

THE ROLE OF THE PRINCIPAL IN TEACHER-ADMINISTRATOR
RELATIONSHIPS IN THE NEGOTIATION PROCESS

by

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INTRODUCTION

Although several hundred written negotiation agreements are known to be in existence, this process is still a relatively new concept in public education. It has only been actively promoted by the American Federation of Teachers since 1960 and the National Education Association and its state affiliates since 1962.¹

The recent upsurge of teacher demands to participate in policy making has brought into public education the need for new concepts of employee-employer relationships. These relationships that exist in public education are unlike those found in the private sector of the American economy. Where the private sector's negotiation process involves strictly a managerial-laborer relationship, the public school's negotiation process involves, as Seymour Evans stated, ". . . a triadic relationship involving the employees (teachers), employer (school board), and chief school officer."² This relationship, which is unique to education, has created an ambiguous role for that of the principal. William Carr stated, "The principal of the secondary school is the anchor man in

¹Myron Lieberman and Michael H. Moscow, Collective Negotiation for Teachers: An Approach to School Administration (Chicago: Rand McNally and Company, 1966), p. 35.

²Seymour Evans, "The Superintendent's Dilemma," The American School Board Journal, 155:11, November, 1967.

education."³ In the past, the principal has had the immediate and special responsibility of leading and directing the affairs of the school. Is this still the status of the principal? If so, then what is his vital role in the negotiation process? These questions have been repeatedly asked but seldom answered. If the status of the principal, as indicated by Carr's statement, is to be maintained, a well defined role must be established as to his participation in the negotiation process.

PURPOSE

The following study was undertaken to provide a source of information concerning the status of the principal in the negotiation process. The study related to the principal's role in the "triadic" relationship that exists in public school negotiation.

The results of this study should contribute information of importance to educators and institutions which are responsible for the professional preparation of building level administrators.

OBJECTIVES

The objectives of this study were to (1) determine

³William G. Carr, "The Principals Role in Professional Negotiation," The Bulletin of the National Association of Secondary-School Principals, 50:45, April, 1966.

what the status of the principal is in the triadic relationship that exists in public school negotiations, to (2) analyze the implications that arise due to the principal's role or non-role in this triad, and (3) to suggest methods whereby the principal may have a functional role in public school negotiations.

DEFINITION OF TERMS

Professional negotiation. This is a relatively new term which was adopted by the National Education Association in 1962. This term is defined as:

. . . a set of procedures, written and officially adopted by the local association and the school board, which provides an orderly method . . . to negotiate, through professional channels, on matters of mutual concern, to reach agreement on these matters, and to establish educational channels for mediation and appeal in the event of impasse.⁴

Collective bargaining. Stinnett defines collective bargaining as:

. . . the labor-industry technique, ingrained in the labor laws. . . . It is geared to private industry where management is on one side and the workers are on the other, whose interests are considered to be conflicting and irrevocable. The purpose of collective bargaining is to make management and workers relatively equal in the struggle for division of the profits of private

⁴William R. Hazard, "Semantic Gymnastics?," The American School Board Journal, 155:15, October, 1967.

enterprise.⁵

Collective negotiation. Lieberman and Moskow have coined this term and define it as:

A process whereby employees as a group and their employees make offers and counter-offers in good faith on the conditions of their employment relationship for the purpose of reaching a mutually acceptable agreement, and the execution of a written document incorporating any such agreement if requested by either party. Also, a process whereby a representative of the employees and their employer jointly determine their conditions of employment.⁶

Impasse. The term "impasse", as Lieberman and Moskow stated, ". . . is extremely difficult to define. In fact, negotiators do not always know when an impasse has been reached."⁷ Lieberman and Moskow continued by defining an impasse as, ". . . a persistent disagreement that continues after normal negotiation procedures have been exhausted."⁸

Mediation. Mediation is a process, advocated by the National Education Association, whereby the impasse is submitted to a relatively neutral third party who reviews the facts and submits an advisory recommendation; its findings are binding on neither the teachers nor the school board.

⁵T. M. Stinnett, "Professional Negotiation, Collective Bargaining, Sanctions and Strikes," The Bulletin of the National Association of Secondary-School Principals, 48:96, April, 1964.

⁶Lieberman and Moskow, op. cit., p. 418.

⁷Lieberman and Moskow, op. cit., p. 314.

⁸Ibid.

At best, it is a strong form of public opinion pressure.⁹

Arbitration. Arbitration is a process, advocated by the American Federation of Teachers, whereby the impasse is submitted to an impartial third party, whose decision is usually final and binding.¹⁰

Fact finder. A fact finder is an individual or a group of individuals appointed to investigate, assemble, and report the facts in an employment dispute, sometimes with the authority to make recommendations for settlement.¹¹

LIMITATIONS

Although there is much discord among the policies and procedures set forth by the National Education Association and the American Federation of Teachers, it was not the intent of the writer to analyze the policies of these organizations nor to give the pros and cons of either, but to determine the best means by which the principal of a public school may be most functional in the negotiation process.

⁹Benjamin Epstein, "What Status and Voice for Principals and Administrators in Collective Bargaining and 'Professional Negotiation' by Teacher Organizations?", The Bulletin of the National Association of Secondary-School Principals, 49:240, March, 1965.

¹⁰Lieberman and Moskow, op. cit., p. 416.

¹¹Ronald W. Haughton, "Fact Finder: The Man in the Middle," Education Age, 4:9, November-December, 1967; Lieberman and Moskow, op. cit., p. 316.

To alleviate any signs of prejudice, the writer used the term "written negotiations in public education" to designate the bargaining process. To avoid repetition, the phrase "written negotiation", when used in this report, will mean written negotiations in public education unless a different meaning is quite obvious.

PROCEDURES

The documentary method of research was used in the preparation of this report as the writer's objective was to determine what the status of the principal was in the written negotiation process and to devise a set of guidelines that would provide the principal with a more functional role in this process.

The writer used the materials readily available at Kansas State University and at Kansas State Teachers College of Emporia. An attempt was also made to obtain the necessary information from the Kansas State Teachers Association, the Kansas Association of Secondary-School Principals, and the Kansas School Board Association. The information needed was not available from these sources; therefore, the writer proceeded to obtain the necessary information from the national affiliates of the above state associations.

