Stephan Gerhard Huber

Editor

School Leadership – International Perspectives

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STUDIES IN EDUCATIONAL LEADERSHIP

VOLUME 10

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School Leadership –
International Perspectives

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Preface

School Leadership: International Perspectives

This preface calls for us to place on record some background events that paved the way for the birth of this book. The book has derived from the work of international colleagues and friends who met regularly on international conferences and events, particularly at the international seminars and symposia in 2004, 2005, and 2006, which were hosted by Stephan Gerhard Huber. The tradition of school leadership symposia was established by Prof. Dr. Heinz Rosenbusch in the 1980s. They turned out to be the cornerstone events for school leaders in the German speaking countries. These symposia took place every 2 years and covered themes such as school leadership between bureaucratic administration and innovation; motivation by cooperation; change school from the inside; school and school inspection; school leadership and education action; and school leadership as a social change agent. In 1994, Stephan Gerhard Huber joined the symposia organizational team and started directing them since 2003. Consecutively, Huber spearheaded three international events in 2004, 2005, and 2006. The number of attendees grew up to 450 in 2006 with 110 presentations altogether. In 2009, the next international school leadership symposium took place with 450 experts from around 40 different countries with around 140 presentations. Participants came from Europe, the USA, Asia, Africa, and Australia. Among them were teachers; school leaders; representatives of school leader associations, of educational authorities, of training centres and ministries, as well as academics working in the fields of school effectiveness, school improvement, and school leadership. Furthermore, representatives of foundations, publishing houses, and school and business partnership also participated in the symposia.

These symposia were different in format each year. However, they always included not only plenty of concurrent presentations (keynote and paper presentations), workshops, small group work, various forms of discussions and educational hospitations in local schools and educational authorities and the ministry but also social, cultural, and recreational activities. On the whole, the symposia provided a context and platform to discuss and share ideas and experiences on current issues and trends in school leadership research and practice. They also provide opportunities to initiate professional networks, thus serving as a basis for future cooperation among the participants.

Key issues in the discussions were related to insights from recent research findings and their consequences for the leadership of schools, the growing importance placed on activities to professionalize school leaders, among them training and development programs and selection procedures, as well as the professional standing and the level of decision-making authority that school leaders in various countries have.

The overall aim has been to bring experts from the different fields of education together to discuss current issues and trends related to school leadership, to exchange ideas and experiences, and to discuss possible solutions to challenges we are faced with. As one of the strategies to achieve this aim, a book project was initiated. The result of this effort is this book, *School Leadership: International Perspectives*. Here, selected contributions are collected and published. In many ways, this book is expanding our reflections and discussions on emerging issues of school leadership from the symposia for further contemplation and deliberations. The chapters in this book provide some models of school leadership, leadership development, and measuring effectiveness of leadership and some insight to the future of school leadership.

Conceptions of and Metaphors for School Leadership

During the events, interviews with different experts were conducted. The experts were asked to describe good school leadership and to give metaphors. Through these interviews we received a broad variety of views of successful school leadership. The metaphors represent different perspectives on leadership and have different foci, depending on the context. To provide some idea of this discussion, some examples are described below.

'Good' school leadership as described by the interviewees is strongly connected to the notion of 'learning'. In school contexts, learning is supposed to concern not only all stakeholders, first of all students, but also the teaching staff, parents, as well as the school leader. Learning is characterized by enthusiasm, goal orientation, and collegiality. It lies within the responsibility of 'good' school leadership to create an optimal learning environment for all and to motivate all stakeholders including her/himself. Doing so, leadership – regardless of its context – is not rigid, but like a 'bamboo cane' adaptable to different situations and flexible and at the same time, however, consistent and by no means unpredictable.

Furthermore, 'good' leadership is associated with the ability to mediate between different levels, between the external and the internal environment of the school, between teachers and students (and parents), and between different groups within the school, etc. According to the interviewees, a 'good' school leader practices shared or distributed leadership in terms of leadership based on cooperation and on working in teams. This form of leadership requires that the leader has clear and explicit goals and objectives and at the same time the ability to foster a cooperative environment of mutual support and guidance.

According to the interviewees, school leadership should also be service oriented and support teachers in their professional development as well as aiming at improving student learning and student achievement. For this, it is vital to create the structures that enable a high quality of the school. Besides, school leadership must explicitly initiate, develop, and actively support processes. Consequently, to 'lead' a school does not only mean to manage administrative tasks. Above all, leadership should be creative, innovative, flexible, scientific, honest, transparent, and future oriented. At last, the interviewees also associated 'good' leadership with high ethical and moral awareness.

The interviewees were also asked to characterize 'bad' school leadership. Apparently, 'bad' school leadership is recognizable judging from objective facts. Among them are low student achievement, poor results in national and international achievement tests, little value added, and a high rate of absenteeism among students and teachers. Consequences of this are a rather disagreeable school and a learning climate characterized by fear, a lack of mutual respect, distrust, a lack of integrity and cooperation, a climate of secrecy and suspicion, and a lack of ethical and moral values.

Moreover, the interviewees described 'bad' school leadership as characterized by a dictatorial, authoritarian, opaque leadership style which does not permit the participation of others. Besides, bad school leadership shows a lack of knowledge and of so-called emotional intelligence, little interest in other people, and a lack of the capacity to comprehend and 'create' leadership as a dynamic process.

The interviewees found interesting metaphors for the school: among them are 'learning centre', 'stable basis for everyone', 'learning community', and 'playground'. The school is seen as open and providing a stimulating and safe environment, in which learning is a pleasure. Ideally, the school is not solely comprehended as a 'preparation for life', but as 'life itself' and as 'learning from each other' and focuses on the interaction among all its stakeholders. Moreover, the school was metaphorically called a 'family', a 'parent assisting a child across a busy road', a 'garden', an 'orchestre (also comprising less gifted musicians)', and an 'organism'.

Among the metaphors that the interviewees gave for school leaders were some possibly surprising ones: a 'conductor of an orchestra, who knows all the notes but does not necessarily play all the instruments' may be expected to be chosen, as may be the metaphor of a 'gardener who supervises the growth of all plants', referring to his facilitating and supporting attitude. However, something like a 'loop to the collar of your jacket' sounds quite extraordinary and underlines a strong service orientation. Metaphors such as 'bamboo cane' emphasize flexibility and adaptability combined with consistency. Strikingly perhaps, the metaphors always refer to an individual school leader. In spite of that the interviewees stressed that school leadership ideally is shared by several individuals. An environment based on cooperation is considered necessary to foster shared leadership.

As a metaphor for leadership in general, the interviewees indicated, for example, that of a 'jockey on a galloping horse' and that of the 'leader of a parade, who has to make sure that he is not more of two blocks ahead of the band'. Other metaphors

were those of a 'star', of a 'farmer', and of a 'gardener'. Here, too, it is obvious that the individual leader is in the centre of focus. Moreover, the metaphor of a 'pivot of hope' describes an optimistic view of leadership. In contrast, the slogan 'leadership is sometimes the solution to a problem, but more often the problem itself' places a rather pessimistic perspective.

Another point of view, one that conceives leadership as a function of a system, is held by those interviewees that use metaphors such as a 'net' or, referring to a theatre, the 'balcony (symbolizing a comprehensive and future-oriented vision) and the dance floor (symbolizing staying in touch with the people and their issues) at the same time'.

Furthermore, according to the interviewees, leadership is in concordance with the conception of 'transformational leadership', being goal-, staff-, and future oriented and based on emotional intelligence. Those holding responsibility have to be role models and empower the organization and its members to reach their goals. Empowering, however, does not mean 'ordering', but providing a direction and finding the 'balance between control and autonomy'.

Emerging Issues of and Reflections on School Leadership

As noted earlier, participants in the symposia considered and presented emerging issues of and reflections on school leadership. This section outlines briefly some of the significant discussions:

1. Schools increasingly face diversity. This is due to the heterogeneity of student, teacher, and parent background, to heterogeneous values, to the diversity of the skills of the students, and to differing interests of parents. The more diversity the school faces, the more need for a consensus on values emerges.
2. The tension of decentralization (deregulation, devolution) on the one hand and central control (quality assurance and control through external evaluation, inspections, standardized testing, educational standards, etc.) on the other puts pressure on the schools and on their leadership.
3. Enhanced site management of the individual school provides new chances and creative opportunities for school development, which can be made good use of. Examples of best practice are encouraging.
4. Measuring quality in education cannot be achieved through standardized testing with a narrow approach. There may be a mismatch between what is intended to be measured and what is actually tested.
5. A combination of self-evaluation and external evaluation is being discussed and implemented in various countries. Value-adding models take the individual contexts of the school into account.
6. The roles and tasks of teachers have changed and more pressure is put on them. Moreover, highly heterogeneous classes require more differentiation and a variety in teaching approaches and methods.

7. School leaders' roles have undergone multiple changes and their tasks and responsibilities have increased. There are shifts of focus, e.g. from an emphasis on administrative tasks to an emphasis on development and improvement of instruction as well as student achievements, and school leaders are to a greater extent being held accountable for the results achieved.

8. At first sight, there may appear to be an international consensus about the important role of school leaders, their function (range of responsibilities), their development and training, and their selection (certification/accreditation). By looking more carefully, however, it is apparent that a number of countries have engaged in these issues more rigorously than others.

9. School leadership is about cooperation within the school and between schools. It is about learning from and with colleagues; it is about professional learning communities within the whole school system. It is about developing a shared language, shared concepts, and a shared culture. This approach is a vehicle for school development and has to be taken into account and mirrored by leadership training and development opportunities. Cooperation (among teachers and with external partners) can reduce stress and enhance quality. It lies within the school leader's responsibility to promote a culture of collaboration.

10. New leadership concepts are meant to respond to the manifold demands on school leadership. While, for example, the term 'transactional leadership' has been applied to a concept of 'steady state', 'transformational leadership' is reputed to be particularly successful in school development processes. 'Integral school leadership' aims at an integration of management and leadership tasks. Studies conducted in North America, especially in the field of school effectiveness, have emphasized the relevance of 'instructional leadership'. In Germany, the ideas of 'Organisationspädagogik' attempt at consistently linking 'acting as an educator' and 'acting as an administrator in an organization', regarding educational principles as guidelines for both fields and favouring leadership conceptions like 'cooperative and democratic leadership'. 'System leadership' with the idea of taking over responsibility for learning and education not only in one's own school but for all children and youngsters in the wider community gets increasingly emphasized.

11. Given the facts that school leadership is getting more and more complex and that not only the tasks but also the competences are too demanding for one person alone, shared, distributed, and cooperative leaderships seem to be solutions discussed internationally not only in the academic community but also increasingly in the profession itself. Perhaps there needs to be 'one supreme head' in each school. There could be other alternatives – such as collective leadership, the development of whole teams of staff, the re-conceptualization of the school leader's role as simply one part in a team, a team made up of leaders who all need support, training, development opportunities.

12. School leaders get the impression that particularly in times of scarce financial resources politicians tend to put financial responsibility and accountability on their shoulders. The aims of educational politics and the educational aims of the school are sometimes experienced as discrepant.

13. School leaders have to be aware of the context (the national context and traditions, the society, the school system, the individual school, and the individual needs of the participants).
14. Schools need a culture of trust. School leadership actions should be based on trust. Schools themselves, however, should also be met with trust by authorities in the system and by society in general.
15. Increased responsibility on school level must not be prevented by a culture of distrust and suspicion, which focuses on managerial accountability and control, but needs support through professionalization at all levels (teachers, school leadership, education authorities) in terms of recruitment and selection of suitable personnel as well as training and development offers and support systems.
16. Schools need a culture of appreciation: this holds true internally ('celebrating' is among the school leadership tasks) and at the level of society. Teachers and school leaders must no longer be the beasts of burden for social and political failure. Instead, learning and education ought to be publicly appreciated as the most vital resources of a nation.

Acknowledgements

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Chapter 1
Improving Schools in Hong Kong: A Description of the Improvement Model and Some Reflections on Its Impact on Schools, Teachers and School Principals

Mel West and Mel Ainscow

Abstract This chapter looks back on Improving the Quality of Education for All (IQEA) school improvement programme that has been operating in Hong Kong for almost 4 years. It outlines the rationale for the improvement model and explains the assumptions about how schools improve that underpin this model. It considers some of the features of the Hong Kong school system that shape the context for improvement efforts and gives examples showing how two of the schools in the programme have developed their improvement work in the school. Finally, it offers some reflections on how the programme is influencing the attitudes and practice of teachers and school principals.

Improving the Quality of Education for All: The Improvement Model Underpinning IQEA

Every development project brings with it a set of assumptions about *how* schools can be improved. In the Hong Kong IQEA programme, we have drawn on the model proposed by Hopkins et al. (1994), and have also developed this model to address issues of classroom practice more directly. Below, the major features of this model are set out. First, we explain the notion of *capacity* for improvement. Our assumption here is that schools will not improve unless they have the capacity to do so. We then outline the strategy for using this capacity which we have adopted within the project – our assumption here is that specific, planned targets for improvement offer better results than a general exhortation to "try harder" or "do better".

Generating the Capacity for Improvement

The idea that a school can develop various "capacities" that will enable it deal with problems and exploit opportunities is particularly important where schools

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have a degree of autonomy over decision-making. For example, there is the capacity to recognise when external demands for change offer opportunities for internal development. There is the capacity to manage change to and beyond the point of implementation. There is the capacity to develop the culture of the school to support new methods of working, rather than simply re-organising. There is the capacity to scrutinise and develop classroom practice. Each of these strands contributes, and we have tried to address all of them in our work with project schools. However, we have found that the capacity to organise the school effectively (management arrangements) and the capacity to organise the classroom effectively (classroom arrangements) are strands which both require and are amenable to systematic programmes of enquiry and development within each school.

Management Arrangements

The management arrangements are concerned with the way the school is organised to identify needs and to develop, implement and evaluate responses to these needs. They are important individual components of responsive management, but together they build the capacity for improvement by creating a framework for planning and supporting change. These arrangements (see Hopkins and West, 1994) relate to how the school

– Plans for development
– Co-ordinates activities and groups
– Conceptualises leadership
– Links staff and school development
– Involves key stakeholder groups and communities

   A brief description of what we mean by each of these arrangements follows.

I) Collaborative Planning
The quality of school-level planning has been identified as a major factor in many studies of school effectiveness. Such studies have also identified the nature and quality of school goals as important and collaborative planning and clear goals as key process dimensions. Our own experiences also lead us to see links between the way planning is carried forward in the school and the school's capacity to engage in development work. However, we have also noted that there is rather more to successful planning than simply producing a development plan – indeed often the quality of the "plan" as a written document is a very misleading guide to its influence on the course of events – it is the link between planning and action which in the end justifies the effort we put into planning activities. This practical focus on the impact of planning rather than the technical merits of different planning systems or approaches has led us to stress a number of points when working with Hong Kong schools.

The school's improvement plans need to be clearly linked to the school's vision for the future. Indeed, the notion of priorities for planning arises from the vision, and where there is a lack of congruence between the school's long-term goals and a particular initiative it is hard to build commitment amongst staff. One way of tying together school and individual goals is through widespread involvement in the planning process. In some ways, involvement in planning activity is more important than producing plans – it is through collective planning that goals emerge, differences can be resolved and a basis for action created. The "plan" is really a by-product from this activity and almost always needs to be revised, often several times. The benefits of involvement in planning processes are, however, more durable.

II) Co-ordination Strategies

Schools are sometimes referred to as "loosely coupled systems". This "loose" coupling occurs because schools consist of units, processes, actions and individuals that tend to operate in isolation from one another. Loose coupling is also encouraged by the goal ambiguity that characterises schooling (West and Ainscow, 1991). Despite the rhetoric of curriculum aims and objectives, schools consist of groups of people who may have very different values and, indeed, beliefs about the purposes of schooling. We have therefore identified the school's capacity to co-ordinate the actions of teachers behind agreed policies or goals as an important factor in promoting change.

In our work within Hong Kong we have encouraged the adoption of a number of strategies which, we have found, improve the quality of co-ordination. At the core of such strategies are communication systems and procedures and the ways in which groups can be created and sustained to co-ordinate improvement effort across the school. Of particular importance are specific strategies for ensuring that all staff are kept informed about development priorities and activities, as this is information vital to informed self-direction. We have also found that awareness amongst staff of one another's responsibilities cannot always be assumed. A further factor is the "informal" organization – all schools are made up of a number of informal or self-selected groupings which rarely coincide with formal work units. The attitudes and behaviours adopted by these groups often have a profound effect on the individual's willingness to undertake formal tasks. As a consequence, it is important not to overlook the impact of informal organisation on formal structures, and a co-ordination strategy needs to take account of informal contacts which influence (and can often contribute directly the quality of effort.

What is needed, therefore, is a well co-ordinated, co-operative style of working that gives individual teachers the confidence to "improvise" in a search for the most appropriate responses to the situations they meet. In other words, we are seeking to create a system coupled by ideas and shared understandings of purpose, not one conforming to pre-determined behaviours.

III) Leadership Practices

There is considerable evidence in the studies of school effectiveness that leadership is a key element in determining school success. Perhaps such studies have

overemphasised "leadership" at the expense of "management" – our own experience suggests that these are both important characteristics of the effective school – but they do underline the cultural significance of this term for teachers. Most recently, studies of leadership in schools have tended to move away from the identification of this function exclusively with the school director and have begun to address how leadership can be made available throughout a management structure and at all levels in the school community. This shift in emphasis has been accompanied by a parallel shift in thinking about leadership itself, with an increasing call for "transformational" approaches which distribute and empower, rather than "transactional" approaches which sustain traditional (and broadly bureaucratic) concepts of hierarchy and control (see Hopkins et al., 1994; Clarke, 2000).

Within IQEA we deliberately set out to promote discussion about leadership style within participating schools and to help staff from different levels in the school to share perceptions of how leadership operates. Such discussions have identified a number of key aspects of the leadership role.

The first underlines the responsibility of school leaders in establishing a clear "vision" or set of purposes for the school. The second relates to the way individual knowledge, skills, and experience are harnessed and the extent to which the school is able to transcend traditional notions of hierarchy or role in bringing together the "best team for the job". A third aspect is the way leadership is used in group or team meetings. Leader behaviour is obviously an important determinant of group effectiveness, but a strong commitment to the quality of relationships within the group can sometimes lead to overcohesiveness, with a corresponding decline in the quality of critical thinking which individuals bring to the group. Fourth, we have been keen to explore with participating schools the opportunities for "spreading" the leadership function throughout the staff group. This means accepting that leadership is a function to which many staff may contribute, rather than a set of responsibilities vested in a small number of individuals or jobs.

IV) Staff Development Policies

Staff development is inextricably linked to school development. In the quest for school improvement powerful strategies are required which integrate these two areas in a way that is mutually supportive. In turn, powerful strategies that link staff development to school improvement need to fulfil two essential criteria. First of all they need to relate to and enhance ongoing practices in the school and, second, they should link to and strengthen other internal features of the school's organization. Unless the staff development programme leads towards overall school improvement it tends to become a series of marginal activities.

Further, it seems reasonable to assume that improving the conditions for supporting the learning of teachers in school will have an impact on the conditions they provide for their pupils. To this end it is important that a school has a well thought out policy for teacher development. This must go beyond the traditional patterns through which teachers attend external courses. It is vital that strategies for staff development should be linked to school improvement. As such these should be concerned with the development of the staff as a team, as well as with the evolution of its thinking and the practice of individuals.

V) Involvement

In the research literature on effective schools there is strong evidence that success is associated with a sense of identity and involvement that extends beyond the teaching staff. This involves the pupils, parents and, indeed, other members of the school's community. It seems that some schools are able to create positive relationships with their wider communities that help to create a supportive climate for learning. Though it may be difficult for a particular school to establish community links overnight, it does seem reasonable to expect that strategies for the active involvement of two key groups, pupils and parents, should be more straightforward. Within Hong Kong, thus far we have tended to focus particularly on ways in which the views of the student group can be brought more directly into the school's planning and decision-making processes.

Classroom Arrangements

These arrangements are concerned with the quality of the learning environment, and the teacher's practice is clearly the most important determinant. We have, for several years now, been analyzing teacher behaviour in those classrooms that appear most successful, and out of this analysis we have identified a series of practices which are most often present. These relate to the extent to which teachers

– Establish authentic relationships with students
– Maintain appropriate boundaries and expectations
– Draw on a repertoire of teaching approaches
– Engage in classroom-level curriculum development
– Reflect on and evaluate their own teaching
– Talk with each other about pedagogy

These arrangements are amplified below.

(I) Authentic Classroom Relationships

Many studies of effective schooling have indicated that the teacher–student relationship is at the heart of the learning process. This is not simply a philosophic proposition emerging from a belief in equity, but a practical contributor to effective schools. Consequently, it is a theme which continually appears in writings on effective classrooms. Brandes and Ginnis (1990) quote the evidence gathered by the Committee of Enquiry into Discipline in Schools, which indicated that behaviour and commitment improve when (inter al.) teachers treat students fairly and with respect, work to build up co-operative and supportive relationships, demonstrate concern for students' needs and welfare and give students meaningful responsibilities within the learning partnership. The essence of this high-quality relationship which teachers create within their classrooms is described as "unconditional positive regard".

However, descriptions of what a high-quality relationship involves are harder to find than exhortations that such relationships be developed. In our own work, it seems that the student responds best when the relationship with the teacher is authentic – that is, both teacher and student see themselves as partners in the learning process, and there is mutual respect and acceptance and reciprocal expectation. Though the detail varies, we have noted that such relationships can be created at any stage of schooling.

(II) Establishing Boundaries and Expectations

It is apparent from our observations of practice that where teachers act together, demonstrating similar ranges of approaches and behaviours, these patterns are learned quickly by students, who then recognise them as "cues". Nowhere is this more evident than in the expectations of students' behaviour and commitment. Consistent adherence to a published behaviour code is an important determinant of student response. Where rules are clearly set out and faithfully followed, most students seem to learn very quickly to function within the boundaries these establish.

There are obvious side-benefits to clearly articulated and consistently enforced rules, for example, the level of support these offer of the teacher who is comparatively weak. But the main impact seems to be on the classroom climate, and therefore on the possibility of developing the other classroom conditions listed above. Because of this, the clarification of classroom "rules" and expectations benefits individual teachers by contributing to the quality of the learning environment. Collective agreement and consistent behaviour across teachers is a very potent influence on student response.

(III) The Teacher's Repertoire

That the range of teaching approaches influences the quality of learning outcomes has been clearly established (see especially Joyce and Weil, 1972; Joyce and Showers, 1988; Joyce et al., 1997). However, it is also clear that particular teaching styles have come to be associated with particular subjects. This is most evident in the high school sector, where single subject teaching is the norm, but there are also many elementary schools where a change in learning opportunity is most often associated with a change in subject content – particularly where "specialist" teachers are working on single subjects.

Within our work in British schools we have been able to look at the preferred learning styles of some groups of pupils. These studies reveal both that within any teaching group preferred learning styles vary between students and that, for any one student, preferred learning styles vary according to the subject content. Genuine entitlement therefore requires that there is a range of teaching approaches in use in each subject of the curriculum and not merely a change in method between, for example, mathematical and physical education. Preliminary findings suggest that where the teacher employs a range of teaching approaches more students demonstrate high levels of involvement in and commitment to the goals of the lesson.

(IV) Curriculum Development

Despite the very high levels of external prescription, we have observed that some teachers still find time and space for classroom-level curriculum development. Perhaps to be expected, such development or modification of curriculum materials seems to be most evident where teaching is conducted in mixed ability groupings. Essentially, curriculum development offers a strategy for differentiating common curriculum requirements, and, at its most effective, it can be seen as a method of enfranchising the student. Within IQEA we encourage the schools to investigate the ways in which individual teachers make such adaptations at the classroom level and the effect on student involvement and response which this engenders.

One issue emerging from our studies of classroom practice is that even the most detailed and prescriptive curriculum model is some way short of a "blue-print" for classroom activities, so that there is often more scope for individual adaptation than teachers have realised. A second finding is that where teachers develop schemes of work which address method and means of assessment alongside content, the opportunities for teacher-level development are more clearly seen.

(V) Reflection and Self-Evaluation

A commitment to evaluate methods and their impact at classroom level, and to develop or change teaching behaviours in light of this, is central to the improvement of learning quality. As the focus for development within IQEA schools most often involves scrutiny of classroom practice, teachers need to develop both the habit of and the skills to carry out self-evaluation. Consequently, within the project we try to promote a much more self-conscious and open commitment to enquire into and reflect on classroom processes and outcomes.

Our research findings from earlier work in Britain and elsewhere also suggest powerful links between self-evaluation and the aspects of classroom practice. Teachers who are self-critical of their practice as a matter of routine appear, in the British project at least, to be those teachers who have the most extensively developed "repertoires" and also seem to be those teachers who are most aware of the many things that are happening in the classroom at any one time. There is also a close overlap between those teachers who engage in regular self-evaluation and those who engage in classroom-level curriculum development.

(VI) Focus on Pedagogy

Working as we do, in constant contact with teachers and frequently spending time within schools, we have been surprised by the relatively small amount of "teacher talk" that relates directly to matters of pedagogy. We have found that teachers talk freely about such things as school structures and management, policies, micro-politics. Many discuss curriculum content, or pupils, or resources on a daily basis. But many teachers seem able to get through most working days without referring specifically to the way they teach or how students learn.

Yet, it can be argued that there is nothing more important for teachers to talk about than their own teaching and their students' learning. Indeed, if teachers are

"professionals" in the technical sense then, surely, their professionalism centres on their pedagogical expertise. Certainly, we have no reason to believe that teachers know better than any other group within society *what* students should learn (though often they have very clear ideas on this subject), but we can expect them to know in detail *how* students learn.

The Improvement Strategy

Identifying arrangements which increase the school's capacity to improve is an important stage in the process, but it does not in itself lead to improvement. This is evident from the many attempts which have been made over the years to "backward map" (Reynolds, 1992) the characteristics of "effective" schools onto schools which generate poorer outcomes. At best, training teachers in these areas may increase the quality of staff development programmes, but the link between the development of teachers and the development of their schools remains elusive. We have been concerned within IQEA, therefore, to ensure that the development of capacity or potential for improvement at school level is linked to some clearly focused improvement project within each school – a concern we find reflected in, for example, the Accelerated Schools Project (see Hopfenberg et al., 1993; Finnan et al., 1996). The key question is *how* capacity can be exploited, how the arrangements within the school can be tied in with specific improvement efforts.

Our approach here can be outlined through reference to the improvement "model" which underpins our thinking. The model starts not with abstractions about the kinds of "vision" or goals that may "inspire" the school community, as we have ample evidence from our previous work with schools that quality of vision is independent of quality of schooling – many schools with entirely laudable vision statements seem unable to reflect these in practice; many of the best practices we have seen have never been formalised into school goals. Rather, we encourage IQEA schools to begin by auditing the quality of experience they currently offer their students – the quality they deliver in the classroom, not the quality they aspire to in plans. Essentially, we are asking the schools to start from where they are, rather than to imagine where they would prefer to be. We have found that when schools look closely at what they currently provide, and then, in the context of their own constraints and opportunities, consider what can (or indeed must) be done, the generation of goals and priorities for action remains "grounded" in the realities of the school.

The conceptual model of how quality improvement takes place can thus be simply illustrated (see Fig. 1.1). Our assumption here is that the starting point for improvement effort is student outcomes—indeed, we might define improving the quality of schooling in these terms as a deliberate programme aimed at reducing the discrepancy between the outcomes we desire for our students and the outcomes they actually achieve.

The desired improvements in these outcomes form the basis for specific goals – the priorities which will guide and focus teacher energies. But we cannot expect

Fig. 1.1   A quality improvement model

"priorities" to galvanise efforts if there are too many. Often, this means that decisions about priorities must be made, moving from the separate, perhaps even conflicting, priorities of individuals or groups to a systematically compiled set of priorities which represent the overall needs of a whole school community. Hargreaves and Hopkins (1991) have suggested that two principles should guide this process of choice amongst priorities:

1. Manageability: How much can we realistically hope to achieve?
2. Coherence: Is there a sequence which will ease implementation?

In practical terms, this means that within the "family" of Hong Kong IQEA schools, each school is pursuing *its own particular improvement priority*. The project offers a way of thinking about and working on school improvement, but the decision about what to improve must in each case be determined by the individual school in relation to its individual circumstances and opportunities. We have previously written (Hopkins et al., 1994) about the sorts of priorities schools working to this model have selected. This account explains why the notion that each school should focus on priorities relevant to its own particular circumstances is central to our conceptualisation of the improvement process and also illustrates how "capacity" can be created and tapped into to support the school's work, since it will be the quality of the management arrangements and the classroom arrangements that determine whether the priorities identified lead to improvements in outcomes or not.

Essentially then, the arrangements are mediating variables, through which ideas about improvement are given substance. Often, one or more of the arrangements will need to be developed if this transformation is to be successful. But there is a difference between (for example) addressing *coordination* because it is necessary to improve coordination to meet an identified goal or priority, or to support the development of *repertoire* amongst a group of teachers because more active learning is desired, and simply addressing these areas for their own sake.

The strategy followed in IQEA is, then, relatively straightforward, at least conceptually. Identify areas for improvement from an analysis of what is currently happening, select a limited (we discourage schools from trying to pursue more than two or three priorities at one time) number for action, then develop the school's management and classroom arrangements as necessary to enable the priority to be pursued in appropriate and supportive conditions. Previous experience in several countries has demonstrated the wisdom of linking activity related to priorities with activity to develop the school's management and classroom arrangements. We have also noted that this process becomes "easier" with time, as the schools develop capacity and learn to use it, building on successive improvements in successive years. We have suggested that by addressing specific improvements alongside a more general commitment to ensure that the best possible "arrangements" are in place the school is, in effect, developing the culture, rather than simply organising or re-organising around current priorities. Indeed, we feel that an effective school improvement strategy offers the most reliable means of enhancing school culture.

However, there is one key element implied in this model which we have, thus far, only touched on. This is the centrality of enquiry to the processes of improvement. Indeed, IQEA is above all an *enquiry-driven* process, since it is enquiry that generates the data that show the school's strengths and weaknesses, it is enquiry that reveals the context-specific data that are needed to plan sensibly for the development of the individual school. Put simply, we encourage the school's staff to develop the habit of asking questions – How is the school doing? How am I doing? What can we do better? What should we be doing better? – and to devise strategies and methods for gathering evidence needed to answer these questions.

In summary then, the IQEA approach seeks to bring about

– developments in teaching and learning, through the creation of conditions within schools that enable change to be managed successfully;
– school improvement activities led from within the school, that focus on areas that are seen to be matters of priority;
– the collection of and engagement with *evidence,* in order to move thinking and practice forward, and to evaluate progress; and
– collaboration with colleagues from partner schools and elsewhere in the education system, so that a wider range of expertise and resources are available to support improvements in all of the participating schools.

IQEA in Hong Kong

The Hong Kong strategy involves all of these elements. It is, however, different to most of the other IQEA projects in one very significant way; that is the fact that it involves the development of a strategy that is intended to foster both school development and systemic development at the same time. Research would suggest that such an approach has the potential to strengthen the overall impact (Ainscow

and West, 2006; Clarke, 2005). In other words, each of the schools should make greater progress because they are working within a system that is itself more geared to innovation. On the other hand, the development of a system-wide strategy is far from easy, not least because of the presence of so many stakeholders, each with their own agendas and interests.

In September 2000, IQEA launched a pilot programme for strategic school improvement in Hong Kong. The first programme involved teachers from five schools, mostly drawn from the more privileged community in Hong Kong consisting of established and well-known schools. The teachers from these schools researched their school communities with great enthusiasm and generated new ideas that enabled their own already excellent schools to plan for further improvement. The progress made with these already successful schools encouraged the EMB to widen the participation of the programme and to invite a much more diverse set of schools to be involved with the IQEA programme. From 2003 to 2005, 15 more schools joined and now work at school, cluster and network level to form the IQEA Hong Kong programme. Each new school that joins the programme has a set of goals generated from the external school review (ESR). The IQEA programme connects with the school shortly after the inspection period and assists the school improvement group to develop their understanding and response to the strategic goals arising from external school review (ESR). IQEA consultants work regularly with the school improvement groups through seminars, workshops and school visits and maintain a close link with EMB and principals in developing the strategic direction of the initiative.

The Context

Hong Kong, like any system, has characteristics – some rooted in well-established local traditions, others imported more recently from "developed" systems – that can inhibit the school's willingness to pursue improvement strategies. Amongst these we have noted the following:

– Competition. The pressure on schools to compete for so-called "good students" can sometimes have a negative influence, leaving some schools and teachers feeling that they will never succeed within a system that is stacked against them. At the same time, banding and streaming systems within schools tend to depress teachers' expectations of some of their classes. This is often "explained" in terms of the characteristics of the students, for example, by describing them as being "poorly motivated". The falling school rolls that are beginning to take effect are adding to such negative feelings in some schools, and there is a worry that this will further widen the gap between successful and unsuccessful schools. Indeed, some "elite schools" are perceived to be operating in a separate system of education.
– Lack of confidence: The tendency for schools to sign up to lots of externally driven projects does not seem to have led to significant changes in practice. Indeed, there

is a possibility that this "project culture" may have helped to foster a view that such changes are not really possible in the context of Hong Kong.

– Views of teaching: There is a well-established pattern in many lessons. This tends to emphasise the teacher as a transmitter of knowledge. Coupled with the power relations created by the use of microphones, this appears to lead many students to take a largely passive role during lessons. Efforts to change this style of teaching through the importing of Western models, such as cooperative learning, have had limited impact. It may well be that a better approach would be to encourage experimentation and refinements within the existing ways of working.

– Power: Despite the cordial relationships that we have noted above, some schools tend to have a hierarchical style of working that discourages creativity amongst many of their teachers. Occasionally, there is evidence, too, of a gender factor in the power relations that exist, with men assuming a more dominant role.

– Isolation: Despite that fact that many schools belong to a range of networks and groupings, there is little evidence of real cooperation in relation to the improvement of practice. This sense of isolation means that available expertise is trapped within individual organisations. Given that the EMB has few resources to provide regular advice on the improvement of practice, this leads to a sense that the system as a whole is rather "stuck". At the same time, there seems to be more potential for the various sponsoring bodies to encourage greater cooperation between groups of schools.

