This paper reports on an examination of the effects of leadership practices on student achievement. It includes a meta-analysis of nearly every available study since the 1970s, including doctoral dissertations, that indicated it examined the effects of leadership on student achievement. From a total of more than 5,000 studies, 70 met the researchers' criteria for design, control, data analysis, and rigor. (Reports on the 70 studies are reference in an appendix.) From the analysis, the researchers have created what they call "a balanced leadership framework." This framework describes the knowledge, skills, strategies, resources, and tools educational leaders need to improve student achievement. The framework is predicated on the notion that effective leadership means more than simply knowing what to do; it means knowing when, how, and why to do it. The data from the meta-analysis demonstrate that there is, in fact, a substantial relationship between leadership and student achievement. (The effect size is discussed and expressed as a correlation.) The paper also contains a listing of 21 specific leadership responsibilities significantly correlated with student achievement. The average effect sizes for their affect on student achievement are also reported. (WFA)
Balanced Leadership:
What 30 years of research tells us about the effect of leadership on student achievement

Tim Waters, Ed.D.
Robert J. Marzano, Ph.D.
Brian McNulty, Ph.D.

A Working Paper

McREL
ABOUT THE AUTHORS

TIM WATERS has served as CEO for McREL since 1995, following 23 years in public education, the last seven of which were as the superintendent of the Greeley, CO school system. Dr. Waters serves on the Board of Directors of the National Education Knowledge Industry Association and is a past Commissioner of the Colorado Commission on Higher Education. He received his B.A. from the University of Denver and his M.A. and Ed.D. from Arizona State University.

ROBERT J. MARZANO is a Senior Scholar at McREL; an Associate Professor at Cardinal Stritch University in Milwaukee, WI; Vice President of Pathfinder Education, Inc.; and a private consultant operating out of Centennial, CO. He is the author of numerous publications, including What Works in Schools (2003, ASCD) and Classroom Instruction that Works (Marzano, Pickering, Pollock, 2001, ASCD). He received his B.A. from Iona College in New York, his M.Ed. from Seattle University, and his Ph.D. from the University of Washington, Seattle.

BRIAN McNULTY serves as McREL’s Vice President of Field Services. Prior to joining McREL, he served as the Assistant Commissioner of the Colorado Department of Education and as the Executive Director of Educational Services, Adams County School District 14 in Commerce City, CO. He received his B.S. from Georgetown University, his M.A. from George Washington University, and his Ph.D. from the University of Denver.

Other McREL staff members who contributed to the development of this report include JAMES BAILEY, a former assistant district superintendent, high school principal and elementary principal; GREG CAMERON, a former elementary school principal and assistant principal; EVELYN CORTEZ-FORD, a doctoral candidate in educational leadership and former master teacher and teacher educator; MIKE GALVIN, a former teacher leader and elementary school principal; SANDRA GILPIN, a former secondary school mathematics teacher; and MONETTE McIVER, a former elementary school teacher.
BACKGROUND
More than three decades of research on the effects of instruction and schooling on student achievement are creating a new science of education. Starting in 1998, McREL began synthesizing this growing body of research through meta-analyses of research on student characteristics and teacher and school practices associated with school effectiveness. The results of our first two meta-analyses have provided practitioners with specific guidance on the curricular, instructional, and school practices that, when applied appropriately, can result in increased student achievement.

Our third research meta-analysis examines the effects of leadership practices on student achievement. After analyzing studies conducted over a 30-year period, McREL identified 21 leadership responsibilities that are significantly associated with student achievement. We have translated these results into a balanced leadership framework which describes the knowledge, skills, strategies, and tools leaders need to positively impact student achievement.

Why another leadership framework?
Educators have long heard that school leadership makes a difference. Many early studies on school effectiveness, for example, reported that leadership, specifically instructional leadership, was one of several defining characteristics of successful schools. Nonetheless, this notion of instructional leadership remained a vague and imprecise concept for many district and school leaders charged with providing it. Since the early 1970s, many thoughtful, experienced, and competent scholars and practitioners have offered theories, anecdotes, and personal perspectives concerning instructional leadership. None of this advice for leaders, however, was derived from the analysis of a large sample of quantitative data. As a result, it remained largely theoretical and failed to provide school leaders with practical guidance for becoming effective leaders.

In this regard, McREL's balanced leadership framework stands apart from previous advice for school leaders. First, no other frameworks for school leadership have been developed from a more comprehensive analysis of research on school leadership and student achievement. Second, because it is grounded in evidence, our balanced leadership framework moves beyond abstraction to concrete responsibilities, practices, knowledge, strategies, tools, and resources that principals and others need to be effective leaders.

