “nurture,” “caring” and “pledging our hearts, our talents and on time”
reveals a mission statement which is both guiding and inspirational.

The value of both structure and brevity also emerges in the list-keeping that is part of
her portfolio. The following lists are in her portfolio:
- The Ohio Principals' Academy goals,
- The Ohio Principals' Academy dates,
- A list entitled “What Leaders Do,”
- A list entitled “Principals As Leaders of Learners,”
- The Ten Common Principles of the Coalition of Essential Schools,
- The school’s Compact on Respect belief statement, and
- A detailed Intruder Crisis Plan

The portfolio list-keeping reflects the learner’s value for structure and brevity. The lists are brief, concise statements of clarity, understanding, and beliefs. There also is some confirming evidence that this learner relies on inspirational words and phrases to assist in defining her leadership style. The school’s mission statement seems reflective of Mrs. West’s core belief system. Other inspirational quotes are scattered throughout her portfolio. An example is:

> The best of all things is to learn. Money can be lost or stolen, health and strength may fail, but what you have committed to your mind is yours forever.

    Louis L’Amour

These inspirational quotes follow Mrs. West’s portfolio storyline and a series of reflections. An assumption may be that Mrs. West is attempting to define further her learning and leadership beliefs through the inclusion of these inspirational words and phrases.

Mrs. West’s workspace also confirms her application of this personal learning condition. Her organizational tendencies in her workspace demonstrate her need for structure. For the most part, all papers, books, artifacts, decorations and furniture seem to be in their place. Books on the shelves are grouped. For example, most of the books on educational research by authors such as Ted Sizer, Ed Fiske, E. D. Hirsch, and Margaret Wheatley are grouped together. Another grouping is full of children’s literature.
Decorations on a long windowsill also demonstrate an organizational pattern. Wall hangings are in patterns and groups. Certificates and awards hang together as do family photographs. Mrs. West's bulletin board is also neatly organized with quick and easy access to both information and inspiration.

The need for inspirational words, thoughts, pictures and artifacts is evident in her workspace; her walls, bulletin board, and desk all contain inspirational quotes, phrases, poems, and artifacts. The inspirational words also provide insight into Mrs. West's beliefs about the purpose of learning. Three examples from her workspace have a common thread. A quote from Louis Pasteur reads,

When I approach a child he inspires me in two sentiments: Tenderness for what he is, and respect for what he may become.

Another phrase contained within a silhouette of a child but without an author was:

I love you with my heart, my tears, even with my years. But mine isn't the reality you'll see. Knowing that I set you free. Go happily my child, and be.

The most intriguing inspirational piece are these words which are shaped as a kite:
Children
are like kites. You
spend a lifetime trying to get
them off the ground. You run with
them until you're both breathless...they crash...
you add a longer tail...they hit the rooftop...you pluck
them out of the spout...you patch and comfort, adjust and teach.
You watch them lifted by the wind and assure them that someday they'll fly. Finally, they are airborne, but they need more string and you keep letting it out and with each twist of the ball of twine, there is a sadness that goes with the joy because the kite becomes more distant, and somehow you know that it won't be long before that beautiful creature will snap the lifeline that bound you together and soar as it was meant to soar...
free
and
alone
Only
then
do
you
know
that
you
did
your
job.

Figure 5: Inspirational poem from Mrs. West

Mrs. West's workspace also confirms her application of this personal learning condition. All three of these examples are connected by a common tone of respect for the individual child. All three demonstrate a respect for the individual freedom of the child. One quote ends with “go happily, my child, and be” and another quote concludes with “respect for what he may become.” The kite poem clearly sends the message that our work with children should be with the purpose of setting them free.
Since most of Mrs. West’s collection of inspiration seems to center on the purpose of schooling, moving to an investigation of the fourth personal learning condition of the emotional-objective seems prudent. This personal learning condition is that the purpose of learning be made clear.

Mrs. West’s thinking on the purpose of learning might also be revealed in two pieces of children’s literature which are on prominent display in her office. The first book, *The Geranium on the Window Sill Just Died. But The Teacher Just Went Right On* by Albert Collum suggests that we must be careful not to miss the teachable moments in our everyday life experiences. Displaying this book with prominence sends an instructional leadership message: it is okay to deviate from lesson plans as other teachable moments arise.

A second piece of children’s literature is not only prominently displayed but was enthusiastically shared by Mrs. West. The book, *Hooray for Diffendoofer Day*, is credited to Dr. Seuss but was actually unfinished work at the time of his death. The book was completed by Seuss’ colleagues, Jack Prelutsky and Lane Smith. The storyline is about a principal who frets about the closing of his school because of poor student performance on a statewide test. Miss Bonkers, one of principal Lowe’s favorite teachers, assures him that because the students have been taught to think that they will perform just fine. The story ends with celebration as Miss Bonkers’ prediction was right on target. Mrs. West likewise experiences the pressures of statewide tests. Her fondness for Mr. Lowe’s story may be through lived experience. Mrs. West has purchased the book as gifts for colleagues and also has read the entire text to her district colleagues in
an administrative meeting. There is little doubt that she cherishes this story and the story may bring further definition to her purpose for learning.

Collectively, her reflections and artifacts reveal a prominent place for learning in her value system. In her story about her father's influence on her life and career, she shares that his love for lifelong learning was modeled and woven into the fabric of the everyday life of her family. She speaks of his love of music and art. She recalls that the family, although not wealthy, owned several fine paintings. She indicates that this early influence of art and music (she played in the school band) has influenced her definition of the purpose of learning.

Another artifact, the Ten Common Principles of the Coalition of Essential Schools, also reveals some of her thinking about the purpose of learning. In the philosophical bedrock of CES are two statements that relate to the purpose of learning. One statement calls for the development of the intellect to be the primary focus of schools and a second statement implies that teachers must value all learning by acting as "generalists" in order to maximize learning. From these artifacts, one might surmise that Mrs. West values multiple intelligences and multiple ways of learning.

The process and related artifact of her faculty's identification of essential knowledge and skills discussed earlier is also noteworthy in her vision of the purpose of learning. Influenced by both the Coalition of Essential Schools' call for the identification of essential knowledge and skills and the political need to improve proficiency test scores, she led her staff through a schoolwide effort to narrow their focus on the most essential knowledge and skills. Leading the faculty through this task bears evidence that
Mrs. West believes that there is a set of core knowledge and skills that are necessary for all children.

Mrs. West’s leadership decisions are also shaped by her beliefs about learning. In the Ohio Principals’ Academy portfolio work, she elected to work around the second Ohio Administrative Competency:

A school administrator is an educational leader who promotes the success of all students by advocacy, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

This standard helps define the purpose of schooling and may provide further definitions for Mrs. West’s perspective. This standard seems to have the most direct relationship of leadership and learning among the six administrative standards.

From this condition for learning emerges an interesting tension created by the paradoxical nature of the artifacts that might define her purpose of learning and the artifacts that she selected to demonstrate good learning. The tension emerges late in her portfolio; the final one-third of the portfolio is documentation of the students’ and the school’s successes. In that reporting, more than twenty pages (more than half) are dedicated to the statewide proficiency test results which are tests of minimum basic competencies. Therein lies the tension between Mrs. West’s beliefs and her documentation of student success. Her beliefs about learning are much broader than her presentation of student success. The documentation does not support her value of lifelong learning, generalist thinking and the humanities. For example, no documentation for success in art and music exists. An assumption is that Mrs. West, like many of her colleagues, feels the pressure of performance and documentation on statewide
proficiency tests to the point of allowing the scores to define student success. Mrs. West realizes this tension in a reflection entitled “Board Goals.” In that reflection, she writes,

Accountability is the buzz word in education. I agree with Fiske in Smart Kids, Smart Schools that accountability is important to the survival of public schools, but accountability is more than standardized test scores, more than numbers. Accountability can be demonstrated in authentic process/products presented before real audiences, for instance.

The trouble is schools with a mission to individualize teaching and learning are met with a standard, numerical measure of accountability. A number is easily reported and offers a means by which one child, one school, or one district can be measured against another to determine “success.”

I agree with accountability. I don’t know a better answer than numbers to report accountability. But I worry that we have an increasing number of children who, in spite of our best efforts in education, may never achieve the numbers that determine them successful or unsuccessful. And I worry that we must guard against measuring a child’s worth by numbers.

This reflection reveals a tension in her portfolio and in her lived reality. The tension in the portfolio is that her purpose of learning seems broadly defined, but her evidence of student learning is the narrow reporting of the numbers that she views with suspicion in her reflection. Supporting this tension in Mrs. West’s life is her celebration of the “Diffendoofer Story.” The story is a victory over standardized tests by a teacher and a school that taught in authentic and innovative ways. One wonders if Mrs. West has walked a mile in Mr. Lowe’s (the story’s principal) shoes.

Limited evidence supports the final two personal learning conditions for the emotional-objective type. Those two personal learning conditions are a preference for diagrams and models over elaborate verbal explanations and the desire to move forward with little repetition. Some evidence for diagram and model utility is found in the
portfolio and did emerge in the peer group interview. The diagrams and charts were used in reference to data presentation involving proficiency test scores.

Despite this evidence of chart development and use, this learning condition presents conflicting evidence regarding the statement of non-preference for verbal explanation. Already described are Mrs. West's ability to listen and her patience in long conversations. Evidence of elaborate verbal explanations and conversations were revealed in the personal interviews, the peer group interview and in portfolio reflections.

The personal learning condition of movement forward with little repetition also reveals conflicting evidence. Although her first three days on the job provides clear evidence of movement forward, both Mrs. West and her teachers describe her as a more deliberate and methodical leader than this language suggests. In the words of her teachers, Mrs. West is described as “very deliberate...always thinking things through.” Another teacher remarked that Mrs. West coached her to implement one small change at a time rather than “going whole-hog” on the idea.

Summary

In summary, clear and confirming evidence was found in five of the personal learning conditions listed by Seagal and Horne for the emotional objective human dynamic type. The five conditions that were confirmed are:

- auditory emphasis with opportunities for discussion or debate,
- opportunities for active experimentation,
- connection with others through the exchange of mutual respect,
- open-ended problem solving, and
- a structured, though not extremely defined, presentation that is brisk, enthusiastic and inspirational.
In the first three conditions listed, confirming evidence is found in all four data sources. Each of these personal learning conditions has confirming evidence in at least three of the four data sources.

Limited and some disconfirming evidence were discovered in three of the personal learning conditions. Those conditions are:

- a preference for diagrams and models over elaborate verbal explanations,
- movement forward with little repetition, and
- the purpose of learning made clear.

The first two of these three conditions seem disconfirmed by Mrs. West’s commitment to good listening and clear understanding before moving into action. The image of a more methodical and deliberate decision-maker than this language suggests emerge from both interviews and written reflections.

The final personal learning condition regarding the purpose of learning provides a dramatic and interesting tension in Mrs. West’s learning and leadership relationship. The tension exists between her definitions of the purpose of good learning and the evidence that she used to define good learning in her school. Mrs. West’s definition of the purpose of learning is very broad while her presentation of evidence of good learning seems to be very narrow.

Analysis of the Emotional-Subjective Background of Mrs. East.

The principal selected from the emotional-subjective cohort is an African-American female in her forties. Twenty years of public school teaching preceded her
move into a one-year leadership trainee program before accepting her principalship. Mrs. East has a rich teaching background as a special educator in a large urban school district. Her teaching experiences with a wide range of disabled students include working with some of the district’s most severely handicapped students. In 1996, she accepted the invitation to enroll in the district’s leadership trainee program and one year later she was assigned to her first principalship.

Although she expresses self-satisfaction in her work as a principal, she has clear goals beyond the principalship. She is currently working on certification for the assistant superintendency with the intent of becoming a school superintendent. She professes to being a lifelong learner and has an academic history which supports her claim. Graduate-level work has been consistent throughout her career despite her balancing the roles of wife, mother, teacher and principal.