Despite these systemic difficulties, there are also a number of extremely positive features:

– Pressure to improve: The strong emphasis on competition within the system acts as a stimulus for schools to invest in improvement activities. The recently developed IQEA clusters are helpful in this respect, in that whilst the member schools are in the same areas, they are mostly not in direct competition with one another. However, as we will note later, competition does create some barriers to progress.

– Structures: Senior staff members seem to have a strong desire to improve their schools. Where principals are prepared to take an active role in school improvement, this strengthens the likelihood of success, not least because they select and give status to the members of the SIG. The tight organisation of schools, with their systems of committees and panels, provides a good basis for the rapid implementation of improvement strategies.

– Diversity: The schools vary considerably in terms of their circumstances, histories and stages of development. This means that, when they are encouraged to work together, they can offer one another different experiences and expertise. Many of the schools have sponsors that can offer further resources and energy that can be used to support improvement efforts.

– Relationships: The schools tend to be characterised by very positive working relationships. This is evident in classrooms, between teachers and students, and it also appears to be a feature of staff interactions. All of these seem to reflect a society in which shared responsibility and cooperation are norms.

- Student attitudes: The behaviour and attendance of students are very good by international standards. There is a view amongst the students themselves that being academically successful is a desirable quality. They also tend to be very confident about the use of technology. However, despite the fact that schools tend to have access to lots of equipment, there is surprisingly little evidence of students using technology to enhance their learning in classrooms.
- External influences: The external school review system has had a positive impact in requiring schools to become more focused in their improvement efforts. Hong Kong schools are used to being involved in improvement projects of various kinds. Some of these initiatives involve researchers from local higher education institutions. The projects on "lesson study" or "learning study" seem to have been particularly influential. There is considerable use of strategies for collecting evidence, through, for example, classroom observations, video recordings and student surveys, although limited use seems to be made of this material.

School Vignettes

To illustrate some of these characteristics we have selected a couple of short school vignettes that capture the story so far in Hong Kong IQEA.

School A

School A joined the programme following ESR inspection which identified two areas that needed greater attention. These were a need for greater variety in teaching styles and more attention to staff development, particularly in relation to improvements in classroom practice. These have become the main focus of the IQEA strategy in the school.

During the first year of involvement the group's strategy developed to form a model of improvement that draws upon three interconnected themes – developing pedagogy (models for teaching and learning), developing enquiry (action research) and developing collaboration (curriculum tours):

- Developing models for teaching and learning: workshops were held during which different teaching approaches were studied. Relevant research papers and reading was made available to teachers to act as a stimuli for discussion. All staff began a co-ordinated process of mutual observation where they experimented with a number of the more promising teaching methods.
- Action research: A variety of surveys were carried out. These included studies of student learning styles and study habits. Data were used to stimulate reflection and discussion amongst the staff. During the current school year it is intended that students will also participate in gathering data on their experience of learning in school.

– Curriculum tours: A series of interdepartmental reviews are taking place where
  planning, teaching and observations are shared.

   The approach that this school has taken is very interesting, particularly in rela-
tion to its three-part strategy which is having an effect on the working activity of all
teaching staff and is showing positive signs of changing the culture of the school.
They regularly link evidence from action research activities to the study of teaching
techniques and use this to challenge teachers to reconsider their existing teaching
repertoires, whilst at the same time encouraging experimentation. The members of
the IQEA school improvement group are very clear that the IQEA programme has
formed the foundation for their efforts to improve teaching, and they are equally
clear about the nature of their work, the success of which "is based on our invest-
ment in teaching!" This being the case, they are now running staff development days
in school, the latest being on the theme of "collaboration and lesson study". They
intend to develop their use of lesson study across departments to ensure that the pro-
cess of enquiry continues to take place as a whole school initiative and to maintain
the teaching focus as a "driver for change".

School B

School B joined the IQEA project 3 years ago, intending to use the project to exper-
iment with teaching approaches and seeking to develop classroom practices that
would facilitate greater student involvement.
   Initially, the school adopted a cautious approach, focusing on the development
of problem-based activities in the science classroom. These activities were designed
around the development of open-ended questions that were used as the basis for
groupwork tasks. Such activities introduced several new elements into the class-
room – groupwork itself was rarely used; the notion of questions that did not have
one "right" or "best" answer was also novel; students were required to present
the outcomes of group discussion to the whole class and to evaluate one another's
solutions and suggestions.
   Following positive feedback from science teachers and students alike, the scope
of the project was extended, and in the second and third years the ambitions
widened, both in terms of objectives – which became firmer: to nurture analytical
thinking skills; to promote curiosity and creativity; to develop students' communi-
cation skills – and curriculum areas involved, as it spread to embrace humanities
and languages.
   As the project has developed, so have the staff group involved. In the current
year some 50 teachers, organised into 6 quality circles, are participating directly.
The six group leaders, each of whom have received training in group facilitation
techniques, form the core School Improvement Group. This group is coordinating
activities ranging from the investigation of strategies to improve students' comple-
tion and submission rates for homework, through the identification of strategies to

promote active learning, to the development of strategies to support students in the transition to EMI.

There is now a critical mass of staff in the school who are gaining experience of leading improvement efforts and a substantial group of teachers who are developing and implementing new teaching practices in their classrooms. The momentum generated by the project seems to be building, year on year, and the initial focus on teaching has spread to embrace the more difficult questions that arise when teachers begin to reflect on the impact their teaching has on the quality of learning.

Impact

Though the IQEA Project has been running in Hong Kong for almost 5 years, it is important to contextualise its development. Its beginnings were modest, with a small group of schools that were, as noted earlier, already successful by any conventional measure. Though the project has developed, taking in a wider cross-section of schools, many of these are only in their second or even first year of involvement. It would be premature, therefore, to seek to evaluate the impact of the project on student outcomes, though the added-value analysis recently introduced into the Hong Kong school system may well facilitate such analysis in the future. At present, therefore, we will limit our remarks on the impact of the project to those observable changes that seem to be taking place within the schools. In keeping with the IQEA framework, we divide these into changes we have observed in classrooms and changes that are beginning to emerge in the way leadership operates within the schools.

We detect three main changes in relation to teaching. First, we have noted that teachers have become much more willing to take risks in the classroom, experimenting with new approaches and activities that generate higher levels of student involvement and interaction. We do not underestimate the challenges such experimentation poses – moving away from the traditional, teacher-centred pedagogy to more participative methods brings with it new issues of control. Didactic approaches focus attention on the teacher, assigning essentially passive roles to the learners. True, the quality of learning may be poor, but the level of control the teacher is able to exert over student behaviour is high; off-task behaviour is easy to spot, the microphone overpowers student voices, the teacher can dominate the classroom space from the front. In such circumstances, it is easy to understand why teachers are reluctant to depart from established patterns of instruction and risk the relative "chaos" of open-ended groupwork or the inevitable spreading out of student progress that comes with more differentiated tasks. Nevertheless, we have been heartened by the extent to which teachers in the project schools have embraced these challenges – complicating the business of teaching in order to improve the quality of learning.

Second, we have seen that in all schools teachers have become extremely interested in student response. Of course, routine "evaluation" of teaching was already

taking place in many schools, but what we are noticing is a deeper, more sustained interest in the impact of teaching approach on learner response. In some schools, strategies to capture "student voice" have already developed. In others, there are clear plans to compile a picture of school life as experienced by the students. But what is most striking here is the linking of student data to the specific classroom situations to which they relate. There has been a movement away from non-specific, generalised surveys on "how you like school" to much more closely focused questions about particular teaching approaches or courses.

The third thing we note is the way in which involvement in the project, in planning for the development of their own teaching, their own schools, is deepening understanding of what it means to be a teacher. Again, Hong Kong is a culture in which teachers have traditionally been regarded as important, but this is something more personal. It suggests that the teachers are realising that in engaging with teaching and learning issues daily, lesson by lesson, and by accepting increased responsibility for the quality of learning in their own classrooms, they can develop a more profound and complex understanding of the nature of teacher professionalism.

Similarly, we have three main observations about the way management arrangements in the school are developing, which have considerable importance for the way leadership is conceived and practised in Hong Kong schools. First, we are struck by the increasing significance awarded to "data" or "evidence" in the schools' decision-making processes. All the schools are now regularly collecting data – about teaching, about student response, about student attitudes – and are looking to make sense of this and to use it to improve the quality of learning. A (mild) criticism might be that, in some cases, schools seem to but put more effort into collecting data than they are into analysing and making use of it. But the general pattern is one of increasing use of data in the identification of priorities for action, in the monitoring of performance, in the evaluation of outcomes (and not simply implementation). This focus on evidence is a key development within the leadership teams in the schools – one which has altered the kinds of discussion that takes place within management meetings and is beginning to alter the ways in which school leaders articulate problems and priorities. There also seem to be increasing numbers of staff involved in data collection and analysis processes. The net impact of this has been to move the schools towards a more "thermostatic" system of monitoring, which has itself improved the quality of communication between levels in the schools and, in turn, means that interventions, corrections and innovations can occur earlier than has been the case in the past.

Second, we have begun to see the emergence, through participation in the various School Improvement Groups, of an important cadre of staff. This cadre are able to plug a serious weakness in middle management structures that is evident in many Hong Kong schools. The role of "panel leader" has been relatively poorly developed and seems still to be generally dependent on patronage from above, rather than a clearly defined authority and accountability pattern. However, we see staff members who have taken leadership and coordination roles in relation to the school's improvement programme as constituting an important, new resource to their schools. These are teachers, many of whom are at a relatively early stage in

their career, who have gained the experience of thinking "whole school" and working across subject boundaries. We believe that the emergence of this group of staff – or what some might call the development of distributed leadership patterns (see Spillane, 2006) has been one of the most important outcomes of the programme to date and that direct involvement in and responsibility for aspects of the school's development is one of the most beneficial of staff development activities. It is also encouraging to see that numbers of staff directly involved in such activities are substantial in the majority of IQEA project schools.

Finally, we have noted the increased amount of networking that is beginning to take place between schools, an activity in which school leaders play a crucial role, whether or not they are directly involved themselves. Of course, levels of collaboration are still restricted by timetables and by distance, but there are several examples of schools sharing in-service sessions and experience. As yet, there has not been as much sharing of classroom practice as we hope to see, though again there are encouraging signs – for example, the request, from the schools themselves, that cross-school, thematic groups be established around common issues of concern. A particularly important level of networking is between school principals, and again, we are beginning to see that arrangements for regular contact of principals are beginning to develop. Of course, in Hong Kong many schools belong to religious and other foundations, and meetings of principals from particular foundations are already common. However, what we are hoping to promote here is something slightly different – we feel that the IQEA school principals have the potential to work together in a number of ways that will directly impact on the quality of learning in their schools. Recent experience in Britain has shown us that the benefits of "loaning" teachers or observing classroom practice in another school can be considerable, as can the observations of colleagues from other schools acting as "critical friend". Such arrangements need to be brokered by principals – who could also benefit both by visiting and being visited by their colleagues. The key to such benefits lies in clarity about why the visits are planned and what the respective expectations are – they should have a clear focus and the visitor needs to have a useful role to play; educational "tourism" is not likely to contribute much to school improvement. However, where clear purposes and understandings are established, principals can play an important role as consultants to one another.

Such relationships require trust and mutual understanding. There are some signs that the Hong Kong IQEA project offers a network in which such trust and understanding can be developed.

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Chapter 2
Measuring the Social and Civic Objectives of Schools[1]

Björn Ahlström and Jonas Höög

Abstract This study is part of a Swedish project "Structure, Culture, Leadership – prerequisites for successful schools?" The study presents a tool for the analysis of school outcomes. How can social and civic objectives be measured and what differences between schools can be found when it comes to achieving these objectives? The aim is to assess the pupils' development through a questionnaire based on the curriculum in areas like: democratic values, communication, respect for human differences, self-consciousness, responsibility, critical evaluation, creativity. The study is conducted among 2128 pupils in 24 secondary schools in 12 municipalities.

   Results show that it is possible to develop an instrument based on the Swedish steering documents. It's also obvious that school differences can be assessed with the Social and Civic Objectives Scale (SCOS) Using the SCOS instrument helps us to broaden the definition of a "successful school" by incorporating academic as well as social and civic objectives.

Purpose

The aim of this study is to present a tool for the analysis of school outcomes. It deals with the problem of gaining knowledge about how schools accomplish the social and civic objectives defined in the curriculum. How can social and civic objectives be measured and what differences between schools can be found when it comes to achieving these objectives? If there are differences between schools in their achievement of the social and civic objectives, how does this relate to the academic

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achievements? Can measures of academic, social and civic development be aligned
and seen as a more complete assessment of school performance?

Background

Most schools around the world have two main tasks – to promote the pupils
academic knowledge and to develop a civic conscience and the children's social
competences. How do we know that schools fulfil these tasks? The discussion of
the accountability of schools is predominantly focused on the academic objectives
and it often neglects the social ones. Effective schools[2] have been seen as those
that use resources effectively and deliver high academic results (Samdal et al. 1999;
Good & Brophy 1986) while the concept of successful schools often has been used
for schools where the development of all sides of a child's skills and personality
dominate.

An effective school and an effective school leader are most often understood as
an organization and a leader that can achieve results concerning the pupils' cognitive
development. All countries have grades and tests that can be calculated and analysed
at school, municipality or national level. School authorities and researchers have
dealt with the issue of how a school and its leader can be effective in reaching high
academic standards. Comparisons between schools and countries based on grades
and tests are frequent (PISA, TIMMS, etc.), and it has increased the governments
strive to develop more effective school systems, schools and school leaders. But very
few, if anyone, have tried to study school effectiveness from the perspective of the
pupils' development in the social and civic areas, even though most curricula have
something to say about the role of schools in the upbringing of children in these
respects. The discussion of effective or successful schools has to be broadened and
the idea with this chapter is to lay some ground stones for this dialogue.

The main hypothesis in the project "Structure, Culture, Leadership – prerequi-
sites for successful schools" is that school leaders who manage to align structure
and culture towards the mission of their school are more successful in reaching
the results expected. The idea that change and improvement of structure and cul-
ture for the benefit of a school's mission are crucial is inspired by research on
transformational leadership (Weber 1964; Burns 1978; Bass 1985, 1988; Bennis
& Nanus 1985; Tichy & Devanna 1986; Leithwood 1992; Leithwood et al. 1996;
Bass et al. 1996; Antonakis et al. 2003). In the definition of success our ambition
is to assess school results according to both the academic as well as the social and
civic objectives of the schools.

In the Swedish curriculum from 1994 (Lpo94) it has been stated that the mission
of the Swedish schools is divided into two main categories – academic objec-
tives and social/civic objectives. One can therefore argue that schools cannot be
successful if they do not achieve in relation to both these objectives. The aca-
demic achievement is usually measured by the school's grading system, but a

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[2]For a summary of the debate on effective schools, see for instance "School effectiveness and
school improvement", Volume 12, Number 1, March 2001.

corresponding system for the social and civic objectives does not exist. However, there are examples on an international level where especially the civic objectives have been assessed: NEAP and IEA Civic Educational studies are two current examples (Lutkus et al. 1999; Torney-Purta et al. 1999). A useful and validated tool for assessing the social tasks in a broader meaning where the pupils provide the information has not yet been developed for Swedish schools.

Social and Civic Objectives

The social task of the Swedish schools can be divided into two main categories. First we have what one might call *social objectives* (SO) that imply issues regarding social relations, justice, equality but also creativity and a development of a critical mind. The other main category is *civic objectives* (CO). CO refers to civic education where the pupils should be able to work and function within a democratic society. They should understand how it works and practice these basic democratic principles in everyday situations in school. A democratic climate in the classroom helps the pupils to learn and develop in regard of the CO (Shann 1999; Perlinger et al. 2006). SO and CO shall not be understood as two totally separated objectives and in certain areas they have common subject areas such as the ambition that pupils shall learn tolerance and compassion. The social and civic objectives should act as a moral/social compass that can be a guiding tool for pupils in their participation in private and public relationships (Quigley 2005).

One of the things pointed out in the Swedish curriculum is the understanding that one of the school's primary tasks is to foster children to be capable to live and participate in society (Lpo94). The students are, in some way, part of a socialization process that is ongoing throughout their stay in school. This socialization or experience of going to school may change the student/individual in a lasting way. When the pupil is attending classes, participating in making decisions, interacting with other students and teachers, these activities should develop the student's intellectual abilities and shape her or his social values for life (Kingston et al. 2003). This socialization should make it easier for the pupil to understand and be a part of the society that he or she is living in (Giddens 2001).

Social Objectives

Key words for the work with social objectives in Swedish schools are individual freedom, integrity, equality and justice (Lpo94). In the Swedish education act it says that the schools should actively work for gender equality and they should work against bullying, racism and all other forms of insulting behaviour (SFS 1985, Chapter 1, Section 2). All forms of harassment, racism and intolerance shall be dealt with by open discussions, knowledge and active efforts (Lpo94). Other issues that are pointed out in the curriculum are the pupils' ability to be creative and their critical awareness.

Dan W. Butin (2005) points out that educating social foundations has to be based on discussion and challenges (Butin 2005). As is stressed in the curriculum (Lpo94),

one of the most important things in social education is to make pupils critically aware and ready to take part in a discussion. The school shall not be a repressive institution; on the contrary it should strive for an environment where pupils can be part of an open discussion and actively participate (Butin 2005; Selberg 2001).

The social objectives are questions on a micro level when it deals with people in their social interaction. The civic objective on the other hand deals with questions on a higher level, more comprehensive questions regarding democracy and the society we live in.

Civic Objectives

All nations have an interest in fostering young individuals so that they can function as citizens in the society in which they are brought up. Consequently one can say that the school system is building a culture for citizenship which is beneficial not only for politicians and the political system but also for the society as a whole (Torney-Purta et al. 1999). It is easy to think that the COs only have to do with knowledge of the constitutional how a country's democratic system functions and how the political system is built and what the political power structure looks like. This is partly true but would imply that the work with the civic objectives is something only for teachers who are teaching social science. This assumption is not entirely correct because the COs also are about the pupils possibilities to influence their work not only in a cultural meaning but also in a structural meaning (Lpo94). The school should therefore be a forum where pupils can learn about democratic work from a broad perspective and at different levels (Lutkus et al. 1999). Pupils have to learn that they can influence and change the conditions in their own school (Englund 1994). It is reasonable to think that a pupil that has received a good civic education should not only know the political structure in the country that he or she lives in. It is also reasonable to believe that they have developed traits of character such as tolerance and compassion, which make the pupils capable of participating in political and civil life (Quigley 2005). The COs are divided in that sense that pupils on the one hand shall learn to work in democratic forms and on the other hand they should learn the bases of democracy in a society. The school's task considering the COs can be summarized as follows:

– to work in democratic forms
– to foster democratic citizens
– to give children and young adults knowledge about the content and form of democracy (Skolverket 2000)

Social/Civic and Academic Objectives

The variable approach to accountability – the focus on academic or social objectives or both – could be expressed in the following table (Table 2.1).

Table 2.1 Understanding school types in relation to academic and social objectives

		Focus on Academic objectives	
Focus on social and civic objectives	Yes	Yes Successful schools that combine social and academic objectives A	No Fostering schools that try to create an environment for learning B
	No	Schools with clear academic objectives – schools of excellence in academic grades C	Custody schools – with difficulties reaching high standards both academically and in the social and civic areas D

Table 2.1 can be analysed from different ideological angles. Some educators would argue that cell A, where we have a combination of focus on both social goals and academic knowledge is the only type that describes a successful school. These goals can only be fulfilled in schools that take the full responsibility for ensuring that pupils acquire and develop the knowledge necessary for each individual and member of a democratic society. This is what Swedish laws and policy documents describe as a successful school.

Others would prefer cell C and argue that the basic mission of schools is about learning the academic knowledge and that schools should strive to achieve excellence in academic learning. In Sweden this view is quite widespread. Others again would argue that real success occurs when a school in cell B can start moving towards cell A. Again others would argue that it is really a success to get the children to come to the school in cell D and maybe start a process of learning and fostering. This means that success is relative to the context and situation but in this chapter we develop a model for classifying schools in relation to both academic, social and civic criteria.

Why Assess the Social and Civic Objectives?

As mentioned above, the academic objectives can be measured in a number of ways (mainly by the school's grading system) but a corresponding way for the social and civic objectives does not exist. One of the reasons for this can be the absence of reliable methods to measure these outcomes. These objectives are part of what pupils shall learn during the stay in school and for that purpose only; it is of interest to know for each specific school itself how they are achieving in these areas. The National Agency for Education in Sweden was conducting educational inspections in Swedish schools and by reading the reports of the inspections it is clear that a tool for assessing the social and civic objectives would be helpful.

> It is hard for the inspectors to make assessments when it comes to school's objectives to influence pupils to show respect, to take responsibility (…) and to conduct education in

democratic forms. There is no other documentation or collected knowledge besides what the teachers themselves are writing down... (Swedish National Agency for Education, 2005. Inspection report).

In an inspection report concerning another school the following is said:

There is no gathered material over the results of the work with the pupils' democratic values, knowledge and skills or concerning the pupils' responsibility for their own education. The inspectors assess that the principal and teachers should get a systematic view of and guarantee results among the pupils of the schools' work when it comes to norms and values (Swedish National Agency for Education, 2005. Inspection report).

As shown in the quotations above the social and civic objectives are not easily assessed and as the inspectors point out there is a lack of knowledge and tools when it comes to studying these areas. The need for a tool that could gather information and assess pupils' results or level of knowledge in these areas seems to be needed and necessary.

The selection of schools in this project is based on academic grades. These are measures of the academic achievements of the pupils. Logically and parallel to this the social and civic outcomes of their learning at school should be measured in the same way, that is, how far have the pupils reached in their development of social, personal and civic capacities. A questionnaire intended for the pupils is therefore created to assess their ability to respond to questions regarding the social and civic objectives. Even if there are questionnaires evaluating the pupils' general well-being at school, a formalized and commonly used instrument with the intention to estimate the development of the pupils' social and civic abilities does not exist. When studying pupils' performance it is common to use adult-centred information, it is often the teacher who does the assessment (Karatzias et al. 2001). A questionnaire to guide the teachers assessing the pupils' ability to achieve regarding the social and civic objectives already exists (BRUK). By putting the focus on the pupils, own judgments of their achievements this study becomes unique in a Swedish context.

The BRUK System

In Sweden the National Agency[3] has developed an instrument called BRUK (an abbreviation short for assessment, results, evaluation and quality) to support the process of quality assessments in Swedish schools. This instrument is based on the curriculum, the school law and other steering documents. Each item in the instrument, which is quite large, is related to the different aspects of the steering documents. One central part of BRUK in this context is called "Norms and Values", which is concentrated on the social and civic objectives of schools. It contains seven different paragraphs: (a) basic democratic values, (b) communication, cooperation and conflict management, (c) the respect for human differences, (d) self-esteem

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[3] www.skolverket.se

and self-consciousness, (e) initiative and responsibility, (f) critical evaluation and problem solving, (g) creative capacity (Skolverket 2001).

In the inspection of Swedish schools the concept of "Norms and Values" is also used to evaluate the schools' performances concerning those social objectives. It is necessary to try to elaborate ways to do this in a more quantifiable fashion to make comparisons over time and between schools and school systems more appropriate.

Method

A questionnaire has been developed based on the items in "Norms and Values" in BRUK. The questionnaire contains 52 questions and a four-fold table like Table 2.1 where pupils are asked to assess where their own school fits in. The questionnaire has been tested in a pilot study of four schools with 157 pupils. The final questionnaire was answered by 2128 pupils in the 9th grade in 24 Swedish schools in 12 different municipalities. The schools were chosen to represent a successful school and a less successful one in every municipality when it comes to academic results. The data contain information about the schools and about the pupils' age, sex and socioeconomic background.

The Choice of Schools in the Study

The schools taking part in this study are chosen in a somewhat complex way. The main idea with the design of the whole project is to make it feasible to compare successful schools with those less successful. The sampling strategy can be described in a couple of steps:

– It was decided to include 24 secondary schools in the study. It was judged as manageable and still a number large enough to guarantee both variation and statistical significance in questionnaire analyses. No independent (charter) schools were included since they still are too few.
– The 24 schools were chosen from 12 municipalities. They should vary regarding political constitution (left and right wing), geographical placing (urban–rural, north–south) and size. They all should have at least two schools with at least two parallels in grade 9. Also a differentiation of district-level leadership and support was aimed at.
– The two schools in each municipality were chosen so that they should differ concerning academic outcomes in the 9th grade in 2004 but be quite similar when it comes to the social composition of pupils. Here the parents' education, the proportion of boys and girls and the rate of immigrant pupils were taken into consideration. Two exceptions from this rule were necessary due to different personal reasons among the chosen principals.

– The difference in academic outcomes was calculated from the statistics offered by The National Agency for Education (http://SIRIS.skolverket.se). The schools that were selected as successful have academic grades in the 9th form between the 75th and 80th percentile of the grades of all Swedish public schools while the schools below average are selected from the 25th to 45th percentile.
– The collection of data has been processed during fall 2005 and spring semester 2006. This means that the students actually answering questionnaires and interviews got their grades in June 2006. These data were available in November 2006 in the National Agency database, which means that we in this chapter use the 2006 data to compare academic outcomes with the achievement in the social and civic areas for each school.

Questionnaire

The questionnaire items were developed from the seven paragraphs mentioned above. When developing the items it was found that some of the paragraphs were overlapping. The decision was then to leave the original BRUK structure and to merge items in especially the three last paragraphs. The questionnaire consists of 52 statements with a 5-graded scale and a "don't know" alternative, a four-fold table where the pupils are asked to pick a description of their school (see Table 2.2) and seven background questions about sex, age and parent background.

Table 2.2 The formulation of questions in the four-folder table

My teachers concentrate on both personal development and social fostering of the pupils and knowledge in the different subjects	My teachers concentrate more on personal development and social fostering of the pupils than on knowledge in the different subjects
My teachers concentrate more on knowledge in the different subjects than on personal development and social fostering of the pupils	My teachers do not concentrate particularly on either knowledge in the different subjects or personal development and social fostering of the pupils

Data Collection

The questionnaires were distributed by the research team to the principals and teachers at each school, the pupils filled in the questionnaire in their classroom under the surveillance of teachers and sometimes also researchers and the questionnaires were collected at the end of this session or in some instances at the end of the week during which the school was visited. The questionnaire was distributed to all pupils in the 9th grade. It was anonymous and the pupils' participation was voluntary.

Missing Data – External

At the chosen schools there were a total of 2681 pupils in the 9th grade and the number of collected questionnaires was 2128. That gives a drop out rate of 20.63% and answering rate of 79.4%. For each school the drop out rate is evenly distributed with one exception: that school had more than 50% in drop out rate: to be more exact, 53.9%. The high number of drop outs at this particular school can be explained by organizational problems when distributing the questionnaire. The drop out rate for all schools can be explained by pupils who were not at the school at the time of the assessment due to sickness or other activities outside of the school, for example, their practical vocational orientation. As a whole, the material can be considered as reliable and with a drop out rate that will not affect the analysis.

Because of the rule in the Swedish school system to consult parents when doing research among pupils younger than 15, the project decided not to include those 14 years or younger. Despite this, some younger pupils took part in the data collection. These questionnaires have been excluded in the final compilation of the data set. It concerns 193 pupils and the number in the data set will be 1935.

Missing Data – Internal

The proportion of internal drop out is moderate at about 5%. The handling of the "don't know" answers is discussed further on.

Results and Analysis

The results will be presented in three sections. First the pupils' overall characterization of their school is presented, then the Social and Civic Objectives Scale is summarized and last, school differences are shown.

The Pupils Characterization of Their Own School

The results show interesting differences among the pupils concerning their judgement of the main focus of their school.

Table 2.3 Schools different focus concerning academic and social objectives. Percent. N=1916

		Academic objectives	
Social objectives		Yes	No
	Yes	54	5
	No	35	6

The main part of the pupils consider their school as having a double focus on both academic and social objectives, while 35% think that their school misses the social part of their mission. Six percent, about 115 pupils, think their school lacks focus on any of the objectives.

SCOS – Social and Civic Objectives Scale

In the following section the combined Social and Civic Objectives Scale is presented. First the handling of the "don't know" answers in the questionnaire has to be clarified. In some of the 52 questions in the questionnaire a high proportion of "don't know" answers was noticed. A closer look at all questions with more than 10% answers in the "don't know" category revealed that the number of items that had to be examined more closely was 17. We judged that 10 out of these questions could not be interpreted as if a "don't know" answer is synonymous with a negative answer. The students could have problems with answering the questions or not have sufficient knowledge about it. Therefore these 10 questions were taken away from the final analysis. Concerning the remaining seven questions the 'don't know' alternative was judged as a negative answer. It is interpreted as if the objective asked for is not present at all and the pupil have no knowledge of the tenor of the item. Consequently those items were kept in the data set.

First the general statistics are displayed (see Table 2.4), then a histogram over the frequencies is shown (see Fig. 2.1) and last the mean of the scale in the different schools is presented (see Fig. 2.5). High scale values indicate a positive response to the statements.

Table 2.4 Social and Civic Objectives Scale – general statistics

Statistics	
N Valid	1538
Missing	397
Mean	107.6
Median	108
Std. Deviation	16.8
Skewness	−0.244
Std. Error of Skewness	0.062
Kurtosis	0.355
Std. Error of Kurtosis	0.125
Range	117.00
Minimum	45.00
Maximum	162.00

The mean and median is quite close and the standard deviation moderate indicating that the scale is close to having a normal distribution, which is shown in Fig. 2.1.
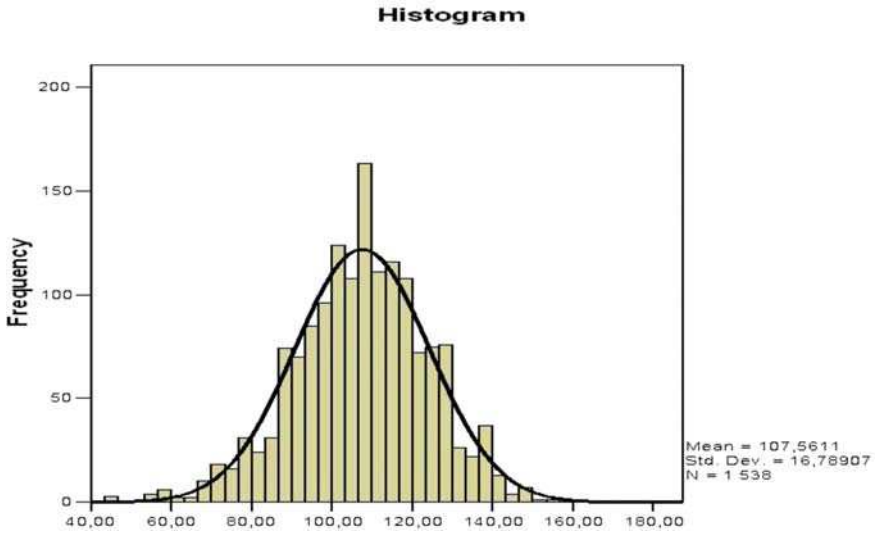
Fig. 2.1 Histogram over the Social and Civic Objectives scale: 42 items, 1538 pupils

The missing observations are 397 which is acceptable considering the number of items.

As shown in Fig. 2.1 scale mean is about 108 and around it we get a standard deviation of about 17. The slope in the histogram marks the normal curve. It is fair to say that the scale has an approximate normal distribution. Cronbach's alpha is 0.889 (DeVellis 2003) indicating that the scale is reliable. Another way of testing if the scale measures social and civic dimensions of school achievements is to calculate the scale means (see Table 2.5) in the four categorizations of their school made by the pupils (see Table 2.1, page 23).

Table 2.5 Mean values of the SCO scale in relation to the pupil judgements of the focus of their own schools (ANOVA Mean Square 10391, F 42.8, Sign. 000)

	Focus on academic objectives	
Focus on social and civic objectives	*Yes*	*No*
Yes	112	107
No	104	95

The result supports the idea that schools which, in the eye of the pupils, focus on both academic and S/C objectives should get the most positive evaluation on the SCOS. Schools that focus only on S/C achievements show a lower scale value. This is also true for schools that focus only on academic results that logically have an

even lower value. The last group of pupils judging their school as having no focus at all represents the most negative SCOS evaluation.

Comparing Grades and SCOS for Each School

The purpose of this study is to find a way to assess differences between schools concerning the social and civic objectives and to compare those with the schools academic achievements. To start, the SCOS values are presented (see Table 2.6).

Table 2.6 Social and Civic Objectives Scale – means, N and standard deviation for the 24 schools (ANOVA Means Sq. 1335.4, F 5.023, Sign. 000)

School	Mean	N	Std. Deviation
1	121.7	32	19.46
2	115.1	47	13.23
3	112.2	32	18.21
4	112.1	63	15.31
5	111.8	75	13.92
6	111.4	97	16.66
7	110.8	88	13.69
8	109.7	113	16.46
9	108.9	41	13.27
10	108.2	51	17.75
11	108.0	119	15.14
12	107.7	68	18.83
13	107.7	22	14.10
14	107.6	77	17.43
15	106.7	85	14.22
16	106.4	62	16.75
17	104.8	100	19.55
18	103.5	27	14.22
19	103.4	66	15.87
20	103.3	22	16.64
21	103.0	49	15.62
22	101.2	64	15.01
23	100.1	93	18.54
24	98.6	45	16.86
Total	107.6	1538	16.79

The 24 schools in the sample range from approximately 121.7 to 98.6 and give a scale mean of 107.6. We can conclude that the schools differ significantly in the achievement of SCOS. The Standard Deviation ranges from 13.2 to 19.6 which is not too dramatic and it does not vary systematically with the mean. The scale seems to give a significant differentiation between the schools.