Our leadership framework also is predicated on the notion that effective leadership means more than simply knowing what to do — it's knowing when, how, and why to do it. Effective leaders understand how to balance pushing for change while at the same time, protecting aspects of culture, values, and norms worth preserving. They know which policies, practices, resources, and incentives to align and how to align them with organizational priorities. They know how to gauge the magnitude of change they are calling for and how to tailor their leadership strategies accordingly. Finally, they understand and value the people in the organization. They know when, how, and why to create learning environments that support people, connect them with one another, and provide the knowledge, skills, and resources they need to succeed. This combination of knowledge and skills is the essence of balanced leadership.

Methodology
McREL's balanced leadership framework was developed from three key bodies of knowledge:

- A quantitative analysis of 30 years of research;
- An exhaustive review of theoretical literature on leadership, and
- Our research team's more than 100 years of combined professional wisdom on school leadership.

As a first step in developing our leadership framework, we conducted a systematic meta-analysis of nearly every available study (including doctoral dissertations) that purported to examine the effects of leadership on student achievement reported since the early 1970s. From a total of more than 5,000 studies completed during this period, 70 (see Appendix A) met the following criteria for design, controls, data analysis, and rigor:

- Quantitative student achievement data;
- Student achievement measured on standardized, norm-referenced tests or some other objective measure of achievement;
- Student achievement as the dependent variable; and
- Teacher perceptions of leadership as the independent variable.
These 70 studies involved 2,894 schools approximately 1.1 million students, and 14,000 teachers.

In addition, McREL’s research team has applied insights from our own professional wisdom and an exhaustive review of leadership literature — including institutional theory, systems theory, organizational learning theory, transition theory, change theory, and diffusion theory — to help school leaders understand how to effectively carry out the 21 key leadership responsibilities identified in our study. Thus, our findings represent an integration of quantitative research, theoretical insights, and professional wisdom about effective leadership.

FINDINGS

The data from our meta-analysis demonstrate that there is, in fact, a substantial relationship between leadership and student achievement. We found that the average effect size (expressed as a correlation) between leadership and student achievement is .25.

To interpret this correlation, consider two schools (school A & school B) with similar student and teacher populations. Both demonstrate achievement on a standardized, norm-referenced test at the 50th percentile. Principals in both schools are also average — that is, their abilities in the 21 key leadership responsibilities are ranked at the 50th percentile. Now assume that the principal of school B improves her demonstrated abilities in all 21 responsibilities by exactly one standard deviation (see Figure 1).

Our research findings indicate that this increase in leadership ability would translate into mean student achievement at school B that is 10 percentile points higher than school A, as depicted in Figure 2. Expressed differently, a one standard deviation improvement in leadership practices is associated with an increase in average student achievement from the 50th percentile to the 60th percentile. This represents a statistically significant difference in achievement.

In addition to the general impact of leadership, we found 21 specific leadership responsibilities significantly correlated with student achievement. These 21 leadership responsibilities and the average effect size for their impact on student achievement are reported in Figure 3.
Figure 3: Principal leadership responsibilities: Average r and 95% Confidence Intervals