REVIEW OF LITERATURE

There cannot be any doubt in the minds of any of us that we have entered upon a new era in school staff relationships.

It is an era of cooperative development and application of relationships. Or, it is to be an era of enforced relations. . . .¹²

The above quote by T. M. Stinnett can be further strengthened by a statement extracted from the January 16, 1964 edition of the New York Times.

A resurgence of militance among the nation's public schools marked the year 1963. There was mounting evidence that teachers are no longer content to rule only the classroom to which they are assigned. They want a hand in the assignment and a voice in the policy that controls their professional lives. They are not asking to run the schools, but they want their views heard and heeded.¹³

Traditionally, policy formulation was unilateral and frequently arbitrary. Staffs were not consulted; they were informed, as can be observed from Figure 1 on the following page, the line of authority was vertical and hierarchical from the board of education to the superintendent to the administrative and supervisory hierarchy to the instructional personnel. Some of the more democratized school systems

¹²T. M. Stinnett, "Professional Negotiation, Collective Bargaining, Sanctions, and Strikes," The Bulletin of the National Association of Secondary-School Principals, 48:93, April, 1964.

¹³James P. Steffensen, Teachers Negotiate with Their School Boards, U. S. Dept. of Health Education and Welfare, Office of Education, Bulletin 1964, No. 40, Washington, D. C.: Government Printing Office, 1964, p. 1.

LINE AND STAFF RELATIONSHIPS

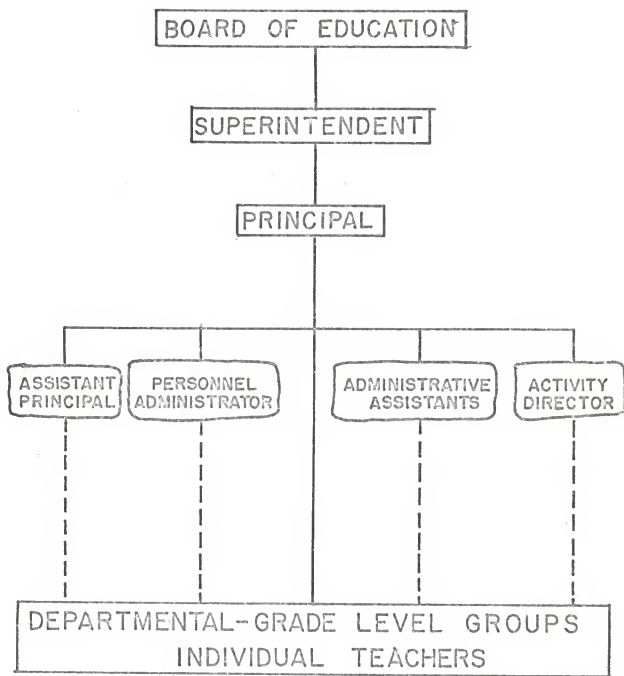


FIGURE 1.

believed that those affected by personnel policies should have some voice in the development of those policies; however, such interaction was the result of voluntary communications between the parties involved.

Within recent years teachers have developed a different attitude relating to their relationships with the administration. Teachers have proposed, through their various organizations, a more highly formalized system of communication with the administration than has existed in the past. The teachers want written negotiation procedures and they are attempting to gain legislative support which would establish the right to carry on formal negotiation procedures.

Although boards of education and administrators have worked diligently during the past decade to democratize school administration and to increase staff participation in policy formulation, the pace has been too slow for the flow of the times.

The National Education Association in 1963 issued a series of guidelines relating to written negotiations. The first edition of Guidelines for Professional Negotiations suggested three types of written negotiation agreements:

Level I agreements as Lieberman and Moskow stated, ". . . are merely a recognition type agreement."¹⁴ This type

¹⁴ Myron Lieberman and Michael H. Moskow, Collective Negotiations for Teachers (Chicago: Rand McNally and Company, 1966), p. 342.

of an agreement gave the local teachers association the right to represent its members at public meetings of the board of education, but "it is not a commitment to negotiate issues,"¹⁵ stated Stinnett.

Level II agreements consist of a recognition clause as well as an outline of the procedures to be followed in the negotiation process. This type of an agreement provided for meetings between the teachers association and the school administration; however, "Quite often," stated Lieberman and Moskow, "the local association expresses its opinion to the board of education and then the board makes a unilateral decision on the matter."¹⁶

Level III agreements, stated Stinnett, "Contains the ingredients of Levels I and II plus a written appeals procedure providing for impartial, third party mediation or fact-finding in the event of impasse or persistent disagreement."¹⁷

Stinnett also pointed out that this was the type of agreement which the teaching profession must seek and that this could be illustrated by the fact that in the second edition of the Guidelines for Professional Negotiation, this was the only

¹⁵T. M. Stinnett, Jack H. Klienmann and Martha L. Ware, Professional Negotiation in Public Education (New York: The Macmillan Company, 1966), p. 17.

¹⁶Lieberman and Moskow, op. cit., p. 344.

¹⁷Stinnett, op. cit., p. 18.

type agreement that was discussed.¹⁸ The National Education Association reported, as of September 20, 1965, a total of 388 written negotiation agreements were on file; the distribution and percentage of the total by level was as follows:

(1) Level I agreements--105 (27%), (2) Level II agreements--125 (32%), and (3) Level III agreements--158 (41%).¹⁹

In 1963, the executive committee and staff of the American Association of School Administrators published a policy statement which set forth the beliefs of school superintendents concerning the development of personnel policies. These beliefs were as follows:²⁰

We believe that teachers, school administrators, and school boards must together seek pathways yet uncharted in the area of personnel policies and practices.

We believe that the superintendent has a responsibility to see that opportunities are provided for staff members--teachers, supervisors, principals, and specialists--to play appropriate roles in developing personnel policies and in maintaining professional working conditions.

We believe that the superintendent has a responsibility to assist staff members--in ways satisfactory to them--in studying welfare problems, in developing proposals pertaining to staff welfare, and in presenting them to the school board for consideration and action.

¹⁸ Ibid.

¹⁹ William Hazard, "Semantic Gymnastics?" The American School Board Journal, 155:18, October, 1967.

²⁰ School Administrators View Professional Negotiation, American Association of School Administrators (Washington, D. C., 1966), p. 32.

