

Adding Value to Leadership Gets Extraordinary Results

When moral authority transcends bureaucratic leadership in a school, the outcomes in terms of commitment and performance far exceed expectations.

In 1978 James MacGregor Burns proposed a theory of leadership that has shaped new understandings of leadership practice. According to Burns, leadership is exercised when persons with certain motives and purposes mobilize resources so as to arouse and satisfy the motives of followers. He identified two broad kinds of leadership, transactional and transformative. Transactional leadership focuses on basic and largely extrinsic motives and needs; transformative, on higher-order, intrinsic, and, ultimately, moral motives and needs. This latter point is important to understanding Burns's theory. Transformative leadership is first concerned with higher-order psychological needs for esteem, autonomy, and self-actualization and, then, with moral questions of goodness, righteousness, duty, and obligation.

In his groundbreaking examination of the moral dimension in management and motivation, Amitai Etzioni (1988) provides a compelling case for moral authority as a source of motivation and a basis for management. Etzioni acknowledges the importance of extrinsic and intrinsic motivation but goes further. Ultimately, he contends, what counts most to people is what they believe, how they feel, and the shared norms and cultural messages that emerge from the groups and com-

munities with which they identify. Morality, emotion, and social bonds, he maintains, are motivators far more powerful than the extrinsic concerns of transactional leadership and the intrinsic concerns of the early stages of transformative leadership.

Leadership for School Improvement

In transactional leadership, the leader and the led exchange needs and services in order to accomplish independent objectives. Leaders and followers assume they do not share a common stake in the enterprise and thus must

In transformative leadership, leaders and followers are united in pursuit of higher-level goals common to both.

Stages of Leadership

Leadership by Bartering: Leader and led strike a bargain within which leader gives to led something they want in exchange for something the leader wants.

Leadership by Building: Leader provides the climate and interpersonal support that enhances led's opportunities for fulfillment of needs for achievement, responsibility, competence, and esteem.

Leadership by Bonding: Leader and led develop a set of shared values and commitments that bond them together in a common cause.

Leadership by Banking: Leader "banks the fire" by institutionalizing improvement gains into the everyday life of the school.

From: T.J. Sergiovanni. (1990). *Value-Added Leadership: How to Get Extraordinary Performance in Schools*. New York: Harcourt Brace Jovanovich.

arrive at some kind of agreement. The wants and needs of followers are traded against the wants and needs of the leader: a bargain is struck. Positive reinforcement is exchanged for good work, merit pay for increased performance, promotion for increased persistence, a feeling of belonging for cooperation, and so on. This bargaining process can be viewed metaphorically as a form of, what I have termed, *leadership by bartering*.¹

In transformative leadership, by contrast, leaders and followers are united in pursuit of higher-level goals common to both. Both want to become the best. Both want to shape the school in a new direction. In Burns's (1978) words, "Such leadership occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality" (p. 20). When transformative leadership is successful, purposes that might have started out as separate become fused. Initially, transformative leadership takes the form of *leadership by building*. Here the focus is on arousing human potential, satisfying higher-order needs, and raising expectations of both the leader and the led in a manner that motivates both to higher levels of commitment and performance. On one hand, leadership by bartering responds to physical, security, social, and ego needs. On the other, leadership by building responds to esteem, achievement, competence, autonomy, and self-actualization needs. The human resources leadership literature provides compelling evidence supporting the efficacy of leadership by building (see Maslow 1954, Miles 1965, McGregor 1960, Argyris 1957, and Likert 1961.)

Burns points out that, eventually, transformative leadership becomes moral because it raises the level of human conduct and ethical aspiration of both the leader and the led. When this occurs, transformative leadership takes the form of *leadership by bonding*. Here the leader focuses on arousing awareness and consciousness that elevates school goals and purposes to the level of a shared covenant that bonds together leader and follower in

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a moral commitment. Leadership by bonding responds to such human needs as the desire for purpose, meaning, and significance in what one does. This stage is characterized by cultural and moral leadership.

Leadership by bartering, building, and bonding, when viewed sequentially, are developmental stages of leadership for school improvement (Sergiovanni 1990). Bartering provides the push needed to get things started; building provides the support needed to deal with uncertainty and to respond to higher levels of need fulfillment; and bonding provides the inspiration needed for performance and commitment beyond expectations.

School improvement initiatives become real only when they become institutionalized as part of the everyday life of the school. To this effort, *leadership by banking* is the fourth stage of school improvement. Banking seeks to routinize school improve-

ments, thus conserving human energy and effort for new projects and initiatives. When practicing leadership by banking, the school administrator ministers to the needs of the school and works to serve others so they are better able to perform their responsibilities. In addition to manager, minister, and servant, the leader functions as a "high priest" by protecting the values of the school (Sergiovanni 1984).

Each of the stages of leadership comprises distinct school improvement strategies. However, tactically speaking, bartering, building, bonding, and banking are leadership styles that can be used simultaneously for different purposes or with different people, within any of the stages. A recalcitrant teacher, for example, may well require leadership by bartering regardless of one's overall strategy.