<table>
<thead>
<tr>
<th>Responsibilities</th>
<th>The extent to which the principal ...</th>
<th>Avg. r</th>
<th>N schools</th>
<th>N studies</th>
<th>95% CI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Culture</td>
<td>fosters shared beliefs &amp; a sense of community &amp; cooperation</td>
<td>.29</td>
<td>709</td>
<td>13</td>
<td>.23-.37</td>
</tr>
<tr>
<td>Order</td>
<td>establishes a set of standard operating procedures &amp; routines</td>
<td>.26</td>
<td>456</td>
<td>17</td>
<td>.17-.35</td>
</tr>
<tr>
<td>Discipline</td>
<td>protects teachers from issues &amp; influences that would detract from their teaching time or focus</td>
<td>.24</td>
<td>397</td>
<td>10</td>
<td>.14-.35</td>
</tr>
<tr>
<td>Resources</td>
<td>provides teachers with materials &amp; professional development necessary for the successful execution of their jobs</td>
<td>.26</td>
<td>570</td>
<td>17</td>
<td>.18-.34</td>
</tr>
<tr>
<td>Curriculum, instruction, assessment</td>
<td>is directly involved in the design &amp; implementation of curriculum, instruction, &amp; assessment practices</td>
<td>.16</td>
<td>636</td>
<td>19</td>
<td>.08-.24</td>
</tr>
<tr>
<td>Focus</td>
<td>establishes clear goals &amp; keeps those goals in the forefront of the school's attention</td>
<td>.24</td>
<td>1109</td>
<td>30</td>
<td>.18-.29</td>
</tr>
<tr>
<td>Knowledge of curriculum, instruction assessment</td>
<td>fosters shared beliefs &amp; a sense of community &amp; cooperation</td>
<td>.24</td>
<td>327</td>
<td>8</td>
<td>.13-.35</td>
</tr>
<tr>
<td>Visibility</td>
<td>has quality contact &amp; interactions with teachers &amp; students</td>
<td>.16</td>
<td>432</td>
<td>11</td>
<td>.06-.25</td>
</tr>
<tr>
<td>Contingent rewards</td>
<td>recognizes &amp; rewards individual accomplishments</td>
<td>.15</td>
<td>420</td>
<td>7</td>
<td>.05-.24</td>
</tr>
<tr>
<td>Communication</td>
<td>establishes strong lines of communication with teachers &amp; among students</td>
<td>.23</td>
<td>245</td>
<td>10</td>
<td>.10-.35</td>
</tr>
<tr>
<td>Outreach</td>
<td>is an advocate &amp; spokesperson for the school to all stakeholders</td>
<td>.28</td>
<td>478</td>
<td>14</td>
<td>.19-.35</td>
</tr>
<tr>
<td>Input</td>
<td>involves teachers in the design &amp; implementation of important decisions &amp; policies</td>
<td>.30</td>
<td>504</td>
<td>13</td>
<td>.21-.38</td>
</tr>
<tr>
<td>Affirmation</td>
<td>recognizes &amp; celebrates school accomplishments &amp; acknowledges failures</td>
<td>.25</td>
<td>345</td>
<td>7</td>
<td>.14-.35</td>
</tr>
<tr>
<td>Relationship</td>
<td>demonstrates an awareness of the personal aspects of teachers &amp; staff</td>
<td>.19</td>
<td>497</td>
<td>12</td>
<td>.10-.24</td>
</tr>
<tr>
<td>Change agent</td>
<td>is willing to &amp; actively challenges the status quo</td>
<td>.30</td>
<td>479</td>
<td>7</td>
<td>.22-.38</td>
</tr>
<tr>
<td>Optimizer</td>
<td>inspires &amp; leads new &amp; challenging innovations</td>
<td>.20</td>
<td>444</td>
<td>9</td>
<td>.11-.29</td>
</tr>
<tr>
<td>Ideals/beliefs</td>
<td>communicates &amp; operates from strong ideals &amp; beliefs about schooling</td>
<td>.25</td>
<td>526</td>
<td>8</td>
<td>.17-.33</td>
</tr>
<tr>
<td>Monitors/evaluates</td>
<td>monitors the effectiveness of school practices &amp; their impact on student learning</td>
<td>.28</td>
<td>1071</td>
<td>30</td>
<td>.23-.34</td>
</tr>
<tr>
<td>Flexibility</td>
<td>adapts leadership behavior to the needs of the current situation &amp; is comfortable with dissent</td>
<td>.22</td>
<td>151</td>
<td>2</td>
<td>.05-.37</td>
</tr>
<tr>
<td>Situational awareness</td>
<td>is aware of the details &amp; undercurrents in the running of the school &amp; uses this information to address current &amp; potential problems</td>
<td>.33</td>
<td>91</td>
<td>5</td>
<td>.11-.37</td>
</tr>
<tr>
<td>Intellectual stimulation</td>
<td>ensures that faculty &amp; staff are aware of the most current theories &amp; practices &amp; makes the discussion of these a regular aspect of the school's culture</td>
<td>.32</td>
<td>321</td>
<td>5</td>
<td>.22-.42</td>
</tr>
</tbody>
</table>
The differential impact of leadership

As important as these findings are, there is another finding that is equally as important. That is, just as leaders can have a positive impact on achievement, they also can have a marginal, or worse, a negative impact on achievement. When leaders concentrate on the wrong school and/or classroom practices, or miscalculate the magnitude or “order” of the change they are attempting to implement, they can negatively impact student achievement. Figure 4 displays the range of impact leaders can have on student performance. In some studies, we found an effect size for leadership and achievement of .50. This translates mathematically into a one standard deviation difference in demonstrated leadership ability being associated with as much as a 19 percentile point increase in student achievement — an increase that is substantially larger than the 10 percentile point increase mentioned previously.

In other studies, we found correlations as low as -.02. This indicates that schools where principals demonstrated higher competence in certain leadership areas had lower levels of student achievement. In these studies, a one standard deviation improvement in leadership practices was correlated with a one percentile point decrease in student achievement.

What can we learn from this 20 percentile difference in the impact of leadership? We have concluded there are two primary variables that determine whether or not leadership will have a positive or a negative impact on achievement. The first is the focus of change — that is, whether leaders properly identify and focus on improving the school and classroom practices that are most likely to have a positive impact on student achievement in their school. The second variable is whether leaders properly understand the magnitude or “order” of change they are leading and adjust their leadership practices accordingly. We discuss these variables in greater detail in the following sections.