Next step in the analyses will be to compare the academic outcomes with the SCOS for each school. Therefore results from the combined achievements of the
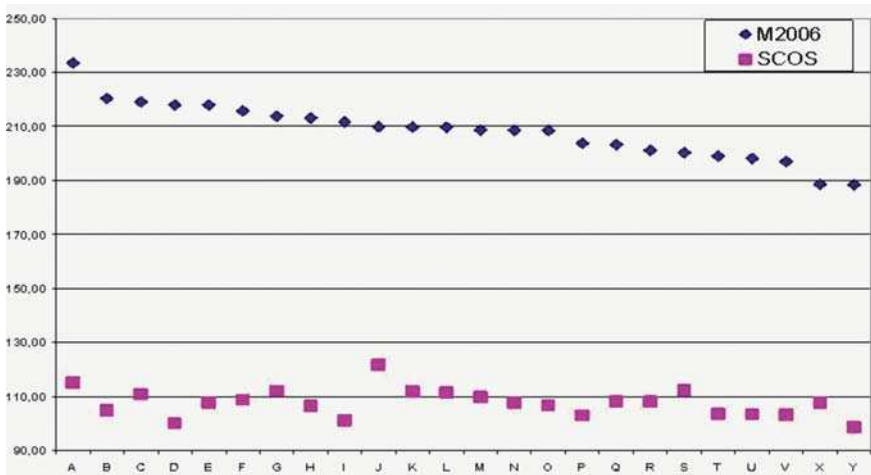
Fig. 2.2 Academic grades and Social Civic Objectives Scale for the 24 schools, 2006

schools will be presented. As mentioned earlier, academic outcome is based on the grades[4] from the last year of compulsory school, when the pupils are 15 years old.

The range for the academic grades for the 24 schools runs from 188 to 234. The range for SCOS is about 99–122. The difference between the scales and the outcomes for the 24 schools is shown in Fig. 2.2.

The academic grades are decreasing due to the way schools are selected but the SCOS value jumps up and down. To be able to compare the two scales and later on to summarize them, an operation to make them comparable is necessary. Normalization of the values on the scales can be done using the formula:

$$Z = (x - m)/s$$

where Z is the normalized value, x the calculated value for a school, m the mean and s the standard deviation (Vejde 1967). The relation between the schools can then be shown as in Fig. 2.3.

There is no significant statistical correlation[5] between the two scales. Some schools are proficient in both academic and social/civic objectives while some are not. But half of the schools mix their performances in both possible ways. For instance school S has high values on the SCOS scale but low on the grades scale. School D shows the inverted combination. The trend lines show schools with poorer

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[4]The average grade is composed of the grades for the 16 best subjects in the pupils final grading (P=10, PWD=15 and PWD+=20). The possible maximum value for a single pupil is 320 points. The mean grade is calculated for the pupils who have got a grade in at least one subject. The total sum of the pupils' grades is divided with the number of pupils who are graded in at least one subject.

[5](Spearmans rho = 0.32, Sign = 0.13, p=0.05).
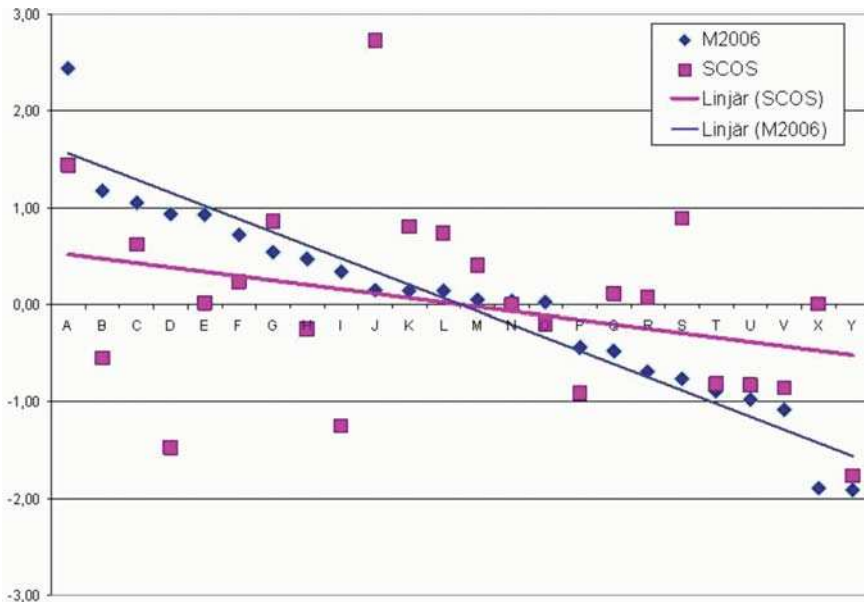
Fig. 2.3 Grades 2006 and SCOS for the 24 schools. Normalized scale values

academic results performing relatively better in the social and civic areas and vice versa. But they also show a falling slope indicating that it is more usual to find a lower value on the SCOS if the value is low on the grades scale (M2006). There seems to be a tendency but the results are too scattered around the lines.

This makes it of course interesting to add the two scales to find out what the rank between the schools will be. In Table 2.7 these figures are displayed.

Since the scales are normalized the values centre around zero. The alphabetic order of the schools has changed. For instance A remains in the first position but B, C, D, E, H, I have moved downwards while schools G, D, F, K, L, M and S have reach higher positions in the ranking when the two scales are summarized. Visually the order of the schools based on the sum of the scales could be better apprehended if displayed in a diagram (see Fig. 2.4).

Notice the change in the rank of the schools following the alphabetic order compared to the initial ranking. Schools A, C, T, U, Y keep their positions while schools J, G, F, K, L, M, N, O, Q, V have moved up on the list and schools B, D, E, H, I, P, V have descended. This means that the social and civic issues have quite significant importance for the assessment of school outcomes.

Apparently school A especially and also schools J, C and G stand out as most successful and F, E, K, L as a bit less successful, while schools Y, V, X, U, T, P, I appear as least successful. In the middle of the combined scale it is a little more difficult to separate the schools from each other. The best conclusion might be that there is a middle group, schools B, M, H, S, N, O, Q, D, R, whose performance seems to be of roughly the same standard. So, perhaps, instead of having a successful

Table 2.7 Academic grades and SCOS in addition for the 24 schools. Rank order based on the sum (Total)

Schools	Academic	SCOS	Total
A	2,44	1.44	3.88
J	0.15	2.73	2.88
C	1.05	0.62	1.67
G	0.54	0.86	1.40
F	0.72	0.23	0.95
E	0.93	0.01	0.95
K	0.14	0.80	0.94
L	0.14	0.73	0.88
B	1.17	−0.55	0.62
M	0.05	0.40	0.45
H	0.47	−0.25	0.22
S	−0.77	0.89	0.12
N	0.04	0.00	0.03
O	0.03	−0.20	−0.17
Q	−0.48	0.11	−0.36
D	0.93	−1.47	−0.54
R	−0.69	0.07	−0.62
I	0.33	−1.25	−0.92
P	−0.44	−0.91	−1.35
T	−0.89	−0.81	−1.70
U	−0.98	−0.83	−1.80
X	−1.89	0.00	−1.89
V	−1.08	−0.85	−1.94
Y	−1.91	−1.77	−3.68
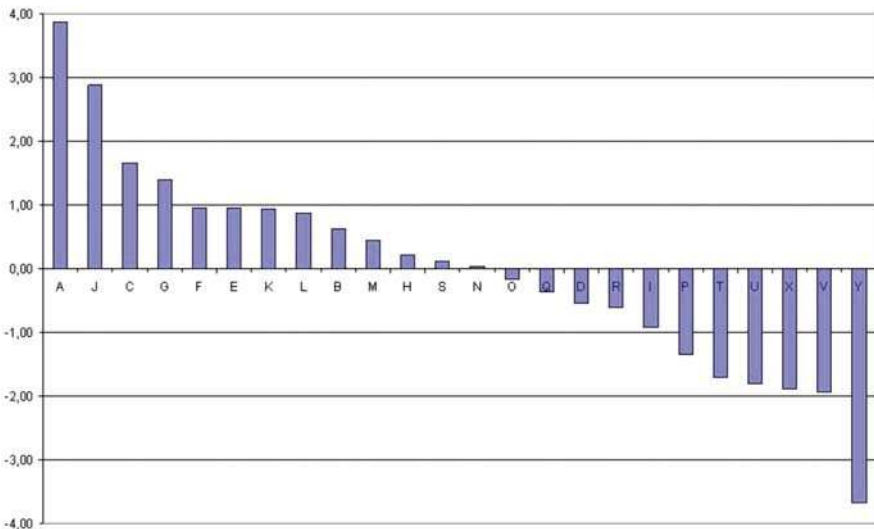
Fig. 2.4 Sum of academic grades 2006 and SCOS values for the 24 schools

group and a less successful group of schools the more proper divide would be to see school performance in three classes – the good performers, the medium performers and the poor performers.

The term poor may be regarded as inadequate when discussing schools just below the mean grades for all schools in the country. Anyway in this context it helps to be specific about the relations between schools. The alternative concept "less successful" might be too vague to help the reader to orientate in the comparisons of schools and scales.

Perhaps some would argue that it is a somewhat questionable procedure to add two different scales considering that the grade scale has an optimal range of 0 to 320 and the SCOS a range of 42 to 168. As has been documented, the Z-transformation gives the opportunity to compare the two, but nevertheless it is advisable to analyse the school differences with an alternative technique. The idea is to calculate the

Table 2.8 Rank orders for SCOS, and academic grades based on original scales. Rank sums added for the 24 schools. Compared to the rank based on the normalized scales sum

SCOS Rank		GRADES Rank		RANK Sum		SCALE sum	
1	J	1	A	3	A	A	3,88
2	A	2	B	10	C	J	2,88
3	S	3	C	11	G	C	1,67
4	G	4[a]	D	11	J	G	1,40
5	K	4[a]	E	15	F	F	0,95
6	L	6	F	15	K	E	0,95
7	C	7	G	16	E	K	0,94
8	M	8	H	18	L	L	0,88
9	F	9	I	19	B	B	0,62
10	Q	10[a]	J	21	M	M	0,45
11	R	10[a]	K	22	S	H	0,22
12	E	12	L	24	H	S	0,12
13	X	13	M	27	D	N	0,03
14	N	14	N	27	Q	O	-0,17
15	O	15	O	28	N	Q	-0,36
16	H	16	P	29	R	D	-0,54
17	B	17	Q	30	O	R	-0,62
18	T	18	R	31	I	I	-0,92
19	U	19	S	36	X	P	-1,35
20	V	20	T	37	P	T	-1,70
21	P	21	U	38	T	U	-1,80
22	I	22	V	40	U	X	-1,89
23	D	23	X	42	V	V	-1,94
24	Y	24	Y	48	Y	Y	-3,68

[a] Schools with the same position are given the mean of the ranks

ranks based on the scale values. In Table 2.8 the ranks based on SCOS and grades are presented along with the sum of those and the SCOS/grade sum earlier shown in Table 2.7.

In both the sum columns the schools that change their position with more than one step are marked with grey cells. The result shows that the two ways of ranking the schools present about the same results. The top and the bottom schools are stable in their positions. The schools just below the middle vary a bit in their positioning depending on whether you use the rank or the scale sum. In spite of these differences you can argue that, on the whole, the two rankings point to much the same conclusion as to which are the more and the less successful schools. And since the most fair and informative base for ranking is the scale values, these should be preferred.

The Schools' Position in the Four-Fold Table

A final exercise is to place the 24 schools in the four-fold table formulated in Table 2.1 If the statistical mean value of the two scales Grades 2006 and SCOS is identified, it is possible to sort the schools depending on their rating above or below the mean.

Table 2.9 The 24 schools placed in four different cells according to their performance related to the academic and social/civic objectives

Social objectives		Academic objectives	
		Yes	No
	Yes	ACEFGJKL	MQRS
	No	BDHI	NOPTUVXY

This table shows another way of characterizing the schools' performance. Eight of the schools perform over average on both scales and eight are below on both. The other eight schools mix their performance related to the two types of objectives. This partitioning could offer a most dynamic way of comparing the schools, trying to understand differences in the way the schools are led and how they interpret there mission.

But the most important thing in this chapter has been to evaluate if we can construct and use a measure like the SCOS to compare schools in this respect. If the instrument matches these expectations we can identify schools with good results all over and compare those with the schools that represent worse achievers in a broader meaning than solely regarding the academic outcomes.

Conclusions

In this chapter an attempt to assess the achievement of the social and civic objectives in 24 schools is made. The main reason for this endeavour is simply that we need a way to judge whether these objectives are met to be able to refer to successful

schools in a meaningful way. According to all steering documents in the Swedish school system and also for the whole meaning of schooling these objectives cannot be left out of the discussion of successful schools. The literature and agencies responsible for school assessment and development ask for it. And parents, pupils, teachers, principals and the public are entitled to it.

What we found is that it is possible to develop a questionnaire based on the Swedish steering documents, preferably items picked from the Swedish National Agency for Education's instrument for quality assessment. It also seems obvious that school differences can be assessed with the SCOS. Using the SCOS instrument helps us to broaden the definition of a "successful school" to incorporate both the academic and the social and civic objectives

It is also interesting to note that there is some, but no significant, covariance between the academic and social/civic achievements of the schools. Some schools are strong performers in both respects and some are not. But a third of the schools mix high with low outcomes in the two areas. Why is that?

The ranking of schools in this way opens for more interesting analyses of the leadership in school and the principals' work with the aligning of the structure and culture of the school to make it better to meet the needs of the children and to reach a higher level of performance in both the academic and social and civic areas.

Despite these positive conclusions it is still necessary to revise some of the items in the questionnaire and the use of "don't know" alternatives has to be reconsidered. Also different dimensions of the social and civic objectives should be uncovered through factor analyses and other techniques.

In the forthcoming research in the project the classification of successful schools based on this instrument will be validated through other data, based on interviews with pupils, teachers, principals, superintendents and heads of boards in the different schools and municipalities.

We think that a further development of an instrument like SCOS will help school leaders to evaluate their results and improvement processes and to become more successful in the full range of the word. Hopefully the research discussion among scholars also will gain from a widening of the concepts of school effectiveness, school improvement and school success.

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Chapter 3
Educational Leadership for Democracy and Social Justice

Eliabeth Zachrisson and Olof Johansson

Abstract The purpose of this chapter is to analyze a re-structuring and re-culturing process in a local school system.

The motive for the change process was to transform the educational leadership through building a new professional organization, in which the principals can act as values-driven principals in support of their staff, in relation to school democracy and social justice and success for all children.

Introduction

Schools are currently the subject of intensive debate throughout the world on a number of issues. Many people blame school problems on a shortage of discipline or pedagogical working methods, which if true, are indications of deficiencies in the school's internal culture. Others focus on organization and resources and look for structural solutions to solve these problems. Stronger school management, which includes clearer and achievable goals, better planning, and more frequent evaluations are often proposed as remedies to improve the schools. However, among researchers it is common knowledge that school evaluations seldom lead to effective change. International research has shown that other steps are important for the improvement of and success in the work with children in schools (Seashore-Levis, 1996; Höög et al., 2003). Already established goals and results can serve as points of departure; the expectation should be promoted by leaders and decision makers that future improved results will be the product of the learning that takes place in the work with students. It is considered more important for adults to want to do a good job, learn, and accept collective responsibility for their own professional learning, rather than for them to prioritize the formulation of goals and visions and carry out evaluations and qualitative tests (Johansson, 2002). Regardless of how the

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problems are interpreted, there is a connection between the challenge for a school to improve its pedagogical work by creating success to all children and the way the school leadership is designed. An authentic and caring school leadership that uses the given authority in a democratic style generates greater possibilities for success than an authoritarian school leadership (Johansson & Begley, forthcoming).

The point of departure for our chapter[1] is the conflict between the demand for more structure and a better use of resources *and* the school's need for basic cultural changes in order to be able to promote school improvement and learning for both adults and children. The essay focuses on the relationship among structure, culture, and leadership. The empirical examples in the discussion come from an organizational change – re-structuring – of the school system in one large Swedish municipality. The old school system for childcare and compulsory schools was a school district with 17,000 children and pupils and 80 principals divided into three sub-districts. The purpose with the new organization is to create a structure of support – a new culture – for all principals in relation to the work of the political school board and the superintendent. The purpose with the new organization is to build a learning organization – a new thinking – of principals with the superintendent as the lead person, i.e., the enhancement of the organizations capacity for school development and school improvement with an efficient use of all financial and personnel resources. The new school system for childcare and compulsory schools will have 17,000 students and 73 principals divided into 13 sub-school districts, with one coordinating principal in each sub-school district. All the coordinating principals are also part-time principals.

The purpose of our essay is to describe our work to prepare for the change, the implementation of the new organization, and the first year with the new organization. We describe and analyze our work as superintendent and researcher in relation to the task of changing the local school organization. In Sweden the school district in most cases has the same boundaries as the municipality and is governed by a school board, politically appointed by the municipal council. In our analysis we highlight our work within theoretical, practical and political considerations. Our purpose is to show how practical consideration and solutions, regarding decisions relating to the organizational change process, were supported by theory and research.

Mission – Whole School Change

In the spring of 2002, the school board decided that a new organization[2] should be introduced, central school administration should be divided into one adminis-

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[1] This chapter is a study in the project "*Structure, Culture, Leadership – Prerequisites for Successful Schools*?". The project is situated at the Centre for Principal Development at Umeå University led by Professor Olof Johansson with co-directors Associate Professor Jonas Höög, Umeå University, Professor Leif Lindberg, Växjö University, and Associate Professor Anders Olofsson, Mid Sweden University Campus, Härnösand. The Swedish research council economically supports the project.

[2] Both authors have been involved in the work of creating, implementing, and running the new organization – one as researcher and adviser and the other as superintendent.

tration, and a politically appointed school board for the high schools or Swedish gymnasium schools with children 16 years of age and older. There should also be one administration and one school board for childcare and compulsory schools for children between 1 and 16 years of age. The re-organization also meant that a new superintendent had to be hired for the compulsory schools and childcare.

The political decision to change the organization was formulated and illustrated through 14 bullet points. The main focus was to have a decentralized and flat organization with responsibility and freedom for individual principals in their schools. The bullet points emphasized that the schools needed more instructual or pedagogical leadership from the principals. The new organization was intended to improve the administrative support for the schools and their principals. Equally important was to improve the channels for information and communication in order to take away the old culture that was viewed as hierarchical and top-down with very limited transparency. These changes were intended to generate greater support from the staff and also better understanding of the staff for the economic realities of the schools. Even if it was not spelled out clearly in the political decision, there was an expectation for both a structural and culture change in the school district.

In December 2001 a new superintendent was hired; she started her work 8 months later in August 2002. During the spring of 2002 some of the structural changes were done, but the new superintendent was not involved. The effect of these changes was moderated, in some cases, by the fact that the new superintendent met all principals and the politically appointed school board, interviewed the staff at the central office, and visited some schools during the spring on several occasions. These meetings during spring 2002 were the new school superintendent's way to prepare for the job and try to understand the base for the old culture. One important aspect of all meetings and conversations was that she described her vision for childcare and the new compulsory school system. The vision was a real challenge and everyone who took part in meetings and conversations understood that a lot of work was connected with the implementation process. The change focus was to create new common traditions and a new transparent culture of school administration and a structure that would support these ideas.

The superintendent argued at all her meetings with politicians and staff that professionalism and commitment are the fundamental principles for both leaders and staff as they work together to realize common visions, ideas, and the basic values upon which our democratic society is founded. Her idea was that the structural change would go hand in hand with a change in the culture in the whole school organization and if that process were to be successful, all staff and leaders would have to adopt a new way of thinking about the organization.

The superintendent's vision is described below:

> Staff curiosity and the desire to improve school's pedagogical practice through learning should be taken advantage of and stimulated. *We try to see challenges as a way of improvement and we encourage new thinking and the development of new ideas and methods.* By both listening to each other and learning from each other, we utilize all the knowledge and expertise which are available within the administration. All leaders and staff should be very familiar with and well aware of the mission of pre-school and compulsory school.

A comprehensive overall view is the starting point for our thoughts, ideas, planning, and realization. *We focus on what conceptions we have about our mission, evaluate and revise them, discuss how our work should and will be done, and examine the role we play in this context.*

We encourage communication and cooperation through working groups, networks, joint projects, and teamwork. *Our collective expertise helps to provide our children and young people with good opportunities to develop their interests and talents.* The superintendent argued that a dialogue is an effective tool which should use in our work in order to develop and improve in an efficient way. An open dialogue is vital at all meetings and all who participate in the meetings must encourage all others to be active, both giving and taking, and be comfortable enough to challenge each other in an open and confidence-building dialogue.

Our work is stimulating and progressive because we continually reflect on, analyze, and evaluate what we do. Through systematically following and evaluating our efforts we become stimulated by our work and thereby we all contribute to make our organizations and individual schools a creative and positive learning environment.

All employees are able to influence their own work situation and they participate in planning and decision-making. We must show each other appreciation for all the excellent work that is being done on an everyday basis.

In order for us to reach the goals which have been set up regarding schools, it is essential to that have well-qualified and committed staff. Therefore, one important goal for all leaders is to encourage coworkers at all levels to do a good job and to feel committed to our common visions. This can be achieved by giving each worker the best possible conditions for him/her to develop their ability to

– maintain curiosity about their work and a desire to learn;
– strengthen their confidence in themselves;
– use and balance power of initiative with responsibility;
– interact socially and work together with others;
– be creative and work independently;
– use their knowledge and experience.

Leaders at all levels in the organization must fight hard for implementing a culture that embraces these values. If we succeed in implementing an organization with these values we will have the seeds we need for improvement and success. These conditions are equally important for the children and young people we work with.

It is important for us to have professional staff at all levels of our organization if we are to achieve collective success. The feeling that one belongs to a successful organization comes when the results of one's efforts lead to a higher level of goal achievement.

This was the language used by the school superintendent at all her meetings in the school system in which she was to become the new head. She had meetings with all principals on many occasions and she met with all 3000 staff, who were divided into 5 presentation groups – and this was done so all could meet the new superintendent and listen to her ideas and visions for the new organization. The language and the message in all her presentations and contacts were important, because it represented a break from the old organizational culture. The language and the ideas were founded in a theoretical thinking that acknowledged the relationship between structure, culture, and leadership as prerequisites for successful schools.

Her message was that all staff are working for a school district that embraces our fundamental democratic values as expressed in the curriculum. That means

– each and everyone working in the school should encourage respect for the intrinsic value of each person as well as for the environment we all share;
– all children shall have equal access to education regardless of gender, where they live, or social or economic factors;
– special support shall be given to students who have difficulty with the school work;
– that the value system shall be connected to both organization and resources.

The fundamental values state that democracy forms the basis of the national school system. The Education Act (1985: 1100) stipulates that all school activities should be carried out in accordance with fundamental democratic values and that each and everyone working in the school should encourage respect for the intrinsic value of each person as well as for the environment we all share (ibid, Chapter 1, Section 2). The school has the important task of imparting, instilling, and forming in pupils those fundamental values on which our society is based.

The inviolability of human life, individual freedom, and integrity, the equal value of all people, equality between women and men, and solidarity with the weak and vulnerable are all values that the school should represent and impart. In accordance with the ethics borne by Christian tradition and Western humanism, this is achieved by fostering in the individual a sense of justice, generosity of spirit, tolerance, and responsibility. Education in the school shall be non-denominational. The task of the school is to encourage all pupils to discover their own uniqueness as individuals and thereby actively participate in social life by giving their best in responsible freedom.

Structure, Culture, Leadership: Prerequisites for Successful Schools?

Leadership is a phenomenon that is receiving more and more attention. The faster pace of change and the increased demand for organizational flexibility and cooperation demand a type of leadership that requires shorter decision-making processes, more open communication, and increased participation and commitment. At the same time, there is greater demand for clear direction and insight from the leader when it comes to those value changes that are required if new visions are to be attained. The literature defines Transformational Leadership as a method of managing activities based on the leader's ability to change and internalize direction and work methods by engendering confidence in coworkers and changing the culture of the organization – its values, norms, and behavior. More recent Scandinavian research (Hoog et al., 2005, 2007) on schools stresses the leader as a reflection of the democratic spirit. In other words, it is vital for leaders to learn about national goals for schools and to put these goals first and in this way be the prime change agent for the national school system (Johansson et al., 2000). Such an approach

focuses on the leader as an agent for change and the standard bearer for individual, social, and comprehensive ideological goals for the school. Studies show that successful principals possess good school knowledge and understand the importance of seeking out information and support before making decisions on core activities. Further, they are able to rise above individual events and seek out overall patterns and interpretations. They focus extensively on and are actively engaged in the consequences of different courses of actions regarding opportunities for students to learn in the best possible way. In order to understand these problems, they have developed a clear-cut evaluation structure (Leithwood, 1998).

According to Leithwood (1998), values are basic concepts that govern the desire to carry out specific actions and reach specific goals. Values become the mental map that guides an individual's actions and thoughts and they serve as the foundation for these processes. They also affect actions, which in turn, influence the thoughts and actions of others. Many researchers also stress the importance of values, attitudes, and actions in the creation of school cultures. These studies demonstrate that good and effective leaders are able to communicate values and create a common culture (Begley, 1998). It is assumed that leaders with visions for the school's development and improvement are able to create a culture and a structure of expectations that others can also grasp. By elucidating and defending their own core values or moral purpose, leaders can communicate them to teachers and other personnel in the school as examples of the level of requirement or quality that they envision for work with the school's primary objective, i.e., creating good learning opportunities for all children (Fullan, 2001; Starratt, 2004). One challenge for principals that is discussed by Ärlestig (2007) is that sometimes when principals report that they are clear in their pedagogical leadership this is not perceived by their teachers. The teachers report that the communication they have with their principal most of the time is about day-to-day activities.

An article by Begley and Johansson (1998) discusses different reasons why principals should be well acquainted with the purpose of values in an educational context. Leadership in a school always means that the leader must make decisions, most of which deal with different types of problem solving. All such decisions involve a choice among different values. Some will be rejected and others will be embraced.

In addition, there is strong evidence for the fact that, when it comes to the practical and rational aspects of leadership, administrative theory has been overemphasized both in research and education. There has been an unwillingness to discuss and analyze the non-rational, moral, and ethical aspects of leadership. Thus, it has become more and more commonplace for principals to work in situations in which value conflicts are regular occurrences and seemingly obvious values are no longer so obvious (Begley & Johansson, 1998). Students who live and work in a powerful and changing youth culture need to be welcomed and integrated into the world of school. Furthermore, because of the growing number of students of different ethnic and religious backgrounds, value conflicts become more obvious and require value-based actions from principals who are well prepared for these challenges. The school's long-range goals, determined through democratic principles, do not always

Table 3.1 The leader's position regarding structure and culture (Source: Höög et al., 2003)

The Leader's focus		Works for STRUCTURAL CHANGE	
		Yes	No
Works for cultural change	Yes	The successful leader	The visionary without an action plan
	No	The administrator without vision and communication	The leader embracing stability

coincide with the goals that various interested parties have for the school. This difference in opinion as to what is desirable in various policies, educational formats, and results are something that leaders can only face with arguments anchored on a foundation of democratic values and a strong educational tradition. Consequently, principals must be able to formulate and explain their decisions about educational questions based on the school's value system and the curriculum (Norberg, 2004; Norberg & Johansson, 2007).

Over time, the literature has developed increasingly complex models for describing the dimensions of leadership (Yukl, 1998). In most models, the basic pattern is a combination of leadership approaches to mission, structure, personnel, and participation. In the most recently developed models, though, the leader's focus on change – a new dimension rising out of today's demands – occupies a central position. For example, Fullan (1999) writes about the importance of associating efforts to change the culture with the introduction of a new structure. Through combining these dimensions, we can, in a four-field table, juxtapose a leader's disposition to focus on cultural change, signifying a preoccupation with the personnel's needs, values, and views, against a leader's disposition to focus on structural change, which signifies a preoccupation with goals, routines, finances, and evaluations.

Based on contemporary research in this area, we established a scenario. Our scenario was based on the idea that schools need leaders with a balanced focus on both the structure of a school and its culture. In spite of this, our experience as superintendent, researcher, and leadership trainers have shown that, in their daily activities, far too many principals focus on structure and stability rather than on organizational improvement and development of organizational culture in support of structural changes. The leaders who embrace stability are typical within this group. When a conflict occurs in their schools these leaders have to move away from their position. Depending on their knowledge and competence, educational leaders move in different directions, but very few are able to move to a leadership model in which they work with both structural and cultural change. School leadership also often can be placed in 'the messy middle' of our figure above. Leaders in the messy middle argue that there are competing values and interests, which means that they cannot be placed in only one cell. This attitude is probably influenced by the surrounding political and administrative system, which, by and large, demands structure-oriented leadership. On the other hand, in their rhetoric, school ideologues

and school politicians want leaders who reflect a democratic spirit and focus on pedagogical leadership and school improvement. In our organizational change effort we really wanted to combine structural and cultural change in school administration. To accomplish that, we constructed a scenario based on the above theory while at the same time trying to be very practical.

The political decision with 14 bullet points (see above) was transformed into an understandable text – a scenario. The reason was that the 14 bullets points did not give a clear picture of what kind of school organization was expected by the political school board at the end of the organizational change effort. In the scenario text (presented below) all the 14 bullet points are hidden in a descriptive text that more easily gives the reader an understanding of the end result of the change effort. The scenario probably gives a picture that is more a product of the school superintendents' thinking than of the ideas from the school board. But the scenario was presented for the political school board which approved the text. The scenario text is quoted below to give the reader a vision of where we started our change process.

A Scenario for a New Organization for the Pre-school and Compulsory School Administration – on the Basis of the Political Directive for the Review of the Organization

The Pre-school and Compulsory school Administration will be led by a superintendent who is responsible for the activity of the administration and subject to the political school boards' authority. To help to lead the administration the superintendent will have a pre-school and compulsory school office with different strategic and supportive functions and principals who are responsible for the activity at the different schools. These schools will be brought together in a number of different result areas that will be called sub-school districts. Within each sub-school district there is a principal who has coordinating responsibility as well as an overall responsibility for the whole sub-school district. The principals within the sub-school districts, together with the principal with the coordinating responsibility, are responsible for ensuring the quality and the development and improvement of the activity and finally the personnel and the economy are managed according to the directives that are given by the politicians and the superintendent.

In the new pre-school and compulsory school administration the different sub-school districts will be the starting point for organizing the pedagogical activity with the children and pupils. Pre-school and compulsory school shall be integrated within each sub-school district. The local units will be encouraged to, independent of each other, develop different pedagogical working methods in relation to the work with the pupils. This will hopefully lead to an increased local variation in the organization, which will create a good climate for change and school improvement. An adaptation of the individual schools organization to its unique conditions constitutes an important way of increasing the joy of working and thus the health of our personnel. A guiding principle for this process will be that the work to improve the new organization shall be done openly and with a dialogue with all the personnel concerned. The work shall be focused on supporting the common comprehensive view surrounding children and pupils. The starting point must be that the sub-school districts are economically strong.

They should also be as geographically coherent as possible. This means that the number of sub-school districts will be at a maximum 15. In these sub-school districts the coordinating principals are responsible for approximately six to seven principals. Since the present

organization has a large number of solitary leaders a direct result of this construction will be that the problems associated with solitary leaders will cease. The principals with the coordinative responsibility are directly subordinated to the superintendent who conducts development and salary discussions with these coordinative principals and they in turn conduct these discussions with their principals within the sub-school district.

The work within the sub-school districts shall be designed in such a way that all coworkers feel that they are seen, heard, and co-creative. In addition each school sub-district must in a clear way be included in and part of the ideas that constitute the whole of the pre-school and compulsory school administration. The whole school administration shall be striving for maximum openness and it shall be transparent and touchable for everyone active within the organization.

The pre-school and compulsory school administration shall only have a few administrative levels of leadership and responsibility and very clear and well-known decision structures. Responsibility will be linked to authority in order to make it possible for persons in leadership positions to stimulate development and improvement as close to staff, pupils, and their parents as possible.

The responsibility for results and resource use as well as the responsibility for development and quality in the pedagogical activity must clearly be a shared responsibility among all principals in the sub-school districts with the coordinating principal as the lead person. The administrative support will be designed to strengthen each sub-school district. The administrative support to the coordinating principal's administrative tasks must be skilled and qualified. This means that even the administrative personnel must gain access to certain arenas in which the mission of the school and the strategic development are discussed and planned, such as participating in meetings with representatives from the central school office and meetings with the coordinating principal and the superintendent.

The coordinating principal shall have the capacity and authority to be able to accomplish the mission of the school, i.e., improvement of the quality of the education, support personnel, especially their needs for in-service staff development related to their capacity to fulfill their educational assignments. The connection between the sub-school district's educational assignment and their economical resources shall be clearly manifested by the coordinating principal with the aim to enable a dialogue between the individual school, the sub-school district, and the pre-school and compulsory school central administration and the political school board in order to promote strategic decisions and high equality in all the schools in the municipality, i.e., the whole school district.

A Meeting Structure for a Task-Oriented, Learning, and Communicative Leadership

When the organization was built it was very important to find a meeting structure for the principals which supported the ideas of a learning organization. The meeting structure in place supports the transformation of values, policies, and decisions from the political school board and the superintendent down to the individual principal. There are three different meeting arenas in which the superintendent sets the agenda for the dialogue. First she meets with all coordinating principals for strategic and tactic discussions. The following week the coordinating principals meet with their principals in the sub-school district to discuss the same agenda. In the next step the superintendent brings all principals together including the coordinating principals to principal conferences, in which all principals are able to participate in a dialogue about the mission. These meetings also focus on different questions related

Table 3.2 Weekly Meeting Structure for a Task-Oriented, and Communicative Leadership

Week	1	2	3	4	5	6	7	8	9	10	11	12	13
CPD	X		X			X		X			X		X
MPS		X	X				X	X				X	X
PC				X					X				
CDD					X					X			

CPD = Dialogues with only the coordinating principals participating
MPS = Meeting with all principals and coordinating principals in sub-districts
PC = Principals and coordinating principals participate in principal's conferences
CDD= Principals and coordinating principals participate in competence development days

to organizational decisions. In addition to this all principals come together to competence developing days, i.e., in-service training. These different types of meetings with principals can, for example, be done in terms of time according to the model below:

At the meetings between the superintendent and the coordinating principals the administration's long-term work is prepared. Furthermore, the meetings serve as preparation for the coordinating principals' work within their sub-school districts. They are responsible for making sure that the transformation process is working.