Leadership by bartering is an especially valuable strategy when the issue is one of competence. But once competence has been achieved, one must look to the strategies of building and bonding, which will add value and help people transcend competence to reach the level of inspired commitment and extraordinary performance. Thus, depending upon whether the issue is competence or excellence, leadership by bartering would make sense in one school; but, in another, leadership by building or bonding would work better. The stages of leadership and their relationship to school improvement are summarized in Figure 1. Next we look at the stages in operation in the real life experiences of a school principal.

The Stages in Action

In 1978 Jane Kendrick arrived at Henry J. Eggers Middle School in Hammond, Indiana, as assistant principal. She found a school that was floundering.² Newly opened in 1973 as an open space school, Eggers was staffed by conscripted teachers, most of whom were put to work with neither understanding of how to teach in an open space setting nor commitment to the concept. Not surprisingly, Eggers had become a school with low staff morale, high dissension, student discipline

problems, and below par student achievement. The personnel director later commented, "The requests for transfers out of Eggers were very high during these years. I think the percentage of requests was the highest in my tenure in personnel."

Upon arrival, Kendrick set priorities: to improve student behavior, teaching performance, and standards of professional conduct. Later (she became the principal in 1979) she fully developed

the concept of learning community, organizing the school into interdisciplinary teams led by teachers who were assigned as learning community leaders. She introduced a variety of staff development programs to build the leadership capabilities of teachers and adopted the School Improvement Process (SIP) model (from the Institute for the Development of Educational Ideas) as the design for team-based school improvement efforts.

The successful leader is also a good follower, one who is committed to ideas, values, and beliefs.

Fig. 1. The Stages of Leadership and School Improvement

Leadership Type	Leadership Styles	Stages of School Improvement	Leadership Concepts	Involvement of Followers	Needs Satisfied	Effects
Value (Transactional) Leadership	Leadership as "Bartering"	<i>Initiation</i> (push). Exchanging human needs and interests that allow satisfaction of independent (leader and follower) but organizationally related objectives.	Management skills. Leadership style. Contingency theory. Exchange theory. Path-goal theory.	Calculated	Physical Security Social Ego	Continual performance contingent upon parties keeping the bargain struck. "A fair day's work for a fair day's pay."
Value-Added (Transformational) Leadership	Leadership as "Building"	<i>Uncertainty</i> (middle through). Arousing human potential, satisfying higher needs, raising expectations of both leader and followers that motivates to higher levels of commitment and performance.	Empowerment. Symbolic leadership. "Charisma."	Intrinsic	Esteem Competence Autonomy Self-actualization	Performance and commitment are sustained beyond external conditions. Both are beyond expectations in quantity and quality.
	Leadership as "Bonding"	<i>Transformative</i> (breakthrough). Arousing awareness and consciousness that elevates organizational goals and purposes to the level of a shared covenant and bonds together leader and followers in a moral commitment.	Cultural leadership. Moral leadership. Covenant. Building followership.	Moral	Purpose Meaning Significance	
	Leadership as "Banking"	<i>Routinization</i> (remote control). Turning improvements into routines so that they become second nature. Ministering to the needs of the school. Being of service. Guarding the values.	Procedures. Institutional leadership. Servant leadership. Leadership by outrage. Kindling outrage in others.	Automatic	All needs are supported.	Performance remains sustained.

From: T. J. Sergiovanni (1990). *Value-Added Leadership: How to Get Extraordinary Performance in Schools*. New York: Harcourt Brace Jovanovich, pp. 39-40.

Gradually, Eggers School developed a new identity built upon a sense of purpose and shared values. The results, as seen in achievement test scores, were nothing short of remarkable. In 1977, 8th grade average test scores on the Iowa Test of Basic Skills were as follows: vocabulary, 7.1; reading comprehension, 7.2; math computation, 6.4; math concepts, 6.4. In 1986, the average test scores, as measured by the Comprehensive Test of Basic Skills, for the same grade level were as follows: vocabulary, 8.7; reading comprehension, 8.9; spelling, 9.7; math computation, 10.0; math concepts, 9.5; social studies, 9.6.

Other recognition came to the school. Eggers was selected one of 30 Indiana middle schools successful in improving educational opportunities for its students. The Association for Supervision and Curriculum Development recognized Eggers—one of 25 middle schools across the country—for the quality of its program and its networking with other middle schools interested in school improvement. And Eggers was one of 15 Indiana middle schools awarded a \$20,000 grant from the Lilly Endowment Middle Grades Schools Recognition Project. Jane Kendrick described her lead-

When followership is established, bureaucratic authority and psychological authority are transcended by moral authority.

ership as evolving from bartering to building and then to bonding.

Instead of school culture and leadership behavior concerned almost exclusively with safety and security, I now participate in a culture that makes decisions about program based on the developmental and social, as well as academic needs of young adolescents. . . . For the most part, the transition . . . was sequential, with certain skills and actions serving as steppingstones to the next level of more complicated behavior.

In 1979, when Kendrick became principal, her behavior was mainly di-

rective: "I lectured, I told people how to think, when to think, and what to think. I made up the rules, and I enforced the rules. My actions became: tell, regulate, delegate, and evaluate." She emphasized what she wanted and then provided the right mix of rewards and punishments in exchange for desired behaviors: she exercised leadership by bartering.