The focus of change

Harvard scholar Richard Elmore, in a study commissioned by the National Governor’s Association (NGA), concluded that having the right focus of change is a key to improving schools and increasing student achievement. In his report for NGA, Knowing the Right Things to Do: School Improvement and Performance-Based Accountability, he states,

Knowing the right thing to do is the central problem of school improvement. Holding schools accountable for their performance depends on having people in schools with the knowledge, skill, and judgement to make the improvements that will increase student performance. (p. 9)

We reached the same conclusion in our current study of leadership. Through two previous studies, we have also identified, “the right things to do” in school improvement. McREL’s earlier meta-analyses of classroom and school practices, self-published in reports titled A Theory-Based Meta-Analysis of Research on Instruction (1998) and A New Era of School Reform: What 30 Years of Research Tells Us (1999)1, and published by ASCD in two volumes titled Classroom Instruction that Works (2000) and What Works in Schools (2002), provides guidance for leaders on what the focus of their improvement efforts should be.

---

1Both McREL research reports are available online:
- A Theory-based Meta-Analysis of Research on Instruction can be downloaded at www.mcrel.org/PDF/Instruction/5982RR_InstructionMeta_Analysis.pdf;
The school and classroom practices associated with increased student achievement identified in these publications are presented in Figure 5. For school leaders and leadership teams with questions about where they should be focusing their improvement efforts, these school and teacher practices and student factors offer a place to start.

Just as we are able to document the relationship between leadership and student achievement through our current study, our earlier analyses documented an even stronger relationship between these school and teacher practices and student factors and student achievement. The school and classroom practices in Figure 5 account for 20 percent of the variance in student achievement. This translates mathematically into 72 percent of students passing a standardized assessment that only 50 percent of students are expected to pass. In other words, focusing on the most effective or most needed practices can change a school’s passing rate from 50 to 72 percent. Accordingly, the message for leaders is that in order to have positive impact on student achievement, they need to not only focus improvement efforts on these key school and classroom practices, but also accurately understand the magnitude of change implied by these efforts.

The magnitude or “order” of change

The theoretical literature on leadership, change, and the adoption of new ideas (including Heifetz, Fullan, Beckard, Pritchard, Hesslebein, Johnson, Kanter, Bridges, Rogers, Nadler, Shaw, and Walton) makes the case that not all change is of the same magnitude. Some changes have greater implications than others for staff members, students, parents, and other stakeholders. Although there are a variety of labels given to differing magnitudes of change (technical vs. adaptive challenges, incremental vs. fundamental, continuous vs. discontinuous), we have used the terms “first order” and “second order” change to make this distinction. Figure 6 describes the differences between these orders of change.
It is important to note that not all changes represent the same order of change for each individual or stakeholder group. What will be experienced as a “first order” change for some may be a “second order” change for others. Assuming that all change will have the same implications for all stakeholders, and/or using practices that might be appropriate for a first order change when a second order change is actually implied for stakeholders, will likely result in a negative impact on student achievement. Thus, in addition to focusing leadership efforts on school and classroom practices associated with improved student achievement, leaders also must tailor their own leadership practices based on the magnitude or “order” of change they are leading.

The implications of the change for individuals, organizations, and institutions determines the magnitude or order of change. On both individual and collective levels, changes that are consistent with existing values and norms, create advantages for individuals or stakeholder groups with similar interests, can be implemented with existing knowledge and resources, and where agreement exists on what changes are needed and on how the changes should be implemented can be considered first order. In an educational context, these might be new classroom instructional practices, instructional materials, curricular programs, or data collection and reporting systems that build on established patterns and utilize existing knowledge.

A change becomes second order when it is not obvious how it will make things better for people with similar interests, it requires individuals or groups of stakeholders to learn new approaches, or it conflicts with prevailing values and norms. To the degree that individuals and/or stakeholder groups in the school or school system hold conflicting values, seek different norms, have different knowledge, or operate with varying mental models of schooling, a proposed change might represent a first order change for some and a second order change for others.

Different perceptions about the implications of change can lead to one person’s solution becoming someone else’s problem. That is, if a change has first order implications for one person or group of individuals, yet has second order implications for another person or group, this latter group may view the change as a problem rather than a solution. This is true of nearly every educational reform introduced over the last 20 years. The shift from focusing on the inputs of schooling to the outputs of schooling, which was the core concept in “outcome-based” education, is a classic and dramatic example of one person’s solution being someone else’s problem.
There are many more current examples. The role and use of content standards, high-stakes testing and accountability, adjustments in school days, weeks, and years, non-graded classrooms, home schooling, and school vouchers are for some educators, policy makers, and parents, first order changes; they are appropriate responses to what these individuals see as problems with schools. These “solutions” are consistent with their prevailing values and norms and are seen as natural extensions of their ongoing efforts to improve schools.