To be able to manage the mission the person who is coordinating principal should be someone who dares to step forward, accept challenges, and support their personnel in their work. To be able to do this in a supportive way they need to be eager to learn about school, work both inside and outside the school, by reflecting about different working processes in the school. This person should be humble and democratic in their leadership, have a clear and developed opinion about the sub-school districts educational assignment, and have the knowledge and courage to be able to lead and participate in the personnel's learning about the school mission in order to perform better with the children. Ability to communicate both inward and outward about the sub-school districts mission, its conditions and needs is also critical to the leader's success. Hereby the equivalence between different sub-school districts within the municipality can be achieved.

The principal with the coordinating responsibility has responsibility to work together with the principals to support different needs of development and school improvement. The principals are a part of the coordinating principal's management group for the sub-school district and have thereby a common mission to develop the sub-districts different activities. The principals shall as their main task work together with the coordinating principal with the development of the sub-school district. They shall in an active way be able to supply current visions of education and the local policy and also support the personnel in their work in carrying out the mission. Especially important is that the principals have a close and well-developed cooperation with the units' working groups. One example of a common task can be to develop methods of working for pupils and parental influence that feels meaningful and stimulating. Another task might be to clarify the responsibility and routines for the aid to children with special needs.

A central task for the superintendent is to support and develop further the centrally placed personnel's competence surrounding the administration's strategic and supportive functions. To strengthen the personnel's insight and understanding of the activity's educational mission and its relation to the different ruling documents and the new order of decision making is an important task for the superintendent. A reinforcement of the functions with staff development and competence enhancement as a focus at the school office is necessary.

The above outlined organization for the pre-school and compulsory school administration is intended to provide a transparent governing and quality system that guarantees that there will be coordinated planning and evaluation dialogues between the different schools and sub-school districts during the implementation process.

The Change Agent and the Change Process

In our discussions about our roles as change agents we (the authors) decided that it was vital that the superintendent was present and active when we met with her principals and coordinating principals. That meant that the consultant or researcher should remain in the background and not be 'in the driver's seat' at meetings with principals. Although we worked together in planning our different meetings with the staff, it was always the superintendent that was active at the meetings and presenting different ideas. She did all the introductions, even if they were to explain the theories behind practical considerations and solutions. The role of the researcher in this change process became the role of the background supporter and mentor to the superintendent.

The above-described scenario with the researcher as a facilitator and the superintendent as a spokesperson was used at many meetings with different groups. The most important group for our discussions was that of the principals and coordination principals from the sub-school districts. At one of our meetings with this group, a whole day was used to discuss different aspects of the scenario. The superintendent argued for the model and said that she needed the support of the coordinating principals in order to have a platform for deep and strategic discussions. She argued for the model saying that the coordinating principals were the key to her model. They were to be the ones who transferred decisions and ideas of the school board to all principals and it was of great importance that this level had a platform to discuss the task given to them with the superintendent and thereby they would achieve good understanding of the change mission for the whole school district.

One problem at the end of the day was that all 15 groups that had been working said no to the position of the coordinating principal. The principals wanted to work in sub-school districts without any appointed leader. They argued for a direct relationship between all principals and the superintendent. The superintendent argued that this was not possible and asked the principals to present a solution to this problem at the next meeting. This opinion among the principals was expected and more discussions and information about the ideas behind the organizational structure and

how this structure was linked to the culture we wanted to create was needed. That was done in a second meeting, but we considered that the time between the meetings was of equal importance. The principals did have a discussion among themselves between the meetings and a majority of them started to understand the model with a coordinating principal at the sub-school district level.

At the following meeting the superintendent once again argued for the basic ideas in the new organization and this time almost all the principals accepted the position of the coordinating principal in the work teams of principals in every sub-school district. This was important because then it was possible to start building a structure for transformation of ideas from the school board via the superintendent and the coordinating principals. These coordinating principals were required to come to meetings with the superintendent in which important policies were discussed in relation to strategic implementation challenges of new reforms. The task of the coordinating principals was then to take the discussed topics to their meetings with their principals and inform and analyze them and create understanding for the reforms or policies that were to be implemented. The result of these meetings could be that all principals understood and accepted or that the principals wanted the coordinating principal to go back to the superintendent to discuss some questions more deeply. It could also mean that the principals wanted the question to be on the agenda at the next principal conference as a theme for both a dialogue and decision among all principals.

The next step in the top-down process was when the principals have accepted and understood the ideas behind the new policy they begin the process of transferring the ideas to their staff. This can be done with all teachers and staff at the same time but we have argued for a system where the principal appoints a team leader in the working teams of teachers. If teacher team leaders are in place at the school the principal can work in the same way as the superintendent works with the coordination principals, i.e., engage in initial discussions with the teacher team leaders about the new policies or reforms that shall be implemented. If the discussion leads to good understanding of the political intentions then the teacher team leaders can go on and talk to the teachers in the teacher work teams and the message reach all involved through the teacher team leaders.

In essence, this is a method for a successful top-down implementation through many layers in the school hierarchical system.

Top-Down and bottom-Up Organizational Pressure and Dialogue

When our ideas were formed it was very important for us to create and describe an organization in which the top-down process could be influenced by a bottom-up process. We argued for a dialogue between all layers in the school hierarchical system and meant that we needed to find a system that could transfer knowledge, ideas, and reactions from the classroom all the way to the school board (Johansson & Kallós, 1994). One empirical motive for a combination of top-down and bottom-up models is that many political reform decisions fail to be implemented effectively

Fig. 3.1 Top-down and bottom-up structure of communication – a dialogue model
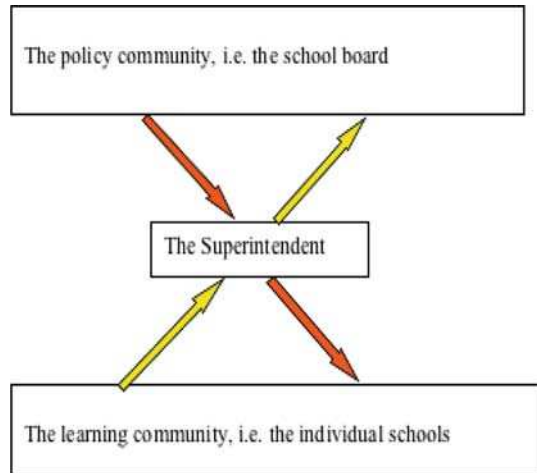

and that there is a considerable policy drift from the original intentions of political leaders.

In the dialogue model, the school board, in one way, gives away power but at the same time strengthens their power because it commits itself to listen to ideas and proposals from the school learning community. When it finds ideas appropriate, it makes decisions that are supportive of proposals put forward by the school learning community. Thus, decisions formulated in a reciprocal dialogue between the two communities will have greater possibility of attaining their educational goals. This idea was governing our work with the organizational change. Much of the power over agenda setting and progress of the school community will still be in the hands of the policy community. However, a better understanding of the needs and interests of the learning community will increase the likelihood that political decisions are appropriate policy directives for the school learning community and that policies will be successfully implemented, thereby bringing about the types of changes and improvements needed to enhance teaching and learning (Johansson & Bredesson, 1999).

Our purpose for presenting the above model was that we wanted to make sure that all principals understood that there should be a transparency and that ideas from the local schools should be considered important in the new organization. Even if our focus was to establish pressure in the organization from the top it was important that there were a channel open for ideas and complaints from the individual school to the superintendent and the school board and that this channel were recognized by all the principals.

Fig. 3.2 The relation
between political intentions
and organizational
understanding
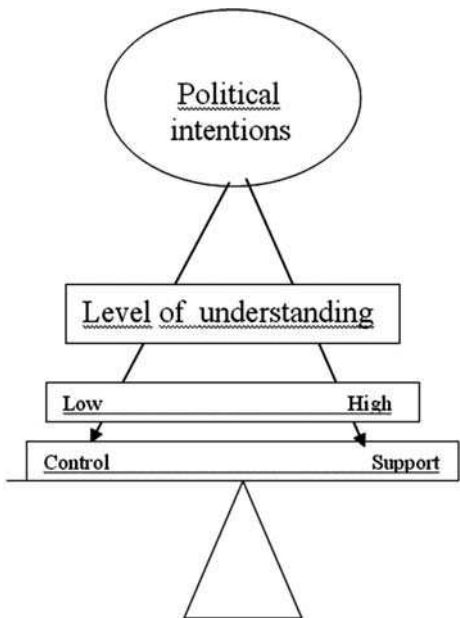
Accepting the Reform Challenge

The acceptance by the principals of the fact that the top-down and bottom-up structure of communication could be seen as a dialogue model was of great importance. But there still remain problems in relation to the understanding of the political intentions of the reform or policy. Organizations tend to look on political decisions as control even when in most cases the decisions are intended to be a support to the organization. This was also one of the challenges in our case.

The learning community of schools has become increasingly unresponsive to the old hierarchical top-down model of governance (Johansson & Lundberg, 2002). The learning community has become too independent, and the goals of state policies are no longer seen as important. Many of the policies are also challenging the old values of the school. For example, the state might mandate that teachers shall work in teams, a mandate that challenges the professional norms of privacy and autonomy. The decision on teacher teams between the trade unions and the school districts was meant to support all teachers. According to theory behind the political decision, support systems in the schools would be created through the work in teams and support would be given to each teacher by other teachers in the work team. If the teachers do not understand that the political intention with the decision is to help or support the teachers the low understanding of the intention with the political decision will result in a feeling that the decision was made to control the teachers workday and not to support the teachers in their work. Low understanding of the rational behind a political decision will always limit the effect of the political intentions.

In the same way it is important in what way the staff of an organization views the reform decision and how much they are ready to work for the fulfillment of the political intention.

To create understanding for the political intentions of a reform becomes very important in a change process. The leaders and their staff must understand the intentions of the reform to be able to work for its implementation. If the implementation of a reform shall be successful the leaders and their staff must view the political reform as a great challenge and at the same time want to work hard for its implementation (Barber, 2001, Höög et al., 2007). Only if the reform is seen as a great challenge and that the leaders and their staff want to work hard during the implementation of reform will their work result in a transformation to something new and rewarding.

The Leaders and Their Leadership

Our vision of a democratic, learning, communicative, and ethical school leadership for the new organization is defined as a principal who sees a clear connection between the national and local political goals and the school's operational philosophy and work assignments. This principal excels at communicating the school's goals and operational philosophy and aims to recapture leadership by being lucid, by translating the operational philosophy into practical education, and by motivating the personnel and students to do a good job (Nygren & Johansson, 2000). These principals believe that if positive development is going to happen, the principal must, figuratively speaking, look on their work assignments as the blades of a mill wheel, where the speed of the wheel – the water pressure – is determined by the principal's clarity and leadership regarding visions, ideology, interpretation of the curriculum, translation of policy, support for ideas, the organization's learning, and encouragement. If the principal is active, learning, and communicative, the mill wheel of tasks will turn faster and the possibility for change will increase. To achieve this state, clear leadership is required, leadership that understands the importance of good knowledge management and gentle authority over the discussion agenda for successful development and improvement work in the school. In all discussions principals must try to foster a dialogue that has the following characteristics:

Trust, clear leadership with a learning focus on improving children's learning, and school achievements through dialogues constitute a democratic, learning, and communicative leader. That means being active and understanding that the principal has and will continue to exercise democratic authority over the school's development agenda. The democratic principal's most important tool for carrying out leadership tasks is the ability to decide the agenda, that is, the principal's guidance and determination of purpose of educational projects, discussions, and debates that take place at the school. It is also extremely important that the principal sets aside time for reading, analysis, discussion, and leading dialogues on the school's basic values and goals. A principal who works through a democratic, learning, and

Fig. 3.3 'The MEETING OF MINDS' – A dialogue that leads to constructive changes
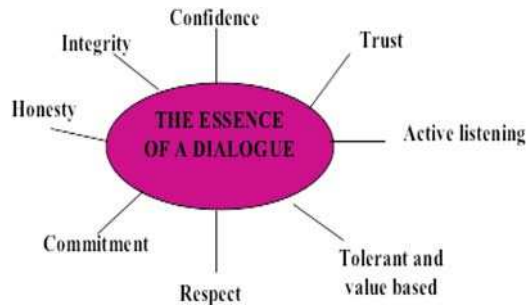
communicative leadership understands that nourishment for leadership is available in many arenas: in practical work, in theoretical work, and in research. The points of intersection among these arenas are particularly important, because the challenge consists of combining these arenas. Those principals who successfully acquire legitimacy from their personnel have consciously or unconsciously accepted a model for thinking that can be explained as a combination of practice, theory, and research (Johansson, 2000). They have understood that an important part of their leadership is leading the educational discussion of an organization and that in order to be successful, knowledge must be replenished. These principals are also better equipped to exercise the leadership and responsibilities that the curricula and other policy documents impose and to gather the courage and knowledge to – in relation to their employers – put into concrete form the organization conditions necessary for success and promote its needs.

Principals Responding to the New Organization – Conclusion

In our conclusion we would like to emphasize that most principals in the organization have a good understanding of the new organization and the ideas behind the organization. The challenge for all of us is the step from new thinking to a new successful practice. This is a small step for some principals but a giant step for other principals. For those principals it is of great importance that the support structure of the sub-area leadership team will function in the intended way. It is vital for the success of the new organization that the principals are successful in transferring different ideas and reforms to the teacher team leaders and also find ways to approach all teachers in a dialogue about the new organization and through a dialogue are able to create understanding about the different reforms that are meant to improve children's learning about our democratic society and subject knowledge.

The task-oriented, learning, and communicative leadership means being active in dialogues and understanding that the principal has and will continue to exercise democratic authority over the school's improvement agenda.

Questions that will be important to follow during the next years are how the principals and coordinating principals will exercise a task-oriented democratic authority

Table 3.3 Important leadership dimensions – dialogue and border-setting

		Border-setting (Understanding and embracing national and local political goals, the school's operational philosophy and work	
		Yes	No
Dialogue	Yes	Task oriented, learning, and communicative leadership	A leader that has abdicated from the democratic goal of schooling and gives the staff too much influence
	No	Leader does not encourage dialogue but defends system goals in an authoritarian way	A effete leadership that avoids involvement in governing the school, hoping that everything will remain as it is

over the school's improvement agenda in the new organization. One great challenge will be to implement the political reform of an inclusive school for all. The intention with the reform is to mix children of great talent with children in need of extra support for their learning. This is a reform that will need skilled and committed principals for successful implementation. Implementing this reform will be a test for the new organization. The following questions arise: Will the new leadership style be able to implement the reform? Will the sub-school districts work as learning organizations and be a decisive support for the principals in the leadership team? Will the communication work bottom-up to the board and the superintendent in these matters so they can exercise their support to the coordinating principals? Creating high understanding among all staff and leaders of the political reform is of vital importance in the case of an inclusive successful school for all children.

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Chapter 4
School Leadership Effectiveness: The Growing Insight in the Importance of School Leadership for the Quality and Development of Schools and Their Pupils

Stephan Gerhard Huber and Daniel Muijs

Abstract Leadership has long been seen as a key factor in organisational effectiveness, and the interest in educational leadership has increased over recent decades. This is due to a number of reasons, often related to changes to the education system, such as the growth of school-based management in many countries over the past two decades, which has meant more influence for the school and therefore a greater role for the school manager, as powers and responsibilities have been delegated or even devolved from national, regional, or local levels to the school. This has inevitably led to a growth in the importance of the school leader and his/her individual role, and therefore to a greater interest in leadership as a key factor in school effectiveness and improvement.

The chapter looks at the state of the art regarding the knowledge about the role of school leadership for the quality and development of schools and the achievement of their pupils. First, a brief summary of findings of school effectiveness and school improvement research is given, highlighting the pivotal role of school leadership, Then, a hint at the interest in learning from the private sector as a contributing factor in the blossoming of leadership in education among policy makers and researchers is made. The main part of the chapter focuses on the growing body of literature dealing with the effectiveness of school leadership as represented in meta-studies and literature reviews of school leader effectiveness. Four main perspectives are distinguished. Then, three models (direct-effects models, mediated-effects models and reciprocal-effects models) are presented to classify studies on administrator effects. Examples of reviews to this topic are named, and some of them are presented briefly. Finally, lessons learnt from the review are provided and discussed. Effective leadership can be expected to be a factor that helps create the conditions under which teachers can be optimally effective, which in turn would result in higher levels of pupil performance. It is concluded that the question which should be asked is no longer whether principals do make a difference but more particularly which

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means they apply and through which paths they achieve such effects. Limitations, such as the tendency to jump rapidly from a limited research base to prescriptions for practice, a strong reliance on dualistic models in the field, an overreliance on change metaphors in research on educational leadership and deficiencies in research methods are discussed and a point is made for more rigorous quantitative and qualitative research and better "fits" of theories, empirical research and experienced practice.

School Leadership and School Effectiveness

The pivotal role of the school leaders as a factor in effective schools has been corroborated by findings of school effectiveness research. Extensive empirical efforts of quantitatively oriented school effectiveness research – mostly in North America, Great Britain, Australia and New Zealand, but also in the Netherlands and in the Scandinavian countries – have shown that leadership is a central factor in school quality (see, for example, in Great Britain: Reynolds, 1976; Rutter et al., 1979; Mortimore et al., 1988; Sammons et al., 1995; in the USA: Brookover et al., 1979; Edmonds, 1979; Levine & Lezotte, 1990; Teddlie & Stringfield, 1993; in the Netherlands: Creemers, 1994; Scheerens & Bosker, 1997; Huber, 1999a, offers a critical overview). The research results show that schools classified as successful possess a competent and sound school leadership. The central importance of educational leadership is therefore one of the clearest messages of school effectiveness research (Gray, 1990). In most of the lists of key factors (or correlates) that school effectiveness research has compiled, 'leadership' plays such an important part that the line of argument starting with the message 'schools matter, schools do make a difference' may legitimately be continued: 'school leaders matter, they are educationally significant, school leaders do make a difference' (Huber, 1997) to pupils' achievement. Leadership is described in these studies as firm and purposeful, sharing leadership responsibilities, providing decisive and goal-oriented participation of others in leadership tasks, so that there is a real empowerment in terms of true delegation of leadership power (distributed leadership) and that there is a dedicated interest in and knowledge about what happens during lessons in the classroom.

In most cases, outcomes have, as is common (though not necessarily sufficient) in school effectiveness research, been defined as student learning outcomes and more specifically as test results. Attempts have been made to connect leadership (usually defined as headteacher or principal leadership) with outcomes, usually using a regression (or multilevel) model where different variables are regressed on pupil achievement. Many studies have found leadership to be a key characteristic of effectiveness. Brookover (1979), in one of the earlier school effectiveness studies, for example, reports that principals of effective schools are strong leaders. Other researchers in school effectiveness, too, have found relationships between

school effectiveness outcomes (usually at the pupil level) and variables such as principals developing a clear shared mission and developing a focus on learning and teaching in the school (Teddlie & Stringfield, 1993; Levine & Lezotte, 1990) and strong purposeful leadership by the headteacher (Mortimore et al., 1988; Sammons et al., 1995). Cheng (2002) found modest positive correlations between principal leadership and student attitudes towards school.

School Leadership and School Improvement

Studies on school development and improvement have also emphasised the importance of school leaders, especially from the perspective of the continuous improvement process targeted at an individual school (see van Velzen, 1979, 1985; Stegö et al., 1987; Dalin et al., 1990; Joyce, 1991; Caldwell & Spinks, 1992; Huberman, 1992; Leithwood, 1992; Bolam, 1993; Bolam et al., 1993; Fullan, 1991, 1992, 1993; Hopkins et al., 1994, 1996; Reynolds et al., 1996; Altrichter & Posch, 1998; Huber, 1999b offers a critical overview). In many countries, the efforts made to improve schools have illustrated that neither top-down measures alone nor the exclusive use of bottom-up approaches have the effects desired. Instead, a combination and systematic synchronisation of both have proved most effective. Moreover, improvement is viewed as a continuous process with different phases, which follow their individual rules. Innovations also need to be institutionalised after their initiation and implementation at the individual school level, so that they will become a permanent part of the school's culture, that is, its structures, atmosphere and daily routines. Hence, the goal is to develop problem-solving, creative, self-renewing schools that have sometimes been described as learning organisations. Therefore, the emphasis is placed on the priorities to be chosen by each school individually, since it is the school that is the centre of the change process. Thereby, the core purpose of school, that is, education and instruction, is at the centre of attention, since the teaching and learning processes play a decisive role for pupils' success (Muijs & Reynolds, 2001). Hence, both the individual teacher and the school leadership are of great importance. They are the essential change agents who will have significant influence on whether a school will develop into a 'learning organisation' or not.

School leadership is considered vital for all phases of the school development process and is held responsible for keeping the school as a whole in mind and for adequately coordinating the individual activities during the improvement processes (for the decisive role of school leadership in the development of the individual school see, for example, studies conducted as early as in the 1980s by Leithwood & Montgomery, 1982; Hall & Hord, 1987; Trider & Leithwood, 1988). Furthermore, it is required to create the internal conditions necessary for the continuous development and increasing professionalisation of the teachers. It holds the responsibility for developing a cooperative school culture. Regarding this, Barth

(1990), Hargreaves, D.H. (1994) and Southworth (2003), among others, emphasise the 'modelling' function of the school leader.

Increased Focus on School Leadership

An interest in transforming the public sector by learning from the business world contributed to this interest, as leadership was seen as one of the key elements that made private companies more effective than the public sector was perceived to be (e.g. Peters & Waterman, 1983) An interest in learning from the private sector, where leadership has long been seen as an important element in business performance, was therefore a contributing factor in the blossoming of leadership in education. This interest in leadership among policy makers and researchers is backed by a great deal of rhetoric about the importance of leadership in schools. In several countries government leaders have stressed the importance of school leadership. This political rhetoric has sometimes been matched by an increased investment in leadership development, with moves towards participation in leadership development and required certification for heads and principals. The most ambitious of these efforts to provide and coordinate development programmes is probably the National College for School Leadership in England, set up in 2001 by the government, pointing to a belief that leadership can be learned at least to some extent and that leadership development is the vehicle by which to do this. Again, certification in other countries would seem to suggest this belief is widely shared, and it is common at present for greater attention to be paid to leadership development than to selection procedures.

Meta-Studies and Literature Reviews of School Leader Effectiveness

There is a growing body of literature dealing with the effectiveness of school leadership and if and how school leadership contributes to organisational effectiveness as well as to teacher and pupil achievement.

Four main perspectives are represented:

(i) Literature which takes a rather theoretical perspective into account, dealing, for example, with questions around what kind of leadership concepts and styles reflect leadership practice.

(ii) Literature which takes a rather prescriptive perspective, dealing with what kind of leadership should be practiced.

(iii) Literature which takes an empirical perspective, investigating on the one hand leadership practices within a qualitative paradigm in order to understand leadership contexts, refine theory or develop assumptions which can be tested or

on the other hand within a quantitative paradigm in order to test a hypothesis and to generalise findings from a sample to a larger population.

(iv) Literature which takes a methodological perspective, for example, discussing research designs, methods of data gathering or methods of data analysis, since more enhancements in the respective technology allows for more refined ways of dealing with data to answer more complex research questions and assumptions.

Of particular interest is pupil output/outcome, which most often is operationalised neither as pupil satisfaction nor as pupils' attributes and attitudes or pupils' behaviour in general, but as pupils' cognitive test results reflecting pupils' cognitive abilities/achievements.

Obviously, this expenditure and emphasis begs the question of whether school leadership really is such a decisive factor in school performance. Research would certainly suggest that it is a factor that can impact on outcomes. The work most often cited to this effect is Hallinger and Heck's (1998) review which suggests a link between leadership and school effectiveness, albeit the link is indirect and one that is mediated by the effectiveness of staff.

In their literature review, Hallinger & Heck (1998) adapted Pitner's (1988) framework to identify 'approaches that could be used to study administrator effects through non-experimental research methods' (p. 162) in order to classify studies on these effects:

1. Direct-effects models: these models suggest that leaders' practices can have direct effects on school outcomes and that these effects can be measured reliably apart from other related variables (such as organisational culture, teacher commitment, instructional organisation). Hence, researchers do not typically seek to control for such effects. In case any variables (such as the socioeconomic background) were recognised to have a prior effect on school outcomes, these variables were included, but not regarded as interacting variables or mediating leadership's effects on the student outcomes. These models were quite common in studies prior to around 1987. Criticism of them emphasised that in these studies, the process by which administrators influence school effectiveness is hidden in a 'black box': It is stated that there is an empirically tested relationship, but little is revealed about how leadership operates.

2. Mediated-effects models: these models are based on the assumption that leaders achieve effects on school outcomes indirectly. What they contribute is always mediated by other people, by events beyond leadership action and by organisational factors (examples given are teacher commitment, instructional practices and school culture). These models are often enlarged by adding antecedent variables, which results in an even more consistent pattern of indirect effects of leadership on school effectiveness.

3. Reciprocal-effects models: these models are based on the idea of interactive relationships between the leader and aspects of the school and its environment. 'Principals enact leadership in the school through a stream of interactions over

a period of time' (p. 168). In doing so leaders address relevant features, change them and actual change which takes place causes reciprocal effects on their leadership again. Thus, they adapt to the organisation and change their thinking and behaviour over time. As these models demand a very complex design, only few studies were conducted based on this model type.
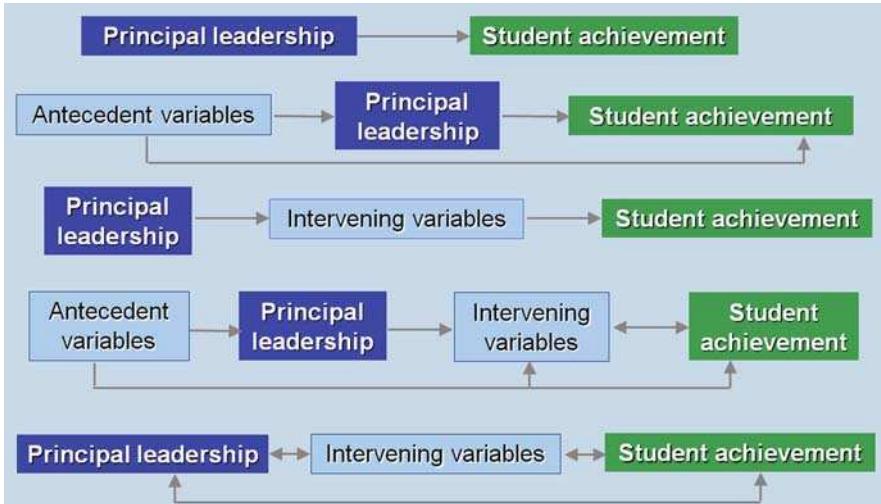

Fig. 4.1 Different measurement models

Reviews to This Topic

Reviews to this topic are, to give some examples:

– Hallinger, P. & Heck, R.H. (1998). Exploring the principals' contribution to school effectiveness: 1989–1995. School Effectiveness and School Improvement, 9(2), pp. 157–191.
– Bell, L., Bolam, R., & Cubillo, L. (2003).
– Leithwood, K.A. & Riehl, C. (2003). What do we already know about successful school leadership? AERA Paper Task Force on Developing Research in Educational Leadership.
– Witziers, B., Bosker, R., & Kruger, M. (2003). Educational leadership and student achievement: The elusive search for an association. Educational Administration Quarterly, 39(3), 398–425.
– Leithwood, K., Louis, K.S., Anderson, S., & Wahlstrom, K. (2004). Review of research: How leadership influences student learning. Wallace Foundation. Downloaded from http://www.wallacefoundation.org/NR/rdonlyres/E3BCCFA5-A88B-45D3-8E27-973732283C9/0/ReviewofResearchLearningFromLeadership.pdf on December 19, 2007.

– Marzano, R.J., McNulty, B.A. & Waters, T. (2005) School Leadership that Works: From Research to Results. Alexandra, VA: Association for Supervision and Curriculum Development.
– Leithwood, K., Day, C., Sammons, P., Harris, A., & Hopkins, D. (2007). Seven strong claims about successful school leadership.
– Robinson, V.M.J. (2007). The impact of leadership on student outcomes: Making sense of the evidence. The Leadership Challenge: Improving Learning in Schools.

Some of them will be presented briefly:

Hallinger, P. & Heck, R.H. (1998). Exploring the Principals' Contribution to School Effectiveness

Hallinger & Heck (1998) present a framework for exploring leadership effects and grouping leadership effectiveness studies, comprising four areas through which leadership may influence the organisational system (pp. 171–178):

1. Purposes and goals: most findings emphasise an indirect influence on school outcome through 'principal's involvement in framing, conveying and sustaining the schools purposes and goals' (p. 171) (see e.g. Andrews & Soder, 1987; Bamburg & Andrews, 1991; Brewer, 1993; Cheng, 1994; Goldring & Pasternak, 1994; Hallinger et al., 1996; Hallinger & Murphy, 1985; Heck, 1993; Heck et al., 1990; Leithwood, 1994; Leithwood et al., 1993; Scott & Teddlie, 1987; Silins, 1994), taking into consideration that goal setting is conceptualised differently within the specific leadership models, e.g. instructional leadership or transformational leadership.

2. Structure and social networks: the interplay between organisational structure and social networks is another area of leadership influence on organisational performance (see e.g. Cheng, 1994; Goldring & Pasternak, 1994; Heck, 1993; Heck et al., 1990; Leithwood, 1994; Leithwood et al., 1993; Ogawa & Bossert, 1995; Silins, 1994; Weil et al., 1984). To give an example according to Leithwood et al. (1993) and Leithwood (1994), the 'areas of transformational leadership that primarily affect this domain are providing support for individual teachers, fostering cooperation and assisting them to work together toward the fulfilment of identified school goals' (p. 174).

3. People: leadership activities are directed at and affect people as a means to achieve positive outcomes indirectly using personal resources, e.g. responsibility, cooperation, commitment (see, e.g. Bossert et al., 1982; Heck et al., 1990; Leithwood, 1994; Ogawa & Bossert, 1995). Leithwood (1994) 'highlights 'people effects' as a cornerstone of the transformational leadership model' (p. 175). Studies using an instructive leadership model also support the effect that principals have on people as the major means to affect outcomes indirectly (see, e.g. Heck et al., 1990).

4. Organisational culture: the influence of organisational culture on the meaning people associate with their work is emphasised by, e.g. Heck et al. (1990), Leithwood et al. (1993), Ogawa & Bossert (1995), Weil et al. (1984). Ogawa & Bossert (1995) argue that 'leaders operate within environmental (i.e. societal) and organisational cultures and affect how other participants interpret organisational events and thus influence how they behave' (p. 176). Climate seems to be the older term (used in the 1980s) for what is later called culture including learning, organisational and social climate. Leithwood et al. (1993) conceptualised school culture as 'widespread agreement about norms, beliefs and values. They proposed that school culture was central to achieving the coordination necessary to implement change' (p. 177). Hallinger and Heck (1998) conclude: 'principals exercise a measurable though indirect effect on school effectiveness and student achievement' (p. 186), yet findings do not resolve the issue how principals 'achieve an impact on school outcomes as well as the interplay with contextual forces that influence the exercise of school leadership' (p. 186). Consequently, the question is no longer 'do principals make a difference', but more particularly 'what are the paths through which such effects are achieved'.

Leithwood, K. A., Riehl, C. (2003). What Do We Already Know About Successful School Leadership?

Sources for the meta-study by Leithwood & Riehl (2003) were quantitative research studies published in refereed academic journals which fulfilled methodological standards and published or publishable multiple case studies or systematic single case studies supporting or explicitly not supporting evidence from other sources. The authors state that student characteristics have the strongest effects on student achievement (including intellectual ability, motivation and socio-economic status. Then classroom characteristics matter (including teachers' pedagogical techniques/active teaching strategies, e.g. staff development activities). School leadership explains 3–5% of the variation of student achievement, but about one-quarter of the variation explained by school factors in total. 'Leadership effects are primarily indirect, and they appear primarily to work through the organisational variable of school mission or goals and through variables related to classroom curriculum and instruction. While quantitative estimates of effects are not always available, leadership variables seem to explain an important proportion of the school-related variance in student achievement.' (p. 13)

Leithwood & Riehl formulate 'six defensible claims about school leadership' (p. 9):

1. Successful school leadership makes important contributions to the improvement of student learning (pp. 10–13).
2. The primary sources of successful leadership in schools are principals and teachers (pp. 13–15).

3. In addition to principals and teachers, leadership is and ought to be distributed to others in the school and school community (pp. 15–16).
4. A core set of 'basic' leadership practices are valuable in almost all contexts:

   – setting directions (pp. 17–19)

     • identifying and articulating a vision
     • fostering the acceptance of group goals
     • creating high-performance expectations

   – developing people (pp. 19–20)

     • offering intellectual stimulation
     • providing individualised support
     • providing an appropriate model

   – redesigning the organisation(pp. 20–21)

     • strengthening school cultures
     • modifying organisational structures
     • building collaborative processes

5. In addition to engaging in a core set of leadership practices, successful leaders must act in ways that acknowledge the accountability-oriented policy context in which almost all work (pp. 21–24):

   – market accountability: creating and sustaining a competitive school
   – decentralisation accountability: empowering others to make significant decisions
   – professional accountability: providing instructional leadership
   – management accountability: developing and executing strategic plans

6. Many successful leaders in schools serving highly diverse student populations enact practices to promote school quality, equity and social justice (pp. 24–36):

   – building powerful forms of teaching and learning
   – teacher expectations
   – class size
   – student grouping
   – curriculum and instruction
   – instructional programme coherence
   – teacher recruitment and retention
   – creating strong communities in school
   – nurturing the development of family's educational cultures
   – parent education programmes
   – coordinated services
   – expanding the amount of students' social capital valued by the schools

- increasing the proportion of children's social capital valued by the school
- creating meaningful partnership with parents
- enacting antiracist practices in schools

Leithwood & Riehl conclude: 'We know that school leadership is most successful when it is focused on goals related to teaching and learning, and that leadership can take different forms in different contexts. We understand some of the mechanisms through which educational leadership has its effects. There are still many gaps in our knowledge about effective educational leadership.' (Leithwood & Riehl, 2003, p. 35).