Later Kendrick emphasized coaching behaviors in an attempt to upgrade her team leaders and build the teams of teachers into models of effectiveness. Adoption of the SIP model required an increased emphasis on participatory leadership development and other practices associated with leadership by building. These steps, then, provided the foundation for Kendrick to emphasize leadership by bonding. During this period, her strategies were to build common purpose, create a vision, create a leadership team, provide opportunities for teachers to become leaders, and develop *collegiality* as a value, which would enable leadership to be shared as teachers, parents, and students were recognized as partners. In 1987 Kendrick said, "I have observed the transformation of the norms of our faculty from those which centered around safety and discipline issues to those which center around issues of moral integrity."

As Eggers moves ahead, Kendrick believes she will become the "keeper of the vision," motivating and encouraging faculty in their efforts to do the right things for students. Further, her role will have to change from doer to servant of others who will be the doers, an emphasis associated with leadership by banking. She notes, for example, that

several of the faculty, and particularly members of the peer leadership team, have gone far beyond what would normally be expected in their own professional development. As they have become leaders in their own right in staff development, peer coaching, and futures planning, I must realize the inevitable—some of these individuals are going to surpass me, not only in terms of specific skill expertise, but also in terms of overall leadership ability.

The stages of leadership illustrated in the Eggers story evolved sequentially, suggesting that school improve-

Photograph by Jane Kennedy



In leadership by bonding, a form of transformational leadership, school leaders seek to form a "shared covenant" with their staffs that unites them in a common moral purp-

Improving Schools from Within

Roland Barth
San Francisco:
Jossey-Bass Publishers, 1990

What can we do to improve schools? What a loaded question! Roland Barth addresses this issue with a very fresh outlook and realistic sense.

Improving Schools from Within is not another book about children and learning. Instead, Barth examines the adults who help children to learn. He explains how parents, teachers, and principals can assume responsibility for shaping their own school system.

Barth acts as an architect building his plans from the ground level up. This begins with lack of confidence in public education, the relationship between teacher and principal, and the importance of collegiality in promoting learning and promoting schools. The book then develops to building a community of learners along with the importance of vision in improving schools. It truly is an insightful guide for school administrators of all levels.

—Reviewed by Jennifer L. Beun

ment always begins at the bartering level. This would not be the case, however, with schools already functioning at a higher level. It is not likely, for example, that Kendrick will have to rely on leadership by bartering as her strategy when new school improvement ventures are undertaken at Eggers.

Bonding Is the Key

Of the four approaches, leadership by bonding is the cornerstone of an effective long-term leadership strategy for schools because it has the power to help schools transcend competence for excellence by inspiring extraordinary commitment and performance. Moreover, leadership by bonding helps people move from being subordinates to being followers.

When one understands the close links between leadership and followership, the differences between being a good subordinate and being a good follower become apparent. Good subordinates do what they are supposed to but little else. They want to know specifically what is expected of them and, with proper monitoring and supervision, will perform accordingly. They are dependent upon their leaders to provide them with goals and objectives and the proper ways and means to achieve them. They want to know what the rules of the game are, and they will play the game as required to avoid problems. For them and their leaders, life can be comfortable and easy. But for the school and the students, excellence escapes and mediocrity becomes the norm.

In contrast, good followers think for themselves, exercise self-control, and are able to accept responsibility and obligation, believe in and care about what they are doing, and are self-motivated, thus able to do what is right for the school, do it well, do it with persistence, and, most important, do it without close supervision (Kelly 1988). Followers are committed people. They are committed to something—perhaps a set of purposes, a cause, a vision of what the school is and can become, a set of beliefs about what teaching and learning should be,

a set of values and standards to which they adhere, a conviction.

Subordinates are not committed to causes, values, or ideas; instead, they respond to authority in the form of rules, regulations, the expectations of their supervisors, and other management requirements. This is a crucial distinction. Subordinates respond to authority; followers respond to ideas. Since followership is linked to ideas, it is not possible to transcend subordinateness for followership in schools without practicing leadership by bonding. The concept of followership proposes a paradox: effective following is really a form of leadership (Kelly 1988). Commitment to a cause and the practice of self-management are hallmarks of good leadership and of good followership as well. The successful leader, then, is one who builds up the leadership of others and who strives to become a leader of leaders. The successful leader is also a good follower, one who is committed to ideas, values, and beliefs. When followership is established, bureaucratic authority and

psychological authority are transcended by moral authority.

Then a new kind of hierarchy emerges in the school—one that places purposes, values, and commitments at the apex and teachers, principals, parents, and students below in service to these purposes. Moral authority is the means to add extra value to your leadership practice, and this added value is the secret to bringing about extraordinary commitment and performance in schools. □

¹For an elaboration of value-added leadership, the stages of leadership for school improvement and examples of practices in schools, see T.J. Sergiovanni (1990).

²The Kendrick story is summarized from Chapter 3, "The Four Stages of Leadership for School Improvement," in T.J. Sergiovanni (1990). The full Eggers story is told in J.A. Kendrick (1987).

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