Mrs. East is currently serving in her third year as the principal of a very diverse elementary school. The school houses grades K-5 and has 302 students. The students are 31% white, 28% African-American, 2% Hispanic, 38% Asian and 2% multi-racial. Twelve percent of the students are designated disabled or impaired. The student attendance rate is 95% and the staff attendance rate is 93%. There are eighteen teachers and one administrator in the school. The teachers average 18.7 year of experience. The per pupil expenditure is $6,982.

This elementary school has a unique location in a large urban area. Nestled between two suburban school districts and a large university (which is in the urban district), this school reflects more diversity than its larger district. The district serves
nearly 63,000 students. The district’s ethnicity is 41% white, 55% African-American, 1% Hispanic, 2% Asian and 1% multi-racial. The district’s average per pupil expenditure is $6,668.

Besides being known for its diversity and related international themes, this school’s students are also known to perform better than average in the district on each of the state’s proficiency test categories. In some cases, the students are scoring above the state average score which is not typical in the rest of the district.

Another noteworthy characteristic of the school is its partnership with the Ohio Department of Natural Resources (ODNR). The school and the ODNR have formed a partnership to emphasize physical sciences and ecology. The school property includes a creek that has become a land and water education and stewardship project for the students and teachers.

**Learning Conditions of Emotional-Subjective**

Seagal and Horne (1997) contend that emotional-subjective individuals learn most effectively under the following five personal learning conditions:

1. personal, with a sense of personal connection and a level of personal comfort,
2. interactive, characterized by dialogue with opportunities to learn with others,
3. auditory emphasis,
4. affective; appealing to emotions and with opportunity to identify and process feelings; imaginative and creative presentations are preferred, and
5. lateral with clear structure and specific time parameters; a desire for specific activities that promote the capacity to focus.
These five personal learning conditions make better sense when we consider some of the other beliefs and characteristics that the authors describe when introducing the emotional-subjective dynamic.

Seagle and Horne introduce a metatheme of “connecting with everything” for the emotional-subjective dynamic. They describe that this dynamic type has making connections as a fundamental need and primary satisfaction. Connecting with people is most important but so is the notion of connecting with things, ideas and events. The emotional-subjective dynamic receives cues from both his/her internal and external worlds in order to facilitate and maintain connections. Underlying the capacity to make connections is a fundamental impulse to create harmony in relationships. Emotions and sensitivity often permeate thoughts, decisions and actions.

The authors use the metaphor of a piano’s keyboard to describe the range of emotional capacity for this dynamic type. They believe that emotional-subjective types have access to all 88 keys on the emotional keyboard. Emotional-subjective people often turn internally first when faced with new communications, learnings or problems. The internal turn allows an examination of their own emotional being before revealing one’s thoughts, expressions, emotions or ideas to the external world. A related ability of this type’s emotional capacity is gifts of creativity and empathy. Both capacities influence their connections.

Another relevant capacity for this dynamic noted by the authors is intuitive sensibility. This intuitive ability assists communication skills as the emotional-subjective can often detect feelings and unspoken words. This capacity fuels the impulse to
harmonize. Emotional-subjective people are often remarkable in their ability to sense the future. This capacity has clear implications for leadership roles.

Another capacity that has leadership implications is the emotional-subjective type’s ability to be multi-focused. This dynamic enjoys variety and a diversity of experiences, people, interests and activities. Being multi-focused doesn’t necessarily mean being unfocused but occasionally emotional-subjective people must “stop the music” and seek solitude to process and clarify.

The sensitive nature of emotional-subjective people causes a great deal of personalizing of both responsibility and guilt. Seagal and Horne use the term “self-referential” in describing how this type first thrusts all of their decisions and actions towards their own feeling-based experiences. This process causes an unusual amount of personalization of issues.

Another capacity that is supported by the emotional range of this dynamic is one of creativity. An appreciation of humor and a delight for play are cited as personality traits. However, the authors warn that creativity is generally undervalued in our culture and often the creative instincts of this personality dynamic are sometimes stifled.

Additionally, an identified need of emotional-subjective people is time and space for processing. Processing is defined as “engaging in an inner dialogue and/or a dialogue with others to clarify and define feelings and gain understanding.” Processing is needed by people in this cohort to support the ebb and flow of emotions.

Emotional-subjective people generally approach change with caution. Related to their need for processing, this personality dynamic prefers to weigh rearrangements of
relationships, people, ideas or environments before making any drastic changes. Their sensitivity allows them to consider both the advantages and disadvantages of any change.

Another need of the emotional-subjective dynamic is affirmation. Their sensitive nature creates a real need for both giving and receiving approval. Affirmation becomes an important component in the self-identity and self-concept of this personality dynamic.

A final need for emotional subjective people is the need to communicate. Seagal and Horne label communication as the emotional-subjective lifeline: a fundamental necessity and a great joy. Communication serves the purpose of facilitating and expressing personal connections. The communications of emotional-subjective people can often be very complex, however. The complexity is derived from two factors. The first is the ability of this dynamic to communicate. Due to their own talents and inclinations, their communication can often be detailed and even exhaustive. A second factor that contributes to the complexity is their propensity to factor in what is not being said.

Analysis of Mrs. East’s Personal Learning Conditions

The data analysis of Mrs. East’s human dynamic personal learning conditions identified by Seagal and Horne will be presented from the conditions with the most confirming evidence to the conditions with the least confirming evidence. The matrix design and the subsequent rating of data sources produced the following:
<table>
<thead>
<tr>
<th>Learning Condition</th>
<th>Portfolio Analysis</th>
<th>Peer Interview Analysis</th>
<th>Workspace Analysis</th>
<th>Interview Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. personal, with a sense of personal connection and a level of personal comfort</td>
<td>✓</td>
<td>+</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>2. interactive, characterized by dialogue with opportunities to learn with others</td>
<td>+</td>
<td>—</td>
<td>+</td>
<td>—</td>
</tr>
<tr>
<td>3. auditory emphasis</td>
<td>—</td>
<td>✓</td>
<td>—</td>
<td>—</td>
</tr>
<tr>
<td>4. affective, appealing to emotions and with opportunity to identify and process feelings; imaginative and creative presentations are preferred</td>
<td>✓</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>5. lateral with clear structure and specific time parameters; a desire for specific activities that promote the capacity to focus</td>
<td>+</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
</tbody>
</table>

Figure 6: Data analysis of the personal learning conditions for Mrs. East

The most convincing evidence in this study is produced around the fourth personal learning condition listed. The personal learning condition is affective, appealing to emotions and with opportunities to identify and process feelings.

The interviews with Mrs. East and the interview with her colleagues provide ample evidence for this personal learning condition. Mrs. East is very candid about the role of emotions in her life and style. She discusses the wide range of emotions that Seagal and Horne describe in their piano metaphor. She indicates that her emotional swings can be both deliberate (seasonal) and quick (daily). She worries about the role of emotions in her role as a principal and share that she better manages emotions now than in the past. She remarks "I get very emotional most of the time. I am better now, but I
believe that in the past I used to get so emotionally tied up, so involved that it covered me. It was like I had to have a solution for everything, I had to solve every problem and it kept me on edge.” Seagal and Horne observe that emotional-subjective people often have trouble separating themselves from the problems and concerns of others. Mrs. East struggles to separate the concerns of others from her self. She talks of “carrying the weight of the world on my shoulders” and shares that even events in foreign countries often cause her personal depression. By assuming the worries of the world, Mrs. East creates other worries: losing her sense of self and the worry about her own health. She openly reminded herself during the interview that she must become more discerning in order to preserve both her identity and well-being.

Although Mrs. East recognizes the pitfalls of excessive emotions in her role as principal, she also understands that her emotional capacity can serve her well. She recognizes that her own capacity for and sensitivity to feelings help her in the principalship. She detects that her ability to read the feelings of others allows her to serve others well. She holds relationships dear and prides herself on her treatment of others, particularly students. This good treatment of others is confirmed by her peer group interview and is supported by artifacts in her workspace. One of her colleagues remarked, “She really likes people and does her best to make them happy... she is in tune to helping people find their own niche and not trying to force fit them.” Seagal and Horne label this phenomenon “harmonizing.”

Mrs. East’s workspace also contains harmonizing evidence, particularly as related to children. A busy aquarium, a full bubble-gum machine, stuffed animals, dolls, a
baseball glove for loan, shelves full of children's literature, and walls decorated with
children's art work all support her workspace as an invitational and harmonizing place
for children. During one of the interviews, two primary grade students entered her office
without invitation to take bubble gum from the machine. It was clear from their
demeanor and comfort level that a visit to the principal's office in this school is often a
friendly visit.

Another emotional-related attribute that the data about Mrs. East reveals is
intuitive capacity. Mrs. East describes herself as highly intuitive but sometimes reluctant
to act on her own intuition. She supports Seagal and Horne's findings with her self-
proclaimed posture of needing processing time and space before acting upon intuition.
Her colleagues also believe that she has intuitive capacity. One relatively new teacher to
the building shared her first encounters with her new principal. She stated that Mrs. East
was polite and kind but fairly non-verbal in their first meeting as Mrs. East ushered the
new teacher to her room via a tour of the school. Two days later, Mrs. East arrived in the
new teacher's room with several boxes of teaching materials and decorations. The
teacher shared that Mrs. East had intuitively sensed that the new teacher was frantic about
establishing a decent classroom environment on a limited budget. The materials that
were shared were Mrs. East's own materials that she had collected and used as a
classroom teacher. This act exemplifies the good that can derive from intuitive capacity
coupled with harmonizing intent.

A second learning condition that was supported in the data analysis for Mrs. East
is the condition that the learning had personal meaning, connection and comfort. Most of
Mrs. East’s quests for new learning connect to her profession. Her reading, her participation in professional development opportunities, and her enrollment in graduate school coursework all focus on her work as an educational leader. Her personal profession is central to her learning.

Mrs. East’s administrative portfolio provides the most substantial evidence for this condition. The opening section of her portfolio is entitled “Personal History.” The section contains her resume, a written statement about her instructional leadership philosophy, her personal mission statement, a job description for her principalship and a copy of a peer evaluation about her first year as a principal. Each of these artifacts has personal connections.

Her mission statement (constructed in the first person) is very personal. It reads:

I BELIEVE THAT I AM A UNIQUE INDIVIDUAL.
MY MISSION IN LIFE IS TO CONTINUOUSLY STRIVE TO IMPROVE THE QUALITY OF MY LIFE AND THE LIVES OF THOSE THAT I TOUCH

IT IS MY DUTY TO:
GIVE THE GIFT OF KINDNESS TO ALL.
ACCEPT AND RESPECT ALL HUMAN DIFFERENCES.
INITIATE POSITIVE INTERACTIONS.
OFFER MYSELF AS A SERVANT LEADER.
PROVIDE QUALITY EDUCATION TO MY STUDENTS.
PROVIDE STRONG AND EFFICIENT LEADERSHIP FOR MY STAFF.
BE COMMITTED TO LIFE-LONG LEARNING.
TO APPRECIATE MY FAMILY AND FRIENDS AND NOT TAKE THEM FOR GRANTED.
DEVELOP MY MIND, BODY, AND SOUL.

First person pronouns appear eleven times in this relatively brief mission statement. Her opening statement references her own uniqueness and her desire to have a personal influence on those around her. The second stanza is a “duty list” which includes personal
service and personal commitment. She concludes with a personal pledge to develop her own mind, body and soul.

Mrs. East is able to translate the intent of her mission statement into her work world through her job performance evaluation. One of her performance objectives is to practice lifelong learning, certainly a personal ambition. A second performance objective is “to take time out to relax and reflect on personal and professional life so that I can continue to meet challenges with an open mind, maintain a clear vision about what is important and make wise choices about what is important as they relate to students, staff and family.”

Another indicator that Mrs. East prefers learning that connects personally is demonstrated in the storyline of her portfolio. As a participant of the Ohio Principals’ Academy, Mrs. East was asked to select one of the six Ohio Administrative Competencies as a focal point for a selected storyline. The six Ohio Administrative Competencies are:

1. Facilitating the Vision,
2. School Culture and Instructional Program,
3. Managing the Organization,
4. Collaboration and Community Engagement,
5. Ethics and Integrity, and
6. Understanding Publics.