Leithwood, Seashore Louis, Anderson and Wahlstrom (2004). How Leadership Influences Student Learning

In their report for the Wallace Foundation, Leithwood, Seashore Louis, Anderson and Wahlstrom (2004) present a summarised review of the state of the art in leadership effectiveness research, identifying basics of successful leadership (p. 6) and going beyond the basics (p. 8). The authors come to conclusions about how successful leadership influences student learning (pp. 11–12): Mostly leaders contribute to student learning indirectly, through their influence on other people or features of their organisations. The evidence provides very good clues about whom or what educational leaders should pay the most attention to within their organisation. However, they also state the need to know much more about what leaders do to further develop those high-priority parts of their organisation.

Leithwood, K., Day, C., Sammons, P., Harris, A. Hopkins, D. (2007): Seven Strong Claims About Successful School Leadership

In their review of literature in the context of large-scale studies based on a robust empirical evidence, Leithwood, Day, Sammons, Harris & Hopkins (2007) provide a synopsis resulting in 'seven strong claims':

1. School leadership is second only to classroom teaching as an influence on pupil learning. Leadership has significant effects on the quality of school organisation and on pupil learning (p. 1). For this, five sources of evidence are provided:

   - single qualitative case studies, which show large leadership effects, but lack in the evidence of external validity and generalisability;
   - large-scale studies of overall leadership effects to student outcome, which show that the combined direct and indirect effects of school leadership on pupil outcomes are small but educationally significant and that leadership explains only 5–7% of the difference in pupil learning and achievement across schools;

- large-scale studies of effects of specific leadership practices to student outcome (identifying 21 leadership responsibilities), which show that a 10 percentile point increase in pupil test scores would result from the work of an average headteacher who improved her demonstrated abilities in all 21 responsibilities;
- research exploring leadership effects on pupil engagement showing that school engagement is a strong predictor of pupil achievement; 100 recent large-scale quantitative studies in Australia and North America have concluded that the effects of transformational school leadership on pupil engagement are significantly positive;
- leadership succession research, from which can be concluded that unplanned headteacher succession is one of the most common sources of schools` failure to progress.

2. Almost all successful leaders draw on the same repertoire of basic leadership practice. Considering that the central task for leadership is to help improve employee performance, four sets of leadership qualities and practices in different contexts can be identified (p. 6):

   - building vision and setting directions;
   - understanding and developing people;
   - redesigning the organisation;
   - managing the teaching and learning programme.

3. The ways in which leaders apply these leadership practices – not the practices themselves – demonstrate responsiveness to, rather than dictation by, the contexts in which they work (p. 8). This leads to contextually sensitive different practices of each of four core sets of successful leadership.
4. School leaders improve teaching and learning indirectly and most powerfully through their influence on staff motivation, commitment and working conditions (p. 10): While school leaders 'made modest direct contributions to staff capacities, they had quite strong and positive influences on staff members' motivations, commitment and beliefs about the supportiveness of their working conditions' (p. 10).
5. School leadership has a greater influence on schools and pupils when it is widely distributed (p. 12):

   - Total leadership which involves the school leader, the vice-principal, the senior management team, the staff teams, the central office staff and students has a stronger impact on the teachers' perceptions of their working conditions, and a little bit smaller impact on the teachers' abilities and a small impact on the teachers' motivation and commitment.
   - Total leadership accounted for a quite significant 27% of the variation in student achievement across schools.

6. Some patterns of distribution are more effective than others (p.13):
   Schools with high achievement levels attributed this to relatively high levels of influence from all sources of leadership, while headteacher leadership was not decreased by distribution. According to theory, leadership patterns that reflect a great amount of coordination are more effective than uncoordinated ones. Yet, research on these assumptions in the educational sector is still missing.
7. A small handful of personal traits explain a high proportion of the variation in leadership effectiveness (p. 14). Most successful school leaders are open minded, ready to learn from others, flexible in their thinking, persistent (e.g. holding high expectation of staff motivation and commitment), resilient, and optimistic.

Robinson, V.M.J. (2007). The Impact of Leadership on student outcomes: making sense of the Evidence

Robinson's (2007) meta-study reviews evidence about the links between leadership and student outcomes from 24 studies published between 1985 and 2006. The majority of studies were conducted in US schools (15). Two studies reviewed were conducted in Canada and only one in each of Australia, England, Hong Kong, Israel, Netherlands, New Zealand and Singapore. Fourteen studies examined leadership in elementary school contexts, three in high schools, and seven studies included a mix of elementary, middle and high schools. Thirteen of the studies confined their analysis of school leadership to the principal only, while 11 took a broader, more distributed view of leadership. While the studies examined the impact of leadership on a wide range of student outcomes, academic outcomes – notably maths, reading and language skills – predominated. The four studies that examined leadership impact on students' social and personal well-being included measures of attitudes to school, teachers and learning, as well as students' academic self-concept, engagement with their schooling and retention rates.

One central result gained in this study is that 'the closer leadership gets to the core business of teaching and learning, the more impact leaders have on valued student outcomes' (Tringham, 2007). This may be the reason why generic leadership competencies as propagated in transformational leadership only show a weak impact on student outcomes. The effect of instructional leadership is consistently and notably larger than the effect of transformational leadership.

Robinson (2007) identified the following set of five leadership practices with a powerful impact on pupils (see Tringham, 2007):

1. Establishing goals and expectations: this is apparent through leadership practices such as the setting, communication and monitoring of learning goals, standards and expectations and the involvement of staff and others in the process so that there is clarity and consensus about goals.

2. Strategic resourcing: this involves leadership practices like aligning resource selection and allocation to priority teaching goals; it also includes, e.g. the provision of appropriate expertise through staff recruitment.
3. Planning, coordinating and evaluating teaching and the curriculum: this is shown in leadership practices such as direct involvement in the support and evaluation of teaching through regular classroom visits and provision of formative and summative feedback to teachers; it includes direct oversight of curriculum through school-wide coordination across classes and year levels and alignment to school goals.
4. Promoting and participating in teacher learning and development: this dimension describes leadership that both promotes and directly participates with teachers in formal or informal professional learning.
5. Ensuring an orderly and supportive environment: this includes protecting time for teaching and learning by reducing external pressures and interruptions and establishing an orderly and supportive environment both inside and outside classrooms.

    Looking ahead, Robinson suggests that leadership theory, research and practice needs to be more closely linked to research on effective teaching, so that there is greater focus on what leaders need to know and do to support teachers in using the pedagogical practices that raise achievement and reduce disparity.

Other Studies and Reviews

A number of studies have specifically attempted to study the indirect impact of leadership. Both D'Agostino (2000) and Teddlie & Stringfield (1993), for example, report that leadership of the principal was the key factor in helping create a strong shared mission and vision in the school, which in turn was related to teacher effectiveness, a finding confirmed in Hallinger & Heck's (1998) review. Leithwood & Jantzi (1999) likewise found no direct effect of transformational leadership on student outcomes, but report an effect on school conditions. As D'Agostino (2000) points out, it would appear that effective schools are good at accumulating strong human resources by fostering cohesion and morale within the school and that the principal plays a key role in achieving this. A systematic review of eight studies conducted by the EPPI leadership review group, set up specifically to look at the impact of leadership in the UK (but drawing on research from a range of countries) on the impact of leadership on student outcomes likewise concluded that leadership can have an effect on student outcomes, albeit an indirect one. Key mediating factors found in these studies were the work of teachers, the organisation of the school and relations with parents (Bell et al., 2003). The evidence from the school improvement literature likewise highlights that effective leaders exercise an indirect influence on schools' capacity to improve and upon the achievement of students, though this influence does not necessarily derive from senior managers, but can also at least partly lie in strengths of middle-level leaders and teachers (Harris, 2004).

Whilst the quality of teaching most strongly influences levels of pupil motivation and achievement, it has been demonstrated that the quality of leadership matters in determining the motivation of teachers and the quality of teaching in the classroom (Fullan, 2001; Sergiovanni, 1999).

Lessons Learnt from the Reviews

Generally, results support the belief that principals exercise a measurable though indirect effect on school effectiveness and student achievement. However, findings do not resolve the means by which principals achieve an impact on school outcomes and how contextual forces influence the exercise of leadership in school. Discrepancies are assumed to be due to context differences in school settings, variation in the principal's role, alternative theoretical models, methodological differences and analysis problems as well as the multilevel nature of schooling.

Hence, the question which should be asked is no longer whether or not principals do make a difference but, more particularly, which means they apply and through which paths they achieve such effects.

When we examine these studies more closely, it is clear that most leadership variables are only modestly to weakly related to outcomes (e.g. Hallinger & Heck, 1998; Van de Grift & Houtveen, 1999; D'Agostino, 2000), and in some studies, no relationships were found at all (see Creemers, 1994; Leitner, 1994). A meta-analysis covering a wide range of variables relating to student outcomes found that leadership had an average effect size of 0.52 (or half a standard deviation), which is higher than the average found for all educational interventions studies (0.4) (some of which had virtually no impact at all), but significantly lower than factors such as 'direct instruction', feedback to students or cognitive strategy training (Hattie, 2005). This is not surprising, in view of the fact that one would not expect leadership to impact directly on outcomes. Proximity models of effectiveness would predict that leadership was too distal from students' experiences to have a direct impact. This does not, however, mean that leadership is not an important variable. Rather, as suggested in, for example, the dynamic model of school effectiveness (Creemers & Kyriakides, 2004), we would expect effective leadership to be a factor that helps create the conditions under which teachers can be optimally effective, which in turn would result in higher levels of pupil performance. This is indeed what the reviews summarised above have found.

Overall, then, it can be said that the view that leadership matters, as espoused by policy makers in many countries, is supported by the literature, though to a far lesser extent than one might imagine from some of the rhetoric. The impact is indirect and modest rather than strong. Context is an important factor here, however, in that the influence of leadership at the school level is clearly stronger where school autonomy is greater. The Netherlands is a good example of this, where the impact of leadership in most studies has increased from non-significant to modest as policy changes have rendered the influence of the head greater (van de Grift & Houtveen, 1999).

The Research Base and Its Limitations

We can therefore say that we know something about leadership and its contribution to organisational effectiveness. There is evidence that leadership does make a difference to organisational effectiveness and to pupil performance. There is some evidence that transformational and distributed leadership in particular can contribute to organisational effectiveness. However, what is equally clear is that the research base is far weaker than many of the claims made for these forms of leadership would suggest. There is a tendency, not just in leadership, but in educational research more generally, to jump rapidly from a limited research base to prescriptions for practice, as a result of pressures from governments and their agencies in search of 'quick fixes' and from schools in search of solutions to the need for fast improvement as a result of the accountability measures they are forced to work under. Commercial consultants and advocates of particular programmes or movements are often ready to offer such solutions, but also some higher education institutions do that, too. Hence, they hold their share of responsibility for this situation.

This tendency is exacerbated by the overreliance on dualistic models in the field, which invite prescription through their identification of one set of practices as 'good' and another set as 'bad'. Again, this is not a tendency that is unique to research in the leadership field. Educational research generally suffers from this, as is evidenced in distinctions between 'deep' and 'surface' learning in higher education pedagogy (Biggs, 2003), distinctions between 'progressive' and 'traditional 'methods of teaching, and of course the distinction between 'effective' and 'ineffective' schools (Reynolds et al., 2004). Moreover, it is clearly absurd to set up a duality in which management is distinct from and inferior to leadership. Management functions are integral to the running of organisations and are in practice hard to separate from leadership. Indeed, some researchers have correctly pointed out that much of what is now termed leadership was in the past termed management, or before that, administration (Gunter, 2001). It is clear that if we are to move the field on we will have to go beyond this tendency to set up a dualism, pick one part as being 'good' and then recommend this as the way forward for practice. Classification is a necessity for science to progress, but a more refined understanding of the contextual and situational leadership and management may be more illuminating and less prone to simplistic prescriptions.

As well as a strong reliance of dualism, there is an overreliance on change metaphors in research on educational leadership. This again results in part from the stress on leadership at the expense of management, where leadership is seen as concerned with change and transformation, while management is about maintenance functions in an organisation. The conception that leadership is the key therefore leads to a pre-occupation with change among authors in the field and among leaders themselves. Of course, managing change, and, where necessary, instigating change are important, and in the increasingly unstable and fast-moving environment in which schools operate is probably more so than ever (Fullan, 1996). However, the emphasis on change, both in the literature (e.g. Kotter, 2000) and in the development programmes for headteachers, has led to a situation where every new head feels

he/she has to make changes whether they are necessary or not, purely to demonstrate leadership.

In our own research we have seen many instances of highly successful schools suffering where new leadership made wide-ranging changes to effective schools for reasons that did not stand up to scrutiny and that could in the end be described simply as a desire to change. Educational policy making seems similarly afflicted, with a rapid turnover of policies and initiatives seen as necessary to demonstrate this warped view of leadership. Again, we end up with the problematic nature of dualistic views of leadership.

That the research base is not as strong as one might expect reflects not just a dearth of research compared to prescription, but also deficiencies in research methods. There is a strong overreliance of self-report in leadership studies, where the most common form of research design is either a survey or interviews, usually of a limited number of school leaders. Studies are almost always post hoc, trying to work backwards with a retrospective view on the research object. This practice is clearly limited. Both survey- and interview-based methodologies, while highly useful, have, when used as the sole means of data collection, some severe limitations. Post hoc interviews are heavily prone to attributional bias (the tendency to attribute to ourselves positive outcomes, while negative outcomes are externally attributed, Weiner, 1980), as well as to self-presentation bias and interviewer expectancy effects (the tendency to give those answers we feel the interviewer wants to hear). Where leaders have received leadership development, there is an increasing tendency to hear the theories learnt on leadership courses repeated in interview situations. Survey questionnaires are likewise limited, especially where they are cross-sectional, as only correlational data can be collected. The issues of expectancy effects and bias exist here as well, as does attributional bias. In one survey study, for example, respondents tended to describe themselves as transformational leaders, while their line managers were described as using transactional leadership styles (Muijs et al., 2006).

These limitations mean it is often hard to make strong statements either about impact or about processes. The quantitative methodologies used need more often to be longitudinal and to make more use of quasi-experimental designs, and even of field trials of new leadership methods.

Moreover, there is the need to gather data not only from the school leaders but also from teachers and others (to add additional views from an external perception to the self-reports from a self-perception). Additionally, observations, although cost-intensive and not easy to implement as they most often intervene with the day-to-day practice which should be observed, might help to move to multi-perspectivity and triangulation.

Qualitative approaches likewise need to be more multi-perspective and longitudinal. They need to employ methods and instruments that allow more in-depth interrogation of processes such as ethnographic studies and genuine long-term case studies as well as the methods currently used.

Obviously, feasibility is also restricting research (of us and of our colleagues) and therefore the research designs should have the appropriate funding to provide better conditions for feasibility. Therefore the funding for research is an important

aspect, too. There is a need to have big enough research grants, which allow cooperative research arrangements to develop more sophisticated multi-perspective and longitudinal designs.

Interestingly, even if some discussion has been started about combining quantitative and qualitative methods, integrating them in a mixed-methods research design, with differences in approach (explanative or exploratory mixed method), still few studies in leadership research (but also in educational research in general) are trying to integrate these demands and ideas into their research designs. It is also interesting to see how alternative data gathering methods might illuminate the complexity of organisation and leadership context, as, e.g. Huber (2008, 2009) uses Social Network Analysis, Life Curve Analysis, such as pictures and metaphors. Besides data gathering methods, there is also a need of more refined methods of data analysis such as multi-level, growth models, structure equation modelling, to name some of them, which are about to become popular.

More original research in the field needs to be undertaken, in particular outside of North America, as the overreliance on findings from studies conducted in the USA needs to be alleviated. Leadership, like other factors in education, is contextual (i.e. structurally and culturally specific), and it is therefore not valid to expect findings to apply unproblematically across countries and even continents. There are obvious contextual differences in terms of leadership relating to the extent of autonomy school leaders have within the educational system, their appointment and selection criteria, while less immediately obvious cultural differences make it even less likely that one could simply import findings from one context to the other without at least some adaptation. This means that the tendency to move straight to prescription becomes potentially even more harmful where the research base is from an entirely different (cultural) context, where school leadership will operate under different circumstances and conditions.

Therefore, while leadership research has made important contributions to the field of education, which have had practical benefits, if we are genuinely to move both research and practice on we need to do more rigorous quantitative and qualitative research, aimed at both measuring impact and exploring processes, taking into account the complexity of schools as organisations, and refraining from an overly prescriptive approach that, on the basis of very limited research, posits absolute truths about good practice. If we continue the practice of coming up with a never-ending stream of poorly researched ideas, sooner or later research in this field is likely to lose credibility in the eyes of both practitioners and researchers, losing the possible benefits of genuinely improving what remains one of the key factors in educational effectiveness.

Last but not least we need to create better 'fits' of theories, empirical research and experienced practice. Hence, besides all methodological and methodical questions and desired modified research practice, there is also a need to refine theoretical models and theories (whether with a very focused or with a broader approach). Empirical research should lead to further developed theories and theoretical assumptions should guide our empirical work (if working in a deductive methodological approach).

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Chapter 5
The Principal as Educational Leader:
What Makes the Difference

Michael Chirichello

Abstract As part of a study undertaken by this researcher at William Paterson University beginning in 2001 and concluding in 2006, 140 principals in K-12 schools and 261 teachers who work in those schools completed surveys. The principals were asked to examine a list of activities and choose three in which they spend most of their time and three in which they spend the least time. They were also asked to identify three activities in which they would choose to spend the most and the least time. Teachers were asked to examine the same list of activities and choose three in which they perceive how their principal spends the most time and three in which the principal spends the least time. In addition, they were asked to identify three activities in which they believed their principal should spend the most and least time.

As a result of this study, three significant questions emerged:

– Do principals understand that their role as educational leaders is significantly more important than their role as manager? The survey results indicated that principals spend too much time managing and too little time as the educational leader involved in activities such as curriculum development, planning, staff development, school-wide planning, and school reform.
– How can we clarify the role of principals in their relationships with teachers when principals perceive the supervision of staff is more important than interacting with staff other than in the performance appraisal process and teachers perceive the opposite?
– If principals expect to focus on as many as 17 different activities, how can we reinvent the principalship to give them time to balance their roles and responsibilities as leaders and managers?

To respond to each of these questions, one must examine school organizational structures in which the principalship can be reinvented. The bureaucratic, hierarchical organizational structures found in most schools are usually depicted as a maze

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of lines and boxes. These linear relationships often get in the way of the principal becoming a leader more than a manager. If we expect principals to understand that their role as leader is significantly more important than their role as manager, if we want to clarify the expectations that principals and teachers have for the performance appraisal process of teachers, and if principals need time to balance their roles and responsibilities as leaders and managers, we must debunk the myth about the centrist perspectives of leadership.

The centrist, one-person taking charge tradition that continues in many schools must be abandoned. Leadership must be viewed as the collective activities of the school community rather than focus on individuals in positions of authority. This chapter discusses the changing roles and responsibilities of principals and teachers within the context of collective leadership.

Introduction

The Landscape

"The search for a new principal is moving slowly," said William Cashill, the interim principal at a regional high school in New Jersey. "There's a scarcity of administrators out there. Of a dozen principal applicants who made it to the interview round, four have already dropped out of the running to accept other jobs" (Diamant, 2000). As school districts undertake searches to replace principals who are leaving, more and more retired principals are being asked to assume positions as interim principals. Districts cannot find qualified applicants as quickly as they are needed to fill principal vacancies, many of which are due to retirements (Mooney, 2001).

This scenario can easily be put into the context of dozens of school districts throughout the United States. We are experiencing a shortage of qualified principal applicants. We are struggling to replace principals who are retiring or leaving. At the same time, significant and continuing changes in our society have created a shift in the role and responsibilities for principals in our schools. Principals today face a daunting task. They are expected to supervise staff, discipline students, interact with parents, manage facilities, lead the instructional program, work on special projects assigned by the central office, insure the safety of students and teachers, manage budgets, participate in school-wide reform, build partnerships with social agencies in the community, and understand the legal implications of these activities.

Today's principals must also be well informed about the external political forces that are focused on standards and assessment. They must be able to respond to the increasing demands that are made by unions, parents, the business community, and superintendents. Despite these overwhelming responsibilities, principals must maintain their focus on educating children "…in an environment where interest group politics, board relations and a regulatory muddle conspire to handcuff their leadership" (Public Agenda, 2001, p. 10). In larger schools, the complexity increases and, even with assistant principals, managerial challenges get in the way. The

principalship in its current context prevents principals from becoming educational leaders. What then will make the difference if principals want to focus on curriculum development and other instructional issues that will clearly establish their role as educational leaders? What will attract candidates to the principalship at a time when the role and responsibilities of principals become more and more daunting?

Literature Review

The Illusion of the Super Principal

One of the issues that is central to the question, "Why become a principal?" is the perception that principals have about their role and responsibilities. What should principals spend their time doing and what should be on their not to do list? Do teachers and principals agree on the role and responsibilities of the principalship? Do principals recognize that the myth of being a super principal is an illusion? The expectations that everyone has for principals are overwhelming. As school districts look to fill vacancies for the principalship, we may be searching for those who simply do not exist (Copland, 2001). Perhaps, "It's time for principals to stop trying to be heroes and give some serious thought to reinventing their job" (Kennedy, 2002).

The principalship is at a critical juncture. Approximately 40% of all public school principals will leave the profession during the first decade of this century (Educational Research Service, 1998). It is becoming increasingly apparent that unless some of the underlying assumptions about leadership are challenged, we will have fewer candidates who want to apply for the principalship (Gilman & Lanman-Givens, 2001; Olsen, 1999; Richard, 2000). As principals have to do more with fewer resources, as the salaries of senior teachers approach and exceed that of new principals, and as our political leaders continue to flaunt tests as the only measure of accountability, it is not surprising to find fewer and fewer qualified professionals aspiring to be principals.

If we want to attract the best candidates to lead our schools, perhaps it is time to redefine the role and responsibilities of principals. As early as 2000, the Institute for Educational Leadership (2000) concluded that a principal's focus should be "leadership for learning" (p. 1) and that "the principalship as it is currently constructed – a middle management position overloaded with responsibilities for basic building operations – fails to meet this fundamental priority" (p. 1). This study recommended that we reinvent the principalship.

The Reality: What Principals Do

As more and more principals retire or leave the profession, how can we attract competent leaders despite the significant increases in responsibilities in areas ranging from politics to site-based councils to instruction and curriculum design?

Several studies have examined the day-to-day activities of principals that reveal management may be taking up too much of the principal's time.

Doud and Keller (1998) listed the percentage of principals who chose the following categories as one of three areas in which they spend the most time: supervision (80%); interaction with students (65%); discipline of students (60%); parent and community contacts (25%); facilities management (15%); curriculum development (12%); student evaluation/placement (11%); central office duties (10%); safety/security (9%); interaction with central office staff (6%); planning/conduction staff development (6%); and budget (5%).

In the same study (Doud & Keller, 1998), 45% of principals surveyed had primary responsibility in selecting teachers, 21.8% of principals shared this responsibility with others in the school, 29.2% shared this responsibility with central office, and 4% had little or no responsibility in this area. Ninety-two and four-tenths percent of principals surveyed had primary responsibility in the supervision and evaluation of staff, 5.6% of principals shared this responsibility with others in the school, 2% shared this responsibility with central office, and none had little or no responsibility in this area. Thirty-nine percent of principals surveyed had primary responsibility for instructional improvement in their schools, 44.5% of principals shared this responsibility with others in the school, 15.8% shared this responsibility with central office, and 0.8% had little or no responsibility in this area.

In a California Study (EdSource Report, 1998), principals surveyed would like to spend 42.6% of their time in teaching and learning activities but the time actually spent in these activities is 25.8%. Principals surveyed would like to spend 31.8% of their time with parental engagement, student contact, and budget issues but actually spend 47.2% of their time in these activities. Principals surveyed would like to spend 25.6% of their time in staff supervision, evaluation, and external community relations but actually spend 27% of their time in these activities.

Deterrents to the Principalship

At the Principals' Leadership Summit held in Washington, DC, in July 2000, the question was asked of conference participants, "What are the major challenges that discourage a person from pursuing the principalship as a career goal?" (Carole as cited in Institute for Educational Leadership, 2000). Ninety principals identified five reasons why relatively few people seek to aspire to the principalship: the changing demands of the job; salary; time; lack of parent and community support as well as negativity of the media and public toward schools; and a lack of respect for the principalship.

In a survey conducted by the New Jersey Principals and Supervisors Association (2001), 83% of the female respondents and 68.7% of male respondents (443 teachers with 5 or more years of experience) indicated they had little desire to become principals. Reasons included the job is too stressful; parental and board of education demands give the perception that the job is undesirable; and the time required

on the job adversely affects their quality of life. In another survey conducted by the New Jersey Department of Education (2001), responses from 490 superintendents in New Jersey suggested that New Jersey, like other states, is experiencing a shortage of qualified principal applicants. This hiring problem affected all levels of schooling but particularly high schools. Applicants identified the reasons why they are unwilling to seek or accept positions as school principals: high levels of stress associated with the job; pressures of accountability for student success; insufficient salary; and a lack of time for a personal life. Hammond, Muffs, and Sciascia (2001) reported that the major issues affecting the principal shortage in New York State included difficulties in balancing personal and professional responsibilities; inadequate pay for the amount of work involved; and a perceived ethnic and gender bias in the hiring process. When asked if principals planning to retire would stay, they responded affirmatively only if the job were more manageable.

In a study conducted by a graduate student at William Paterson University of New Jersey (Cooney, 2001), 40 teachers working in two New Jersey middle schools completed a questionnaire. They were asked to rank, in the order of importance, ten items serving as barriers for those aspiring to the principalship. The results indicated that the respondents regarded parents' expectations, stress, and board interference as the primary barriers. The factor least affecting that decision was the differential between the principal's and the teacher's salaries. The most important reason why women did not seek the principalship was their perception that the job is too stressful. As the least important, they selected the item regarding a lack of time or desire to pursue a Master's degree. The males' top deterrent to the principalship was the unrealistic demands on principals. Their least significant reason was that there was not enough of a differential between teachers' and principals' salaries. The results of this study were comparable to the survey conducted by NJPSA (2001) in which the respondents felt that the job of principal is too stressful and parental demands and interference by boards of education have made the job undesirable. The respondents identified the differences in salary between teachers and principals as a lesser important deterrent to the principalship.

Method and Design

In June of each year from 2001 through 2006, graduate students in the Educational Leadership Program at William Paterson University of New Jersey distributed surveys to building principals in K-8, 6-8, and 9-12 schools and to teachers who work in those schools. One hundred forty principals were asked to examine a list of activities and choose three in which they spend most of their time and three in which they spend the least time (Appendix B – Reality Most and Least Time). They were also asked to identify three activities in which they would choose to spend the most and least time (Appendix B – Vision Most and Least Time). Two-hundred sixty-one teachers were asked to examine the same list of activities and choose responses from their perspectives of the principals' activities. The graduate students randomly

chose two teachers at each school, one who was teaching fewer than 5 years and one teaching more than 5 years. Where possible, one was male and one female.

This researcher adapted the survey from Gorton and McIntyre (1978), McCleary and Thomson (1978), Doud and Keller (1998), EdSource Report (1998), and from his experiences as a principal for 17 years (Appendix A).

Results[1]

Summary

The most frequently selected choices of principals (N = 140) in which they perceived they spend the most time were interaction with staff other than supervision (31%); discipline/management of students (36%); and school management (57%). The most frequently selected choices of teachers (N = 261) in which they perceived their principals spend the most time were discipline/management of students (30%); responsibilities assigned by district office including special projects (32%); and school management (38%). In each group's most frequently selected choices, the two categories in which the principals' and teachers' agreed were discipline/management of students (36 and 30%, respectively) and school management (57 and 38%, respectively).

The most frequently selected choices of principals in which they perceived they spend the least time were student evaluation/placement (31%); legal issues (36%); and interacting with social agencies outside of school (49%). The most frequently selected choices of teachers in which they perceived their principals spend the least time were curriculum development and instructional issues (26%); interacting with staff other than supervision (27%); and student evaluation/placement (32%). In each group's most frequently selected choices, the only category in which the principals and teachers agreed was student evaluation and placement (31 and 32%, respectively).

The most frequently selected choices of principals in which they would like to spend the most time were supervision of staff (44%); interaction with students other than discipline (55%); and curriculum development and instructional issues (69%). The most frequently selected choices of teachers in which they would like their principals to spend the most time were interaction with staff other than supervision (41%); curriculum development and instructional issues (43%); and interaction with students other than discipline (44%). In each group's most frequently selected choices, the two categories in which the principals and teachers agreed were curriculum development/instructional issues (69 and 43%, respectively) and interaction with students other than discipline (55 and 44%, respectively).

The most frequently selected choices of principals in which they would like to spend the least time were responsibilities assigned by district office including

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[1] The data in this section are contained in the chart *Survey Results: 2001– 2006* (Appendix B).

special projects (36%); discipline and management of students (46%); and legal issues (49%). The most frequently selected choices of teachers in which they would like their principals to spend the least time were student evaluation and placement (29%); facilities management (31%); and legal issues (35%). In each group's most frequently selected choices, the one category in which the principals and teachers agreed was legal issues (49 and 35%, respectively).

Analysis of the Most Frequently Selected Choices

Principals and teachers perceived that school management issues take up the most time for principals. Teachers also perceived that responsibilities assigned by the district office including special projects take up a significant amount of a principal's time. Principals also selected this activity as one in which they would like to spend the least time.

Principals, teachers, and other educational professionals must understand the principal's role as educational leader and manager. Great leaders must manage effectively; however, effective managers are not necessarily great leaders. If the central office staff believes that principals are educational leaders, they will let them focus on their building-level responsibilities rather than burdening them with additional district-wide responsibilities. Central office staff must collaborate with principals and support their work, not impede it. They must begin to create a cohesive leadership system (The Wallace Foundation, 2006). The central office staff plays an essential part in developing and supporting the principal's role as educational leader and this has a significant impact on the leadership capacity of the school.

Although principals perceived they interact with staff other than during the supervisory process as one of their most frequently selected choices, a much smaller percentage of teachers perceived that principals actually do this most of the time (31 and 17%, respectively). Conversely, teachers would like principals to interact with them other than during the performance appraisal process but principals did not choose this activity as one of their most frequently selected choices. There is obviously a dichotomy in what teachers and principals perceived related to this activity.

This raises a significant question: If teachers do not perceive that the performance appraisal process is as important as other interactions with the principal, how can we redesign the process so teachers value it? Principals and teachers must initiate conversations that will begin to transform the performance appraisal process into an experience that will enhance professional practice. The current system is outdated, hierarchical, and lacks differentiation (Danielson & McGreal, 2000). Performance appraisal must become a process that results in improved student outcomes and not simply an event that fulfills a legal requirement.

Principals perceived they should spend more time interacting with students other than discipline. At the same time, principals and teachers perceived that principals spend a significant amount of time in the discipline and management of students. If

principals spend too much time disciplining students, they may not have the time to develop more substantive and lasting relationships with students.

Two questions emerge that should become a focus of conversation between principals and teachers to clarify these responsibilities: (1) Who should do what when it comes to student misbehaviors? (2) What are some of the activities in which principals can engage to build enduring relationships with students? Schools must clarify the responsibilities of principals and teachers in activities related to student discipline but should establish a platform of beliefs and values about student behavior before developing codes of conduct.

Both principals and teachers perceived that principals must spend more time in curriculum development and instructional issues. Teachers perceived that this is one of three activities that principals do least of the time. If principals and teachers want principals to assume a leadership role in curriculum and instruction, how can principals find more time to do this?

Principals must be the educational leaders in schools. Most of the current literature identifies the principal as the instructional leader. This may be too narrow a view. Perhaps it is time to redesign the role of principal as educational leader and value teachers as the instructional leaders. As this occurs, how do principals create a culture in which the role of teacher as leader is valued and acknowledged? In the context of a centrist view of leadership, can principals find time to be educational leaders?

Principals and teachers perceived that principals spend little time in their day-to-day work dealing with legal issues. Principals chose this as one of the three activities in which they spend the least amount of time. Both teachers and principals also perceived that principals should not spend much time in matters of litigation. If these perceptions are true, this should give principals additional time to be educational leaders rather than managers of complex legal issues. The central office staff must assure principals that they will assume this responsibility.

Principals perceived that they spend the least time interacting with outside social agencies. Both teachers and principals did not consider this activity important. Principals and teachers do not appear to value collaboration with outside social agencies.

Should principals be involved with outside social agencies? If they are, what is their role? This raises a significant question about the purpose of education and schooling. In the current political climate of our national No Child Left Behind Act (NCLB),[2] principals tend to focus on measuring students' academic performance at the expense of nurturing the development of the whole child (Rothstein et al., 2007). Perhaps it is time to refocus our conversations on the purpose of education and schooling.

Principals and teachers perceived student evaluation and placement as least important in the day-to-day activities of principals. Teachers also perceived this as

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[2] Additional information about the No Child Left Behind Act is available at http://www.ed.gov/nclb/landing.jhtml.

least important in what principals should do. In the teaching–learning–assessment process, using assessment correctly to inform curriculum and instructional decisions is essential if we want to sustain student academic progress. Student evaluation and placement should become one of the more important responsibilities of the principal as the educational leader and teachers as the instructional leaders.

Analysis of Other Selected Activities

Both principals and teachers did not perceive that principals spend a significant amount of time with school safety and security. The issues of school safety and security continue to be important in our society especially since the events of 9/11. Moreover, the percentage of teachers and principals who chose this activity is low (12% or less in all categories). Perhaps processes are set up and well established in the schools surveyed that make them physically secure and safe. On the other hand, maybe teachers and principals interpreted activities that focus on safety and security as a management responsibility rather than an opportunity for principals to become educational leaders and redesign curriculum that integrates civility, respect, and personal responsibility.

Schools should be professional learning communities (Dufour & Eaker, 1998) that offer opportunities for the staff to focus on student learning and collaborate with each other. Teachers and principals must begin to see themselves as life-long learners. However, principals and teachers perceived that principals do not spend enough time in planning and facilitating staff development activities. If we look at what principals should be doing, 26% of principals and 20% of teachers perceived this activity as important. How can principals promote school cultures that value life-long learning and continuous improvement if principals and teachers do not place more value on this activity? On the other hand, perhaps the experiences of teachers with staff development are less than satisfactory. In many schools, staff development is a one-day event that is contractually required. Workshops are often disconnected and uneven in quality. Professional development must be substantive, continuous, and diversified to meet the needs of teachers. Professional development must become part of the teachers' performance appraisal process and professional development plans. Its primary objective should be the improvement of student learning outcomes.