However, other policymakers, educators, and parents may see such changes as dramatic and undesirable breaks with the past, which conflict sharply with their prevailing values and norms. In short, they are viewed as second order changes. That is, instead of being viewed as “solutions,” many see them as problems facing schools and school systems, which have far greater implications for students and stakeholder groups than those currently facing the schools.

Recognizing which changes are first and second order for which individuals and stakeholder groups helps leaders to select leadership practices and strategies appropriate for their initiatives. Doing so enhances the likelihood of sustainable initiatives and a positive impact on achievement. Failing to do so will just as likely result in the negative impact on achievement.

Selecting the appropriate leadership practices
Each of the 21 leadership responsibilities presented in Figure 3 includes several different leadership practices. The practices associated with each of the leadership responsibilities are presented in Figure 7. For instructive purposes, these practices have been plotted along a continuum based on whether they are most appropriate for first or second order changes.

In reviewing the figure, readers should keep in mind that while only some of the practices listed here are required to lead first order change, skillful use of all practices listed is required to successfully lead second order change. Effective leaders understand both the order of change they are leading and how to select and skillfully use appropriate leadership practices.

It is also important to note that depending on school context, both first and second order changes can lead to gains in student achievement. However, in many situations, it becomes clear that necessary changes are in fact, “second order” changes. Thus, to be effective, school leaders must become adept at leading both first and second order changes.

As an example, consider the first responsibility listed in Figure 7, Culture (i.e., the extent to which the principal fosters shared beliefs and a sense of community and cooperation). The practices associated with this responsibility include:

1. Promotes cooperation among staff,
2. Promotes a sense of well being,
3. Promotes cohesion among staff,
4. Develops shared understanding of purpose, and
5. Develops a shared vision of what the school could be like.

For first order changes, the first three practices — promoting cooperation, a sense of well being, and cohesion among staff — may be all that is needed from leadership for successful implementation.

However, for second order changes, these first three practices will be insufficient to fulfill this responsibility. Second order changes require leaders to work far more deeply with staff and the community. It is possible that second order changes will disrupt cooperation, a sense of well being, and cohesion. Second order changes may confront group identities, change working relationships, challenge expertise and competencies, and throw people into stages of “conscious incompetence,” none of which is conducive to cooperation, cohesion, and a sense of well-being.