Mrs. East selected the fifth standard that has more personal overtones than the others. The fifth standard is directed at the integrity, fairness and ethics of the school leader – a very personalized standard. The content of Mrs. East’s storyline is also very candid and personal. She speaks earnestly about a hiring struggle within her staff and with the district’s powerful teachers’ union. The struggle was laced with racial tension with hiring
intentions following racial lines. Mrs. East’s storyline selection demonstrates a personal connection to her learning and experiences.

A third personal learning condition, the need for interaction, is evident in her workspace and her portfolio but did not project in any of the interview settings. As described earlier, her workspace invites interaction, particularly with children. Her office is student-friendly and inviting. The aquarium and the bubble gun machine are attractive to the children in the school. A small couch nestled in the corner of her office serves as a comforting retreat for some. The office is colorful, comfortable and cluttered. This workspace looks inhabited.

Mrs. East’s portfolio also demonstrates her value for interaction. Her philosophy statement about instructional leadership is laced with calls for partnership and democratic practices, both of which require high degrees of interactivity. Her list of traits for effective instructional leadership included allowing teachers to gain a sense of ownership in the school, making them team players, and providing autonomy in their own professional development. The list also includes inviting parents and community to the table on matters of curriculum and instruction.

In the epilogue of her administrative portfolio storyline, Mrs. East proposes a professional development plan that calls for more involvement and interaction with both staff and community. Her self-determined charge is to increase participation as she advances the school’s democratic practices.

Paradoxically, most of the interview dialogue does not support the need for interaction. In fact, some of the observation seems to be counterexamples of evidence for
this personal learning condition. For example, Mrs. East repeatedly mentions communication skills as a targeted area for personal growth and improvement. She states “I learn well when I have time for myself. I have to have time without any outside influences. . . . I am not very verbal or articulate. . . . communication is something I have to do on my own timeline.” As she discussed her own learning preferences, Mrs. East describes activities such as reading, reflection, and listening; all are internal and personal and can be accomplished in relative solitude.

Her colleagues also describe this paradox by seeing Mrs. East as friendly and polite but also as quiet and not easily known. One teacher shared that she is very open with children but that there is a comfort zone to her openness with adults. The teachers further describe her tendency to keep emotions internal. Both Mrs. East and her colleagues recognize this tendency and its potential wear on the human system.

Another personal learning condition that produced inconsistent evidence is the lateral organizational need with specific structures and time frames. The portfolio is replete with artifacts suggesting structure and time frames. Her list of traits for effective instructional leadership include clear and consistent routines and structure that should be part of the leadership role. From maintaining a clean and orderly building to making regular classroom visits are listed among the duties of an instructional leader. Another portfolio entry regarding the school’s goals is very lateral in nature. The goals centered on improvement of the school’s fourth grade math and science proficiency test scores. Another interesting entry in her portfolio is an article by John Kotter entitled “What Leaders Really Do.” The article, lifted from the Harvard Business Review (June, 1990),
honors the role of manager and leader. Managers have lateral needs and the selection of this article for placement in the portfolio supports Mrs. East’s honor for lateral needs.

Other data sources, however, do not trace this personal learning condition. The workspace is purposeful and warm but not overly structured. Interviews did not reveal any tendencies towards structure and timelines. The only hint at evidence for this personal learning condition in the interviews is Mrs. East’s recognition of her need to become focused on the important when the job begins to overwhelm. The need to focus is considered a lateral personal learning condition.

A final personal learning condition that was not confirmed was an auditory emphasis. Although her colleagues describe her as a good listener, Mrs. East identifies listening third behind reading and reflection. She also mentions that she learns best when she is involved in a “hands-on” activity. A fair assumption is that auditory learning is one of many modes of learning but not one to be preferred or emphasized.

Summary

In summary, clear and confirming evidence is found in two of the personal learning conditions listed by Seagal and Horne for the emotional-subjective human dynamic type. The two conditions that are confirmed are:

- affective; appealing to emotions and with opportunities to identify and process feelings; imaginative and creative presentations are preferred and
- personal, with a sense of personal connection and a level of personal comfort.

Limited evidence appears for two of the personal learning conditions. Those two conditions were:
• lateral with clear structure and specific time parameters; a desire for specific activities that promote the capacity to focus and
• an auditory emphasis.

A fifth personal learning condition produced conflicting data. That condition is:

• interactive, characterized by dialogue with opportunities to learn with others.

The data analysis for Mrs. East generally produces less convincing evidence for the personal learning conditions than the other three case studies. However, this analysis reveals two interesting tensions that may be common in emotional-subjective school principals. The first tension is the capacity for a wide range of emotional reactions in a job that generally requires a very level emotional approach. If the emotional-subjective principal yearns to play all 88 of the emotional keys but limits the range to only the middle keys, what problems and issues arise? What tensions exist between the self and the role?

A second interesting tension that may be common for emotional-subjective principals may surface between their capacity to be intuitive and sensitive and their need to focus on issues, ideas and problems. Does this intuitive-sensitive capacity help or hinder in the fast-paced, multi-dimensional role of the principal?

Analysis of the Mental-Physical Background of Mr. North

The principal selected from the mental-physical cohort is a white male in his forties. Nine years of elementary school teaching and three years of graduate school work preceded his work as an elementary school principal. Mr. North, although a
product of central Ohio schools and universities, landed his first teaching assignment in Douglas, Wyoming. Without any connections or relationships in that part of the country, Mr. North believes that the decision to move to a new place to explore some new ideas was both spontaneous and romantic.

Although moving west, Mr. North remained connected with a professor of children’s literature whom, as an undergraduate student, he admired. The admiration was mutual as the professor convinced Mr. North to return to the university to enter a doctoral studies program in children’s reading and literature. After three years of graduate school work, Mr. North then accepted a teaching assignment in an informal alternative program in a central Ohio school district. After two years of classroom teaching, Mr. North accepted an appointment as one of the district’s elementary instructional specialists. In this position, he would direct staff development and serve as a teacher of teachers.

In the fall of 1989, Mr. North accepted his first principalship in another central Ohio school district. His first stint as a principal was short as a neighboring school district solicited his leadership through both dollars and design. They offered a significant pay raise to take the helm of a school that was organized around children’s literature. Mr. North accepted and served that school as an elementary principal for six years before moving to the helm of his current school. The move to his current position had similarities to his earlier shift. The school district in which he taught and served as an instructional specialist had solicited his application for the principalship for their alternative school setting. Intrigued with a new challenge, Mr. North accepted this principalship and he is currently serving in his third year.
The school houses grades K-5 and has an enrollment of 518 students. The students are 94% white, 1% African-American, 2% Hispanic, 2% Asian and 1% multi-racial. Fewer than one per cent are on free or reduced lunch. The per pupil expenditure is $6,698. There are thirty-four and one-half teachers and one and one-half administrators in the school. The average length of experience is 15.3 years. The school district that Mr. North serves has 5,350 students. The average per pupil expenditure in the district is $8,250, placing the district in the upper end of comparative school districts in the county. The district’s ethnicity is 94.5% white, 1% African-American, 1% Hispanic, and 3% Asian, and .5% multi-racial. Ten percent of the students have been designated disabled or impaired.

Mr. North works in a high-performing school district. Community standards and expectations are very high. During his brief principalship, the building has been awarded both a Venture Capital Grant and a BEST Practices Award from the Ohio Department of Education. The BEST award is a recognition for innovative practices in public schools. During Mr. North’s principalship, this elementary school has solidified its role and identity as a progressive education alternative school in the district and in the larger educational community. There are four other elementary schools that serve the district.

Mr. North’s leadership skills have been recognized by his constituents and peers. He has received awards from both local school districts and an area chamber of commerce. He has been invited to participate in the Harvard Principals’ Institute, the Ohio Principals’ Academy and the Reggio Schools Institute in Reggio Emelia, Italy. He is also a frequent contributor to leadership and pedagogical literature.
Learning Conditions of Mental-Physical

Seagal and Horne (1997) identify five conditions that allow mental-physical individuals to learn most effectively:

1. In linear fashion, when key points are articulated in a clear, logical, structured presentation. Sufficient time must be available to complete the tasks,
2. A visual emphasis; an overview presented first, then the parts. Reading is an agreeable mode of learning,
3. Opportunities for solitary work,
4. Interactive opportunities, particularly with dyads and small groups, and
5. A values orientation; the value of the learning and values inherent in the subject matter are made clear.

These five conditions make better sense when we consider some of the other beliefs and characteristics that the authors describe when introducing the mental-physical dynamic.

In introducing this personality dynamic, Seagal and Horne announce that a meta-theme for mental-physical types is “vision and perspective.” The authors note that mental-physical people often view things from a mountaintop, typically regarding events with objectivity, detachment and a long-term focus. At least four of the mental-physical personal learning conditions reflect this mountaintop metaphor. The personal learning conditions suggest that the mental-physical learner likes clarity, structure, a big picture perspective, and solitude. All of these can be realized on a mountaintop. The only condition that seems awkward to the mountaintop metaphor is the one on interactivity.

A characteristic important to understanding the learning and leadership of the mental-physical principal is his or her ability to detach and remain objective. Seagal and Horne note that this capacity allows them to make valuable contributions to understanding situations, clarifying issues, and solving problems, even in emotionally
charged circumstances (62). The personal learning conditions of clarity, linearity, vision, solitude and interactivity all support this capacity for detachment and objectivity.

Another characteristic important to understanding the mental-physical principal is his or her primacy of values. Values are a motivating and guiding force with these individuals. They value values and their value system guides both major life and professional work decisions and actions. The structure created by an embedded value system makes mental-physical types very selective with their friendships and associations. In fact, mental-physicals may prefer solitude to companionship which leads to another characteristic: an affinity for solitude and space. When presenting the mental-physical profile, the authors speak of “the principle of oneness” indicating that mental-physical types often connect and are fulfilled in their relationship with solitude. The personal learning conditions seeking clarity, solitude, values, small group, and selective interaction support both the primacy of values and the affinity for solitude and space.

The mental-physical dynamic type view time in an external context. Even in the hassled day-to-day work, Seagal and Horne notice the ability of mental-physical types to step out of the chaos and enter into long-range and even eternal thinking. The personal learning conditions of linearity and solitude support their perspective on time.

Two other related characteristics of the mental-physical are their demand for quality and their methodic approach to change. Quality of performance, thought, expression, deed, product, or character are all important to the mental-physical. Mental-physical people are often meticulous with their own work. Related to their expectation for quality is the need to evaluate proposed changes, considering the rationale, the
alignment to values, and the long-term purposes. The personal learning conditions of linearity, vision, and values all support these characteristics.

A final characteristic relevant to this analysis is the mental-physical type's need for precision in communication. The rhythm of their speech is usually quite deliberate, reflective of a careful choosing of words. They generally prefer conversations that are focused and often prefer the company of one or two versus a large group. Values-centered conversations are a natural attraction to them. In the written form of communication, mental physical people are very reflective and precise. Meticulous writing and careful verbal articulation support their personal learning conditions of linearity, vision, values clarification and solitude.

Analysis of Mr. North’s Personal Learning Conditions

The analysis of Mr. North’s five personal learning conditions will be presented from the conditions with the most confirming evidence to the conditions with the least confirming evidence.

The matrix design and the subsequent rating of data sources produced this matrix:
<table>
<thead>
<tr>
<th>Learning Condition</th>
<th>Portfolio Analysis</th>
<th>Peer Interview Analysis</th>
<th>Workspace Analysis</th>
<th>Interview Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. In linear fashion, when key points are articulated in a clear, logical, structural presentation. Sufficient time must be available to complete the tasks.</td>
<td>✓</td>
<td>✓</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>2. A visual emphasis; an overview presented first, then the parts; reading is an agreeable mode of learning</td>
<td>✓</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>3. Opportunities for solitary work</td>
<td>-</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>4. Interactive opportunities, particularly with dyads and small groups</td>
<td>-</td>
<td>✓</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>5. A values orientation; the value of the learning and values inherent in the subject matter is made clear</td>
<td>+</td>
<td>✓</td>
<td>+</td>
<td>+</td>
</tr>
</tbody>
</table>

Figure 7: Data analysis of the personal learning conditions for Mr. North

The most confirming evidence in this study is produced around the second and the fifth personal learning conditions listed for the mental-physical types by Seagal and Horne. Those conditions are visual emphasis with a “whole-before-the-parts” orientation and reading as a preferred method of learning and a value orientation with values being central to life and learning.