We believe that shared responsibility in policy development is a professional concept. It assumes a commonality of goals and interests among teachers, school boards, and administrators; and it assumes that service to children is the paramount consideration and that welfare provisions for teachers are means to that end.

We believe that the right to discuss pros and cons and to participate in developing a program does not imply the right to make decisions. Although consensus should always be patiently sought and will often prevail between staff and school board, the board must retain its responsibility and legal right to make decisions.

We believe that no matter how generous and benevolent arbitrary decisions may be, they have a debilitating effect. When people are involved, they not only assume responsibility for making decisions work, but each performs at a higher level of productivity.

We believe that failure to find appropriate and acceptable means of involving staff members--teachers, principals, and supervisors--in developing policy that directly affects them will lead to divisiveness, tension, and conflict that will impair the schools and adversely affect the education of children.

We believe that there is no one best procedure for sharing responsibility for policy development. School board members, administrators, and classroom teachers must develop policies and practices appropriate to local conditions, rather than adopt those established elsewhere.

We believe that if boards of education fail to make reasonable welfare provisions for all staff members and fail to provide machinery through which grievances can be given appropriate consideration, their respective state legislatures are likely to establish appeal procedures.

We believe that there is an intrinsic value in local decision making which is worth preserving to the maximum extent consistent with the obligations of citizenship in the state and Union.

The American Association of School Administrators, in its 1965 resolutions, further emphasized its position in regard to the development of personnel policies when it

advocated:

We believe that teachers, school boards, and administrators are all committed to the advancement of public education and that the goals and interests of these groups are highly interrelated. We believe strongly that the development of school policies and programs can best be accomplished by these groups working in harmony and with respect for the roles of each. We believe that effective policy development involves important contributions by each group.

We believe that evaluation in staff relations is to be welcomed. We commend careful study and the development of principles that should govern these relations and define the responsibilities of the various groups while maintaining the integrity of each. We believe that shared responsibility for policy and program development is a professional concept requiring a unique professional approach. We maintain that the superintendent of schools has a unique responsibility to provide leadership in these matters.²¹

The National School Board Association gave its views on written negotiations when it firmly asserted:

School boards, subject to the requirement of applicable law, should refrain from compromise agreements based on negotiation or collective bargaining, and should not resort to mediation or arbitration, nor yield to threats of reprisal on all matters affecting local public schools, including the welfare of the personnel. They should also resist by all lawful means the enactment of laws which would compel them to surrender any part of their responsibility.²²

In 1967, the National School Board Association adopted a resolution which specified its beliefs in regard to the

²¹Ibid., p. 31.

²²"Beliefs and Policies of the National School Board Association," The National School Board Information Service Bulletin, Vol. III, No. 2, June, 1965.

school boards relationships with other professional personnel. The following resolution was not an abdication of the preceding resolution, but its position on democratically formulated policy decisions.

In determining general policies relating to the operation of the schools, handling of personnel problems, and the general welfare of all professional personnel, each local school board should set up satisfactory procedures for communication with all professional personnel. Such procedures should recognize that the function of the professional practice of teaching requires that individual teachers have and exercise full freedom of association, expression, organization, and designation of representatives of their own choosing for the purpose of conferring with school boards concerning the terms and conditions of their employment.²³

Benjamin Epstein expressed the view of the National Association of Secondary-School Principals' position on personnel policy development when he stated:

The National Association of Secondary-School Principals is convinced that the best education of our students demands a genuine working partnership of teachers, principals, superintendents and school boards. This partnership must be characterized by devotion to common aims, by mutual respect, by continuous frank communications, and by thorough recognition by each of the contributions, problems and responsibilities of the other.²⁴

The joint commission of The Department of Classroom Teachers of the National Education Association and the

²³"Beliefs and Policies of the National School Boards Association," The National School Boards Association Information Service Bulletin, Vol. 5, No. 4, June, 1967.

²⁴Benjamin Epstein, The Principal's Role in Collective Negotiations Between Teachers and School Boards, The National Association of Secondary-School Principals, 1965, p. 1.

American Association of School Administrators met in September, 1966 and identified the following essential principles upon which to work and goals to be achieved as the concept of written negotiation was developed and implemented.

- (1) Written agreements as to negotiation procedures are essential and must be jointly developed and recognized by the profession and board of education; further, such written agreements should be developed far in advance of crisis.
- (2) Written agreements on what is negotiable must of necessity be developed to meet local conditions and often should be the negotiation of process for resolving problems rather than the actual resolution of the problem.
- (3) The entire profession should work together as one unit in the negotiation process, but the right of individuals to have access to the board of education, within the law, is affirmed.²⁵

Varying guidelines and policies, as can be evidenced from the preceding pages, have been advocated by such organizations as the National School Boards Association, the National Association of Secondary-School Principals, The American Association of School Administrators, and others. Although these organizations have advocated democratically designed procedures for developing professional personnel policies, no clear-cut position on written negotiations was expressed by these organizations with the exception of the

²⁵Changing Relationships: Teachers and Administrators Report, (Policies recommended by the Joint Commission of The Department of Classroom Teachers and the American Association of School Administrators, 1966).

National School Boards Associations' opposition to written negotiations as stated on page 13. Lieberman and Moskow emphasized the fact that one should not misinterpret the preceding policies advocated by the various organizations, for as they have contended in their book, Collective Negotiations for Teachers, one should not expect boards of education and school administrators to take the initiative to establish written negotiations. Basically, the collective action movement in education has been, is, and will continue to be a teacher initiative by its very nature. The teachers are the ones hurt most by the absence of written negotiation procedures. If the teachers do not take the initiative, it is futile to criticize others for not doing so.²⁶

Charles Perry and Wesley Wildman in a survey study in an attempt to provide some systematic knowledge on the current status of teacher organization-school board-school administration relationships, identified the following types of negotiating procedures now in use:²⁷

1. Total Delegation: "The superintendent is hereby designated as the official representative of the board of education to meet with employee organizations to discuss matters of employer-employee relations. All proposals and communications to the board of education

²⁶ Lieberman and Moskow, op. cit., p. 55.

²⁷ Charles A. Perry and Wesley A. Wildman, "A Survey of Collective Activity Among Public School Teachers," Educational Administration Quarterly, II:144, Spring, 1966.

concerning matters of employer-employee relations shall be submitted in writing to the superintendent."