Principals and teachers indicated that school-wide planning and school reform was not in one of the more frequently selected choices of the principals' day-to-day activities. Although this activity was not one of the most frequently selected choices, principals and teachers perceived this should be an important activity for principals (41 and 36%, respectively). Principals must find time to lead in school-wide planning and school reform, especially in schools where student achievement is less than expected.

Principals and teachers perceived that budget administration does not and should not take up a significant amount of a principal's time. Perhaps this is because principals do not have as much control overexpenditures as they should have. If

we believe that principals must be accountable for their schools, superintendents must give them more autonomy with budgets.

Implications from the Research

As a result of an analysis of this survey, three significant questions emerged:

– Do principals understand that their role as educational leaders is significantly more important than their role as managers? The survey results indicated that principals spend too much time managing and too little time as the educational leader involved in activities such as curriculum development, planning, staff development, school-wide planning, and school reform.
– How can we clarify the role of principals in their relationships with teachers when principals perceive the supervision of staff is more important than interacting with staff other than in the performance appraisal process and teachers perceive the opposite?
– If principals are expected to focus on many different activities, how can we reinvent the principalship to create a better sense of balance between the roles and responsibilities of principals as leaders and managers?

Recommendations

Lines and Boxes

To respond to each of these questions, one must examine school organizational structures. The bureaucratic, hierarchical organizational structures found in most schools are usually depicted as a maze of lines and boxes. These linear relationships often get in the way of the principal becoming a leader more than a manager. If we expect principals to understand that their role as leader is significantly more important than their role as manager, if we want to clarify the expectations that principals and teachers have for the performance appraisal process of teachers, and if principals need time to balance their roles and responsibilities as leaders and managers, we must debunk the myth about the centrist perspectives of leadership. The theories about scientific manager, democratic leader, theory-guided administrator, bureaucratic executive, humanistic facilitator, and instructional leader that have come and gone during the 20th century (Kavanaugh, 2005) were not powerful enough to sustain new school organizational paradigms.

Leadership for the 21st century must be rooted in the action values of visioning, leading, learning, building community, synergy, collaboration, and communicating (Jazzar & Algozzine, 2005). Today we live in a world that is rich in relationships, with patterns that connect rather than separate. Our worldview of leadership must value interrelationships and adaptability (Wheatley, 1999). Lines and boxes must give way to new shapes that will illustrate the action values and systems in which interrelationships and adaptability will replace power and control.

What Kind of Educational Leaders Do We Need?

In a recent study by the Center for Creative Leadership (2006) in which 500 respondents participated, 84% believed that the definition of effective leadership has changed during the last 5 years. As school leaders face technical, adaptive, and critical challenges in their positions as principals, they must realize that a new skill set is critical for success. Leaders must build relationships, manage change, lead employees, and act with decisiveness.

Marzano et al. (2005) completed a meta-analysis of 69 studies from 1978 through 2001. These researchers concluded that principals can have a significant effect on student achievement if they spend time cultivating specific leadership behaviors. Twenty-one categories of behaviors that are referred to as responsibilities in this meta-analysis had an average correlation of 0.25 with student academic achievement. The behaviors focus on affirmation; change agent; contingent reward; communication; culture; discipline; flexibility; focus; ideals/beliefs; input; intellectual stimulation; involvement in curriculum, instruction, and assessment; knowledge of curriculum, instruction, and assessment; monitoring/evaluating; optimizer; order; outreach; relationship; resources; situational awareness; and visibility.

In 1994, the National Policy Board for Educational Administration (NPBEA) created the Interstate School Leaders Licensure Consortium (ISLLC) to develop standards for school leaders. The standards were adapted in 1996 by the NPBEA and published by the Council of Chief State School Officers (CCSSC). In 2002, the Educational Leaders Constituent Council (ELCC) developed Standards for Advanced Programs in Educational Leadership. They were adopted by the National Council for Accreditation of Teacher Education (NCATE) and are used to evaluate preparation programs for educational administrators in university/college preparation programs (Sanders & Simpson, 2006).

These standards acknowledge the changing role of school leaders. Effective principals must promote success for all students by (1) facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community; (2) advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth; (3) ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment; (4) collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources; (5) acting with integrity, fairness, and in an ethical manner; and (6) understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context (Council of Chief State School Officers [CCSSO], 1996). Only Standard (3) focuses on management responsibilities.[3]

What kind of educational leaders do we need? The research of Marzano et al. (2005) identified the leadership responsibilities of principals. The ISLLC Standards

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[3]*The Educational Leadership Policy Standards: ISLLC 2008* were revised and adapted by the National Policy Board for Educational Administration in 2008.

define the knowledge and dispositions that principals need as well as the activities in which they must be involved. If principals are to be highly effective leaders, their role and responsibilities must be redefined within the context of collective leadership.

The centrist, one-person taking charge tradition that continues in many schools must be abandoned. Leadership must be viewed as the collective activities of the school community rather than focus on individuals in positions of authority (Center for Creative Leadership, 2006; Chirichello, 2003, 2004). This perspective focuses on the outcomes that emerge between groups of people rather than specific activities of one individual. To achieve this vision, principals must learn how to strengthen trusting relationships, nurture collaboration, and encourage adaptability (Chirichello, 2001).

The reply to the question, "What kind of leaders do we need?" is not the *superhero* who can do it alone. Instead, we need leaders who know how to develop a vision, build commitment to that vision, and focus on communicating the vision with clarity. Principals must create a professional learning community in which people trust one another. Principals must sustain a culture that values mutual accountability. Principals must develop people. They must create a professional learning community in which teachers become self-empowered to lead. At the same time, teachers must begin to expand their role and responsibilities. Teachers must become intimately involved as leaders (Center for Creative Leadership, 2006). To achieve all of this, principals must have a skill set that supports and nurtures collective leadership.

Collective Leadership

Principals must focus their energy on creating a professional learning community in which others can help them succeed. Participative leadership, building relationships, and understanding change will create opportunities for teachers to become self-empowered partners in leadership (Martin, 2005). Principals must paint a vision in which the school becomes a coherent community of leaders and learners. They must learn how to cultivate, nourish, and grow new leaders. "Successful organizations depend on multiple sources of leadership...Rather than assuming a hierarchical leadership structure, the principal views teachers and others in the school as potential leaders for various key functions that ensure the school's success" (Childs-Bowen et al., 2000, p. 28). Principals must spin webs of trusting relationships that enable followers to become leaders and leaders to become followers (Rost, 1991).

Leadership does not belong to any one person. "Individual people do not possess leadership; leadership happens when people participate in collaborative forms of thought and action" (Drath, 2001, p. 15). This perspective allows followers to become leaders. Mutuality and synergy must predominate over isolationism and individualism (Ah Nee-Benham & Cooper, 1998). If principals realize that their role is to create a coherent community of learners and leaders, leadership will become a process that is valued more than a person who holds a position. Leadership is the collective activities of the principal and teachers to set direction, build commitment,

and create alignment (Martin, 2005). This collective perspective will eradicate the lines and boxes that frequently depict the structure of school- and district-level organizations. Instead, new structures will begin to emerge that look more like intersecting circles.

Collective leadership is different from shared or participatory leadership (Drake & Roe, 2003). It is unlike distributive leadership (Elmore, 2002; Wallace, 2002). Collective leadership is a process. It is built on a culture that values learning. The principal and staff begin to learn from the collective experiences of each other (Drath, 2001). Interrelationships built on trust thrive in schools where collective leadership is practiced. Collective leadership creates professional learning communities in which shareholders have the power to do what they believe – their values and beliefs are congruent with the school's collective vision. Followers begin to emerge as new leaders and principals know when to follow and get out of the way. Principals give away power, much like a stream that evaporates as it approaches the dessert. Unless the stream allows itself to be absorbed by the wind, its essence cannot be carried away and become a stream again on the other side of the desert (Bolman & Deal, 1995). Principals must give up power to gain power. Positional power must give way to referent power (Yukl, 2005).

Balancing Leadership and Management

How do principals develop collective leadership when they are placed in an untenable position with overwhelming responsibilities? Principals must be knowledgeable about students, curriculum, teacher performance, and the community they serve. They are the leaders who are expected to maintain open climates and promote the values and beliefs that shape the school's culture. At the same time, principals are expected to manage day-to-day activities that include scheduling, building repairs, lunchrooms, and ordering. Often management activities take time away from leadership. There is little time left in the hectic day-to-day schedule for the principal to engage in reflective thinking and proactive planning. Despite this apparent lack of time in the daily schedules of principals, they are expected to transform schools by providing opportunities to develop, maintain, and strengthen collaborative and supportive behaviors that result in open and healthy school climates (Hoy et al., 1991).

Open climates, in which principals are supportive and teachers are collaborative and intimate, will thrive in schools where collective leadership is valued. In schools that embrace collective leadership, teacher and principal collaboration becomes evident. Professional conversations focus on teaching and learning. Lifelong learning becomes a shared value and leads to opportunities for substantive, on-going staff development and professional autonomy for teachers. As teachers become self-empowered and take on new leadership roles, principals will have time to become transformational and focus on the 4 I's – idealized influence, individual support, intellectual opportunities, and inspiration (Avolio, 1999). Principals will become leader-developers rather than manager-directors.

It's All About Relationships, Relationships, Relationships

Collective leadership will give principals time to build influencing relationships between and among all members of the school community. To understand collective leadership, one must go to the heart of the principal–teacher relationship. The principal's focus will be on the teaching staff and their capacity to nurture authentic professional learning communities. The principal will begin to look away from status and power and refocus on building relationships through trust. Principals will begin to understand that, although performance appraisal is important, interacting with teachers to develop trusting relationships is just as important to support the collective activities of the organization's members.

In a culture that supports these values and beliefs, there will be opportunities for substantive change and continuous improvement. Opportunities will emerge for leaders and followers to work collegially and begin to transform learning experiences for students. Teachers will be inspired to move away from self-interests and toward a collective understanding of the school's mission, vision, values, and purposes.

Small Jazz Ensemble

Principals who embrace collective leadership are not conductors of an orchestra. They are players in small jazz ensembles (Smith and Ellett, 2000). Jazz "…combines the unpredictability of the future with the gifts of individuals" (DePree, 1992, p. 9). In jazz, there is an arranged melody but improvization abounds. Jazz musicians are risk-takers. They rely on the collective talents of the ensemble. The jazz musician knows when to take the lead, when to follow, and when to get out of the way. Each musician has the opportunity to draw out the best from every other musician (DePree).

Principals must respect the talents of individuals. They must let teachers improvise as they keep everyone focused on the vision. Collaboration, respecting differences, critical inquiry, continuous improvement, accountability, and reflective practice will become core values in schools where collective leadership is embraced. Leaders will build influencing, trusting relationships between followers and themselves. They will create professional learning communities in which people become self-empowered. A collective network of activities will begin to emerge throughout the school that will improve student outcomes.

Teachers as Instructional Leaders

Leadership does not belong to any one person. Successful organizations depend on multiple sources of leadership (Childs-Bowen et al., 2000). As principals spin webs of trusting relationships, followers will become leaders. If leadership becomes the

collective activities of the principal and teachers (Martin, 2005), the role of teachers must also be redefined. Schools that do not cultivate teacher leadership will not become professional learning communities. Teachers ". . .hold a central position in the ways schools operate and in the core functions of teaching and learning." (York-Garr & Duke, 2004, p. 225)

The role of instructional leadership rightfully belongs to teachers. Teachers are leaders when they affect student learning and contribute to school improvement (Childs-Bowen et al., 2000). When teachers choose textbooks and instructional materials, design curriculum, set standards for students' behavior, decide on student placements, design and lead staff development programs, set promotion and retention policies, participate in developing school budgets, coach peers, and select new teachers and principals, they are sustaining their role as instructional leaders (Barth, 1999).

This new role for teacher leaders will thrive in school cultures that focus on learning, inquiry, and practice (Katzenmeyer & Moller, 2001). Teachers must value collaboration more than isolationism. They must understand they are mutually accountable with the principal for student success.

Principals must support teacher leadership. They must begin to give up control and intuitively know when to lead, when to follow, and when to get out of the way. When schools are governed collectively, a caring community will emerge in which relationships will be more than a set of specific behaviors (Ah Nee-Benham & Cooper, 1998; Noddings, 1992).

In schools that embrace collective leadership, teachers will not only be experts in the teaching–learning–assessment process but they will be consultants, critical friends, facilitators, and coaches. Everyone will know and understand the school's vision and mission. Leadership and followership will rise to new moral heights (Sergiovanni, 2000). Site-based management will yield to site-based leadership.

In schools that embrace collective leadership, everyone has the potential to be recognized as leader. Teacher leaders who are highly respected by their colleagues will become self-empowered. Isolation and individualism will give way to the new norms of collegiality and collaboration (York-Garr & Duke, 2004).

If the more traditional concepts of leadership are replaced with collectivism, teachers will become instructional leaders and principals will become educational leaders. Schools will become professional learning communities where the line between leading and following will blur. Principals will no longer rely on the power of the system but seek to create professional learning communities in which teachers will become empowered to lead (Gabriel, 2005).

Where Are the Leaders?

Today leadership is embedded in the context of the industrial paradigm where the cult of efficiency and Taylorism prevailed (Marion, 2002). A strong dichotomy still exists between principals and teachers. Our schools continue to support a class

system in which there is a meritocracy based on hierarchical, top-down structures. Listen to the talk of teachers who often respond, "I am *still* a teacher" as if teachers should be doing something higher up on an educational career ladder. In frustrating times, principals can be heard saying, "I would like to *go back* to teaching once again" as if it were a step down on the career ladder. Teachers are not perceived as leaders. It is time to disassemble the career ladder and abandon the industrial paradigm that may have served its purpose in the early 20th century. If we want to grow leaders, we must re-imagine leadership, create new choices, and allow new voices to be heard – voices that support collective leadership.

If opportunities emerge for leaders and followers to move away from individualism and isolationism, they will begin to embrace collective leadership. Leaders and followers will become supportive of one other and value collaboration. School cultures that value collective leadership will provide opportunities for teachers to become leaders and principal leaders to become followers. Everyone will know when to lead, when to follow, and when to get out of the way!

Epilogue

It is time to debunk the myth of the principal as leader and teacher as follower. We live in a world that is rich in relationships, with patterns that connect rather than separate. No one person can lead a school through the daunting challenges of the 21st century. Principals and teachers must begin to redesign their roles and responsibilities by looking through the spyglass and imagining what can be in a culture that values collective leadership.

– Do principals understand that their role as educational leaders is significantly more important than their role as managers? If they understand the concept of multiple sources of leadership, if they become players in small jazz ensembles rather than conductors standing on a podium in front of the orchestra, the role of principals as educational leaders will become significantly more important than their role as managers.
– How can we clarify the role of principals in their relationships with teachers when principals perceive the supervision of staff is more important than interacting with staff other than in the performance appraisal process and teachers perceive the opposite? In schools that believe in collective leadership, this researcher believes that the dichotomy posed by this question will become blurred.
– If principals expect to focus on many different activities, how can we reinvent the principalship to create a better sense of balance between the roles and responsibilities of principals as leaders and managers? In a culture that values collective leadership, teachers and principals will know when to lead and when to follow. Principals will have more time to manage as well as to lead if they become leader-developers.

What will make the difference will be how we choose to reinvent the principal-ship within the context of schools as professional learning communities in which collective leadership is valued.

Alice in Wonderland

Where do we go from here? In his famous classic tale, Alice in Wonderland, Lewis Carroll (2000) had the wisdom to answer this question.

"Cheshire-Puss," said Alice, "which way ought I to go from here?"

"It depends on where you want to get to," said the cat (p. 22).

Will principals have the courage to become educational leaders? Will teachers have the courage to become instructional leaders? Will principals and teachers abandon the industrial paradigm that overshadows the structure of our schools and embrace a collective perspective of leadership? Which road will they choose?

"The tadpole becomes a frog, and the caterpillar is transformed into a splendid butterfly. Nature seems to understand the process better than we do" (Chirichello & Richmond, 2007).

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Appendix A: Survey

Principals: Examine this list. Mark the three items in each of the first two columns with which you spend the most time and least time in your day-to-day life as principal (*Reality*). Then mark the three items in each of the last two columns with which you would like to spend the most and least time (*Vision*). *Do not mark more or less than* three *items in each column.*

Teachers: Examine this list. Mark the three items with which your principal spends the most time and least time in her/his day-to-day life as principal in the *Reality* columns. Then mark the three items with which you believe your principal should spend the most time and least time under the *Vision* columns. *Do not mark more or less than* three *items in each column.*

Activity	Reality		Vision	
	Most time	Least time	Most time	Least time
Supervision of staff				
Interaction with staff other than supervision				
Discipline/management of students				
Interaction with students other than discipline/management				
Interaction with parents/community				
Facilities management				
Curriculum development and instructional issues				
Student evaluation/placement				
Responsibilities assigned by district office including special projects				
Safety/security				
Interaction with district office including district-wide meetings				
Planning/facilitating staff development activities				
Budget administration				
School-wide planning and school reform				
School management (weekly calendar, office, correspondence, memos, etc.)				
Interaction with social agencies outside the school				
Legal issues				

Appendix B

	2001–2006							
	Principals N = 140				Teachers N = 261			
	Reality most		Reality least		Vision most		Vision least	
Category	Principals	Teachers	Principals	Teachers	Principals	Teachers	Principals	Teachers
Supervision of staff	39 28%	50 19%	25 18%	58 22%	**61** **44%**	75 29%	3 2%	14 5%
Interaction with staff other than supervision	**44** **31%**	44 17%	17 12%	**71** **27%**	42 30%	**107** **41%**	5 4%	24 9%
Discipline/management of students	**<u>51</u>** **<u>36%</u>**	**<u>78</u>** **<u>30%</u>**	15 11%	59 23%	5 4%	48 18%	**64** **46%**	57 22%
Interaction with students other than discipline	24 17%	32 12%	18 13%	63 24%	**<u>77</u>** **<u>55%</u>**	**<u>115</u>** **<u>44%</u>**	2 1%	8 3%
Interaction with parents/community	32 23%	55 21%	16 11%	23 9%	25 18%	57 22%	5 4%	11 4%
Facilities management	36 26%	56 21%	16 11%	37 14%	3 2%	13 5%	45 32%	**81** **31%**
Curriculum development and instructional issues	14 10	22 8%	38 27%	**68** **26%**	**<u>96</u>** **<u>69%</u>**	**<u>111</u>** **<u>43%</u>**	3 2%	27 10%

(continued)

	2001–2006							
	Principals N = 140				Teachers N = 261			
	Reality most		Reality least		Vision most		Vision least	
Category	Principals	Teachers	Principals	Teachers	Principals	Teachers	Principals	Teachers
Student evaluation/placement	3 2%	7 3%	**<u>44</u>** **<u>31%</u>**	**<u>83</u>** **<u>32%</u>**	8 6%	7 3%	11 8%	**75** **29%**
Responsibilities assigned by district office including special projects	36 26%	**83** **32%**	10 7%	11 4%	4 3%	12 5%	**51** **36%**	68 26%
Safety/security	8 6%	29 11%	14 10%	29 11%	3 2%	22 8%	17 12%	25 10%
Interaction with district office including district-wide meetings	24 17%	67 26%	23 16%	9 3%	2 1%	8 3%	36 26%	52 20%
Planning/facilitating staff development activity	2 1%	9 3%	21 15%	52 20%	36 26%	51 20%	5 4%	31 12%
Budget administration	18 13%	43 16%	31 22%	18 7%	5 4%	13 5%	27 19%	37 14%
School-wide planning and school reform	10 7%	41 16%	26 19%	32 12%	57 41%	93 36%	3 2%	13 5%
School management	**<u>80</u>** **<u>57%</u>**	**<u>98</u>** **<u>38%</u>**	5 4%	19 7%	4 3%	22 8%	32 23%	59 23%
Interacting with social agencies outside school	0 0%	5 2%	**68** **49%**	65 25%	4 3%	10 4%	30 21%	74 28%
Legal issues	0 0%	15 6%	**51** **36%**	53 20%	2 1%	1 0%	**<u>69</u>** **<u>49%</u>**	**<u>92</u>** **<u>35%</u>**

Listed in the most frequently selected choices **and** <u>selected by both teachers and principals</u>

Chapter 6
From Successful School Leadership Towards Distributed Leadership

Lejf Moos

Abstract This chapter explores the cultural and societal background for the development of school leadership and presents findings from research into effective or successful school leadership. The findings often point to the need for a distribution of leadership, but are not specific when it comes to the forms and relations that distributed leadership can and ought to take.

  Leadership and thus all relations and interactions in schools should resonate the core purpose of schooling, which is – let us not forget – to educate children and young people for democratic citizenship because they will take over society when we get too old.

  In the Danish part of the "International Successful School Principal Project" involving eight nations, we see that leaders and principals are being positioned and position themselves centrally in relations, interactions and communications with many people inside and outside of schools and that they therefore have to find many new ways of influencing the schools. What is new is that very often leaders interact in teams of leaders and with teams of teachers. They act like spiders in webs when they balance their influence with the influence of other people.

Why the Increased Focus on Leadership in Schools Today?

Society has become more complex and it is therefore more difficult to find your way if you are a politician, administrator, educator or student. The emergence of a knowledge society with new understandings of knowledge and therefore of learning and teaching, makes a transformation of schools and schooling more necessary than ever before.

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Sociological and structural analyses of the living conditions in contemporary Western societies and cultures (Giddens, 1991; Kirkeby, 1998) indicate that a basic condition for our lives is the hyper-complexity of societies, which is evident in both an increase in complexity in terms of time (society transforms at a much higher speed than before), in terms of space (the number of actions involving communication has increased dramatically) in the global risks that are increasingly created by humans rather than by nature (Beck, 1986) and the resulting contingencies. Another trend is that social relations are being lifted out of their local contexts of interaction into symbolic signs and expert systems as society becomes more differentiated. Yet another trend is the continuous questioning and critique of knowledge that was instituted in the epoch of Modernity in the late 18th century (Beck, 1986). The personal effect is that individuals are unable to find their identity in the grand narratives and in tradition. We create our understanding of the world we experience through our perceptions, through the language in which we recognize it and through negotiation of meaning within the communities we live and work in.

In the hyper-complex society we strive to reduce complexity. One way of differentiation is transforming institutions into new organizations. For many years governmental institutions were state run and managed according to detailed budgets and strict regulations. Now they have been transformed into self-managed organizations that must manage their own affairs and are accountable to authorities. The ways in which management and the 'production of output' are carried out is up to each individual organization. Site-based management of schools is one of these relatively new initiatives.

De/re-centralization: A Stronger Political and Administrative Wish for Managing and Monitoring the Decentralized Institutions

The transformation of societies is partly due to new relations on a global level. Globalization has among other things meant a shift in public management strategies. Globalization has first and foremost meant a restructuring of the public sectors. Increasing numbers of sectors and institutions are being drawn into the market logic that nation states have become dependent on the interplay with other states within associations and networks like EU and OECD. A large number of transnational companies plan and act with little consideration given to what states may want. This is one major reason why a growing number of states opt for neo-liberal and neo-conservative policy strategies. Neo-liberally oriented states show particular consideration for private enterprise and the marketplace and therefore more features of New Public Management (NPM) become evident. These kinds of strategies are seen in decentralization of finances and administration and at the same time in re-centralizing of the content aspects of public sectors. That is what Stephen Ball (Ball, 2003) means when he writes about performativity: states are demanding more

transparency and are focusing on output from the entire public sector, including educational institutions.

Schools are fundamentally linked to society as they are institutions of society and therefore part of the societal division of labour with the task to socialize children into becoming citizens of society. The links go many ways. On the one hand, society frames the tasks of schools and on the other hand schools have to report to society what they actually do.

Schools and leaders have always been held accountable for their practice. However, there seems to be a radical shift in many places from more ethical, professional and public forms of accountability towards more managerial and market-oriented forms of accountability:

– *Managerial accountability*: From a managerial point of view, focus on planning, control, standards and top-down management.
– *Market-oriented accountability*: Service providers that deliver educational products to customers.
– *Public accountability*: Governance through political processes involving politicians, parents, students, professionals.
– *Professional accountability*: Professional, educational standards and ethics as seen from the professions.
– *Ethical accountability*: Responsible for the upbringing, the education to democratic citizenship and the 'Bildung' of children.

In Short

In contemporary societies leaders are needed because authorities want a person that can be held responsible/accountable and also because changes in society make it important for communities like schools to be able to construct their identities in negotiating meaning and reducing complexity and in changing themselves. In this transformation of society and institutions leadership becomes pivotal.

Leadership Makes a Difference

'School leaders matter, they are educationally significant, school leaders make a difference.'
(Huber, 2004; K. A. Leithwood & Riehl, 2003).

Empirical research within educational contexts has served to reinforce the importance of school leadership or principalship (Hallinger, 2003). Leithwood and colleagues in Canada, Hallinger and Heck in the United States and numerous studies of school effectiveness arrive at a consistent conclusion that 'strong' or 'firm' leadership is a key variable, generally referring to school leaders who exhibit a range of qualities which support the notion of turnaround, leading governments to appoint 'superheads' and charismatic leaders (MacBeath & Moos, 2004).

Early effectiveness research (cf. the analysis of Hallinger, 2003) identified *'strong, directive leadership focused on curriculum and instruction from the principal'* as a characteristic of effective school leaders. They were supposed to coordinate and control instruction and curriculum and they were to frame and communicate the schools' goals and promote a positive school-learning climate. But only few school leaders were willing to and able to carry out this type of hands-on, directive leadership (p. 335).

In a short review of research into school leadership from a *school effectiveness* perspective with a very strong emphasis on academic learning and outcomes, David Reynolds (Reynolds, No year) finds that eight areas are important in determining the quality of leadership:

– *A sense of mission*: purposeful leadership, the ability to broker and buffer external change to staff is of considerable importance, balancing bottom-up and top-down forces.
– *Involving others*: a participative approach, especially with SMT and other leaders.
– *Concern with teaching*: developing well-defined goals, supervising teaching, monitoring student learning, high expectations.
– *Hands-on monitoring*: frequent personal monitoring of staff, person-to-person meetings.
– *Hands-on staffing:* selection and replacement of staff, classroom monitoring, support for individual teachers, overall instructional leadership (allocating academic time).
– *An academic orientation*: high entry rate for public examinations, homework, academic stimulation in school culture, commitment to mastery of central learning skills, high curriculum coverage.
– *High expectations*: expecting staff to knowledge, commitment, attention to detail in monitoring, prioritize academic achievement, time management.
– *Monitoring and evaluation*: using testing programs, feedback of data, evaluating the school's success.

A widely acknowledged concept of school leadership is the *transformational* leadership concept, described by Ken Leithwood et al. (1994), which can be summarized into four areas of tasks: School leaders should model good practice, build school culture and frame goals and support individuals (Hallinger, 2003, p. 337). The focus in this concept is less direct and directive in respect to instruction and classroom learning. Leaders exercise leadership in a more indirect way, by communicating with teachers and by influencing culture and community. The leader her/himself should, however, still be strong, charismatic and visionary, making their influence felt through cultural control rather than through bureaucratic control.

A step away from the strong and direct leadership is taken by Geoff Southworth (2003), who identifies three leadership actions as particularly effective in influencing teachers' pedagogic practice in indirect ways: modelling good practice, monitoring teaching and learning and engaging in dialogue with teachers.

Reviews of research on how leadership can influence student learning in schools in challenging circumstances (Kenneth Leithwood et al., 2004; K. A. Leithwood & Riehl, 2003) show that

– Successful school leadership makes important contributions to the improvement of student learning.
– Leadership is and ought to be distributed to others in the school and school community.
– A core set of 'basic' leadership practices is valuable in almost all contexts. This includes setting directions, developing people and redesigning the organization. Most leadership influence on student learning is indirect, through other people and features of their organization.
– All successful leadership is 'contingent' on the unique contexts in which it finds itself.

Another account of the distinctive nature of school leadership is given in Goldring & Greenfield (2002). They describe four dimensions in school leadership:

– *Moral dimension*: Leaders must be deliberately moral in their conduct because children are impressionable and vulnerable (impressions are what schools are for; and vulnerability is about education 'in loco parentis'), so much administration involves making value judgements in the face of equally valid choices – dilemmas.
– *Stewardship*: Educational leaders must guide and develop the public's understanding of and support for what public schools need to be doing, the goals they should be achieving and the critical role of public education in developing a more socially just, democratic and inclusive society.
– *Complexity*: Relations between learning, teaching, leadership and organization are complex and not yet explored in depth.
– *Normative and people-intensive:* Schooling is about face-to-face relations and interactions; schooling usually involves people working with and through other people to influence students, parents, teachers, principals and authorities. Teachers' practice is shaped in more or less stable work teams where 'talk is work'. It is important for leaders to gain the trust of teachers if they want to influence them – shaping shared meaning – and to reduce whatever resistance to change may occur.

Summing Up the Findings So Far

There are some similarities between the findings: They all point to leaders setting directions and making sense or having a sense of mission that has to do with learning and teaching. They point to the fact that in the practice of schools there is not only one leader; leadership needs to be distributed and therefore people need to be

developed and empowered so they can accept and carry out leadership functions at different levels. Furthermore, all reviews point to the fact that leadership takes place in organizations and the organizations must be redesigned in order to accommodate new functions and practices:

– *Setting directions, making sense*: even though schools in some systems are managed in some detail when it comes to outcomes (standards, inspections and tests) they have to find the ways to achieve these outcomes themselves. They have to interpret demands and signals from the outer world and choose means by which they want to respond to them. It is a major challenge to school leadership to interpret signals and make them into narratives, communications about differences, that form the premises for the next decisions in the community (Thyssen, 2003a)
– *Communicating and negotiating sense*: the ways in which leaders at all levels can influence each other, staff and students, is communication (Moos, 2003c). In a social constructivist perspective persons are seen as autopoietic systems that can choose to transform their cognitive patterns if they are disturbed or irritated by communication from other agents. In another perspective, a practice theory perspective, it is in the interactions (Spillane & Orlina, 2005) with others that influence is made. This is a mutual/reciprocal action, an interaction involving both parties.
– *Designing and managing communities*: schools are organizations, held together by structures, but if they are to be effective and successful, they must also be communities, held together by a shared sense of identity and by sufficiently common norms (Bourdieu, 1990).

Mulford (2005) suggests, on the basis of findings from a large Australian school leadership research project, that reforms should be related to four factors:

1. *Distributed leadership* – Teachers should be involved in leadership in order to feel cared for and valued and be given opportunities to learn from each other and to be involved in decision-making.
2. *Development and learning* – A unifying focus and shared insights into what the school is doing and why it is doing it provides the basis for learning and development.
3. *Context* – Socio-economic status, home background and school size have a clear interactive effect on leadership.
4. *A broader understanding of student outcomes* – What counts as school effects are not only academic achievements, but also, for example, self-confidence.

Those recommendations resonate with findings from the ISSPP ('International Successful School Principal Project') that will be presented further on. However, one cannot discuss strategies for school leadership without discussing the following question: What is the core purpose of the institution that is to be led? What is a successful school? and What is the core purpose of schooling?

Core Purpose of Schooling

Mulford (2005) alludes to the international, political trend that schools shall be held accountable for their performance in relation to student acquisition of basic skills like literacy and numeracy. This is a trend that is pushed and furthered by international comparisons like PISA (Programme for International Student Assessment of the OECD). In some countries, like England and USA, there is a tendency towards testing and inspecting schools on the basis of a number of narrowly defined standards that ignore personal, social and emotional competencies. The old saying that 'you get what you measure' makes the choice of standards very important.

This conversation is also important when discussing school leadership, because leadership needs to be designed in accordance with the core purpose of the community that is being led. Many points about the core purpose of schools are presented by Basil Bernstein (Bernstein, 2000, quoted in Arnot, 2004). He argues that in order to educate students to become democratic citizens, schools must ensure the three pedagogic democratic rights:

1. *Enhancement* – 'The ability of individuals to experience boundaries, be they social, intellectual or personal, not as prisons, or stereotypes, but as tension points condensing the past and opening possible futures. The condition for achieving this individual right is critical understanding and confidence to act.'
2. *Inclusion* – 'The right of the individuals to be part of a community (communitas) and at the same time to be separate and autonomous. The condition for achieving these social rights must be the presence of a collective in which individuals have a sense of belonging, but are also valued as individuals.'
3. *Participation* – 'The right to participate in procedures whereby order is constructed, maintained and changed. The right to be party to decisions about the ways in which teaching and learning is organized how pupils are grouped and the principles which govern the expressive and moral order of the school. The conditions for such 'civic practice' are political and engagement must have outcomes' (Arnot, 2004).

The main purpose of school leadership is to empower and to enable staff and students to assume responsibility for learning, acting and collaborating in school and outside school

The reasons why this is the main purpose are first of all that school is an important cultural institution in every society with a special purpose to contribute to the education of the next generation to become active, knowledgeable and caring citizens of their societies. Therefore the purpose of schools is to provide a comprehensive, liberal education with a responsibility to community – education for democratic citizenship – and learning (also called 'Bildung'), so the students can grow or develop into being independent and enlightened adults who are concerned with equity and social justice. In the Danish discussion this has been called 'action competence': the individual is able and willing to be a qualified participant (Jensen & Schnack, 1994).

This ideal creates a fundamental paradox that has occupied theorists and practitioners for many years, and continues to do so:

> How is it possible – through external influence – to bring human beings to a state where they are not controlled by external influences? (Leonard Nelson, 1970 in Oettingen, 2001, p. 9)

We know from experience that children are not able to take care of themselves. They must be educated. Parents educate children and they leave it to schools and other institutions to educate on behalf of themselves. Education is at any rate an external influence (Moos, 2003b). Second, it is a main purpose because the activities of schooling take place in schools and classrooms (and in other communities), which makes it necessary for people to behave and to feel like members of communities. And third, school acts according to the goals and aims set by the society at large and is therefore accountable to society.