Convincing evidence is found in the values orientation personal learning condition. Ample evidence of this condition appears in the analysis of Mr. North’s portfolio, his interview transcripts and his workplace video. In the interviews, Mr. North often referenced being value-driven. He states,
I have a set of values that are written out and I try to plan around those values. I try to practice those values and prioritize from my values to figure out what is most important. For me, this is more than simply making a list of things to do.

Mr. North shares the importance of the alignment of his values to both his personal life and his work life. He defines reflective practice as the ability to think reflectively on one’s actions as they align to one’s personal values. In his definition, good reflective practice includes a series of self-corrections which allows one to align to your belief system.

Although the focus of this study is directed at Mr. North as a leader and learner, the research also reveals his values orientation in his personal life. From his interviews, the peer group interview and his workspace analysis, one senses a strong connection to his family. There is also an undercurrent of strong religious conviction. Although religion was never an explicit conversation in the interview, he projects a serenity and quiet confidence that emanates from a system of faith. Of interest in this observation is Seagal and Horne’s contention that mental-physical people are prone to big picture perspectives and the viewing of time as eternal. Both pronations would support religious conviction.

Supporting evidence for the value of family also emerges in the peer group interview. Mr. North’s peers share that being a good father and a good husband are central to his life. They believe that he has set family as a top priority.

His co-workers also view Mr. North as a values-driven principal. Collectively they speak fondly of his first day as their new principal. They remember the day because of the power of Mr. North’s presentation on his values-driven vision of a good school.
One teacher declared that his opening day session in 1996 as “the most incredible experience I've ever had. He came in with a plan, a vision and he shared his values.”

A walk through Mr. North’s workspace also supports an orientation toward values. Two important values-laden doctrines are displayed on the walls: the school’s mission statement and the Ten Foundation Principles of the Informal Alternative Plan. The Foundation Principles were also located in his portfolio. Another indicator of values-driven organization is Mr. North’s bulletin board. His board postings, also part of his portfolio construction, are organized around five headings: Self-knowledge, Relationships, Philosophical Focus and Consistency, Parent Responsiveness, and Local and National Responsiveness. Mr. North shares these five areas as keys to realizing both a good school and being a good school principal.

Mr. North’s portfolio also contains a series of reflective, well-written newsletters to the information education learning community. With such titles as “Emotional Intelligence,” “Educational Sense and Uncommon Sense,” and “Myths of Informal Education,” Mr. North is able to use the newsletters as a means of promoting his educational value system.

Perhaps the most resounding evidence of a values orientation for Mr. North’s leadership and learning is his utilization of the Ten Foundation Principles of Informal Education. Those principles are:

1. structure experiences that actively engage the child in producing rather than solely consuming knowledge,
2. integrate thematic units of study and foster authentic learning opportunities,
3. provide opportunities for the arts to occupy an integrated place in the curriculum as an essential way to acquire and express knowledge,
4. use time and space in a flexible manner to maximize student opportunities for in-depth inquiry,
5. respect diversity among children and variation in their development,
6. raise diversity among children and variation in their development,
7. collaborate with parents as co-educators in meeting children’s needs,
8. value ongoing reflection and self-evaluation by children and adults,
9. guide child choice and decision-making, and
10. view our school as a center for teaching and learning for all ages and we are students of our own teaching.

On his wall, in his portfolio, in his conversations and embedded in his mind are the words and beliefs of these principles. In his work as a principal, these principles have a profound influence. Mr. North admires Stephen Covey’s Principle-Centered Leadership and professes that his principle-centeredness revolves around this belief system. The Ten Principles are present in all four data sources and could be felt in the pulse of the school. These principles and their employment are strong evidence of a values-driven leader and learner.

A second personal learning condition that has convincing evidence is a visual emphasis with a “whole-before-parts” orientation and reading as an agreeable means of learning. Reading as an agreeable means of learning for Mr. North is easily documented. His interviews reveal that he is well read. His peers confirm this penchant for reading, research and data. His workplace is loaded with books. A quick estimate of 250 books adorn his shelves and a second bookcase has been established outside his office which contains approximately 350 more books. The authors range from the classic work of John Dewey to the more contemporary thinkers such as Howard Gardner and Theodore Sizer. In one of the interview sessions, Mr. North declared, “I love books. My doctorate being in children’s literature, I love children’s books and books on leadership.”
Other evidence of a visual learning style exists in both the portfolio and the workspace. His orderly presentation of lists, charts, and groupings in his workspace demonstrated a respect for visual presentation. His portfolio contains a variety of lists and charts which have a visual orientation. The following chart is a sample of a visual presentation that is found in his portfolio.

![Diagram]

Problem-Based

**Authentic Curriculum**
Emerges from individual •
• group • teacher interests

**Integrated Curriculum**
Interdisciplinary
Thematic Studies
Webs • Conceptual

Math time • Reading Time • SSR •

**Discipline Centered Curriculum**
Curriculum organized by disciplines
Webs • Discipline-Centered

Civility • Community • Compassion

Figure 8: The curriculum of the informal program from Mr. North
His co-workers confirm his affinity for visual aides when presenting his own ideas. One teacher remarked that he uses charts to keep meetings focused. She admired his ability to gently refocus groups that are off track and she realized in her own reflections on his leadership that he often “browses back” to the charts to regain the appropriate focus. Also supporting this orientation is the aforementioned design of his bulletin board. He organizes his bulletin board around five identified keys to being a good school and a good school principal.

Seagal and Horne also include seeing the whole before the parts as a component of this visual orientation. His peers believe that Mr. North’s ability to see the larger vision adds to his uncanny leadership ability. Even in a very humble discussion of his own abilities, Mr. North admits “vision is a strength.” The quality and quantity of vision sharing that are documented in the newsletters in his portfolio also confirm visioning as a strength.

An observation related to vision but not explicit in Seagal and Horne’s work is Mr. North’s ability to use metaphors to create visual images in one’s mind when proving a point. A favorite metaphor is when Mr. North describes a good principal as a good closing pitcher in baseball. He shares that principals and closing pitchers have to have “strong arms and short memories.” He remarked that, as a principal, he has given up some late inning homeruns, but like a good closer, he must forget that pitch and move on.

Another example of his use of metaphors is his “flower-and-mops” analogy. In his opening presentation to the staff, he stated that teachers needed both flowers and mops: flowers to brighten and reward and mops to clean up the messes. The metaphor
resonated with the faculty and a building ritual of flowers and mops awards at years end has developed.

A third personal learning condition that is confirmed by the data analysis is the preferred linear nature where key points are articulated in a clear, logical, and structured presentation. The peer group interview and Mr. North’s workspace have the most confirming evidence for this condition. In the peer group interview, teachers used such terms as “objective,” “structural,” “precise,” and “methodical” to describe Mr. North’s leadership style. They view him as goals-oriented and stated that he is a master at leading groups through processes to air and resolve problems. Although structured, he is not perceived as rigid. “Cunning” and “well-planned” were the adjectives offered.

The group also shared his deliberate style of writing. His secretary, who participated in the peer group interview, shared his very deliberate and precise style of writing. She declares that he does not know a final draft and she processes drafts as many as five times. Mr. North confirms “writing as a strength of mine.” He credits writing in assisting both his reflective thinking and his speech-making. He shares that speech-making does not come easily for him, but he is able to deliver well because of his ability to write and think his ideas through in advance of the speech. Mr. North’s portfolio provides samples of deliberate and purposeful writing.

Lists also reflect some preference for linear presentation and his workspace walls are covered with lists. Beyond those already mentioned, two very prescriptive, patterned, logical lists appear. One list is a four-step process on problem-solving:

Step 1: Go To The Balcony
Step 2: Step To The Side

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Step 3: Reframe
Step 4: Build A Bridge.

Another list on working out conflicts has a similar linearity.

Mr. North's comfort with data also suggests support for linear presentations as most school data arrives in this form. The data collected and presented in his portfolio on the school's performance is a collection of lists, charts, and tables that were all very linear in nature.

A fourth learning condition that is validated by both Mr. North and his peer group is his need for solitude. Mr. North, who meditates on a daily basis, began this school year with a personal retreat where he spent forty-eight hours in solitude. Mr. North's lists of keys to successful leadership include self-knowledge, and he spends time and energy on issues of personal assessment, reflection, and growth. He believes that intra-personal intelligence is a continuous, lifelong process of teaching and learning about self. Mr. North admits, "I see the world through my mind. I have lots of conversations and dialogues in my mind...I do an awful lot of inner talk."

Mr. North identifies himself as an introvert by nature. He believes that his social skills are learned and sometimes forced. His faculty describes Mr. North as personable and friendly but state that he is sometimes difficult to read. They also can tell when he has had too much of other people. One staff member shared, "You can tell when he has had too much of other people. Not necessarily how he responds to people, but that he is really beginning to shut down and he better get to a place where he can get back into himself."
Mr. North’s daily habits allow for a retreat to solitude. Meditation, prayer, reading and writing are all part of his daily routine. Mr. North’s affinity for reading and writing supports the need for solitary work. He speaks of retreating with a good book as a pleasure in life. He also enjoys and excels at writing. He believes that writing supports his need for reflective thought. Besides the writing that is necessary in his leadership position, he also keeps a personal journal.

Also supporting Mr. North’s need for solitude is his love of nature. Being near a large body of water or being in the midst of a forest has appeal to him. One of his favorite past-times is gardening which is both natural and solitary.

The workplace for Mr. North is very small and without room for any small group activity. By size and design, his office indicates that it is a place for the work of one or two. The most prominently displayed art in his office is a picture of a deep forest. On his door is student art work depicting his garden. Clearly his workspace supports many of the personal learning conditions listed for the mental-physical dynamic type.

The only data source that does not produce substantial evidence for the preference of solitary work is the portfolio. Absent from the portfolio is any journaling or personal reflective writing. Perhaps the absence of personal writing reflects the private nature of the mental-physical type.

The final personal learning condition, the need for interaction, is supported in the portfolio analysis but produces limited evidence for other points of analysis. In his portfolio, Mr. North lists five keys for being a successful school leader:

- relationships,
- philosophical focus and consistency,
• self-knowledge,
• parent responsiveness, and
• local and national responsiveness.

In three of the five keys, interaction is essential. Relationships, parent responsiveness and local and national responsiveness all have clear implications for interactivity.

Philosophical focus and consistency also imply a need to be in tune with others.

Through the series of interviews with Mr. North and his peers, it became clear that Mr. North values interaction that is purposeful. He relies on his communication skills, including listening, to serve his principalship. It also became clear that Mr. North does not value idle talk. His discussions and interactions must have substance or he is quick to abandon them.

Summary

In summary, clear and confirming evidence is found in four of the five personal learning conditions for the mental-physical type. The four conditions that are confirmed are:

• in linear fashion, when key points are articulated in a clear, logical, structured presentation, sufficient time must be available to complete the tasks,
• a visual emphasis; an overview presented first, then the parts; reading is an agreeable mode of learning,
• opportunities for solitary work, and
• a values orientation; the value of the learning and the values inherent in the subject matter are clear.

Limited evidence is found for one of the personal learning conditions:

• interactive opportunities, particularly with dyads and small groups.

Although the evidence is limited for this condition, the condition is supported when the interaction serves a clear purpose.
Two provocations emerge in the analysis of this principal type. The first provocation centers on the tension that can exist between conflicting values. Since mental-physical types are so values oriented, what occurs when the values system in the school does not align with the values system of the principal as a person, or vice versa?

A second provocation centers on the mental-physical principal's need for solitude in such a public role in a public place. How can mental-physical types find solitude and space in the principalship?