2. Negotiation-Submission: "They (teacher organization representatives) shall work directly with the assistant superintendent and/or superintendent in preparing recommendations to be submitted in writing to the board of education."

3. Negotiation-Joint Testimony: "Following negotiations of policy decisions necessitating board actions, the superintendent shall present recommendations to the board of trustees for consideration, and shall call upon the official representatives in the employee organizations concerned to make a presentation or statement prior to board action."

4. Negotiation-Impasse-Testimony: "If an agreement cannot be reached between the superintendent and the committee on a specific issue, a hearing before the board shall be arranged. . . ."

5. Negotiation-Impasse-Negotiation: "When negotiations are conducted with the superintendent as the agent of the board, either group may terminate negotiations if they consider an impasse has been reached. In the event an impasse is reached in negotiations, the original proposals are to be negotiated with the board."

6. Consultation-Negotiation: "Preliminary sessions may be held with the superintendent alone, but final sessions will be directly with the metropolitan school board, if requested by the teacher's committee."

Perry and Wildman found that the above written procedures which specified negotiations between the board of education and the teacher organizations fell into two main categories: pure-board negotiations and tri-partite negotiations. In the former, Perry and Wildman found that the superintendent was given no explicit role to play.²⁸ In the latter, Perry and

²⁸Perry and Wildman, *op. cit.*, p. 145.

Wildman discovered that negotiations were conducted through a committee composed of board members, teacher representatives, and the superintendent.²⁹

The "tri-partite" structure advocated by Perry and Wildman followed along the same line of thought as that of Seymour Evans when he stated, "In public education . . . , because of historic factors the negotiation process is perceived as a triadic relationship involving the employees (teachers), employer (board), and chief school officer."³⁰ In both of the above structures, as illustrated by Figure 2, there were assumed roles for the board of education, the teacher representatives, and the superintendent; but there was ambiguity and conflict regarding the role of the principal in the negotiation process. As John D. Sullivan so aptly put it, "The most neglected figure in professional negotiations is the school principal."³¹

In the September, 1967 edition of The National Elementary Principal, James King formulated that the role of the principal in the negotiation process hinged primarily on factors at the local level and that the roles played by the

²⁹Ibid., p. 146.

³⁰Evans, op. cit., p. 11.

³¹John D. Sullivan, "Roles and Relationships," (paper read at National Education Association professional negotiations seminar, Chicago, Illinois, August, 1967).

NEGOTIATIONS

TRADITIONAL TRIADIC RELATIONSHIP

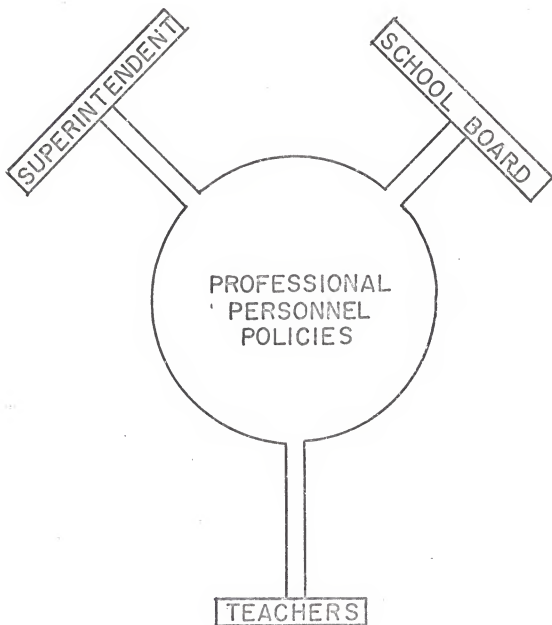


FIGURE 2.

principal ranged from being on the teacher's team, to being on the board of education's team, to not being included at all.³² Myron Lieberman advocated that principals must represent management if they are to participate in negotiations.³³ The American Federation of Teachers adhered to Lieberman's belief by denying the principal any role on the teacher's negotiating unit.³⁴ Cunningham, in a Chicago presentation, concluded, "About all we can say definitely is that if the principal is to be heard, he must be heard as a member of the administrators team rather than a spokesman for the teachers."³⁵ Opposition to the preceding positions were expressed by Benjamin Epstein, a spokesman for the National Association of Secondary-School Principals, when he proclaimed that no professional negotiations should take place without the involvement of the principal.³⁶ The National Education Association has not made

³²James C. King, "New Direction for Collective Negotiations," The National Elementary Principal, XLVII:44, September, 1967.

³³Allen Dale Olson, "The Principal and Professional Negotiation," The National Elementary Principal, XLVI:31, April, 1967.

³⁴Ibid.

³⁵Iuvern Cunningham, "Implications of Collective Negotiations for The Role of the Principal," (paper read at National Education Association's seminar on professional negotiations, Chicago, Illinois, August 3, 1966).

³⁶Benjamin Epstein, The Principal's Role in Collective Negotiations Between Teachers and School Boards, The National Association of Secondary-School Principals, 1965, p. 6.

a direct statement on the principal's role in negotiations, but it has advocated that the principal should be involved in the negotiations process and that the negotiation unit should be left to local preference.³⁷

Legal precedents have not helped clarify the principal's role in the negotiation procedures. Rhodes and Long, in a study of statutes pertaining to written negotiations, found the following variations in the statutes enacted as of 1966.

1. The statute may provide negotiating rights for certified personnel but specifically exclude certain categories of administrative-supervisory personnel from the coverage of the statute. . . . The Rhode Island statute provides for negotiating rights for "certified personnel engaged in teaching;" the state specifically lists superintendents, assistant superintendents, principals, and assistant principals as categories of certified personnel not to be considered as "certified personnel engaged in teaching."
2. The statute may provide that certain categories of administrative-supervisory personnel have negotiating rights, but only through the same organization that represents classroom teachers. Washington has a statute of this type.
3. The statute may provide that administrative-supervisory personnel have negotiating rights, but provide an option for both administrative-supervisory personnel and classroom teachers as to whether the same organization shall represent both groups. Connecticut has a statute of this type.
4. The statute may provide negotiating rights for certified personnel but authorize an administrative agency to make unit determinations. Massachusetts, Michigan,

³⁷Lieberman and Moskow, op. cit., p. 126.