In these cases, establishing agreement on the purposes of schooling and the proposed changes, along with a truly shared vision of possibilities, will be essential if cooperation among staff, a sense of well being, and cohesion are to be maintained, or re-established, as the change is being implemented.
<table>
<thead>
<tr>
<th>Leadership Responsibilities &amp; Effect Sizes (ES)</th>
<th>Appropriate for First Order Change</th>
<th>Appropriate for Second Order Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Culture (.29)</strong>&lt;br&gt;The extent to which the principal fosters shared beliefs and a sense of community and cooperation.</td>
<td>• Promotes cooperation among staff&lt;br&gt;• Promotes a sense of well-being&lt;br&gt;• Promotes cohesion among staff</td>
<td>• Develops shared understanding of purpose&lt;br&gt;• Develops a shared vision of what the school could be like</td>
</tr>
<tr>
<td><strong>Order (.26)</strong>&lt;br&gt;The extent to which the principal establishes a set of standard operating procedures and routines.</td>
<td>• Provides and enforces clear structures, rules and procedures for students&lt;br&gt;• Provides and enforces clear structures, rules and procedures for staff&lt;br&gt;• Establishes routines regarding the running of the school that staff understand and follow</td>
<td></td>
</tr>
<tr>
<td><strong>Discipline (.24)</strong>&lt;br&gt;The extent to which the principal protects teachers from issues and influences that would detract from their teaching time or focus.</td>
<td>• Protects instructional time from interruptions&lt;br&gt;• Protects/shelters teachers from distraction</td>
<td></td>
</tr>
<tr>
<td><strong>Resources (.26)</strong>&lt;br&gt;The extent to which the principal provides teachers with the material and professional development necessary for the successful execution of their jobs.</td>
<td>• Ensures that teachers have necessary materials and equipment</td>
<td>• Ensures that teachers have necessary staff development opportunities that directly enhance their teaching</td>
</tr>
<tr>
<td><strong>Curriculum, instruction, assessment (.16)</strong>&lt;br&gt;The extent to which the principal is directly involved in the design and implementation of curriculum, instruction, and assessment practices.</td>
<td>• Ensures that teachers have necessary materials and equipment&lt;br&gt;• Is involved with teachers to address instructional issues in their classrooms&lt;br&gt;• Is involved with teachers to address assessment issues</td>
<td></td>
</tr>
<tr>
<td>Leadership Responsibilities &amp; Effect Sizes (ES)</td>
<td>Appropriate for First Order Change</td>
<td>Practices</td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td>----------------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td><strong>Focus (.24)</strong>&lt;br&gt;The extent to which the principal establishes clear goals and keeps those goals in the forefront of the school's attention</td>
<td>• Establishes concrete goals for all curriculum, instruction, and assessment&lt;br&gt;• Establishes concrete goals for the general functioning of the school&lt;br&gt;• Continually keeps attention on established goals</td>
<td></td>
</tr>
<tr>
<td><strong>Knowledge of curriculum, instruction, assessment (.24)</strong>&lt;br&gt;The extent to which the principal is knowledgeable about current curriculum, instruction, and assessment practices.</td>
<td>• Is knowledgeable about instructional practices&lt;br&gt;• Is knowledgeable about assessment practices&lt;br&gt;• Provides conceptual guidance for teachers regarding effective classroom practice</td>
<td></td>
</tr>
<tr>
<td><strong>Visibility (.16)</strong>&lt;br&gt;The extent to which the principal has quality contact and interactions with teachers and students.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Contingent Rewards (.15)</strong>&lt;br&gt;The extent to which the principal recognizes and rewards individual accomplishments.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Communication (.23)</strong>&lt;br&gt;The extent to which the principal establishes strong lines of communication with teachers and among students.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Outreach (.28)</strong>&lt;br&gt;The extent to which the principal is an advocate and spokesperson for the school to all stakeholders.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leadership Responsibilities &amp; Effect Sizes (ES)</td>
<td>Appropriate for First Order Change</td>
<td>Practices</td>
</tr>
<tr>
<td>-----------------------------------------------</td>
<td>-----------------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td><strong>Input (.30)</strong>&lt;br&gt;The extent to which the principal involves teachers in the design and implementation of important decisions and policies.</td>
<td>• Provides opportunity for input on all important decisions</td>
<td>• Provides opportunities for staff to be involved in developing school policies</td>
</tr>
<tr>
<td><strong>Affirmation (.25)</strong>&lt;br&gt;The extent to which the principal recognizes and celebrates school accomplishments and acknowledges failures.</td>
<td>• Systematically and fairly recognizes and celebrates accomplishments of teachers</td>
<td>• Systematically and fairly recognizes and celebrates accomplishments of students</td>
</tr>
<tr>
<td><strong>Relationships (.19)</strong>&lt;br&gt;The extent to which the principal demonstrates an awareness of the personal aspects of teachers and staff.</td>
<td>• Remains aware of personal needs of teachers</td>
<td>• Maintains personal relationships with teachers</td>
</tr>
<tr>
<td><strong>Change agent (.30)</strong>&lt;br&gt;The extent to which the principal is willing to and actively challenges the status quo.</td>
<td>• Consciously challenges the status quo</td>
<td>• Is comfortable leading change initiatives with uncertain outcomes</td>
</tr>
<tr>
<td><strong>Optimizer (.20)</strong>&lt;br&gt;The extent to which the principal inspires and leads new and challenging innovations.</td>
<td>• Inspires teachers to accomplish things that might seem beyond their grasp</td>
<td>• Portrays a positive attitude about the ability of the staff to accomplish substantial things</td>
</tr>
<tr>
<td>Leadership Responsibilities &amp; Effect Sizes (ES)</td>
<td>Appropriate for First Order Change</td>
<td>Practices</td>
</tr>
<tr>
<td>-----------------------------------------------</td>
<td>-----------------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td><strong>Ideals/beliefs (25)</strong>&lt;br&gt;The extent to which the principal communicates and operates from strong ideals and beliefs about schooling.</td>
<td>• Holds strong professional beliefs about schools, teaching, and learning&lt;br&gt;• Shares beliefs about schooling, teachers, and learning with staff and parents&lt;br&gt;• Demonstrates behaviors that are consistent with beliefs</td>
<td></td>
</tr>
<tr>
<td><strong>Monitors/evaluates (28)</strong>&lt;br&gt;The extent to which the principal monitors the effectiveness of school practices and their impact on student learning.</td>
<td>• Monitors and evaluates the effectiveness of curriculum, instruction, and assessment</td>
<td></td>
</tr>
<tr>
<td><strong>Flexibility (22)</strong>&lt;br&gt;The extent to which the principal adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.</td>
<td></td>
<td>• Is comfortable with major changes in how things are done&lt;br&gt;• Encourages people to express opinions contrary to those of authority&lt;br&gt;• Adapts leadership style to needs of specific situations&lt;br&gt;• Can be directive or non-directive as the situation warrants</td>
</tr>
<tr>
<td><strong>Situational awareness (33)</strong>&lt;br&gt;The extent to which the principal is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems.</td>
<td>• Is aware of informal groups and relationships among staff of the school&lt;br&gt;• Is aware of issues in the school that have not surfaced but could create discord&lt;br&gt;• Can predict what could go wrong from day to day</td>
<td></td>
</tr>
<tr>
<td><strong>Intellectual stimulation (32)</strong>&lt;br&gt;The extent to which the principal ensures that faculty and staff are aware of the most current theories and practices and makes the discussion of these a regular aspect of the school's culture.</td>
<td>• Keeps informed about current research and theory regarding effective schooling&lt;br&gt;• Continuously exposes staff to cutting edge ideas about how to be effective&lt;br&gt;• Systematically engages staff in discussions about current research and theory&lt;br&gt;• Continuously involves staff in reading articles and books about effective practices</td>
<td></td>
</tr>
</tbody>
</table>
Ongoing development of McREL’s “balanced leadership” framework