That leads to a short discussion of democracy, democratic schools and democratic leadership. These notions are in many countries considered to be pivotal, societal values: The democratic value is set out explicitly in the acts on schools in some – Scandinavian – countries. But while most people agree that democratic schools and democratic leadership is good for schools, they do not agree on what that means. For Dewey, who has been a great inspiration for many theorists as well as practitioners, democratic leadership meant that democracy was lived through participation in the everyday practice of school life:

> What the argument for democracy implies is that the best way to produce initiative and constructive power is to exercise it. Power, as well as interest, comes by use and practice . . . The delicate and difficult task of developing character and good judgement in the young needs every stimulus and inspiration possible. . . I think, that unless democratic habits and thought and action are part of the fibre of a people, political democracy is insecure. It cannot stand in isolation. It must be buttressed by presence of democratic methods in all social relationships. (Dewey, 1937, p. 345)

Dewey (1916; Mulford & Moreno, 2005) saw 'deep' democracy as involving respect for the dignity of individuals and their cultural traditions, reverence for and proactive facilitation of free and open inquiry and critique, recognition of interdependence in working for the common good, the responsibility for individuals to participate in free and open inquiry and the importance of collective choices and actions in the interest of the common good.

James A. Beane and Michael W. Apple (Furman & Starrat, 2002) are very much in line with Dewey in their description of characteristics of democratic schools:

– The open flow of ideas, regardless of their popularity, that enables people to be as fully informed as possible
– The use of critical reflection and analysis to evaluate ideas, problems and policies

– Concern for the welfare of others and 'the common good'
– Concern for the dignity and rights of individuals and minorities

   Before we continue looking at democratic leadership it is useful to position the
view of democracy that is used by Dewey, Beane & Apple and also by this author:
the concept of participatory democracy, which is the most appropriate and useful
concept in regard to schools and education. There are many views of democracy.
This concept is one of the most used and misused concepts in both politics and
education. Everybody – almost – can agree that democracy is based on positive prin-
ciples but have different opinions on what it means. Karen Seashore Louis (2003)
has given us a tool to distinguish between three basic forms of democracy:

– *Liberal Democracy* – The purpose of society is to support the individual in
  becoming autonomous, tension between perceived societal needs and individ-
  ual freedom, so Liberal democracy argues that educational goals should be
  determined by the will of the majority.
– *Social Democracy* – Social rights and equality, group cohesiveness and redistri-
  bution of social good including education, equalizing educational attainment and
  opportunity, social democracy argues that protecting vulnerable classes of stu-
  dents – that is, students of linguistic, religious and racial minorities – requires
  stable state control over goals.
– *Participatory Democracy* – Based on the Greek ideal of citizenship, participation
  and ownership, congregations debate and determine key issues, schools belong to
  a local community, local responsiveness, so participatory democracy agues that
  participants in the educational project are best able to determine goals. (p. 101).

   Closely linked to the concept of participatory democracy is the ideal of the
'better argument'. The rational ideal calls on the participants to strive to build
communication on the ideal of the better argument that prevails without the use
of coercion (Habermas, 1984, 1987). This ideal refers to communicative relations
among participants that – to the extent possible – seek mutual understanding and
aim at minimizing the exercise of dominance within institutional relations that
must necessarily be asymmetric and embedded within particular organizational
structures.
   Another account of the view is given in a series of portraits of school leaders
striving to become democratic leaders where the following orientations were shared
(Blase et al., 1995):

– They all tried to encourage teachers' involvement in decision-making about
  instruction and are committed to the principle of sharing power with others.
– They were all child centred and strongly committed toward improving teaching
  and learning and supporting teachers.
– They all had trust in teachers' motives.
– They all had the ability to listen and to communicate openly.

These findings resonate with what we found in the Effective School Leadership Project (MacBeath, 1998).

Teaching and Leading in Communities

Classrooms and schools are social fields and education and learning take place in those social fields. Loyalty and commitment to the organization are not by any means an automatic starting position for any institution; so building and deepening it is a leadership duty and mission. If staff and students are to behave loyally to their organization, leaders should make an effort to transform the organization, which is characterized only by a formal structure, into a community, which is characterized by all members being sufficiently committed to the ethos of the community. A pre-requisite for this transformation is to focus on the integrity of the organization: the ability to be both a convincing internal work- and life-frame and the ability to appear reliable in the eyes of all stakeholders.

Inspiration for discussing community and membership can be drawn from Etienne Wenger's theory on how learning and identities are constructed within communities of practice (Wenger, 1999). Identity construction is a dual process in a field of tension between our investment in various forms of belonging and our ability to negotiate the meanings that matter in those different contexts. The production is partly *identification* (investing the self in relations) and partly *negotiability* (negotiating meaning).

Sergiovanni (1995) points in line with Talcot Parsons to differences between communities and organizations. The Gemeinschaft–Gesellschaft continuum illustrates these differences. In a community, the decisions represent a pattern of relationships that are listed on the left-hand side of the hyphens: affective–effective neutrality; collective orientation–self-orientation; particularism–universalism; ascription–achievement; diffuseness–specificity (ibid. p. 22).

We can find different kinds of communities in schools: the classroom as a democratic community, a professional community, a community of learners and a 'community of leaders'. This last type of community is based on the notion of shared leadership: 'In communities, leadership as power over events and people is redefined to become leadership as the power to accomplish shared goals' (ibid. p. 170).

This leads to the concept of leaders and followers: 'Subordinates comply with management rules and procedures and with the leader's directives; the job gets done. Followers, however, respond to ideas, ideals, values, and purpose; as a result, the job gets done well' (Sergiovanni, 1995, p. 131).

This description of communities and leadership applies – I think – to the school as a community, the Senior Management Team (SMT) as a community, teacher teams as communities and classrooms and other student–teacher groups as communities. All of them need to develop a sense of ethos, membership, direction, power sharing and trust building and some kind of distributed or democratic leadership. And all of them can profit from looking at leadership as communication.

Power and Trust

When describing schools and classrooms as communities one should not forget that they are at the same time social fields (Bourdieu, 1977, 1990) with struggles for positions as a key feature. It is then also about concepts like power and trust. One way of looking at this problem is also discussed by the Norwegian philosopher Tian Sørhaug (1996). To Sørhaug leadership is about

– developing and indicating a direction for the organization; and it is about
– controlling the relationships between the inner and outer contexts; and it is about
– creating trust through trustworthy use of power.

To him the core concepts are power and trust. Power is described as 'The capacity – in persons and institutions – that makes people do things, they (probably) would not do otherwise' (Sørhaug, 1996). It is described as a floating concept that is in itself empty but when used in actual situations it is filled with meaning. Power is likened to energy. Trust can be likened to energy too. It creates the conditions and mobilizes people to action and collaboration. Trust is dependent on the will and goodwill of people when new issues are being addressed.

The two forces threaten each other and they presuppose each other: power without trust eats up its own basis, and trust without power cannot survive, because there will always be a portion of violence in a group/a field. Agents participating in a field have different interests that sometimes are contrary to the communal norm, so they threaten the inner boundaries and they try to destruct norms within the organization. Therefore, there is a need for somebody to stop the violence. There is need for a leader who is endowed with appropriate means of power, who can restore the trust through trustworthy use of power. This someone is more often than not the principal. If a teacher is totally opposed to the norms and values, this could be seen as an internal act of violence that has to be taken care of (the democratic implications will be discussed later on).

A very crucial leadership task is to restore the limits of the community. This is the pivotal point for the trust–power interplay, but external pressure begins to alter internal power relations in school communities with consequences for trust. This discussion points to the need for leaders to set the agenda for the professional discussions in schools: what is interesting for our community and how we are going to resolve those problems

Leadership Communication and Interaction

As shown in the very brief overview of literature reviews, there is almost consensus on the need for distributed leadership. There is a sense, based on evidence, that the principal cannot be sufficiently informed to make all decisions in a school, nor can she/he be present in all places and situations where decisions need to be made. This is eminently the case in classrooms, where teachers have to interpret

demands, goals and situations and make decisions many times every lesson. And it is the case in teacher teams that meet to plan, evaluate their instruction or engage in professional development. If the principal is not present, she/he is excluded from making decisions (of course she/he can construct the frames within which teams can manoeuvre).

However, as Spillane (Spillane & Orlina, 2005) write, distributed leadership can take many forms. At the core of their concept of leadership is the notion that leadership is not the actions of the leaders per se but the *interactions* between leaders and other agents. Leadership is therefore 'an influencing relation' between leaders and followers that takes place in situations (that can be described by their tools, routines and structures). Leadership is about interactions that influence and that are understood to influence other persons.

From another theoretical perspective, a systems theory or social constructivist perspective (Thyssen, 2003a,b), leadership can be understood as 'the goal-oriented and specialized communication that aims at stimulating learning at all levels in schools' (Moos, 2003c). This communication concept is parallel to Spillane et al.'s interaction concept because both focus on the relations between leaders and teachers. The actions of the leader are only interesting if they are understood as leadership actions by the followers or co-leaders.

When analysing distributed leadership, it is sensible to apply the categories of different forms (Spillane & Orlina, 2005):

1. *Division of labour* (two or more leaders perform different parts of leadership functions)
2. *Co-performance* (two or more leaders collaborate on performing leadership functions)
3. *Parallel performance* (two or more leaders perform the same leadership functions)
4. *Opposition* (leaders perform the same leadership functions in order to promote contrary goals)

The interactions can be described (Spillane & Orlina, 2005) as *collaborated distribution* – leaders work together in place and time to execute the same leadership routine; *collective distribution* – leaders work separately but interdependently (like in a game of sport where each player performs separate functions in the same game) or *coordinated distribution* – leadership activities are performed in a particular sequence (like in a relay race).

These categories are descriptive only and cannot be used in themselves to find out how the power relations between the leader and the followers are; they should therefore be supplemented with a concept of practice and action processes in the form of a model of practice processes based on Kant's theory of practice as 'an activity seeking a goal which is conceived as a result of following certain general principles of procedure' (Spillane & Orlina, 2005). The model is also inspired by activity theories and by political theories, discussions and criticism of the technical division of labour in societies.

A model of processes of practice

1. Identification of problem/interpretation of demand
2. Setting of goal/describing the desired difference
3. Planning for/organizing the action to be taken
4. Action/implementation of development
5. Monitoring and evaluating the process and outcomes

The interesting questions can now be posed: *Who* is active or in command in each of the phases? Is the principal the only agent in phases 1, 2, 3 and 5? Are other agents involved in more phases – and how are they involved.

In the literature we often see that a manager is defined as 'someone who is in a role in which he (sic) is authorized to get work done through employed subordinates for whose work he is held accountable' (Gronn, 2002, p. 659). The principal is appointed manager, authorized to manage. The means by which she/he can manage range from coercion, force and manipulation through to leadership. However, this notion makes it obvious that leadership and management practices are interrelated and that they are aspects of the same processes of maintaining and developing schools. Leadership is about pointing out a difference (between what is and what should be) and management is about minimizing the difference (between reality and vision).

At this stage and on the basis of Spillane and Orlina's (2005) descriptive categories and the model of processes of practice added to it, it is also possible to distinguish between different forms of distributed leadership like democratic leadership, 'concertive action' or 'spontaneous collaboration' (Gronn, 2002) and it is possible to describe in more depth the differences and similarities between principalship and leadership.

Empirical Evidence

In the Danish part of the 'International Successful Principal Project' we were interested in investigating how leadership (including principalship) influenced students' democratic 'Bildung' (enlightenment and action competencies) and communicative competencies. Our understanding of the schools as organizations was that they were communities that were organized and managed on the basis of communications in the form of leadership decisions. Leadership decisions are made in order to reduce complexity in some situations (in that they choose or do not choose possibilities/options) or create complexity in other situations (by opening up for choices). When decisions are made, they form the premises for other decisions. Decisions need to be relevant, acceptable and legitimate (Thyssen, 2003a).

When we observed practice, be it in meetings or instruction, we looked for aspects of the communication like positions of agents (symmetrical, hierarchical), means of communication (spoken, non-verbal, writing, images), and types of communication (dialogue, discussion, information, counselling, ordering, feedback,

questions, statements, confirmation, interpretation, analysis, circular questions or linear questions). We also look for the positioning of agents: including or excluding from community (membership), signs of trust and of cultural sensibility.

Leadership in Webs

It has been a major intention of the Danish educational system to further the democratic education for citizenship for many years. In the 'Act on the Folkeskole' (the Danish municipal primary and lower secondary school) it is stated that the education must be democratic and aim at educating students to become active democratic citizens. This is not always a reality, but nevertheless provides a good lens for analysis.

One consequence of this endeavour is that the relations between leaders and staff and between adults and students shall be based on collaboration, participation and dialogue. Thus schools experiment with different forms of relations between staff and leadership. In the project schools we see webs of groups and teams (Gronn, 2002, p. 659). Another form is the establishment of stable teams of leaders and of teachers. A third form is the development of project work with students. Those three trends shall be presented and discussed next.

In the six Danish schools we see an intricate pattern of meetings and committees/teams/groups: Teacher teams (teachers teaching a class), self-managing teacher teams (teachers working in a department of several classes), senior management teams (SMT, most often the principal and the deputy), extended leadership teams (SMT plus department leaders, leaders of school-based leisure time activities), office meetings (SMT and non-teaching staff), developmental committees (SMT and teacher representatives from departments), educational committees (SMT and the whole staff), executive committees and more. The principal chairs most of the meetings, but the self-managing teams are made up of teachers only. The teams meet the principal once or twice a year. The constructions are not identical from one school to the other, but the pattern is the same: The decentralization from state to school district to schools is being extended into schools, but at the same time the principals function as the spiders in a web: nothing much can happen in a school without the principal having initiated it, having accepted it or at least having known about it.

It is therefore interesting to look at the content, the forms and the interactions of the meetings as will be done hereafter.

The Content

In all schools there is emphasis on the conditions for students' learning, which principals mostly influence in indirect ways, rather than on students' attainment and results. Results are discussed more in some schools rather than others. The reason

for that could well be that some schools are situated in affluent areas where parents give more support to their children and are more ambitious on their behalf than parents in the less fortunate school districts. It could also be an effect of the very strong influence that some local educational authorities have on schools.

The content of meetings in self-governing teams is often focused on planning for the next week or month. Very often teams use a considerable part of their meeting time to discuss students with special needs or with behaviour problems. When principals meet with teams, deliberations about students with difficulties often take up much time, too. Danish principals are the pivotal point when it comes to students at risk: they often take over the communication with parents and authorities, and they manage the resources for special needs education. In some schools, those resources have been relocated to the self-managing teams.

Principals attend many meetings with a technical or householding orientation. Meetings in developmental committees often function as forums where principals can test ideas before putting them to the whole staff. They also function as forums for dissemination.

The Forms and Interactions

In the Danish schools we find robust signs of what James A. Beane and Michael Apple have labelled participatory democratic communities (Furman & Starrat, 2002): the open flow of ideas, critical reflection and analysis, concern for the welfare of others and the 'common good' as well as concern for the dignity and rights of individuals and minorities. In many ways we see schools that are striving to be good communities for the broad and comprehensive development of students' cognitive, personal and social competencies.

The schools and their leaders have different interpretations of how to lead in a democratic way (Blase et al., 1995), but they can all be said to encourage teachers' involvement in decision-making. Teachers on their part encourage students to involve themselves in decision-making at the classroom level. Leaders are all child centred and committed towards improving teaching and learning. They all have trust in teachers' motives, and they are all able to listen and to communicate openly.

An illustration of this approach could be observed in a suburban school where we observed a meeting of a teacher team with the principal and deputy (Moos et al., 2005). The teachers complained that the SMT sometimes refused to involve themselves in teacher conflicts with students. The teachers wanted to have the SMT as a last resource when conflicts arose. The principal was very reluctant, arguing that every time teachers asked a student to go to her office, they themselves lost authority in the eyes of the students. Teachers should, she said, be very cautious to not lose authority because it is the foundation for teaching and for leading classes. In the course of the discussion the teachers seemed to understand and to some degree accept the principal's attitude.

Another example comes from the same school. In a meeting of the developmental committee we observed how the principal was able to signal the direction she

wanted the school to follow: 'I want to say that it is not helping us if we can not respond to questions from the outer world.' The school must be more open and transparent to the local community, said the principal. At the same meeting she was able to communicate when behaviour or ideas were not complying with the norms (Bourdieu, 1998) of the school community: 'As a teacher you are obliged continuously to asses the students' attainment and to set new goals.' This signal tells teachers that if they do not assess students they are not complying with the norms the way the principal sees them and they are therefore jeopardizing their membership of the community. The members of the developmental committee of course knew that and they openly agreed to this expectation.

In this meeting the principal was able to function as the school leader, who sets directions, and at the same time as the school manager, who tries to move the school in the right direction.

Intricate Patterns of Meetings

In another school in this project, the interplay between different levels in the school – the school as a whole, blocks and class and grade teams – is intricate and builds on a web of meetings. There are meetings in the blocks (which department leaders participate in because they are attached to blocks), regular meetings of teams of teachers of the same grade, meetings between the chairs of blocks (elected chairs meet every Wednesday with the SMT) and 'in-tray meetings' (the SMT meets every Monday).

At the 'in-tray meeting' that we observed, there was a mix of information and agreements. Heads of departments and the principal made strategies for dealing with external stakeholders. The heads of department talked and he nodded. One item was an agreement or strategy on how to react to the advice that the Pedagogical Committee (which is advisory to the principalship) was going to give on next year's work plan. What kind of advice would the SMT accept? The SMT group needed to be unanimous, said the principal. Heads of departments describe the role of the principal as a sounding board who influences processes through dialogue – in this case with the rest of the SMT. For example:

> *Head of Department:* 'The principal is a sounding board. We also want to hear if he has any more points and if our points are fair. We do not need approval, but we develop our strategy through dialogue and discussion. We always meet before we have a meeting with people from outside the SMT in order to find a common ground and a common strategy: what do we want to achieve at this meeting? This is very reassuring to us.'

The principal tells us that often heads of departments and teachers approach him and present ideas of their own in order to get his acceptance and have him give feed-back. He sometimes wonders why they have to get this reassurance, because they could have made the decisions themselves. This seems to be a kind of reaffirming mechanism for them: they want to have a 'father's nod' for their ideas before they

proceed to realize them. He describes his role in creating meaning in the school in this way:

> I fertilise the ground or plant an idea in the right spot and let it grow and mature until the person with whom the idea was shared at one point sees it as his/her own idea. I then encourage him/her to follow up on it. Often I give the idea to the heads of departments to spread. In this way they seem even more genuine.

> Teachers are used to being masters in their own right. They are very autonomous, and they must be so when they teach classes, so you cannot lead them like employees in a private enterprise. My basic attitude is that if you give people room to manoeuvre they will fill it out and increase their competencies.

There are many meetings in different groupings every week.

> *Head of Department:* 'It is about keeping the creation of myths and gossip at a minimum and proceedings at a maximum. . . . We are responsible for different functions and tasks and therefore we need to communicate and keep one another up to date with what is happening so that all members of the SMT know about everything.'

In this short account of the shadowing we have focused on the relations between the principal, department leaders and teachers. Relations and communication between teachers and between teachers and students have been omitted. However, the shadowing of teacher and a student and the subsequent interviews with them showed that they agree with the leaders that they have room to make decisions and choices of their own and that the communication between stakeholders is very similar to what we saw and what was reported to us.

Leadership in Teams

In a review of literature on teacher leadership Alma Harris (2005) describes the development of teacher leadership in the Anglo-American literature in three waves: the first wave was when teachers served in formal roles (e.g. department heads, pastoral leaders). The second wave was when teacher leadership was intended to capture the instructional expertise of teachers by providing them with staff development and curriculum development roles. In the third wave, teachers are viewed as central to the change process through their collaborative and instructional efforts. The development of the concept in this description goes from a top-down towards a more participative approach and from a more formal structural towards a more community-based approach.

In the Danish context the development has been different and based on a number of diverse tendencies: The first tendency can be described by pointing to the traditional structures and power pattern in Danish society in general – which (Hofstede, 1980) is referred to as low power relations – and in Danish schools. Until 15 years ago there was a very flat structure where the principal was considered to be 'the first among equals'. He/she acted as an administrator who gave teachers great autonomy in planning for and carrying through instruction in classrooms. Over the past 15

years principals have been given more formal power and they have had to fight to be acknowledged as leaders and managers.

The second tendency is the de/re-centralization in the public sectors. From the beginning of the 1990s much administrative and financial power has been devolved from state to the municipal (school district) level and from there on to school level. Five years ago the next level of decentralization was implemented as 'self-managing teams' of teachers were made an option to schools. These teams consist of all teachers in a section of the school (e.g. kindergarten through to grade 3; grade 4 through to grade 7, and grade 8 through to grade 10). They can be given the management of the timetable, of the substitute teacher accounts, of the special needs education and resources and of resources for teaching materials. The schools themselves decide which areas they want to devolve to the teams, except for salaries and appointments and dismissals of teachers. The teams are often considered to be small schools-in-schools. The reasons for this option were on the one hand, a wish to devolve the finances to the people who were responsible for the work and on the other hand, an understanding that this transformation would contribute to better working conditions and more commitment.

Several studies show that leadership gives teachers more self-esteem and work satisfaction and in indirect ways better instruction, although interpersonal factors are crucial for the success of teacher leadership and therefore for the success of teacher teams (Harris, 2005). To a great extent those interpersonal factors are the same as the interpersonal factors at school level where principals act: it is crucial to be able to communicate and build trust; to be able to undertake organizational diagnosis; to understand and manage change processes; to be able to utilize resources and to develop people. One could add and to be able to develop and sustain communities.

This transformation is a fundamental change in school life and it is therefore not close to being implemented yet. Traditional teacher roles and collaboration conceptions are difficult to change. As an illustration, the leaders of the self-managing teams are not called leaders but coordinators. It is an impression from the schools in the project that teachers are beginning to change the traditional private, isolated teachers' autonomy into a more shared responsibility for the entire life and education of their grades in collaboration with principals and other members of the SMT, but there is a need for more research into this.

Project Work

This presentation is very short and only included here to give a flavour of how the education for democratic citizenship is, of course, also vivid and active in the everyday life and education of students.

There is a tradition for close and open, almost equal relations between teachers and students in the Danish education. There is also a tradition for delivering a great deal of the instruction verbally: teachers often enter into dialogues or discussions

with students in class on the basis of circular questioning, thus giving room for student involvement and verbal communication. It is also a tradition that teachers involve students in decisions on what and how they should learn. This effort to involve students in several or most of the phases in teaching and learning processes (se the model of processes of practice) has over the past 15–20 years been institutionalized in the demand in the act on schools to have students complete a project assignment as one of the school leaving tests.

The teachers formulate in collaboration with students an overarching theme and groups of students decide on the problem they want to investigate; they plan their work, collect data and write the assignment within a week. They can choose to present their findings and deliberations through other forms of expression. This project work demands collaborative competences of students as well as subject knowledge and cross-disciplinary knowledge. It also demands a high level of independence and communicative competences.

Discussion

One aspect of democratic or shared leadership in these schools is making sure that the people who are to make decisions are able to do so in a competent way. The principals and the rest of the leadership teams show great trust in teachers' teaching competences, and the principals show great trust in the competence and commitment of deputy and department leaders. In a SMT meeting we observed that many ideas and strategies were discussed, which seemed to be the principal's way of making sure the teachers are living up to demands and that they do so in ways with which he can agree. He is in this way educating the department leaders into becoming capable and intelligent leaders in their own right. In one instance he said that when heads of departments have learned to make the right decisions in the same way as he does, then they are competent to assume responsibility for those decisions.

Another aspect that we observed and heard of is that many teachers and heads of departments asked for the principal's advice or acceptance of their ideas. They often wanted a 'father's or mother's nod' before they carried their ideas out in practice. It was often ideas or actions that they themselves were authorized to carry out on their own and therefore the request for accept can be seen as feedback to the principal, asking for acceptance of the action being within the norms of the professional community. The communication in these situations was often clear, transparent and elaborated, so both parties knew what was agreed on and on what premises. On the other hand, there seemed to be a tendency for teachers and department leaders to ask for acceptance from the principal as an authority and at the same time for reassurance from the principal as a person.

The observations made in these schools led us to ask whether there is a trend towards building relations in schools on affective rather then on cognitive sources (Moos, 2003d; Warren, 1999). If this trend increases one could ask whether eventually is going to undermine the rational community and the democratic relations and leave (too?) much power in the hands of a charismatic leader?

More generally there seems to be a tendency for empowered employees to seek reassurance and acceptance from their leaders. Poul Poder (Mehlsen, 2005) has found in a research project that many employees have also grown dependent on the emotional support of their leaders. The trend is a result of the decentralization of power within value-led enterprises and institutions that rely heavily on the commitment of employees' willingness to work according to the values of the institutions and not according to rules. The case schools are in many ways examples of value-led institutions or communities and the principals are seen to be both good rational communicators of insights and ideas, but on the other hand beginning to grow into 'paternalistic/maternalistic dependency leaders' because the teachers and department leaders draw them into that position.

This could lead to the question of 'How can staff be led and empowered in ways that enable them to become autonomous professionals and co-leaders?' (Moos, 2003a; Moos et al., 2005).

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Appendix

A Brief Description of the Context: Danish Educational Culture in Transition

The 20th century Danish comprehensive school evolved out of the development of the Danish welfare state (a largely Social–Democratic project) and a consensus-building dialogue across political parties. The school was looked upon as a vehicle for promoting equal opportunities and as a place for acquiring knowledge, skills and values that prepare the student for life in a broader sense. That was done with reference to the concept of Bildung, traditional egalitarian and nation-building school ideas and inclusive welfare thinking.

Since the beginning of the 1990s, however, the Danish comprehensive educational system has been undergoing a process of thorough transformation under the influence of strong international currents: neo-liberal currents have linked educational thinking very closely to the economy and to neo-conservative trends of back-to-basics, more subject-oriented teaching, re-introduction of testing at all levels of primary school, pressure to harmonise within the European Union, inspiration from and fear of PISA (Programme for International Student Assessment), individualization and so forth. The meaning of leadership, professionals and learning are thus under profound change (Krejsler, 2005; Moos 2003).

For example, the responsibility for finances and administration of the 'Folkeskole' (primary and lower secondary school, students aged 6–16) was devolved to municipalities and from there to schools. The traditional site-based management was redefined when schools were made financially autonomous and accountable.

The school leader now manages very large parts of the budget in collaboration with School Boards, which have a parental majority membership. The Acts, and therefore the responsibility for objectives of the schools, remain in the hands of Parliament/the Ministry of Education but the interpretations and administration of the curriculum – which is fairly broad in its demands – are given to municipalities (which very often leave it unattended) and to schools themselves. At present the New Public Management (NPM) push away from focusing on processes towards focusing on outcomes and on accountability is gaining momentum. In Denmark the schools must post the results of school leaving tests on the Ministry's web site. The

government issues binding national 'goals' (usually every 2 years) that are much tighter and more prescriptive than the curriculum used to be and has also introduced plans for more testing of students (in grades 2, 4 and 6 in addition to the end of school test in grade 9). There is also a focus on economic incentives like merit pay for teachers. In addition there is a focus on top-down management and at the same time decentralization. Administrators and politicians look to industry and the private sector for inspiration. As an illustration one could mention a new postgraduate diploma in leadership that is intended to be relevant to leaders in industry, public service as well as in education.

School leaders, it seems (Moos et al., 2000) are caught in the cross-fire between first, the national objectives for schools, which focus on liberal education (the 'Bildung/Dannelse' of children to become citizens in a democratic society); second, the local authorities' demands for financial accountability; and third, the school culture – teachers used to be very autonomous and were therefore not eager to be managed or led by the 'new, strong, visible' school leaders described by Government.

Chapter 7
The Professionalization of Instructional Leadership in the United States: Competing Values and Current Tensions[1]

Patricia Burch

Abstract While there has been considerable scholarship on the role of school and district leadership within instructional change, there has been little analysis of the values and orientations that undergird current policy debates about instructional leadership. In this chapter, the author argues the importance of examining instructional leadership in the context of broader political and cultural debates about government and about how society should be organized. She identifies two distinct models of instructional leadership emerging as part of these dynamics: the market model and the polis model.

Drawing on interviews and observations with 185 school staff across three cities and with 82 district administrators, she examines the tensions that these competing models create for school administrators working in improving schools within high-poverty communities. In each district, system-wide press to improve instruction activated district management practices that contradicted reform goals of building a professional community of educators and administrators focused on teaching and learning. Further, how district staff viewed and approach their work departed in significant ways from the management practices of school administrators in improving schools. Based on this research, she identifies the importance of administrators' professional contexts in studies of instructional leadership.

A key development in educational research in the United States over the past three decades has been the increasing prominence of the concept of instructional leadership in describing the work of school and district administrators in k-12 public education (see, for example, Nelson, 1999; Sheppard, 1996; Spillane, 2004). While there has been considerable scholarship on the role of school- and district-level leadership within instructional change, there has been little analysis of the

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values and orientations that undergird current US policy debates about instructional leadership.[2]

   While building on this research, the premise of this chapter is that the problem of instructional leadership goes much deeper than what people know. I identify two distinct models of instructional leadership emerging as part of these dynamics: the market model and the polis model.

Framing Ideas

Institutional Perspectives

The framework I employ integrates research across two domains: institutional theories of organizational change (Scott, 1994a,b; Scott and Meyer, 1994) and the role of sense-making in processes of policy implementation or the ways in which people understand and interpret the meaning of policy and enact these beliefs (Burch & Spillane, 2003; Coburn, 2004; Spillane, 2004). Institutional theories provide a lens for understanding the influence of non-rational factors in education. In contrast to rational actor models, institutional perspectives consider how the roles of educational actors are embedded in larger institutions and socio-cultural norms. In addition, institutional perspectives highlight the importance of non-governmental actors in shaping the roles and ideologies of educators and policymakers (Spillane & Burch, 2006). While, in the United States, the regulation of school and district administrators' work originates within the public sector – specifically in the policy activity of state departments of education – non-governmental organizations and professional networks also exert influence on the field of school and district administration, the evolution of standards within that profession, and the challenges faced.

   Drawing on these ideas, I seek to understand the practice of school and district administration in relationship to broader cultural dynamics, rather than looking at leadership independent of that context. In particular, I examine how broader debates about policy behavior penetrate debates within education about instructional leadership and create tensions for those working in the field.

Sense-Making Theory

To explore how school and district administrators experience growing professionalism within their field, I draw on theories of sense-making (Weick, 1979, 1996). Although much is known about the importance of school and district leadership in instructional change, in-depth investigation of the factors that enable leadership remain undertheorized (Spillane et al., 2001; Hallinger, 2002). The importance

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[2] For exceptions, see Burch and Spillane (2003); Halverson (2004); Spillane (2004).

of sense-making processes in leadership for instructional change is a vibrant line of analysis among scholars interested in the socio-cultural factors that shape how administrators take leadership for instructional change. From this perspective, improving instruction involves much more than allocating resources to schools to strengthen instruction and requiring the active buy in and engagement of principals and other school leaders in the reform. Whether and how reforms reach students also depends on how individuals at the school and district level interpret reform objectives and act on these views in the context of their decisions and interactions with teachers.

Studies examining school factors in effective implementation of instructional policy have highlighted how principals' and teachers' interpretations of policy shape the ways in which external reforms unfold inside of schools and classrooms – including which teachers participate, how students are served, and how broad policy goals such as instructional excellence, equity, and democratic governance are enacted (cf. Burch & Spillane, 2003; Coburn, 2004; Spillane, 2000). Building on this research, I consider how school and district administrators' work on instructional reforms derived from their ideas about instructional leadership and how they act on these ideas in their everyday practice.

The Professionalization of School and District Administration

There are several indicators of increasing professionalization within the field of school and district administration in the United States.[3] First, over the past two decades (1985–2005), scholarship within the United States on the instructional leadership of school and district administrators has mounted considerably (Spillane, 2004). Second, during this period, grant-making to local school districts and states targeted at improving instructional leadership at the school and district level has intensified. For example, in the past 5 years, the DeWitt Wallace Foundation, one of the major educational philanthropies in the United States, has awarded over 19.6 million dollars to 15 states as part of its State Action for Instructional Leadership Project, described as part of its 'national effort to strengthen the ability of district and school leadership to improve student achievement to support the development of new training courses for school and district and state administrators' (DeWitt Wallace, 2005). Third, over the past two decades, the number of trade publications targeting educational administrators at the school and district level has increased as evidenced in the recent appearance of dozens of both print and online publications with names like 'The School Administrator' and 'Research and Practice

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[3] To make this argument, I draw on institutional measures of professionalization. In studying processes of institutionalization within US art museums, DiMaggio (1991) identifies four main indices of professionalization. This includes (a) the production of university-trained experts and funding to support this training, (b) the creation of a body of a knowledge about the field, (c) the organization of professional associations, and (d) increases in the flow of information about the profession, e.g., through the publication of books, periodicals, and directories.

for the School Administrator,' 'School Governance and Leadership.' Fourth, recent trends suggest a slow but steady increase by US districts in expenditures on services related to school administration such as professional development targeting school administrators. These activities have helped to generate tangible resources for school and district administrators (in the form of financial resources, new information, and new professional associations and networks). However, as financial, intellectual, and informational resources related to school and district administration have swelled, so have tensions within the profession.

Competing Models of Instructional Leadership

As people struggle to define the nature of their work and others seek to influence that definition, multiple interpretations emerge of what it means to be a professional within that field (Galaskiewicz, 1991). In the field of school and district administration, this discussion has revolved around the concept of instructional leadership. If there is one central theme that has dominated k-12 educational research both in the United States and European Union over the past two decades, it is that school administrators play a critical role in creating the conditions for improved instruction (Halverson, 2004; Spillane, 2000). However, the discussion has been accompanied by competing definitions of instructional leadership.

These competing definitions are reflected in the plethora of scholarship and popular discourse on the principles of effective instructional leadership. This work invites readers to adhere to long lists of effective characteristics defined as instructional leadership. Underlying these lists are two fundamentally different models of instructional leadership, what I term the market model of instructional leadership and the polis model. Each model reflects different orientations toward the problem of leading change in schools, the strategies for addressing that problem, and the role of government as a form of intervention. I discuss each model in turn, the values that undergird the model, and how each model is reflected in current US educational policy.