New York, and Wisconsin have statutes of this type. . . .³⁸

The American Association of School Administrators has contended that written negotiation agreements which carefully delineate the roles and responsibilities of the superintendent, the board of education, teachers and administrative staff are essential to the smooth and efficient operation of the schools.³⁹ Most of the literature reviewed by the writer of this report agreed with the American Association of School Administrators' position and had defined roles for all but the building principal. The writer's concern over the dilemma faced by school principals was substantiated when, in a recent study, Cunningham found, due to the "nonrole" of principals in the negotiation process, "deep unrest and growing frustration among administrators who saw negotiations going on around them but rarely with them."⁴⁰ Many principals, including the writer of this report, have asked the same critical question Cronin asked, "On whose team will the principal play?"⁴¹

³⁸Eric F. Rhodes and Richard P. Long, The Principal's Role in Collective Negotiations, Educational Service Bureau, Washington, D. C.: 1967, pp. 14-15.

³⁹"School Administrators View Professional Negotiation," The National Education Association Journal :25, January, 1967.

⁴⁰Cunningham, op. cit., p. 6.

⁴¹Joseph M. Cronin, "School Boards and Principals-- Before and After Negotiations," Phi Delta Kappan, XLIX:125, November, 1967.

Those that advocated that the principal should be on the teachers' team gave the following reasons for their convictions: If the purpose of written negotiations was to enlarge the participation of all teachers in the formulation of personnel policies, then as Carr stated, "Its aim is not to exclude anyone, but rather, to include teachers 'in'."⁴² J. R. Rombouts also emphasized the necessity for democratic procedures in education when he implied that separateness in written negotiations can and will destroy the colleague type relationship that must exist if administrators and teachers are to work as a team in the accomplishment of educational goals and objectives.⁴³ Rombouts further emphasized his views on teacher-principal relationships when he stated,

A principal . . . , denied participation in professional negotiation matters because of his administrative responsibilities, cannot relate as well to teachers in his role as instructional leader. Because of his mechanistic exclusion, he now feels 'apart from' his colleagues with whom he would formerly engage in discussion about personnel policies. . . .⁴⁴

The Cunningham study supported Rombouts' statement when it found that principals, due to written negotiations,

⁴²William G. Carr, "The Principal's Role in Professional Negotiation," The Bulletin of The National Association of Secondary-School Principals, 50:53, April, 1966.

⁴³J. R. Rombouts, "New Michigan Industry," Michigan Education Journal, 43:2, January, 1966.

⁴⁴Rombouts, op. cit., p. 2.

believed that it would be more difficult for them to supervise the instructional process and that the search for power among teachers was an attempt to usurp the prerogatives of the building principal.⁴⁵ Cunningham also found that teachers covered by negotiation agreements were less inclined to accept administrative direction without question, the level of cooperation and the quality of teaching declined, and the staff appeared to be interested in becoming involved in the determination of personnel policies.⁴⁶

Cronin provided insight for another reason as to why the principal should be involved in the negotiation process when he purposed that the principal could provide vital information to the negotiations, for he knows well the variations between schools and the differences between the problems teachers encounter and the problems teachers create.⁴⁷ Epstein supported Cronin's opinion when he stated,

In any negotiating process, principals, whose experience and activities give them critical overall knowledge of the day-to-day functioning of the total school, can contribute uniquely to the discussion of items under consideration.⁴⁸

Many authorities in the field of negotiations, such as

⁴⁵Cunningham, op. cit., p. 2.

⁴⁶Ibid., p. 3.

⁴⁷Cronin, op. cit., p. 125.

⁴⁸Epstein, op. cit., p. 5.

Myron Lieberman and Luvern L. Cunningham, advocated that the principal must be on the Board of Education's team. Opposed to this view was Donald Erickson. In an address presented at a national seminar on professional negotiation, Erickson presented the idea that it was a misconception to assume that the principal was usually the vicar of the superintendent, enforcing the demands of the chief officer.⁴⁹ Erickson qualified the preceding comment when he stated, ". . . Every effective inner-city principal I have seen has been at odds with headquarters, covertly if not overtly."⁵⁰ Erickson continued, "When performing best, the principal is a transformer, mediator, arbitrator--somehow modifying the dicta of his superiors to fit the realities of his school."⁵¹ Erickson's views were strengthened in an article by James King when he indicated that evidence in the form of feedback, showed that most often the principal was in accord with the objectives teachers seek and that the principal should be able to support the teachers when their actions are compatible with the best interests of the educational program.⁵²

⁴⁹Donald A. Erickson, "Rebel Principals and Teacher Power," (Address presented at National Seminar on Professional Negotiation in Public Education, co-sponsored by the National Education Association and the University of Chicago, Center for Continuing Education, University of Chicago, August 18, 1967), p. 4.

⁵⁰Ibid.

⁵¹Ibid., p. 5.

⁵²King, op. cit., p. 44.

Benjamin Epstein expressed his views on the principal's role in the negotiation process when he proclaimed,

Principals have the immediate and special duty of leading and directing the affairs of the school proper. They know its totality of complex relationships more thoroughly than any group of teachers and other staff members, no matter how experienced, possibly can. The principal only--not any member or group of members of any teacher organization--are the ones held directly and personally accountable for every event, every student, every corner of the building and grounds, every staff member, professional, clerical, culinary, and custodial. They are held accountable by the Superintendent, by the school board, by the state board of education by law, by the parents and community, by tradition and simple practicality.

If principals are to carry these burdens they must have the authority to do so. . . .⁵³

Epstein also indicated that wise principals will enlist the cooperative support from the professional staff to help carry out these tasks, but that their authority cannot be cut away by imposing upon them unsound restrictions and procedures enacted by their boards and superintendent in order to terminate moments of extreme duress during negotiations with teacher groups.⁵⁴

In April of 1967, the Department of Elementary School Principals, adopted a resolution concerning the principal's

⁵³ Benjamin Epstein, "What Status and Voice for Principals and Administrators in Collective Bargaining and 'Professional Negotiation' by Teacher Organizations?", The Bulletin of the National Association of Secondary-School Principals, 49:250, March, 1965.

⁵⁴ Ibid.

role in the negotiation process. The resolution was as follows:

The Department of Elementary School Principals, NEA, believes that every person who is engaged in the educational process should have an appropriate role in making decisions about matters related not only to the educational program for children but also to the welfare of the school staff. We believe further that the rules and differentiated roles; that the contributions which can be made by teachers, by principals, by superintendents, by other school personnel, and by board members should and do vary; and that the nature of the problem under consideration has a distinct bearing on the nature of the contribution that can be made by any one of these various groups.