Analysis of the Physical-Mental Background of Mr. South

The principal selected from the physical-mental cohort is a white male on the verge of celebrating his fiftieth birthday. Twelve years of teaching science at the middle school and high school levels preceded his entry into school administration. His first leadership position, president of the local teacher's association, was acquired early in his career. Mr. South's first administrative assignment was as an assistant principal in a large suburban high school. After four years of service as an assistant principal in charge of student activities, Mr. South assumed the principalship of a neighboring high school in the same district where he had served as an assistant principal, teacher and coach. The school district is one of the ten largest districts in Ohio and is served by three comprehensive high schools and a vocational high school.

Mr. South is currently serving in his thirteenth year as a high school principal in the same building. This comprehensive high school houses grades 9 through 12 and has approximately 1100 students. The students are 86% white, 10% African-American, 3%
Asian and 1% multi-racial. Although the district is a large, sprawling one which is generally considered suburban, this high school serves a unique population of families that are nestled in the corner of a larger urban area. With an average household income of less than $20,000 and a transience rate of 35%, the school faces many of the characteristics and issues challenging urban settings. The staff includes seventy-two teachers and four administrators. The average per pupil expenditure for the building is $7,012.

The larger district serves more than 18,000 students in a square mile area. Seventeen elementary schools, five middle schools and three comprehensive high schools are supplemented with a vocational high school and two alternative schools. The ethnicity of the district's student population is 91% white, 7% African-American, 1% Hispanic, 1%Asian and .1% American Indian/Alaskan Native. The per pupil expenditure in the district is $6,008.

Mr. South and his staff have built a reputation as one of the area's more innovative high schools. Known best for their work on a Tech Prep initiative, the school has succeeded in eliminating a general curriculum in favor of more focused student preparation towards work or school. Schoolwide awards include a BEST practice award, a Seeds of Change Award from the Ohio Department of Education, and the Lazarus Award for Innovation in Education. Monetary awards have also followed their work in the form of an Effective Schools grant, a Venture Capital Grant, a School to Work grant, and a Goals 2000 grant. Most recently, the school was selected as one of the sites to be
studied by a national research team investigating transformations in learning communities.

Predictably, the schoolwide awards have also been coupled with individual honors in recognition of Mr. South's leadership. In 1995, Mr. South was honored by the statewide principal's association as Principal of the Year. Mr. South received other awards from the statewide parent-teacher organization and from his college alumni association.

Learning Conditions of Physical-Mental

Seagal and Horne (1997) conclude that physical-mental individuals learn most effectively under the following five learning conditions:

1. systemic, when the purpose for the learning is explicit; a structured outline with a clear and systemic presentation; models, charts and diagrams are preferred,
2. interactive with task, careful pacing with sufficient time to absorb, assimilate, and distill data, complete tasks and formulate responses; opportunities to work with others after assimilating details and preparing models,
3. data and detail driven, structural outline and considerable context provided; detailed presentation preferred,
4. internal processing, careful pacing with opportunities for reflection and solitary work, and
5. kinesthetic; opportunities for learning by doing.

These five learning conditions make better sense when we consider some of the other beliefs and characteristics that the authors describe when introducing the physical-mental dynamic.

Seagal and Horne introduce a metatheme of "pattern integrity" for the physical-mental dynamic. Pattern integrity is the ability to assimilate large amounts of information and data with inherent capacity to see and experience patterns. The
recognition and the use of patterns are fundamental to the physical-mental individual. Pattern identification and use are essential to their understanding of and functioning in everyday life.

The capacity to recognize and influence patterns is a valuable leadership asset. Physical-mental people can take constructive action. The authors list strategic planning, prioritizing and systematizing as natural gifts. The capacity and propensity to plan with purpose and care are valuable leadership assets.

A primary lens to the world for physical-mental people is how things work. This lens leads naturally to a compulsion to address why things do not work or to problem-solve. Although the ability to solve problems is generally a recognized leadership asset, the authors warn that sometimes physical-mental people are so deliberate that they are left behind or they feel left out.

Time is viewed as continuous by physical-mental types. This view of time creates a deep appreciation of history and its influence on the current course of events. Specifically, patterns in history become useful for physical-mental types as they attempt to understand and solve. Related to an appreciation of the past is a capacity for memory. Physical-mentals have a keen but selective system of memorizing information pertinent to their work and understanding.

The selective memory contributes to the physical-mental type’s preference for factual, concrete and practical communications. Because they know that they become fully involved once they commit, physical-mental people want to have considerable context and detail from the beginning.
Noticeable in meetings with physical-mental people is an even and deliberate conversation. When grouped with other personality dynamic types, the physical-mental person is often last to speak, wanting to gain as many of the details and perspectives as possible before speaking. Although physical-mental people are often viewed as silent in a group, the tables can turn quickly when they become passionate about an issue.

Another characteristic of physical-mental people that is noteworthy for this analysis is their approach to change. Since physical-mental people have the intrinsic need and capacity to see the total effects of decisions in both the long and short terms, they are generally viewed as cautious when approaching change. They are sometimes viewed as conservative, stubborn and resistant to change. The authors contend that this is an unfair and inaccurate perception. Physical-mental people are not opposed to change but must be convinced that the change is necessary in order to reach long-term goals. Once convinced, physically-centered people will move quickly into action.

A final characteristic worthy of mention in this analysis is the notion of dual rhythms expressed by physical-mental people. They report living in two distinct rhythms: a fast rhythm associated with activities of the mind and a slower rhythm in the body. They can experience both rhythms distinctly or concurrently. Some uneasiness occurs when the rhythms are concurrent. They describe the slower rhythm as "home," "nature" or "organic." Physical-mental types report an affinity for nature, particularly quiet and slow-paced places.

Since physical-mental people prefer the slower, more natural rhythm, they are often at odds with the pace of a business meeting or a school classroom. A tension arises
over the pace of the work and decision-making in those settings. The relief for this personality dynamic is to balance their activities, honoring the need for slower-paced settings. The learning need for reflection and solitary work supports this condition.

Analysis of Mr. South’s Personal Learning Conditions

The data analysis of Mr. South’s human dynamic personal learning conditions identified by Seagal and Horne will be presented from the condition with the most confirming evidence to the conditions with the least confirming evidence. The matrix design and the subsequent rating of data sources produced this matrix:

<table>
<thead>
<tr>
<th>Learning Condition</th>
<th>Portfolio Analysis</th>
<th>Peer Interview Analysis</th>
<th>Workspace Analysis</th>
<th>Interview Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. systemic, when the purpose for the learning is explicit; a structural outline</td>
<td>+</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>with a clear and systemic presentation; models, charts and diagrams are preferred.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. interactive with task, careful pacing with sufficient time to absorb,</td>
<td>✓</td>
<td>+</td>
<td>–</td>
<td>+</td>
</tr>
<tr>
<td>assimilate, and distill data, complete tasks and formulate responses; opportunities to work with others after assimilating details and preparing models</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. data and detail driven, structural outline and considerable context provided;</td>
<td>✓</td>
<td>–</td>
<td>+</td>
<td>✓</td>
</tr>
<tr>
<td>detailed presentation preferred</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. internal processing, careful pacing with opportunities for reflection and</td>
<td>–</td>
<td>✓</td>
<td>✓</td>
<td>+</td>
</tr>
<tr>
<td>solitary work</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. kinesthetic, opportunities for learning by doing</td>
<td>✓</td>
<td>–</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

Figure 9: Data analysis of the personal learning conditions for Mr. South.
The most convincing evidence in this study is produced around the first learning condition listed. The learning condition is systemic, when the purpose for learning is explicit; a structured outline with a clear and systemic presentation is preferred and models, charts and diagrams are useful. All four data sources support this condition for Mr. South.

The order and design of Mr. South’s portfolio clearly reveal support for this condition. The portfolio is very structured, following an alternating pattern of entries related to self and school. Each of the sections of the portfolio is clearly labeled. The first section is labeled A Prologue: A Historical Perspective of Mr. South and Southside High School. Interestingly, Mr. South opens his portfolio with an entry that includes eighteen “Individual Guiding Principles” which serve him as a bedrock of belief statements in his practice as a principal. The list is a broad spectrum of ideas and beliefs which have been learned and experienced in his role as an educator. To lead with a series of belief statements supports the physical-mental’s need to organize systemically around ideas. The list of belief statements provides a grounding pattern for the reviewer of the portfolio.

Another supporting design in Mr. South’s portfolio for this personal learning condition is the manner in which he aligns and organizes other belief-related documents. His portfolio contains a section which leads with the district’s mission statement and is followed by the district’s belief statement, the school’s mission statement, the school’s belief statements and concludes with a list of student learner outcomes. The organization
of mission and belief statements in a pattern from whole district to school to individual learner supports the mental-physical needs to systemize and pattern.

Mr. South has been very systemic in the development of school improvement strategies for his school. This excerpt from one of the reflections in his portfolio exemplifies his ability to conceptualize and articulate the "big picture" through the construction of its parts. He writes,

At Southside High School we have struggled to improve the academic performance of our students. When one reviews the history of student selection of curriculum pathways the following depicts our students' preferences: 25% college prep, 55% general curriculum, and 20% vocational. After considerable analysis and study over a period of time, we reached the conclusion that our general curriculum had not prepared our students for higher education or the work force. The general curriculum provided no focus for our students, lacked skill-producing courses, and gave students the opportunity to graduate by simply accumulating 18 or 19 credits. We have referred to this curriculum as the "smorgasbord" approach to education. We were more concerned with graduating students than providing our students with skill development and knowledge work that would prepare them for multiple options after graduating from Southside High School.

Another issue that raised much concern was the success of our freshmen. Statistically our freshmen had the lowest grade point average, the lowest attendance rate, and the highest percentage of discipline referrals. Upon reviewing some literature on the ninth grade we decided to put in place a program aimed at intervening with at-risk freshmen. At the end of the first grading period, those students with two or more class failures were divided among six staff members. These staff members agreed to work with the Freshman Intervention Program in lieu of a supervisory duty. Staff members scheduled conferences with parents and students to discuss the reasons for failure and to develop a plan that would lead to improvement. Unfortunately, this mentorship program was not as successful as we had hoped for.

We began discussing other approaches. We again reviewed the literature and attended workshops on cooperative learning, integration, multiple intelligences, 4-Mat, authentic assessment and learning styles. After careful deliberation among administrators, counselors and teachers it was
decided to put an integrated teaching team in place that would focus on communication skills, higher levels of math and science, computer literacy, critical thinking skills, presentation skills and group work skills. These skills were to be taught through project-based work. The integrated teaching team consisted of instructors in English, mathematics, science, social studies and foreign language. Teachers who we felt would be compatible in this scenario were approached and accepted the challenge. Over the summer they worked very hard to develop integrated lessons and major projects where students were responsible for developing presentations that incorporated individual and group portfolios. Incoming freshmen between the 25th and 75th quartile of their class were targeted for the integrated classes. These teachers would have the students for a 256-minute block of time. They would be on a time schedule completely different from the rest of the student body (a school within the school concept). It was also decided that these teachers would have a team conference period in addition to their individual conference period.

This reflection is a rich example in support of the personal learning condition identified by Seagal and Horne for physical-mental people. Besides demonstrating capacity to see the big picture, this reflection also reveals interaction with tasks. In the last paragraph, Mr. South speaks of his interaction with the tasks and his staff after assimilating and analyzing the data. The story also reveals some internal processing and reflection on the part of the principal.

Like the portfolio, Mr. South’s workspace also clearly demonstrates his preference for structure and order. Of the four principals in this study, Mr. South’s workspace is the most organized. Documents like the school’s charter, a PTA decree, and the principal’s diploma are systematically arranged on the walls. A symmetry exists in each of the arrangements on the walls – from the aforementioned documents to a highly organized bulletin board which is dedicated to daily schedules, event schedules, and the school calendar. The school’s vision, mission, and belief statements are
displayed in a linear fashion. A bold-faced clock has a stark presence bringing even more order to the room.

Mr. South’s colleagues affirm his capacity for systemic thinking. One of his closest associates shares,

I know when Mr. South balances a decision he is thinking of all of the systems in the building as a whole and he knows that everything is connected to everything else and what affects one area is going to affect another area so he tends to look at the big picture when he makes connections.