Our work on this framework continues through the development of a “knowledge taxonomy” to organize the theoretical research mentioned earlier in this paper. Our taxonomy organizes this literature into the following four types of knowledge, which can be applied to the 21 leadership responsibilities and associated practices:

- Experiential knowledge — knowing why this is important;
- Declarative knowledge — knowing what to do;
- Procedural knowledge — knowing how to do it; and
- Contextual knowledge — knowing when to do it.

The value of the taxonomy, we believe, is in organizing the knowledge in the theoretical research on leadership, change, systems, organizational learning, diffusion, supervision, and institutions so it can be applied to the 21 leadership responsibilities. Based on our review of the theoretical research in these domains, it is clear that many people in leadership positions lack the experiential, declarative, procedural, and/or contextual knowledge necessary to lead both first and second order change. The literature is replete with examples of bright, powerful, well intentioned leaders who fail in their leadership initiatives because they simply did not understand what they needed to know, how to proceed with implementation, or when they needed to use various practices and strategies.

Nowhere may this be more true than in the field of educational leadership. For years, educators have worked to apply theories from these domains to schools and school systems. However, there has been no consistent approach to and structure for this application. We are using the knowledge taxonomy as the tool for this purpose.

The meta-analysis gives us 21 research-based responsibilities and associated practices that are significantly associated with student achievement. These responsibilities and practices make up one half of a “balanced leadership framework.” The taxonomy is our tool for organizing the experiential, declarative, procedural, and contextual knowledge in the theoretical research, to be applied to the 21 responsibilities and associated practices found in the quantitative research. This is the other half of the “balanced leadership framework.”

Again selecting one of the leadership responsibilities, Communication (i.e., the extent to which the principal establishes strong lines of communication with teachers and among staff), Figure 8 is a partially developed example of how the taxonomy will be used to further develop this work.

In addition to pulling the theoretical research into the framework using the knowledge taxonomy, we continue to collect data on the 21 leadership responsibilities. Assuming that the 21 responsibilities are highly interrelated, we are currently collecting data from practitioners which we will use to conduct factor analyses. Additionally, we will use these data for the purpose of structural equation modeling. In subsequent reports, we anticipate sharing the results of our factor analyses, which we expect will produce a smaller number of responsibilities after “teasing out” the underlying factor structure. Furthermore, we expect to report on the strength of relationships between leadership responsibilities and practices to the school and classroom practices presented in Figure 5. For information about the status of these efforts, and the release of future reports, readers can access McREL’s Resource Center at info@mcrel.org.
Figure 8: Example of the knowledge taxonomy

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Knowledge &amp; Skills</th>
<th>Strategy &amp; Tools</th>
<th>Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>(ES .23)</td>
<td>People adopt ideas or innovations partially based on the effectiveness of communication channels (i.e., who they hear it from, what they learn, and how they hear it.)</td>
<td>• Desirable vs. undesirable • Direct vs. indirect • Anticipated vs. unanticipated</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Declarative (what)</td>
<td>Manage disequilibrium</td>
<td>Resources utilization Using the categories of adopters</td>
</tr>
<tr>
<td></td>
<td>Leaders need to know the attributes of innovations, i.e.</td>
<td>Increase access to</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Relative advantage • Compatibility • Complexity • Trialability • Observability and how these attributes affect the rate of adoption.</td>
<td>• Information • Innovation evaluations • Resource utilization • Using the categories of adopters</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Procedural (how)</td>
<td>Develop network of key communicators Identify and brief opinion leaders Ethnographic studies Metaphors Reframing Use of dialogue</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Leaders need to effectively use the channels of communication to capitalize on the research on the adoption of ideas/innovations. They need to use:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Knowledge • Persuasion • Decisions • Implementation • Confirmation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Contextual (when)</td>
<td>Assess magnitude of leadership initiative McREL change initiative assessment protocol</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Whenever people are being asked to adopt new practices, leadership needs to assess both the readiness for change and the level of that change.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