The Department believes that any form of professional negotiation or educational decision making that leaves out a relevant portion of the profession is discriminatory, tends toward needless and harmful divisiveness, and is detrimental to the total educational program for children. We are deeply concerned that today there are school districts which, through their patterns of professional negotiations, exclude the elementary school principal and provide him with no opportunity to participate in decisions which are of serious concern to the principalship and to education.

We recognize the importance of teacher participation in educational and welfare decisions and welcome the strength that increasingly competent teachers bring to such decision making. We would also point out that the arguments which support teacher participation also support participation of principals. The Department firmly believes that the discrimination now being practiced against principals in some school districts is unworthy of the profession. It further believes that such discriminatory practices are inimical to the achievement of a sound comprehensive educational program for children--a goal that cannot be fully achieved unless all members of the profession work together cooperatively and with respect for the unique contributions and competencies of one another.

The Department strongly urges that appropriate action be taken to eliminate discriminatory practices against principals or any other segment of the profession, and to

curtail further spread of such practices.⁵⁵

The writer of this report found that many authorities in the field of negotiations opposed the view that the principal should be on the teachers' team and that they advocated that the principal must be a member of the management's team. Cronin emphasized that teachers realized that they must wrestle for power with those who seemed to hold it. If the decisions are made at the top of the educational hierarchy, then the men in the middle are left simply to carry out those decisions made by the teachers and the board of education.⁵⁶ Cronin's view was supported by the findings of a study conducted by Wildman and Perry whereby they found that principals felt that teachers were usurping their responsibilities through the negotiation process and that the negotiation process ultimately pitted classroom teachers against principals.⁵⁷ Wildman and Perry's findings were illustrated by George Combe when he stated, "Teacher organizations have made it clear that they have no interest in supervisors being in their local organization nor by way of mutual participation in collective

⁵⁵The Principal and Professional Negotiation, National Educational Association Department of Elementary School Principals, Resolution adopted April, 1967.

⁵⁶Cronin, op. cit., p. 125.

⁵⁷Wesley A. Wildman and Charles A. Perry, "Group Conflict and School Organization," Phi Delta Kappan, XLVII:250, January, 1966.

bargaining."⁵⁸ "So low is the estimate of principals in some quarters," stated Cronin, "that the proposal to elect principals from the tenured members of school faculty now receives serious consideration."⁵⁹

George Combe, proclaimed that due to the nature of negotiations, careful delineation between supervisory personnel and teachers must be maintained and that supervisory personnel must think in terms of management and management responsibilities; they must cast aside the desire to be respected and 'loved' by teachers and their organizations.⁶⁰ Rhodes and Long supported Combe's opinion when they stated:

True, the principal is the chief instructional leader in the organization of many schools, but he is, in the collective negotiations and staff relations contexts, the management representative in the school.⁶¹

Luvern Cunningham, in a paper presented a seminar on Professional negotiations in public education, expressed a close association between supervisors in private industry and in public education when he said:

Regardless how suspicious we are of analogies which link the problems of the school with the experiences of

⁵⁸George W. Combe, Jr., "How to Minimize Teachers vs. Boards Conflicts Over Collective Bargaining," The American School Board Journal, 153:53, August, 1966.

⁵⁹Cronin, op. cit., p. 123.

⁶⁰Combe, op. cit., p. 54.

⁶¹Rhodes and Long, op. cit., p. 22.

private industry, there is a parallel too close to be ignored between the first and second line supervisors of industry and the principals and department chairmen in the schools. For years, industrial supervisors convinced of the crucial nature of their jobs in maintaining efficient and productive operation, have stood helplessly as new relationships between "labor" and management were carved out at the bargaining table without them. Without exaggerating the analogy, we can see a similar exclusion taking place in education. About all we can say definitely is that if the principal is to be heard, he must be heard as a member of the administrative team rather than as a spokesman for the teachers.⁶²

Eric Rhodes and Richard Long, in their publication, The Principal's Role in Collective negotiations, succinctly stated:

By any definition applied in private employment or in public education, the principal is a management employee. Once this concept is fully accepted, there can be no question about a number of roles which the principal must play in relation to collective negotiations.⁶³

Rhodes and Long supported their preceding statement by emphasizing the fact that the principal of a school has the responsibility for rating teachers, for assigning them to their duties, for effectively recommending them for promotion or dismissal, for carrying out the rules and policies under which teachers function, and that the principal is responsible for the operation of the school regardless of the impediments caused by virtue of strikes and/or sanctions.⁶⁴

⁶²Cunningham, op. cit., p. 8.

⁶³Rhodes and Long, op. cit., p. 18.

⁶⁴Ibid.

Dale Olson, implied that if principals were to participate in negotiations, they must do so as members of the management's team, for teachers were against participation of principals on their team for fear of problems resulting from administrative coercion, conflicts of interest, and a weakening of the teacher's association's position if the interests of the administrative members must be considered by the association.⁶⁵

SUMMARY AND RECOMMENDATIONS

The past eight years will undoubtedly go down in the annals of educational history as a period of duress and educational realignment. It was a period where teachers struggled with the administrative hierarchy to achieve some voice in the development of professional personnel policies. Many of the National Associations, such as the National Education Association, the American School Boards Association, The American Association of School Administrators, The National Association of Secondary-School Principals, and others developed guidelines and/or resolutions which advocated the supremacy of democratically formulated personnel policies. Guidelines and recommendations were initiated to delineate

⁶⁵Allen Dale Olson, "The Principal and Professional Negotiation," The National Elementary Principal, XLVI:32, April, 1967.

the roles of the board of education, the superintendent, and the teachers in the negotiating process. This triadic arrangement left no room for the principal; the national associations gave no specific recognition as to the role to be played by the principal of the school. Thus, many and varied roles were suggested.

Authorities in the area of negotiations, such as Myron Lieberman and Luverne Cunningham, advocated that the principal must represent management if he was to have a voice in the negotiation process. Others, such as Benjamin Epstein and Joseph Cronin, opposed the preceding views by advocating that the principal should represent the teachers. At the local level, the problem of deciding on whose team the principal was to play was solved by simply leaving the principal out of the negotiation process altogether. This situation placed the principal--"the anchor man in education"--in a very perilous and insecure position. Thus, the following recommendations suggested by the writer of this report were formulated to provide some insight as to how the principal may become an active and beneficial participant in the "triadic" arrangement of the negotiation process.