Another of Mr. South’s colleagues echoed this sentiment, sharing that she believes Mr. South has the uncanny ability to entertain multiple ideas and then make sense of them. Seagal and Horne label this capacity as pattern identity.

Also supporting this capacity in the peer interview was a conversation about Mr. South’s role and relationship with the rest of the school district. His colleagues shared Mr. South’s ability to understand the unique needs of his school’s clientele in a large, complex, politically-diverse school district. One colleague shared that Mr. South has learned “to champion our cause” without disturbing the ebb and flow of the larger district. This capacity requires systems thinking and systems understanding.

Although Mr. South remains modest about his leadership capacities, he admits that pattern identity is a leadership strength that he has developed. His story of school improvement for Southside High School, shared in the earlier reflection, exemplifies his capacity to think systemically. The Southside High story, beginning with one freshman teaching team and moving to a whole school reform scheme, is an example of a methodic, systemic approach to school improvement.
The appreciation of history by physical-mental types that Seagal and Horne profess became evident in the personal interview with Mr. South. He overtly expresses an appreciation of the knowledge of the past and its importance in affecting the future. He believes his own history with the district and his personal knowledge of the history of the school have been vital in implementing many of the innovations for improvement.

A second personal learning condition that is supported by the data analysis for Mr. South is being interactive with the task. This condition acknowledges the need for time to assimilate and absorb information. The condition also suggests that interaction with others is also important once information has been processed internally. The school’s story of innovation and change, shared in interviews and in the portfolio, demonstrates the presence of this condition for Mr. South. The innovations and changes that have occurred in the school were very methodically and carefully planned. The school reform initiative assumed a methodic, one-step-at-a-time pace. The changes were not made without an analysis of data. Implementation occurred only after a careful weighing of advantages and disadvantages for the changes. Mr. South was involved and interactive with the innovations. He did not, however, operate in isolation. The changes and innovations included a wide range of players including students, teachers, parents and community. In Mr. South’s own words, he states, “I believe many heads are better than one...we have a lot of good people around here and this must be a team approach.” The story of Mr. South’s role in the Southside High School’s reform initiatives, from planning stages to full implementation, characterize this interactive learning condition identified for physical-mental types by Seagal and Horne.
Another confirming artifact in the portfolio for this personal learning condition is the school’s recently adopted Continuous Improvement Plan. The three organizing centers for this document are site-based decision-making, community involvement, and the capacity for innovations and improvement through professional development. Each of these areas implies interactivity. Each of these areas promise more interaction with pledges of more reliance on site-based decision-making, more attempts at increasing community involvement and specific strategies for broad-ranging but focused professional development.

Due to the time needed to think systemically and then interact, physical-mental types are often slow or last to speak. This characteristic is noticeable to others in Mr. South. In a videotaped conversation with other principals in a like-dynamic organized session, Mr. South is last to speak and share. One of his colleagues in the peer interview mentions deliberate speech as a characteristic of Mr. South. His colleague remarks about Mr. South’s deliberate style:

When I first came here, I thought it was kind of strange because you would ask Mr. South something and sometimes he wouldn’t answer. Then two or three days later he would come back and give you the answer. . .a lot of time his responses are slow. . .he needs time to think about things and process it.

Mr. South acknowledges his deliberate style. He believes that in the early years of his principalship, he sometimes spoke too quickly which often exacerbated a problem. He consciously attempts to process the situation before becoming verbal.

Distinct but related to the interactive personal learning condition is the kinesthetic learning condition. There is supporting evidence of this condition in this data analysis.
Mr. South’s philosophy regarding effective teaching and learning relates to this
kinesthetic condition. Mr. South believes that students learn best by “doing the work.”
The tech prep initiative rests in a framework of applied academic offerings which support
the acquisition of knowledge and development of skill in a specific vocational
preparation program. The entire design is predicated on a student-as-worker, teacher-as-
coach instructional strategy that leads to “hands-on” learning. In describing the tech prep
initiative at Southside High School, Mr. South writes,

We at Southside High have worked extremely hard at developing a tech
prep curriculum that incorporates the use of integrated teaching, group
work concepts and project presentations as the core. We integrate the
subjects of math, science, English, social studies, keyboarding and
Spanish during a 251-minute block of time in the freshman year. As
sophomores, students are exposed to the integration of math, applied
biology/chemistry, American history, principles of technology, English
and computer applications in another 251-minute block of time. Through
the use of group project presentations we emphasize skill development in
the areas of communication, problem-solving and technology.

The integration, the extended teaching blocks of time, the emphasis on problem-solving
and the use of technology all support a kinesthetic-oriented teaching and learning
philosophy.

More support for the kinesthetic condition surfaces in the peer interview. When
describing the leadership attributes of Mr. South with his colleagues and his willingness
to become actively involved in the work of the school, one colleague shares,

He actually likes to get out... he will make sandwiches in the kitchen, he
cleans dishes with the custodians, he helps the secretaries type letters. He
actually likes to get in and do the work with staff members whenever he
has an opportunity.
Mr. South affirms this condition as one important to his own learning. In reflecting upon his own learning style, Mr. South indicates that he prefers to learn by doing, by interacting with people rather than reading and referring to texts.

A fourth personal learning condition that has confirming evidence is the need to internally process internally with careful pacing and opportunities for reflection and solitary work. The personal interview with Mr. South contains most of the evidence for this condition. Mr. South discusses both a natural and learned inclination towards methodic, internal processing. Seagal and Horne discuss two distinctive paces that are described by physical-mental types. The slower pace is described as “home,” “natural” and “organic.” Mr. South resonates with that pace particularly when he is seeking time to reflect. Mr. South shares that he finds enjoyment in some solitary experiences. He mentions hunting and fishing. He talks of the beauty and solitude of forests. He shares that he enjoys hours of cutting grass on the riding lawnmower at his property. All of these activities support the need for solitude and a time for internal processing.

A final personal learning condition that is also confirmed in this analysis is the need for data and details. A visit to Mr. South's office confirms that he is data and detail driven. Data and details cover his walls. Charters, degrees, membership documents, test scores, bell schedules, athletic schedules, a school calendar and a master schedule all adorn his walls. His bookshelves are even more revealing. The shelves are replete with manuals. Within arm’s reach, Mr. South keeps the details of policy, curriculum, testing, and demographics. A computer on his desk enhances his access to data and detail. His portfolio also supports this condition as several of the artifacts are data-oriented.
His peers, likewise, acknowledge this need. They indicate that Mr. South wants substantial data and detail before making a decision. As mentioned earlier, this need sometimes gives the appearance of indecisiveness or a reluctance to change. Mr. South’s overall track record as a leader of an innovative school counters this notion.

Summary

In summary, confirming evidence is found in all five of the personal learning conditions listed by Seagal and Horne for the physical-mental human dynamic type. Those conditions are:

- systemic, when the purpose for the learning is explicit; a structured outline with a clear and systemic presentation; models, charts and diagrams are preferred,
- interactive with task, careful pacing with sufficient time to absorb, assimilate, and distill data, complete tasks and formulate responses; opportunities to work with others after assimilating details and preparing models,
- data and detail driven, structural outline and considerable context provided; detailed presentation preferred,
- internal processing, careful pacing with opportunities for reflection and solitary work, and
- kinesthetic, opportunities for learning by doing.

Of the four case studies, the physical-mental principal is the only case that generated convincing evidence for each of Seagal and Horne’s personal learning conditions.

An interesting tension for physical-mental principals that emerges in this analysis is one of pace. How can a physical-mental person find the necessary processing time to think systemically, digest data and details and internally process in a job that demands such a hectic pace? What time utilization strategies and/or coping strategies are necessary for physical-mental types to succeed in the principalship?
Chapter Summary

The investigation of the personal learning conditions identified by Seagal and Horne are generally confirmed as being present and true for the personal learning conditions of school principals. Through interviews, videotaping and portfolio documentation, each dynamic type reveals some congruence of his/her personal learning conditions with the author’s list of personal learning conditions.

The physical-mental (Mr. South) and the mental-physical (Mr. North) types produce the most aligned evidence. The two emotionally-centered types, emotional-objective (Mrs. West) and emotional-subjective (Mrs. East), are generally aligned but both cases reveal some counter-directional evidence. The deviations could be attributed to some weaknesses in the research design and techniques and/or the tendencies for emotionally-centered types to fluctuate in their wide range of emotional capacity.

Also discovered in the analysis of data is at least one obvious tension for each of the human dynamic types in his/her role as a principal. The physical-mental dynamic (Mr. South) reveals a tension with pace; the mental-physical dynamic (Mr. North) reveals tensions with values and privacy; the emotional-subjective dynamic (Mrs. East) reveals tensions with emotional management and ability to focus; and the emotional-subjective dynamic (Mrs. West) reveals a tension with institutional and role constraints.
CHAPTER 5
CONCLUSION

Introduction

The purpose of this research is to understand better the dynamic relations between natural personal learning conditions and the quality of leadership of school principals. A second, more emergent purpose of this study is to describe the tensions when natural personal learning conditions do not support expected roles of the principal. The desired significance of this dissertation is to assist principals and professional development providers with a better understanding of the dynamic relationships between and among the personal learning conditions and leadership qualities of principals. Moreover, this research may support the redefinition of the principal’s role in schools of the 21st century.

Understanding Learning and Leadership

Clearly, successful school principals can reside in any of the four human dynamic types presented in these case studies. The four principals, representing four different dynamic types, have all received praise, honors and stellar performance evaluations in their roles as a principal. Although success as a principal can be achieved in each of the dynamic types, this study reveals insights on the dynamics between the role of the
principal and the human dynamic type. The identification of tension(s) between the principal’s role and the human dynamic learning conditions provides insights about inner-dynamic strategies and adjustments which may assist present and future principals in dealing with his/her human dynamic conditions and the role of the principalship.

The mental-physical principal case study, Mr. North, provides a clear example of a principal’s ability to reconcile tensions between his human dynamic needs and his role expectations. In the analysis of data through the human dynamic lens for Mr. North, two tensions between the dynamic type and the role surfaces. The first tension is centered on the strong values-centeredness of this human dynamic type. In the analysis of Mr. North’s case study, these questions emerge:

- How can a mental-physical person align his/her own personal values with the values of his/her work and school?
- Do strategies exist that a mental-physical principal can employ to align values between self and role or school?
- What coping strategies exist for the misalignment of self and role?

Mr. North has successfully aligned his values system with his role as principal and with the values of the school. Two strategies are evident in achieving that alignment. First is a careful and deliberate decision regarding which principalships he would accept. His willingness both to become a principal and to move to another building was based on his strong belief in informal education. In brief, Mr. North had measured deeply and intensively his values against the existing values in the school before he accepted the principalship. A second strategy that assists with and maintains alignment of values and role is persistent and clear communication about his personal values and the values of informal education. He communicates through his speaking, his writing and his display
of artifacts. Listening to him speak, reading his newsletter or visiting his office all quickly reveal his value system.

A second tension that often exists in the role of principal for mental-physical types is their need for privacy. In this case study, this question emerges:

- How can a mental-physical person find space, solitude and privacy in a very public job?

Once again, Mr. North’s study provides strategical insight. Mr. North begins each school year with a 72-hour retreat in solitude. The ritual for him provides the necessary calm before the storm. During the school year, Mr. North also diligently practices daily meditation. His religious beliefs and his study of the art and science of Tao facilitate the fulfillment of this need. Those around Mr. North recognize his need for solace. His colleagues share that they know when he has had enough of people. Implicitly or explicitly, Mr. North sends messages to those around him when he is in need of solitude.

The case study of the physical-mental principal, Mr. South, provides an example of a principal who has a keen sense of self-awareness regarding his human dynamic needs. The tension which surfaces in this study is one that is recognized and affirmed by Mr. South himself. The tension exists around the pace of the work of the principal and the human dynamic need for time. From this case study, this question emerges:

- How do physical-mental principals find the necessary processing time to think systemically, to digest data and details and to process internally in a job that demands a more rapid and hectic pace?