CONCLUSION

There are no fail-safe solutions to educational and organizational problems. This is as true in the area of leadership as it is in other areas of educational effectiveness. However, research findings that are organized, accessible, and easily applied by practitioners can enhance the likelihood of effective education leadership. We believe the McREL balanced leadership framework is the most comprehensive, rigorous, and useful integration of research and theory into a practical format available to education leaders today. McREL's framework is not a silver bullet. It can become, however, a tool that will help leaders and leadership teams add value to the work of all stakeholders to improve student achievement.
BIBLIOGRAPHY


APPENDIX A: REPORTS ON THE 70 STUDIES INCLUDED IN THE MCREL LEADERSHIP META-ANALYSIS


I. DOCUMENT IDENTIFICATION:

Title: Balanced Leadership: What 30 Years of Research Tells Us About the Effect of Leadership on Student Achievement

Author(s): Tim Waters, Robert J. Marzano, and Brian McNulty

Corporate Source: Midwest Research for Education and Learning

Publication Date: 2003

II. REPRODUCTION RELEASE:

In order to disseminate as widely as possible timely and significant materials of interest to the educational community, documents announced in the monthly abstract journal of the ERIC system, Resources in Education (RIE), are usually made available to users in microfiche, reproduced paper copy, and electronic media, and sold through the ERIC Document Reproduction Service (EDRS). Credit is given to the source of each document, and, if reproduction release is granted, one of the following notices is affixed to the document.

If permission is granted to reproduce and disseminate the identified document, please CHECK ONE of the following three options and sign at the bottom of the page.

The sample sticker shown below will be affixed to all Level 1 documents.

PERMISSION TO REPRODUCE AND DISSEMINATE THIS MATERIAL HAS BEEN GRANTED BY

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

Level 1

[ ] Check here for Level 1 release, permitting reproduction and dissemination in microfiche or other ERIC archival media (e.g., electronic) and paper copy.

The sample sticker shown below will be affixed to all Level 2A documents.

PERMISSION TO REPRODUCE AND DISSEMINATE THIS MATERIAL IN MICROFICHE, AND IN ELECTRONIC MEDIA FOR ERIC COLLECTION SUBSCRIBERS ONLY, HAS BEEN GRANTED BY

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

Level 2A

[ ] Check here for Level 2A release, permitting reproduction and dissemination in microfiche and in electronic media for ERIC archival collection subscribers only.

The sample sticker shown below will be affixed to all Level 2B documents.

PERMISSION TO REPRODUCE AND DISSEMINATE THIS MATERIAL IN MICROFICHE ONLY HAS BEEN GRANTED BY

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

Level 2B

[ ] Check here for Level 2B release, permitting reproduction and dissemination in microfiche only.

I hereby grant to the Educational Resources Information Center (ERIC) nonexclusive permission to reproduce and disseminate this document as indicated above. Reproduction from the ERIC microfiche or electronic media by persons other than ERIC employees and its system contractors requires permission from the copyright holder. Exception is made for non-profit reproduction by libraries and other service agencies to satisfy information needs of educators in response to discrete inquiries.

Signature: ____________________________

Printed Name/Position/Title: Tim Waters, President and CEO

Organization/Address: Midwest Research for Education and Learning

2550 S. Parker Road, Suite 500, Aurora, CO 80014

Telephones: 303.622.5562 Fax: 303.337.3005

E-Mail Address: twaters@merl.org Date: 10-6-03

Sign here, please
III. DOCUMENT AVAILABILITY INFORMATION (FROM NON-ERIC SOURCE):

If permission to reproduce is not granted to ERIC, or, if you wish ERIC to cite the availability of the document from another source, please provide the following information regarding the availability of the document. (ERIC will not announce a document unless it is publicly available, and a dependable source can be specified. Contributors should also be aware that ERIC selection criteria are significantly more stringent for documents that cannot be made available through EDRS.)

Publisher/Distributor:

Address:

Price:

IV. REFERRAL OF ERIC TO COPYRIGHT/REPRODUCTION RIGHTS HOLDER:

If the right to grant this reproduction release is held by someone other than the addressee, please provide the appropriate name and address:

Name:

Address:

V. WHERE TO SEND THIS FORM:

Send this form to the following ERIC Clearinghouse:

ERIC Clearinghouse on Educational Management
5207 University of Oregon
Eugene OR 97403-5207
Attn: Acquisitions

However, if solicited by the ERIC Facility, or if making an unsolicited contribution to ERIC, return this form (and the document being contributed) to:

ERIC Processing and Reference Facility
4483-A Forbes Boulevard
Lanham, Maryland 20706

Telephone: 301-552-4200
Toll Free: 800-799-3742
FAX: 301-552-4700
E-mail: ericfac@inet.ed.gov
WWW: http://ericfacility.org