- (1) Provisions must be made for genuine, legitimate participation of the principal in the negotiation process.

John Sullivan, in a paper read at a 1967 seminar on Professional Negotiations, emphasized the fact that,

". . . negotiations is a power process."⁶⁶ With this concept in mind, teacher organizations have by-passed the principal and have gone directly to the board of education to struggle for some voice in the formulation of personnel policies. Once teacher organizations had achieved its goal; this left the building principal in the frustrating position of attempting to carry out his duties, arising from the new arrangements and agreements growing out of the bargaining process, which he had no voice in helping to formulate.

Evidence collected by Watson indicated that some principals felt that if they remained calm and noncommittal, things would regress to normal; some principals openly resisted the changes and openly vowed they would never accept the changes, while others adopted a wait and see attitude; and a few perceived the developments as an opportunity to expand their role and deal with the new demands.⁶⁷

It is the opinion of the writer of this report that if the principalship is to remain functional in public education, then Watson's latter finding must be the concensus of all principals in public education.

Many authorities in the area of negotiations and some

⁶⁶Sullivan, op. cit., p. 9.

⁶⁷Bernard C. Watson, "The Principal: Forgotten Man in Negotiations," Administrators' Notebook, Midwest Administration Center, The University of Chicago, XV:3, October, 1966.

evidence supported the view that the principal must be on the management's team or that he should negotiate as an independent. The writer of this report is opposed to the preceding views, especially the former. The writer's sentiments were vividly expressed by Olson when he stated:

It is very unlikely that the child is best served in school systems where classroom teachers and principals are made to feel that they are adversaries. . . . teacher-principal conflict anywhere is undesirable, but in a given school building it is tragic. . . .⁶⁸

It is the opinion of the writer of this report that if the principal is to be the leader of his respective school, then he must be on the teachers' team; he must, if he wishes to be the coordinator of the educational system which he leads, have an effective and influential role in the development of personnel policies that will effect the duties of teachers whom he coordinates. The principal's role in the negotiation process is paramount to an effective and workable negotiated agreement. This statement was validated by a statement extracted from Epstein's monograph, The Principal's Role in Collective Negotiations Between Teachers and School Boards;

Principals, whose experience and activities give them a critical overall knowledge of the day-to-day functioning of the school, can contribute uniquely to the discussion of items under consideration. The counsel, criticism, and contributions of principals at the negotiating table

⁶⁸Olson, op. cit., p. 32.

can be of invaluable service to teachers, school boards, and superintendents in reaching decisions that can produce better schools.⁶⁹

It is the recommendation of the writer of this report that the triadic arrangement in negotiations, now in existence, be altered to incorporate a role for the principal which should be on the team of the teachers. As can be seen by Figure 3 on the following page, the writer recommends that the principal serve as a coordinator, consultant, and if chosen by the teachers, spokesman for the teacher's organization in the negotiation process.

The preceding role for the principal, as advocated by the writer of this report, will not automatically come into existence with the adoption of teacher prepared resolutions nor by legislative enactments. Cunningham stated that it would be the individual building principal that had kept his fences mended in the area of principal-staff interactions and that has won the respect of his teachers who will ultimately prevail; the administrator who has drawn his authority from the nature of his office rather than from personal and professional services, will not survive the change in the authority structure.⁷⁰

⁶⁹ Benjamin Epstein, The Principal's Role in Collective Negotiations Between Teachers and School Boards, The National Association of Secondary-School Principals, Washington, D. C.; 1965, p. 5.

⁷⁰ Cunningham, op. cit., p. 9.

NEGOTIATIONS

PROPOSED TRIADIC RELATIONSHIP

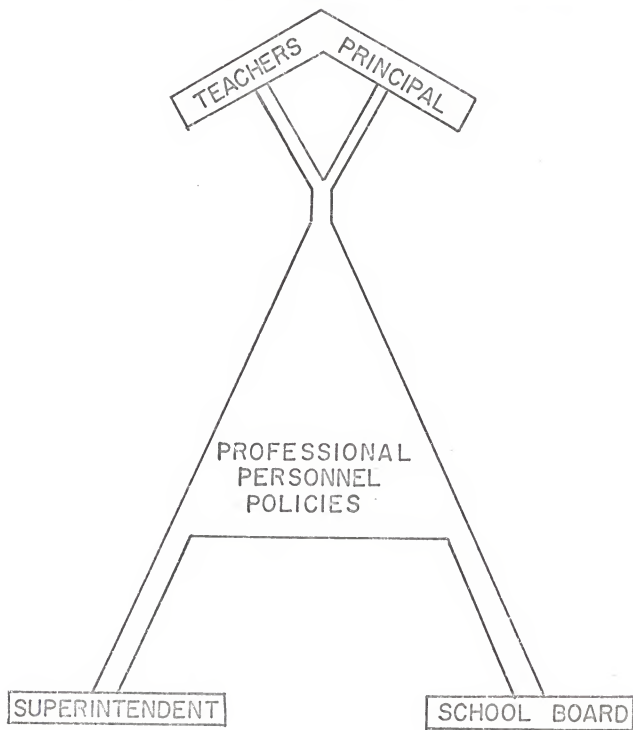


FIGURE 3.

The writer of this report, agreed wholeheartedly with Cunningham; thus, has advocated the following recommendations in hope that the position of the principalship will remain a necessity in public education rather than a declining evil for teacher organizations to overpower.

- (2) Provisions must be made by colleges and universities preparing administrators to become more selective and critical in the preparation of potential principals.

Harnack and Fest in their book, Group Discussion: Theory and Technique, stated, ". . . a leader is a focal person whose contribution to the group's goals is significantly greater than the contributions of the majority of others in the group."⁷¹ Thus, a principal who has drawn his authority from the position he holds, rather than from his professional and personal attributes, cannot possibly be effective in the complex interactions of group communications which are so vital in the present educational dilemma.