Mr. South openly acknowledges and practices his need for processing time. In a group, he is often last to speak. This tendency is captured on videotape and is acknowledged by his colleagues. One-on-one, he may not provide either commentary or an answer “on the
spot.” He is aware of his demeanor of methodic responses and his willingness to accept
the condition of time to process as a need has allowed him successfully to convey this
need to his constituents. While some physically-mental principals may be perceived as
indecisive for the inability to respond quickly, Mr. South successfully projects the need
into a positive quality. His colleagues describe his slow response as necessary for his
deep, sincere thinking. His awareness, comfort, and self-confidence with this human
dynamic need provide insight for physical-mental principals.

The case study of the emotional-objective principal, Mrs. West, reveals both some
interesting alignment strategies and a contrast between some of her basic beliefs and her
documentation. Her willingness to share her reflective writing in her portfolio provides
special insight to her inner-struggle between the role of principal and her human dynamic
needs. In this case study, these questions emerges:

- How might an emotional-objective principal fulfill his/her creative
  needs and need for change in an institution and a role that is often too
  slow to change?
- What alignment strategies exist between self and the role and the
  school?

Mrs. West’s chances for satisfaction and success in the role of the principal are
enhanced by her move into her current principalship. Her willingness to leave a secure
and successful principalship in a neighboring district to accept a new and daunting
challenge of becoming the principal of the poorest performing elementary school in a
rather high profile district may be influenced by the needs and characteristics of the
emotional-objective human dynamic type. Her opportunities to release her creative
energies are dramatically improved by moving to a needy school under the direction of a
superintendent and Board of Education that practice site-based management. Not unlike Mr. North, Mrs. West methodically considered the move from one principalship to another as she realizes that the alignment of self and role can be enhanced by the new principalship. Both Mrs. West and Mr. North provide insight regarding the importance of considering their own needs and desires in the decision to accept a principalship.

Mrs. West has done more than just find a more compatible school and district. She also exercises strategies within her role and school that assist her in meeting some of her human dynamic needs. The creation of a system of choice for students, parents and teachers creates a very dynamic school full of multiple initiatives and agendas. The design invites chaos, a condition that feeds the interests and energy of emotional-objective types. A strategy for emotional-objective principals may be to invite chaos.

However, a puzzling contrast between belief and documentation emerges in the case study of Mrs. West. Her purpose of learning and schooling is broadly defined but her documentation of learning and good schooling is narrowly presented. Her documentation of learning rests in a presentation of state proficiency test scores which seem very narrow when compared to her much broader belief system. This ironic contrast of beliefs and documentation may provide insight into the relationship of external pressures on both the role and the dynamic type. Do the public and political pressures of a statewide test narrow the definition, the documentation, or both? Is there a difference in the way that external pressures influence emotional-objective and emotional-subjective types as opposed to the mental-physical and the physical-mental
types? Although this research does not focus on external pressures, this discrepancy between beliefs and documentation raises some interesting questions.

The case study for the emotional-subjective principal, Mrs. East, presents two tensions between the dynamic personal learning conditions and the role. The first tension centers around emotional management. In this case study, questions that emerge are:

- How can an emotional-subjective person temper his/her emotional range in a setting full of emotions and in a role that generally requires an objective approach?
- What strategies might exist to assist in the management of those emotions?

Mrs. East openly admits that her emotions sometimes hinder the role of principal. She speaks of “becoming better” with her emotions but does not reveal strategies for this adjustment. One strategy employed by Mrs. East seems to be internalization. By her own admission and confirmed by her colleagues, Mrs. East often internalizes issues and remains very private with her emotional feelings. She describes the fatigue and wear on the body that sometimes results from this repression of emotions. An awareness of this tendency towards repression and some potential dangerous side effects may be worthy of further investigation. At the very least, this study raises the awareness of the tendency for emotional-subjective principals.

A second adjustment strategy may be to seek and design comfortable emotional settings. She is more comfortable in a small group of trusted friends. She is most comfortable in her office with children surrounded by an aquarium, a bubble gum machine, and stuffed animals. An alignment strategy for emotional-subjective principals may be to be strategic with both the company they keep and the surroundings that they
create. Carefully planned social and professional interactions, likewise, may assist emotional-subjective principals with emotional management. Having and confiding in a close circle of colleagues may be important their principalships. Additionally, an emotionally soothing workspace may be very important to the emotional-subjective person.

A second tension emerges in the emotional-subjective case study. The tension centers around the ability to focus. The questions that emerge are:

- How can the emotional-subjective person focus on issues, ideas and problems amidst the barrage of messages that he/she receives via his/her intuitive and sensitivity capacities?
- What strategies for focusing exist for emotional-subjective principals?

Mrs. East’s intuitive and sensitivity capacities are recognized by her and others. She shares how these capacities can both assist and hinder the role of principal, that these capacities can sometimes cause overload and cause “the weight of the world” to be on her shoulders. Although this tension is recognized, coping strategies to focus are not clear in this case study.

An interesting observation in the interpretation of these four case studies is that the emotional-subjective principal, Mrs. East, is the only early career principal of the four and her case study seems to produce fewer alignment strategies for self and role. Experience in the role may be critical in recognizing and designing alignment and coping strategies when tensions emerge between the self and the role. If experience in the principalship does assist principals in aligning self and role, then further study of this phenomenon may allow us to understand better some of the implicit behaviors of good principals so that the alignment strategies can become more explicit knowledge.
Interpretations Related to Leadership and Learning Theory

In Chapter Two, the literature review supports the construction of five, interactive, connected conditions which facilitate learning for leaders. The literature review includes scholars such as Robert Quinn, Peter Senge, Margaret Wheatley, Thomas Sergiovanni, Donald Schon, Roland Barth and Warren Bennis. The identified conditions are:

- having the capacity, desire, and time to be reflective,
- being a good listener and open to the ideas of others,
- being in collegial relationships,
- being willing to take risks, and
- identifying purposes and passions that allow the learning to become intrinsically rewarding.

Each of these conditions presented in Chapter Two is supported in leadership and learning literature.

Collectively, the analyses of data in these four case studies support the theoretical construct of these five conditions. Predictably, some of these five conditions are more evident in certain human dynamic types than others. For example, having the capacity, desire, and time to be a reflective practitioner is obvious in the physical-mental (Mr. South) and mental-physical (Mr. North) case studies. Both principals design ways and use strategies that allow reflective time. The emotional-objective (Mrs. West) case study reveals the capacity and desire for reflective practice through her journal entries. However, finding the time for reflective practice for Mrs. West is more difficult. Her journaling is irregular and often brief. Her emotional intuition and sensitivity often drive her to the action of the classrooms, hallways, and cafeteria. Reflective time is not as routine for her as it is for the physical-mental and mental-physical human dynamic types.
The emotional-subjective (Mrs. East) case study does not produce hard evidence regarding reflective practices. Although some of her written portfolio entries reveal the capacity for reflective thinking, little evidence of routine, reflective time or practices exists. Like her emotional-oriented counterpart, Mrs. East spends most of the day on her feet and with people, leaving time and opportunity for reflection as an addendum to the work day. A noted difference between the emotional-objective principal and the emotional-subjective principal is years of experience as a principal. Once again, experience in the role may assist principals in designing ways to meet their learning needs.

Being a good listener and being open to the ideas of others are also supported in the literature and in these case studies. Being a good listener is identified as a strength by colleagues in three of the four cases. Both emotional-oriented principals (Mrs. East and Mrs. West) receive considerable praise from their peers regarding their capacity to listen. Both human dynamic types are noted for their intuitive and sensitivity capacities so this finding is not surprising. The mental-physical principal (Mr. North) also receives accolades regarding his capacity to listen. His colleagues specifically cite that his first year in the principalship was one of listening and thinking. The physical-mental principal, however, (Mr. South) does not have listening skills affirmed. The lack of affirmation does not necessarily imply that Mr. South is not a good listener, but it may imply that he listens differently. The physical-mental type is talented at identifying patterns and systems. Quite often, when in the listening mode, “the wheels are turning” and the physical-mental principal may seem aloof to the listening process when indeed
he/she may be listening intently but simultaneously registering connections and patterns. The physical-mental principal also needs processing time so a delayed response may also be construed as disinterest or not listening.

Being in collegial relationships is important to each of these principals, but the emotionally-oriented principals (Mrs. East and Mrs. West) depend more on collegial relationships to meet their own learning needs. An affirmed personal learning condition for Mrs. East is to be interactive, characterized by dialogue with opportunities to learn with others. An affirmed personal learning condition for Mrs. West is auditory emphasis with opportunities for discussion or debate. These two affirmed personal learning conditions imply a need for collegial relations. In contrast, the other two case studies' affirmed personal learning conditions do not necessarily imply a need for strong collegial relationship. Although both Mr. North and Mr. South appear to have developed good collegial relationships in their buildings, the relationship development may be more of a function of their role as principal rather than a function of personal learning need. These experienced principals know that collegial relationships are important to leadership even though the relationships are not a required personal need. In fact, the personal learning needs of mental-physical and physical-mental principals may lead them in opposite directions. Their personal learning needs seem better met in solitude rather than in community. Personal retreats, meditation, long walks in the woods, and riding the lawn mower are typical strategies to meet learning needs which do not align with the need for collegial relationships.

The literature also supports a willingness to take risks as a condition for
leaders-as-learners. Risk-taking in these case studies is not easily defined or identified. In fact, risk-taking is probably defined differently by each of the human dynamic types. For example, the physical-mental principal (Mr. South) might consider any move out of sequence or pattern as risky whereas an emotional-objective principal (Mrs. West) may invite such activity as a matter of routine. Another example might be that a mental-physical principal (Mr. North) might view a public display of emotion as risky whereas an emotional-subjective principal (Mrs. East) may view a public display of emotion as routine. If this notion of multiple perspectives and definitions of risk-taking is true, promoting risk-taking among principals is highly complex. What seems risky to one principal is routine to another. If risk-taking is important in the principalship, then we must begin to teach and coach risk-taking in multiple languages. The literature that simply implies risk-taking for leaders without a clear and concise definition of risk-taking is not being heard in a single language. Even with a clear and concise definition, the words will rise from the author’s perspective which may be an incongruent perspective with many in the audience. Perhaps our best hope for principals and professional development providers is that we recognize and honor that risk-taking has multiple definitions and multiple perspectives.

A final personal learning condition that emerges in the literature and is also supported by these case studies is that a leader’s learning must be with purpose and passion so that the learning is intrinsically rewarding. Each of these four principals shares a passion for learning. Collectively, their resumes, stories, and portfolios are an array of impressive documentation for a commitment to lifelong learning.
Each of the principals is continuing his/her education as he/she practices in the principalship. Mr. North, who earned a doctorate in children’s literature, is an impressive example centering one’s own purpose and passion in one’s own learning. He continues as both a student and a teacher of children’s literature. Mrs. West shares this passion for children’s literature as she professes to be an avid Dr. Seuss fan. Despite being very close to retirement, Mrs. West continues to seize learning opportunities as a principal. She regularly attends professional development opportunities and she is a second-year member of the Ohio Principals’ Academy. Mr. South is also in his second year of the Ohio Principals’ Academy. He is an avid reader, particularly enjoying the research on systems thinking. His opportunities to network with other effective principals have been extraordinary. He regularly networks with local schools and colleagues and has seized special opportunities to network at state and national levels. By association, he has dramatically enhanced his own learning. Mrs. East also has a history of continuous learning. She is enrolled in higher education courses on a regular basis and is working her way towards a superintendent’s certificate. She mentions doctoral studies as a possible avenue for her future. Each of these principals is exhibiting habits of lifelong learning. Each is attending to his/her learning needs in his/her own ways. The commonality is that their learning is centered on their own purposes and passions.

Implications for Principal Professional Development

This study has at least four implications for the planning and preparation of professional development opportunities for school principals. First, we must create learning opportunities that allow principals to follow their own passions. Principals
connect to continuous learning when the learning has meaning to their lives and their work. Good schools are good learning organizations in which everyone profits from the act of learning. It is more important that principals commit to the act of learning than for us to worry about the content of what they might learn. The best professional development plans will begin with centers of passion and connect other necessary content and learning along the way.