Milton Rokeach in his book, The Open and Closed Mind, theorized that a person's belief system ranged on a continuum from that of an "open" belief system to that of a "closed" belief system.⁷² Rokeach advocated that a person who

⁷¹R. Victor Harnack and Thorrel B. Fest, Group Discussion: Theory and Technique (New York: Appleton-Century-Crofts, 1964), p. 189.

⁷²Milton Rokeach, The Open and Closed Mind (New York: Basic Books, Inc., 1960), p. 5.

possessed an open belief system viewed people positively regardless of their beliefs, who possessed a rational conception of power and status, and who felt little need to ward off threat.⁷³ Contrary to this view, are those who possess a closed belief system. This type of person rejected or accepted other people's beliefs on the basis of how congruent they were to his own belief system and felt great need to ward off threat.⁷⁴

In a study conducted by Andrew Halpin and Don Croft,⁷⁵ these investigators identified six organizational climates found to be in existence in seventy-one elementary schools throughout the United States. They found that these organizational climates could be placed on a continuum defined at one end as an "open" climate and at the other extreme, a "closed" climate. These organizational climates were in accordance with the open and closed belief systems as defined by Rokeach.

In an attempt to analyze the climates of the selected schools, Halpin and Croft constructed an "organizational Climate Description Questionnaire" (OCDQ).⁷⁶ One criterion

⁷³Ibid., p. 57.

⁷⁴Ibid., p. 58.

⁷⁵Andrew W. Halpin and Don Croft, The Organizational Climate of Schools, Midwest Administrative Center, The University of Chicago, Interstate Printers and Publishers, Inc., 1963.

⁷⁶Ibid., p. 1.

for this questionnaire was to determine the principal's ability--or lack of ability--to create a climate in which he could initiate and consummate acts of effective leadership.⁷⁷ It is the recommendation of the writer of this report that universities go into a more extensive program of administrative training and use the OCDQ as a part of its criteria in the selection of effective leaders for a school, namely, the principal. If this method of selection were used, then the principal would achieve his leadership through his abilities, as opposed to his delegated position.

- (3) Provisions must be made by colleges and universities preparing administrators to include substantial work in group interaction and communication processes.

Due to teacher specialization and the knowledge explosion, the role of the principal as a superteacher has disappeared. He is no longer the all-around expert in subject matter or master of teaching methods, to which he was responsible for upgrading instruction by sharing with teachers his experience and insight. This principal's role of master teacher has been adjusted to that of coordinator. This was evidenced by the writer of this report when Erickson stated:

. . . . Someone would need to coordinate the efforts of librarians, psychologists, social workers, counselors, reading experts, and classroom teachers; to maintain extensive relationships between school and home; to

⁷⁷Ibid., p. 7.

nature, in cooperation with other agencies, comprehensive plans for neighborhood improvement.⁷⁸

The writer of this report was in agreement with Erickson when he advocated, ". . . the team of professionals in the building still require somebody's developed understanding and skill in interpersonal dynamics and resource allocation. . . ." ⁷⁹ Thus, it is the recommendation of the writer of this report, that potential principals be sufficiently trained in the fields of group dynamics, persuasive techniques, communication processes, and other interpersonal processes. The time has come for less generalized concepts concerning the educational process and more specialization concerning the group dynamics operating within a school system.

The two preceding recommendations should be viewed as long range plans to be implemented by colleges and universities. The recommendations advocated involve a more extensive and specialized training for principals which many may deem as impractical. However, the rebuttal to such accusations is that if a potential principal does not possess leadership abilities by virtue of his competency, as opposed to positional leadership, then eventually, there will be no reason to maintain the principalship.

⁷⁸Erickson, op. cit., p. 14.

⁷⁹Ibid.

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THE ROLE OF THE PRINCIPAL IN TEACHER-ADMINISTRATOR
RELATIONSHIPS IN THE NEGOTIATION PROCESS

by

JAMES L. HAGER

B. S., St. Benedict's College, 1964

AN ABSTRACT OF A MASTER'S REPORT

submitted in partial fulfillment of the

requirements for the degree

MASTER OF SCIENCE

College of Education

KANSAS STATE UNIVERSITY
Manhattan, Kansas

1968

The objectives of this study were: (1) to determine what the status of the principal is in the triadic relationship that exists in public school negotiations, (2) to analyze the implications that arise due to the principal's role or nonrole in this triad, and (3) to suggest methods whereby the principal may have a functional role in public school negotiations.

This study was based primarily on a review of literature available in the Kansas State University Library as well as from information obtained from the National Association of Secondary-School Principals, The National School Boards Association, The American Association of School Administrators, and The National Education Association. Books, Periodicals, and speeches relating to the principal's role in negotiations were studied to provide background for this study.

The past eight years will undoubtedly go down in the annals of educational history as a period of duress and educational realignment. It was a period where teachers struggled with the administrative hierarchy to achieve some voice in the development of professional personnel policies. Many of the national school associations developed guidelines and/or resolutions which advocated the supremacy of democratically formulated personnel policies. Guidelines and recommendations were initiated to delineate the roles of the board of education, the superintendent, and the teachers in the negotiation process. This triadic arrangement left no room for the prin-

cial; the national associations gave no specific recognition as to the role to be played by the principal of the school. Thus, many and varied roles were suggested.

Authorities in the area of negotiations, such as Myron Lieberman and Luvern Cunningham, advocated that the principal must represent the management if he was to have a voice in the negotiation process. Others, such as Benjamin Epstein and Joseph Cronin, opposed the preceding view by advocating that the principal should represent the teachers. At the local level, the problem of deciding on whose team the principal was to play, was solved by simply leaving the principal out of the negotiation process altogether. This situation placed the principal--"The anchor man in education"--in a very perilous and insecure position. Thus, the following recommendations suggested by the writer of this report were formulated to provide some insight as to how the principal may become an active and beneficial participant in the triadic arrangement of the negotiation process.

- (1) Provisions must be made for genuine, legitimate participation of the principal in the negotiation process.
- (2) Provisions must be made by colleges and universities preparing administrators, to become more selective and critical in the preparation of potential principals.
- (3) Provisions must be made by colleges and universities preparing administrators, to include substantial work in group interaction and communication processes.

The recommendations advocated involve a more extensive and specialized training for principals which many may deem as impractical. However, the rebuttal to such accusations is that if a potential principal does not possess leadership abilities by virtue of his competency, as opposed to positional leadership, then eventually, there will be no reason to maintain the principalship in public education.