A second implication for principal professional development designs is that we must create opportunities for both companionship and self. Some of our principals are dependent upon solitude in their learning styles yet most professional development activities for principals are in small or large group. Time for reflection and solitude on a professional development agenda must be properly reasoned and used in order to be effective.

A third implication for the professional development of principals is that we must assist many of them in designing a means for reflective thinking. Few principals understand and utilize strategies that might make reflective thinking part of their everyday life. Our professional development initiatives must explicitly address the need to develop the willpower and strategies that allow reflective thinking. Regular journal keeping and administrative portfolio development are two important developments in this work.

A final insight from this study is that preaching risk-taking to principals in a single language is missing most of the audience. Couple the complexities of multiple perspectives and definitions with traditional role expectations in historically traditional
institutions in an unnecessary conservative and dissatisfied political climate and it is little surprise that many principals seem reluctant to take risks. An implication for professional development providers may be to define risk-taking from multiple perspectives and to continue to examine those definitions in concert with role expectations, institutional conditions and political realities.

Implication for Further Research

The implications for further research are raised by some of the unanswered questions in this study. The thrust of Seagal and Horne’s *Human Dynamics* against the role of the principalship in four case studies is a scratch on the surface. Possibilities abound for both quantitative and qualitative study using the human dynamic typing as a lens to leadership understanding. Additional, more specific, questions have been raised in this study that may lead to further research. Among those questions are:

- Are different human dynamic types more sensitive and more responsive to the external pressures on principals than others?
- What coping strategies does each human dynamic type employ when there is a misalignment of self and role?
- How do these principals define high level risk-taking and what are the relationships between risk-taking and human dynamic type?
- What strategies promote reflective thinking for school principals? Can reflective thinking and practice be taught?

Summary

In summary, Chapter Five is organized by two analytical lenses and two sets of implications. The first analytical lens is to attempt to understand better the dynamics in leadership and learning as they interact between the dynamics of learning conditions and the expectations of the role of principal. This analysis raises more questions than
answers as each set of learning conditions seems to promote different kinds of tensions within the role of principal. The second analytical lens is through the literature review about leadership and learning presented in Chapter Two. The stories of these four principals were viewed through five conditions from the literature. Those conditions are having the time and capacity for reflective practices, being a good listener and being open to the ideas of others, being collegial in relationships, being willing to take risks, and identifying personal purposes and passions for one’s own learning. Four of the conditions align well with the stories generated by the data in this research. The analysis of the condition of risk-taking becomes problematic due to the multiple definitions and multiple perspectives of the condition.

Two sets of implications emerge from the analysis. Questions for further research abound from this work. This study narrowly focuses on the learning conditions and the role of the principal, but the human dynamic typing is much broader, presenting a host of additional research opportunities. Additionally, the analysis through the human dynamic lens raises a number of tensions that present future research opportunities. A second set of implications emerges for principals and professional development providers. Those implications are that we must:

- capitalize on centers of purpose and passion to ignite new learning for principals,
- provide both opportunities for community and space for solitude to meet the learning needs of all principals,
- teach and coach principals on ways and means of reflective practice, and
- define risk-taking from multiple perspectives and in context with role expectations, institutional conditions and political realities.
The hope of this study is to provide leadership and learning insight for both principals and providers of principal professional development. In Chapter One, I remarked that we must become smarter about the learning of principals. I am reminded of a parable about wolves and sheep, Outlearning the Wolves (Hutchens, 1998). In the parable, the sheep live in fear of wolves which raid their flock in the midst of the night. For years, the sheep accept the threat of the wolf as a condition of life until one day a sheep named Otto presents a special provocation. Otto suggests that this condition is neither necessary nor permanent. The flock is aghast at such a thought. Otto perseveres and proposes that the answer to this long-standing threat is to learn together, indeed to become “a learning flock.” The flock is curious but skeptical of Otto’s plans. That evening, Otto disappears. Enraged by yet another loss, the flock decides to heed Otto’s words and soon a community of learners gathers. Through their collective perspectives and wisdom, they realize that the wolves are not jumping the fence but rather going under the fence when the creek bed is dry. They notice that the wolves never come after heavy rains and surmise that wolves can not swim. Quickly the sheep dig a hole and then pile stones at the creek’s entrance, creating a pond. The wolves stop coming. The sheep frolic by the pond.

Like the sheep, principals, too, are threatened. They remain an embattled if not endangered species (Evans, 1996). Like Otto, I am provoking principals to become their own learning flock. Just as with the sheep, I wonder who is to be tending to this flock. The sheep are not saved by watch dogs, by higher fences, or by being taught by the shepherd. The sheep are saved by their own learning and so, too, might the role of the
principalship be saved by those in the field, learning together. I will meet you at the pond.
APPENDIX A
Questioning Protocol
Questioning Protocol

First Interview With Principals

Each subject was mailed another copy of the Human Dynamics Selection Stories that were shared and utilized in an earlier session of the Ohio Principals’ Academy. The principals were asked to re-read the four stories.

Although the first interview was open-ended and reflexive, the following questions were common:

1. After re-reading the four stories, do you still identify with the human dynamic type that you identified in the session at the Ohio Principals’ Academy?
2. Can you describe a recent learning that has affected your leadership?
3. Can you describe a recent act of leadership that resulted in a learning experience?
4. What conditions best support your own personal learning?
5. How does the role of the principal support or inhibit your own learning?

Second Interview With Principals

During this interview, the principals were asked to describe each entry in their administrative portfolio. The interviewer was equipped with a list of optimum learning conditions for each dynamic type as described by Seagal and Horne. The interviewer was listening for the presence or absence of those learning conditions in the portfolio presentation.
The second purpose of this interview was to videotape the principals’ workspace. This request was made on site and without advance notice in order to capture the space in its most natural form.

**Peer Group Interview**

The peer groups consisted of teachers, secretaries and assistant principals. The group was asked to read the selected human dynamic story. Each participant was then asked: Does this story sound like your principal? What aspects of the story best describe your principal? Are there parts to the story that do not sound like your principal?

The second part of this interview focused on the optimum personal learning conditions of each dynamic type. The peer group was asked if the conditions were aligned to their observations of their principal’s learning habits.

**Third Interview with Principals**

Mailing each principal his or her case study presented in Chapter Four preceded this interview. This interview served as a member check. The principals were asked to address each section of the study for factual accuracy.
APPENDIX B
Human Dynamic Selection Stories
FOUR CARDINAL STORIES

Prologue

As you read the following four stories, it should be possible for you to identify with a certain cardinal direction. Are you basically a child of the North, South, East or West? Read the stories carefully. Remember that all of the stories are a part of all of us. We encompass all points of the compass. However, each of us is attracted to the particular dynamics of one cardinal direction. Try to select the story with which you most identify.

Child of the North

I see the world through my mind. I am very focused and I often bring structure, objectivity and precision to projects and situations. Because my mind is more central to my personality than my emotions, my mood is generally stable. I am not impulsive.

Most central to my personality is a value structure through which I organize my life. The values that I uphold do not change easily. If you want to know more about me, ask me what I value. I think that values are not maintained at the practical level of daily living. This is unfortunate. I carefully select the relationships and endeavors to which I commit.

I tend to be selective with respect to what I take in. I am not easily overwhelmed by either the sensory or the emotional worlds. However, it is possible for me to be too much in my head. I have a natural affinity for space, for solitude and for independent activity. Nature is attractive to me, especially water and winter.

My communications are generally thoughtful, purposeful and objective. Clarity and precision in communication are important to me. I am often meticulous in my choice of words and facts. For this reason, written communication may have a particular appeal for me. The content of my communication is more likely to be factual and informational.

I am rarely fully at ease in primarily social situations. I have most comfort in purposeful and clearly delineated gatherings. People may not always be aware of how I am feeling or that I can be compassionately aware of the feelings of others.

I like to help establish and articulate the guiding values and principles for a relationship or an activity. I like to build structure based on clear values. I am usually willing and able to engage in work that is highly detailed, provided that I value its purpose. I have an objective voice that expresses constancy, rationality and principle.
Child of the West

I am a problem solver with an active imagination. I am interested in ideas that have meaning, purpose and serve the community as a whole. My mind is usually focused but may pursue several ideas at once and several alternatives to each idea. Sometimes it is hard to tell whether I think my feelings or feel my thoughts. I identify more with what I do rather than who I am. If you want to know more about me, ask me where I want to go.

I usually do not pick up many signals from my body, nor am I aware of absorbing the emotional energy around me. My physical energy, therefore, is usually abundant and I can work long hours. I am often characterized as a workaholic and may need to be reminded to rest. Nature is attractive to me, especially wind and autumn.

My prime orientation is towards the movement of ideas, work and events. I am interested in processing creative work with others through intense communication. Interpersonal relationships have special significance for me. I devote much energy to furthering communication within and across groups of people. I often use communication to move people and/or projects. I am willing to engage in extensive personal communication with my family and friends if I see it leading somewhere.

I like to move work forward by first understanding the work, then designing general approaches, and then linking the approach with the people to be involved. The specific ways in which the work is done emerges from the people participating. I usually prefer to leave details to others. I often play a visible leadership role.

Child of the East

I connect personally with everything I hear, speak and do. I am open to experiencing the people, the environment and the contexts with which I participate. This means that I pick up a great deal of information in any situation, particularly emotions and even the physical conditions of the people present. If you want to know more about me, ask me what I love.

I am highly intuitive although I sometimes lack the confidence to act according to my intuition. I am attracted to diversity. I may become more stressed or fragmented in attempting to participate in too much and in too many lives. Part of my growth is to learn to value the "middle way"—to balance the extremes within myself and in my commitments. Nature is attractive to me, especially sunshine and spring.

My body is responsive to my feelings. How I feel emotionally is reflected in my physical condition. Emotional trauma from the past is held in the body, and it sometimes causes loss of energy and physical distress. It is sometimes difficult for me to make a clear distinction between my own emotions and physical sensations and those of others with whom I am related. I can lose my sense of self if I am not discerning.
I experience a wide range of moods. It is important for me to develop selectivity with regard to
people, food, sound, color, etc. I value my feelings and need to take time to reflect upon them
before I can clearly communicate them to others. It is critical for me to process my feelings and
emotions through communicative interaction with people. I make meaning of my experience
through interpersonal relationships. I understand the nature of people and I use this understanding
in communication and in the organization of people, ideas and systems.

Child of the South

I am interested in making the paradoxical practical. I want to translate thought and ideas into
practical results that satisfy a need or solve a problem. Organization is important to me, I am also
aware of patterns and patterning. If you want to know more about me, ask me about what I do.

I have an innate sense of continuity and a respect for the past. I am interested in the whole and live
life organically. I work with the environment, including the people, things and situations. I tend to
think in terms of connected systems. Group life affects me deeply as it relates to the whole. Nature
is attractive to me, especially forests and summer.

Because of my group orientation I am sometimes unaware of my personal needs and goals. When I
know these, my flow of energy is intense. I am often unaware of signals from my body. I take in
everything about me including the emotional and physical conditions of others, all of the
information, every ambiguity and paradox. I am like a giant sponge, storing information as a
whole throughout my being. It is necessary for me to continually reconnect with nature in order to
stay balanced and healthy.

My verbal responses tend to be slow because I have so much data to process and to understand. I
like to talk about what I am doing, not who I am. Often, rather than talk about what I am doing, I
would prefer to just do it. A challenge for me is to become more conscious of myself as an
individual—to establish my own identity. It sometimes takes courage for me to speak with my
own clear voice.

I respect the whole by including in my thinking and my actions all the people and all the parts. This
process takes time, which needs to be respected. I do what is needed.

Epilogue

Self identity is a lifelong struggle full of bliss and despair, clarity and confusion. The
experience of reading these four stories provides an opportunity to (re) visit and to reflect on past
identities, present questions and future roles. We are not prisoners of our own stories nor are we the
sole (or soul) authors. The dynamic interplay of these four stories in our relationships our work
lives and ourselves provides the very stuff that dreams are made of.

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