My discussion of these models is directly informed by the work and terminology of Deborah Stone (1988). In developing her theory of policy politics, Stone argues that underlying contemporary policy discussions are competing models or how society works and can be made to work better. She identifies and contrasts two models of making public policy: the market model and the polis model. Under the market model, government is a rational decision-maker and where policy is proposed, evaluated, and revised through an orderly sequence of stages. The role of government however in improving social welfare is limited. The key source of change is the market. The competitive drive to maximize one's own welfare stimulates people to be resourceful and creative. Information is critical to this process, enabling individuals to become aware of organizational liabilities and correct them in order to keep their competitive advantage.

The polis model of public policy is organized around a different set of values and expectations for how society should work. The polis model of policy puts more faith

Table 7.1 Concepts of instructional leadership in K-12 US public education

	Market Model	Polis Model
Source of Change	Competition	Cooperation, ideas, pursuit of public interest
Nature of Information	Accurate, complete, fully available	Ambiguous, strategically manipulated
Target Group	Individual	Community
Criteria for individual decision-making	Maximizing self-interest, minimizing cost	Loyalty (to people, places, organizations), maximize self-interest, promote public interest

in the government than in the private sector. Rather than confidence in market mechanism in motivating change, the polis model emphasizes values of social solidarity and trust in public institutions. Under the polis model, social systems are made up of communities of people with mutual obligations to one another around the distribution of resources and opportunities. Information is one of these resources. It is not assumed to be equally available to everyone. It is acknowledged as something that is easily manipulated. For example, people not only provide it; under certain conditions, they can withhold it. It is also assumed to be incomplete. For example, our ability to retrieve information is limited by what we already know.

Market Model of Instructional Leadership

In the market model of instructional leadership, strengthening leadership in schools involves creating the 'right' market conditions whereby individuals in positions of authority are motivated to be more creative, innovative, and efficient in solving educational problems than they would be if those conditions were not present. Students (and the public revenues attached to their enrollment) represent the resources for which school administrators compete. In order to keep enrollment high, administrators need to make their school attractive to parents. Under the market model, administrators are motivated to take leadership in order to minimize costs for themselves or their organization, for example, to avoid the direct and indirect costs of government penalties levied against schools that fail to make improvements on standardized tests.

The market model takes a particular view of the role of resource allocation in instructional leadership. Resources are always scarce. Money spent on professional development cannot be spent on curriculum. There is little consideration of how resources may expand through use and practice, for example, how investments in one kind of resource, such as teacher professional development, can build other school resources such as organizational ties and commitments.

Under the market model, information is a critical resource in spurring school change and motivating administrators to exercise instructional leadership. School

administrators are expected to use information such as test score data and operations data to improve building performance and thereby gain a competitive edge in the marketing of their school to parents and others. Instructional leaders are those that are savvy at acquiring information about their school's performance and getting others, such as teachers, to provide them with this information. Instructional leaders also are those who possess the skills and knowledge to analyze information and interpret it in ways that maximize outcomes for their individual schools. They need to be able to interpret test score results. They also need to understand budgets and financial plans in order to maximize resources.

Under the market model, the target group for policy change is the individual. Incentives for strengthening leadership target the individual and reward the individual. Market model leadership policies primarily target the principal as the source of building level leadership. From this perspective, classroom teachers are objects of instructional leadership (who the leadership is directed at) rather than leaders themselves. The market model of instructional leadership also has a theory of how government should intervene to build leadership. The basic tenet is that government should only intervene when there is evidence of something wrong within the school or district organization. Government can rely on indicators such as standardized test scores to alert it to the problem and use its regulatory authority to contain the problem within the building by labeling the school or district educationally bankrupt.

The rise of the market model of instructional leadership is not a new development. In the United States, it has its origins in the corporate model of school improvement that swept schools systems in the 1980s and 1990s. These reforms conceptualized school administrators as mini-CEOs or departmental administrators. Among other things, these reforms emphasized the importance of building level leadership in setting a vision for change, marshalling resources to support that vision, and their role in monitoring and achieving clearly defined outcomes (cf. Purkey & Smith, 1983).

The Market Model and Federal Education Policy

The market model of instructional leadership is deeply embedded in current Federal education policy in the United States, in particular the No Child Left Behind Act of 2001 (NCLB). NCLB is the most recent authorization of the Federal Elementary and Secondary Education Act, first enacted in 1965. Under the law, schools and districts that do not make adequate yearly progress on standardized tests in reading and mathematics face a series of progressive sanctions. This includes giving parents the option of sending their child to another school. It also involves requiring districts to spend a percentage of the money that they receive from the Federal government on tutors for students in schools that did not meet benchmarks. Motivated by the desire to maintain student enrollment, school administrators will develop (it is expected) innovative solutions to long-standing educational achievement gaps, contributing to improved student learning and the economic well-being of society.

Under NCLB (reflecting the market model), data are one of the most critical forms of capital that administrators can employ in improving student learning. Federal regulations impose a host of new administrative responsibilities on school (and indeed district and state) administrators that all, in one way or the other, involve the collection and analysis of information and data. School and in particular district administrators have always had administrative responsibilities for collecting data. Under NCLB, the importance of information and data is elevated. Through regulations regarding Adequate Yearly Progress, test score data are shared widely with the public through dissemination and reporting of test results. Over time, the data can serve as the evidence and rationale for school closure. Relative to past authorizations, the designers of NCLB crafted a limited role for government in building capacity to implement mandates. While there is some money available to states and districts for leadership development in the form of block grants to states, Federal regulation encourages use of these funds for teacher staff development rather than building administrative capabilities.

Polis Model of Instructional Leadership

An alternative model of instructional leadership reflected in contemporary educational policy activity in the United States is the polis model. This model embodies different assumptions about what motivates individuals to assume leadership, who should be targeted for leadership development, and the role of government in building instructional leadership.

Relative to the market model, the polis model of instructional leadership identifies school and district administrators as members of multiple and overlapping communities. In addition to being administrators, they are taxpayers, employees, neighbors, friends, and sometimes parents. Consequently, their decisions and actions as building leaders are shaped in important ways by their participation in these communities and the loyalties that they feel toward these communities. From this perspective, a school administrator presented with test score results that reveal that Latino students are failing math at higher rates than white peers will not necessarily act on this information. If she acts, how she acts will be shaped by her prior experience and the kinds of relationships that she has established with classroom teachers and with the community. Under the polis model, information also is incomplete and politicized. School administrators are leaders when they understand the limits of certain kinds of data and acknowledge the multiple ways of knowing a school and whether it is in trouble.

The polis model also encompasses a distinctly different vision of how and when government should intervene to build instructional leadership. Under the market model, exchanges across schools and between schools and providers redistribute resources in ways that maximize the well-being of society. The excellence of a leader is defined by this exchange and whether one's school is a winner or loser in this exchange. In a polis model, government is expected to play more of a

role in both ensuring students' access to leadership and building leadership. This may include providing funds specifically for principal professional development; establishing programs that specify administrators' professional development as a condition of receiving a grant, and establishing standards for certification among other things.

The polis model of instructional leadership described above bears important imprints of the teacher professionalism movement in the United States of the 1980s and 1990s. This movement gained steam through the work of organizations like the National Writing Project, the National Council of Teachers of Mathematics, the FoxFire Network, and a large number of smaller networks organized by and for teachers. While different in size and focus, these networks were organized around a similar set of principles – aimed at redefining the nature of teachers' work. This model emphasized the importance of teachers' social networks in helping teachers grow as professionals. These networks were viewed as incubators of teachers' practical knowledge – settings where teachers could learn from one another by discussing the knowledge and information gained from classroom practice (McLaughlin & Lieberman, 1996).

The Polis Model and District Educational Policy

The polis model of instructional leadership is reflected in the wave of systemic reforms undertaken by large US urban school districts in the 1990s. These reforms, still underway in many cities, had their genesis in the perceived failure of the decentralization reforms in the 1980s which increased schools' authority over instructional matters. Evaluations of these reforms urged among other things school and district administrators to play a more proactive role in helping schools focus on instruction and improve teacher quality. In response to this research and intensifying philanthropic support, districts across the United States embarked on system-wide efforts to improve instruction. In general, district-wide reforms pledged to improve instruction by building a professional community of educators and administrators. The idea was to create school to school and cross-organizational networks that gave educators and administrators the opportunity to examine and reflect on teaching and learning and opportunities to share experiences associated with efforts to develop new practices.

Models in Conflict: The Case of District Instructional Reforms

Because school and district administrators work within an embedded policy context (simultaneously under the jurisdiction of district, state, and national policies), they are bombarded with multiple and frequently contradictory messages about their role in instructional change, where they should focus their energies, and the kind of help

that they can expect from government. From an institutional perspective, educators and administrators are embedded not only in broader policy contexts; the work they do is also shaped by broader professional contexts – including the norms of individuals working in similar positions in other sectors.

Using data from three large cities with promising systemic reform initiatives, I examined cross-district patterns in how school and district administrators responded to initiatives to strengthen instructional leadership and the significance of these practices for school administrators working in schools that had made achievement gains. The findings presented below shed light on several overlooked areas of instructional leadership, specifically the rise of ideological tensions within the field of school and district administration and the mediating role of district managerial practices (and the private sector norms they mirror) in reforms focused on building leadership.

Design of the Study

The study is based on data that include interviews, observations, and document collection at both the school and central office levels in the three districts. Interviews and observations of district practice were conducted during the 2001 and 2002 school years. During the 2003 school year, research team members analyzed the data and supplemented it with follow-up interviews.

The data were collected from 185 school-level personnel representing 23 schools across three districts (11 elementary schools, 4 middle schools, and 8 high schools). All 23 schools were located in high-poverty communities and had achieved improvements on standardized tests in either reading or mathematics over the 5-year period preceding the study. All schools also had been identified as actively engaged in a sustained effort to strengthen teachers' classroom practices. In each school, research team members interviewed 8–10 school personnel including school administrators, teachers across different grade levels, and governance council members or parents. Data also included interviews with 82 cabinet and mid-level district staff represented evenly across the three districts. The sample of district administrators included district staff representing a wide range of district departments including curriculum and instruction (18), research and assessment (4), budget and finance (2), categorical programs (3), professional development (9), units organized around a district's specific reform agenda (4), offices specifically serving elementary, middle, or high schools (9), and other administrative units (6).

Setting for the Study

At the time of the study, each school system was engaged in a high-profile and system-wide campaign of instructional improvements, making them productive settings to examine how district instructional policies unfold, come to be interpreted and even transformed. At the same time, the school districts varied in terms of

the size of their student population, geographic location, history and leadership for reform as well as community relations.

The three districts had an unwavering focus on improving instruction and eliminating the achievement gap between white middle class students and their non-white peers. Reflecting current reform efforts nationally, district policies articulated goals and strategies that emphasized the importance of building a professional community of educators and administrators focused on instruction. However, across the three districts, district administrators approached the task of building leadership in a manner that appeared to contradict district reform principles and the practices of school administrators in improving schools.

Cross-District Patterns in District Administrators' Leadership Orientations

While volumes have been written about the importance of leadership at the level of the school building and the highest levels of district organization, US researchers tended to pay scant attention to the work of district administrators. District administrators are staff that work full time for the local education governance agency administering or managing programs or services, excluding individuals occupying top cabinet level positions such as deputy superintendents and chief education officers. After superintendents and school boards establish new policies, district administrators have the job of translating big ideas like improving student achievement or closing the achievement gap into strategies, guidelines, tools, and procedures for schools.

From the perspective of school administrators and teacher leaders, district staff members are critical in the implementation of instructional reforms. Ninety-four percent of school administrators across the three districts identified district administrators (and the materials generated by their offices) as the portal through which they were kept informed of district policy developments. In the following section, I investigate patterns in district administrators' approach to leadership along three dimensions. This includes administrators' beliefs and practices regarding (a) the nature of information in instructional improvement, (b) the target of leadership development, and (c) the role of competition and cooperation in improving administrative practice.

Nature of Information

Across the three districts, 70% of district staff described practices that reflected a market orientation toward data in school improvement.[4] These administrators

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[4] The orientations summarized emerged through school and district administrators interview responses. Administrators expressed these views in statements about their reform activities, beliefs

viewed the exchange of data as a critical dimension of system-wide improvements. They described successful schools as places where data were collected promptly and whose principals understood its import in school improvement. 'The good schools understand the importance of test score data and see it as a tool for their own improvement rather than something that the district needs and that we threaten them with,' commented a district administrator within the office of curriculum and instruction. Reflecting the perspectives of other market-oriented administrators, he placed great faith in the inherent value of test score data. He rejected the image of test score data as an externally generated demand and possibly something that district staff would use strategically. Displaying a similar perspective, a district administrator in the office of accountability described his work in the following terms:

> We let them [office of curriculum and instruction] know whether the school is using updated curriculum material or let the office dealing with attendance know that they [office of attendance] need to explore this because they are not filling out attendance books accurately.

This administrator viewed his office as a critical link in channeling information and data between schools and other departments believed to know what to do with the data. As part of this work, the administrator resisted making value judgments about the school's performance or its needs. Consistent with a market model, he viewed the best use of resources as a subjective decision. 'We are not out to say whether this school is doing a good job or a bad job. We review the attendance book and where there are weaknesses or where they are not. They have to have accuracy – accurate information –and we are providing a supportive role to the school.' Note the administrator's emphasis on the voluntary exchange of information and collecting 'the facts.' As reflected in the preceding examples, district administrators displaying a market approach to instructional leadership viewed data and other kinds of information as freely available. For them, the relevant question was not if a school has the right data, for example, data on why students may not be attending schools regularly or if they knew what to do with data, but simply that 'hard data' had been collected.

By contrast, a much smaller percentage (30%) of district administrators across the three districts displayed a polis orientation toward the use of data. Like their market-oriented peers, these administrators viewed data as critical to school improvement. However, they viewed test score data as a conditional resource, whose value depended on the capacity of an organization to absorb the information and put it to use. Reflecting this view, a math director described the work of her office around a math/science initiative.

> What's interesting, what's challenging for us is to help them [school communities] understand that it [the data collection process] is on going. It never stops. Once they've collected

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about instructional reform, and effective leadership strategies. In each instance, I triangulated the data, checking administrators' self-reports with evidence from repeated interviews, observation field notes, and artifacts, as well as interviews with other individuals working in the same school or department.

the data and now its time to revisit the questions that were generated, and to see what modifications must be made. What have we learned? And where do we go from here?

Where market-oriented administrators viewed their role around data as making sure that schools collected accurate data, polis-oriented administrators viewed their role as helping school communities interpret data, learn new things from it, and apply this knowledge. Reflecting this perspective, a district reading coordinator described his approach to working with middle schools. 'How will you know if a school is making progress in the literacy initiative?' the interviewer asked, to which the coordinator responded

> Just asking a lot of questions, because you don't go in and say, 'Why didn't you, as a teacher, get four months' growth?' I went around and did a tremendous amount of listening, so ask them what their opinions as teachers are about the problem, you know, teachers are not always heard.

This administrator, reflecting a polis orientation, was not content to simply collect the facts. He characterized his leadership as partly involving listening to teachers, moving beyond the evidence that a teacher is failing, and seeking information and perspectives that may not be as tangible but that he viewed as critically important.

Targets of Instructional Leadership

As reflected in both district- and school-level accounts, district administrators also displayed different views and approaches toward target groups for their leadership development efforts.

As displayed in Table 7.2, the majority of district administrators (68%) expressed views and described practices that equated school leadership primarily with the activities of the school principal. Thus, when asked to describe their interactions with schools around instructional improvements, they referenced their communication with the principal – the e-mails sent, the memorandum written, the meetings

Table 7.2 Contrasting views about instructional leadership: Comparing dominant orientations of district administrators with those of administrators in improving schools

View	School View	District View
Who can be an instructional leader?	Principal and classroom teachers	Principal primarily
What environment supports instructional leadership?	Small cohesive learning communities, shared civic commitment	Competitive environment, individual drive
What kind of information enables instructional leadership?	Knowledge about practice and how to translate data into knowledge	Test score data Up-to-date and accurate data

called. In districts with explicit goals of improving instructional leadership at the school level, there was surprisingly little reference to developing teachers as instructional leaders. Instead, district administrators displaying a market orientation tended to describe teachers as part of the problem. They talked, for example, about the importance of 'teaching all teachers to be good literacy teachers' and about 'providing the principals with the resources so they can help their teachers extend their knowledge in content.'

Ironically, these perspectives were present even among district administrators with broadly framed responsibilities for leadership development and support. One such administrator, with the title of elementary school director, described his role 'as an advocate for principals, representing their voices at district meetings and making sure that principals' voices are heard.' The district administrator viewed himself as an important link between school leadership and district practice but only in relationship to principals. There is little acknowledgement of the leadership role played by teachers and his role, making sure these voices are heard in district meetings as well.

Confirming these patterns, across districts, classroom teachers –including those recognized as teacher leaders within their own schools – characterized district administrators as hard to reach. A teacher who was also a chair of a math department recalled trying to contact the district for information about a new curriculum, 'It took me about four calls to even get a call back.' She concluded from this experience that the district still considered classroom issues and teachers a low priority. Teachers in other districts, working at different grade levels and in different roles reported similar experiences. In districts committed to building leadership, teachers were rarely considered part of the leadership equation. Commented a reading teacher, 'I mean, I – there's a lot directives. There's – these are what you have to do. I mean you get directives about this and that and the other thing, and it's this is it. There's no conversation. There's no why is this happening.'

A much smaller percentage (32%) of district administrators described practices that suggested a more expansive view of school leadership, one that included classroom teachers as helping to lead building level improvements. Reflecting this perspective, a district administrator viewed her role in part as one of helping principals see 'that they don't have to do it all alone, there are others in the school that can help them and even have expertise that they don't.' These administrators focused their professional development work on helping principals develop more collective school-level processes for decision-making including goal setting in the area of curriculum development. A principal supervisor's approach to training principals in the use of rubrics illustrated this orientation:

> The vision behind the rubrics was to create something that could create a clear vision of what can be done to improve classrooms. So the first thing I had them do was read the [literacy] book. I provided the book for them, they went home over winter break and read it. And when they came back, they sort of said, 'I see what is happening here. What we are really talking about is creating a document that belongs to teachers. This is not about somebody doing something to us.' This takes us to a whole different level as professionals.

Where market-oriented administrators emphasized the importance of helping principals motivate teachers, polis-oriented administrators, such as the one described above, sought to expand leadership beyond the principal and help principals create tools that leveraged teacher expertise.

Source of Change

District administrators also displayed different orientations toward motivating change in schools. Only a small percentage (32%) emphasized the importance of cooperation across schools as facilitating both school-level and district-wide improvement. These administrators reported working aggressively to cultivate exchanges across schools, viewing these exchanges as contributing to work in schools and district agendas. Listen to the comments of a curriculum director:

> I can do some training but one of my best ways of supporting principals is to help them utilize each other. I have principals who are really good at data so they have shared about data. So, it's just looking at how we can be resourceful from the central level and then first using their own talent and skills from each other.

Note the emphasis that the administrator placed on building community across schools. For this administrator, supporting principals involved helping principals across different schools utilize each other's expertise. The goal of the work was to build a sense of shared focus and engagement across a community of administrators, rather than build a knowledge base at a primarily individual level. Similarly other polis-oriented administrators described themselves as point people in building cross-school networks. For example, polis-oriented administrators were those who created web sites where teachers could post examples of successful curriculum; they arranged cross-school visitations; they organized workshops on Saturdays so that teachers would have an opportunity to network with teachers from other schools.

A much larger percentage (68%) of district administrators displayed a market orientation toward motivating change in schools. These were administrators who tended to characterize schools as in competition with one another both for district resources and district time. They viewed their own time as a limited resource for which schools competed. 'I don't have time to visit all the schools, the schools that contact me are the ones that I visit,' explained an administrator working within a professional development unit. This and other market-oriented administrators also tended to be those who emphasized the importance of rewards and sanctions for high-performing schools. 'The bottom line is that principals don't want their schools to be called failing,' explained a reading administrator when asked to explain the rationale behind new requirements for schools to assess children in reading across more grade levels. Further, in contrast to polis-oriented administrators, market-oriented administrators appeared to have little interest in creating structures and formats for school communities to learn from one another.

Tensions Created for School Administrators

Much school improvement literature focuses on the impact of reforms on low-achieving schools. This attention is well deserved. The success of any reform must always be measured by whether it helps those who traditionally have been under-served by public education. However, studies of leadership practices must also attend closely to the ways in which broad-scale reforms influence the work of principals in schools that are improving. In particular, deeper understanding is needed of how systemic reforms initiated at higher levels of government impede or enable the efforts of already improving schools. All of the schools in the study had made some improvements in achievement, although to varying degrees. Administrators within these schools displayed an orientation to leadership that closely resembled the leadership principles embodied in their district's reforms agendas, but departed significantly from the dominant orientations of district administrators supervising their work.

Skepticism About Test Score Data

In contrast to the dominant orientation of district administrators, school administrators tended to view test score data as a much more incomplete measure of their school's success. A principal at an elementary school noted,

> We are taking tests all the time. We know that we have to live by that throughout our lives. The emphasis on testing is one that I sometimes question because the day that the children have to take the test, it's like a judgment day. We are working with human beings. There are people that can test well and there are people that cannot test well. In the work of the child, you have to look at the whole child.

The principal recognized the realities of testing and even its significance in society. However, the district's overriding emphasis on data contradicted his personal experience and professional standards. For this principal and others, test score data were necessarily limited in what it could teach the school about children's needs. While viewing test score data as having some value, school administrators in improving schools tended to view test score data as very limited in what it could teach.

Knowing *How* Over Knowing *That*

In their accounts, school administrators across districts also articulated leadership needs that contrasted sharply with the assumptions of district administrators. The market model of instructional leadership assumes that school administrators and classroom teachers already possess the capacity to translate district objectives into improved classroom practices, what they need primarily is hard data. But when confronted with new district mandates and lots of data, school administrators claimed

that both they and their staff were unsure about how to proceed. 'We get the *what*,' commented one principal, 'what we really need help with is the *how*.'

In one district, principals and assistant principals reported that they increased classroom observations at the behest of the central office. However, when asked to describe their own activities for strengthening instruction, school administrators across districts tended to identify efforts to promote meaningful exchange across teachers as a function of their leadership. For example, as part of a strategy to remove his school from probation status, the principal at one high school created a weekly reading task force. 'We came up with working together as English 1 teachers, English 2 teachers, English 3 teachers. What they do is sit down and cover main idea this week, comparison and contrast.' Similarly a principal in another district described her leadership in terms of creating smaller learning communities for teachers. Teachers were grouped into five cores. The teachers in each core met weekly for 45 min to discuss student issues, content issues, or cross-curricular projects. According to the principal, 'conversations can happen about teaching and learning in small learning communities.' Proud of its efforts to build professional community, the school applied to participate in the district's small high school initiative. However, as further evidence of the divide between district- and school-level conceptions of instructional leadership, the school's application was rejected on the grounds that school currently lacked leadership capacity to support school restructuring.

Cooperation Over Competition

Further, across districts, school administrators tended to view their own leadership practices as motivated less by competition and more by their sense of community and broader social commitments. Displaying this attitude, a principal described herself as motivated by a sense of obligation to the community in which she was raised and her belief in civic engagement as an important function of schooling.

> Assuming the principalship of this school was a passionate call from my heart. This school is very much like the schools I attended. This is the school of don't expect much, but the kids and the staff and the community expect much. It has people who are asked to work with these children in these communities and therefore I believe they have the capacity to deliver sound, rigorous instruction and if given the support and some of the sense of belief that they need.

The principal's description of her work reflected many aspects of the polis model described earlier. She viewed her leadership as motivated by community and injected these principles into her work to strengthen teachers' practice. She viewed her faculty's own broader motivations as evidence of their future potential. Similarly, when asked to identify the factors he believed contributed most significantly to his school's academic success, a principal in another improving school commented,

> The fact that we've kind of got this critical mass of teachers that are really serious about what they do and really care about what they're doing and put in the time and put in the effort. New staff comes in and you get sucked into that vortex of really caring and really being professional.

Reflecting the perspectives of administrators at the school level, the principal identified community and cooperation (rather than competition) as enabling improved student learning and building teacher professionalism.

Explaining the Differences

The analysis described above highlights the different meanings of instructional leadership as viewed by administrators working within reforming school districts and those of administrators working in improving schools. At the district level, administrators' practices largely reflected the market model in their emphasis on the inherent value of data; the role of competition in motivating change; and an orientation toward leadership that emphasized individual effort. These orientations contrasted sharply with the meaning of instructional leadership as projected by administrators working in schools with some track record of improving instruction. In school-level accounts, the value of cooperation and professional dialogue tended to take primacy over the collection of data. Among school administrators, there was considerable concern about how test score data might be used and how well it captured students' progress and needs. Further, in contrast to most district administrators, numerous school administrators shared the opinion that instructional reform required opportunities for meaningful collaboration with educators and administrators in other schools.

At one level, the predominance of a market model orientation to instructional leadership among district administrators is puzzling. These were districts that had several years before launched comprehensive reforms that included an emphasis on building professional community across schools and had invested significant resources in this effort. In another sense, the prominence of the market orientation in district administrators' practice is not surprising. The period of the study, the late 1990s, was also one of intensifying activity for profit firms specializing in new technologies targeting the K-12 education market. Well-established players within the market, large firms such as McGraw Hill, had begun to target local school districts as the next frontier (Burch, 2006). Confirming these trends, when asked where they sought assistance for work on instructional reforms, 58% of district administrators referenced commercially prepared resources and materials generated by non-governmental organizations within the school improvement industry. While describing district-sponsored professional development as virtually non-existent, district administrators reported seeking training and information on their own by reading trade publications, surfing the web, and attending presentations by marketers of educational products.

Review of the promotional materials used by firms revealed considerable over-lap between the meaning of instructional leadership as articulated by many district administrators and that projected by companies interacting with districts around instructional reforms. For example, mirroring the problem framing of district admin-istrators, the promotional materials of companies with contracts with one or more of the districts placed heavy emphasis on the role of data in motivating leadership. In their documents, marketers and authors of trade publications framed admin-istrative capabilities in terms of increasing administrators' access to information and equated access to information with increasing organizational innovation and competitiveness.

In describing school-level improvement activities, school administrators also made reference to commercially developed materials. However, relative to district administrators and as described above, they were much more likely also to identify colleagues within their own organization – in their case, their faculty – as important sources of assistance in their work. The terms that school administrators used to describe their work on instructional reforms bore important similarities to how class-room teachers interviewed for the study described their own efforts. In particular, both school administrators and classroom teachers made repeated reference to the risks of relying too much on test score data in school improvement. They also made frequent reference to the importance of small cohesive teams in creating on-going opportunities for collaborative work and discussion across teachers and students. The overlap in how school administrators and classroom teachers described their work on instructional improvements may help explain the differences in district- and school-level administrators' orientations toward leadership. In each district, the meaning of instructional leadership at the school level came to signify some-thing quite different from the meaning of instructional leadership as projected by district administrators. While situated in the same policy context, school and dis-trict administrators participated in different kinds of professional networks. School administrators in improving schools had more interaction with classroom teachers than district administrators whose primary ties were to colleagues working in similar positions in the private sector.

Conclusion

Those who study and make policy in the field of instructional leadership can draw several implications from this analysis. None of them call into question the major findings of research on instructional leadership, but they do suggest several dynam-ics and tensions that demand more attention. First, studies of instructional leadership have tended to focus on the relationship between policy and building level prac-tice – whether and how the policies designed by district and state administrators encourage, support, or detract school leaders. This work has focused on the impor-tance of policy coherence across levels and having a unitary system-wide focus on instruction.

In contrast to the emphasis of policy coherence suggested by implementation literature, this study suggests that for educational administrators, the challenges of implementation emerge as much from tensions within the profession as they do from the discontinuities of policy. Further, how leadership is practiced at the school and district level derives in part from norms and linkages within the profession. Strengthening leadership practice turns not only on building new professional communities, it requires thoughtful examination of the professional contexts of administrators and how those contexts mediate how administrators view their own and others' leadership roles.

The district administrators interviewed for this study (reflecting trends nationwide) tended to be former principals and teachers who, through hard work or recognition, had assumed positions within district administration. As district administrators, they were in many ways just one step away organizationally from school administrators. However, in terms of their orientations toward leadership, district administrators and school administrators in improving schools appeared to be worlds apart. More research is needed on whether and how administrators' views of leadership shift as they move up the district pay scale, the benefits and costs of these shifting orientations, and the organizational and institutional conditions that contribute to them.

In addition, federal policy developments in the United States emphasize the role of data in enabling administrators at the school level to take leadership for instructional change and to reduce the achievement gap between rich and poor students. School and district administrators are encouraged to move toward data-based decision-making and to justify their actions in terms of greater efficiency and equity. The analysis presented above suggests that the emphasis on data currently in vogue originates beyond district walls. It is considered a critical dimension of the new knowledge economy. As private sector involvement in all aspects of local school reform expands, so too does the perceived legitimacy of corporate managerial practices as an element of instructional leadership. While professionalism is commonly viewed as advancing a field's autonomy, the rise of a market-oriented approach to instructional leadership ultimately may serve to tie the field of school and district administration more tightly to the whims and preferences of the private sector.

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Chapter 8
Values-Based Leadership: At the Heart of Sustaining School Reform and Improvement

Michael Harris and Michelle A. Johnston

Abstract The critical challenge facing educational leaders is promoting innovative change that generates systemic improvements in student achievement as well as the school culture. This chapter introduces and highlights the significance of professional leadership in the reform process and its importance to positive change outcomes. Throughout the chapter, the authors also argue that it is time to recognize and better understand the need and importance of values-based leadership as a viable methodology for leading change. The authors based this assertion on a review of leadership and their findings which demonstrate that leaders often acting as innovation entrepreneurs drive changes in policies and practices to specific outcomes related to their values. Furthermore, when exploring the role of leadership, the authors address another related area of interest and acknowledge that leadership values and effectiveness make a difference, specifically, when leaders communicate a sense of personal responsibility and accountability to forward school reform agendas. Finally, the authors reiterate their interest in values-based leadership and address the importance of specific leadership qualities and behaviors as they relate to school reform while

- Exploring values-based leadership as a framework for sustainable improvement
- Sharing their observations to provide a rationale for the importance of values-based leadership
- Examining lessons learned about values-based leadership from history, business, and other fields
- Framing values-based leadership within an educational focus
- Explaining the importance of values-based leadership by providing examples of unsuccessful and successful school reform initiatives
- Identifying implications for the future

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Introduction

As the public and governmental demands for more accountability become increasingly intense, American public schools are the target of increased criticism for the slow manner in which they respond to the urgent requests to enhance student success, measure results, and engage in reform. The fact is that after more than two decades of discussions, initiatives, reforms, and restructuring efforts, there are only limited examples of continuous improvement and success. As educators and administrators, we participated in and examined many reform and restructuring efforts in K-12 school districts and post-secondary institutions. Of special interest to us was the impact these efforts have on the level of readiness that the students have as they enter college. The problem of entry-level readiness and its relationship to reform efforts is crucial as Burke and Johnston (2004) noted. Students, particularly poor and minority students, who fail during their first year of college because they are not prepared for the academic rigor of college, lose hope for a better future (pp. 19–31). Through observing and chronicling organizational changes and efforts for improvements in the public and private sectors, K-12 school districts, and post-secondary institutions, we learned to appreciate the importance of leadership at the local school level in initiating and implementing reform and innovation. We find it surprising that the role of leadership and the significant impact it has on achieving successful outcomes are often absent from the discussion on school reform.

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Values-based leadership is necessary to create and implement sustainable improvements. For us, the fundamental assumptions about the leadership roles may include creating structural transitions, introducing organizational innovations, improving academic culture, overseeing changes, achieving strategic goals toward a better future through persuasion, empathizing with employees and constituents, sponsoring professional enhancement, and initiating collaborative work grounded in and guided by values and integrity. Building on those elements leads us to suggest the following synthesized definition of leadership: Leadership is about creating transitions, overseeing changes, introducing innovation, and achieving strategic goals toward a better future through persuasion, empathy, and collaborative work grounded in and guided by values and integrity.

Leadership is never conducted in a vacuum. It requires engagement and personal responsibility (Doron and Harris, 2000). There are always significant constraints that vary from one organization and circumstances to another. However, there are some general variables that are consistent across time and place. It is crucial to remember that the leaders' core values determine the priorities and choices that they make as they initiate, select, plan, and implement policy. At the core of the art and science of leadership is the responsibility to make choices among different options.
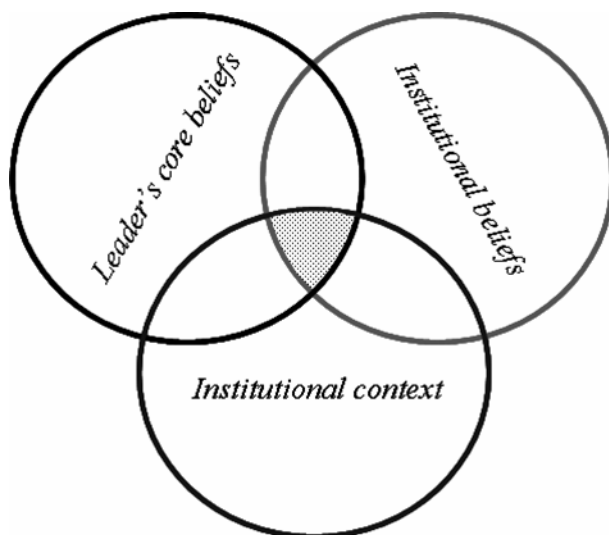
Fig. 8.1 The intersection between the institutional context, leader's core beliefs, and institutional beliefs

Those choices are made through a process of decision making carried out under significant constraints: organizational structure, time, and resources. Specifically, leaders' values, institutional culture, and institutional context interact like three concentric circles with a strong intersection that is the platform from which the change emanates. Therefore, to lead a school into a climate of improvement and innovation where positive changes occur, the school's leadership, whether teacher-leader, principal, curriculum director, or superintendent, must recognize and identify the organizational culture as a first step in making significant decisions and choices through which they can articulate ideas, visions, and actions that lead to an improved future and at times a change in the culture. Figure 8.1 shows the intersection between the context of the organization, the leader's core beliefs, and institutional beliefs.

We noticed that if there is a disconnection between the leader's core beliefs, institutional beliefs, and institutional context, the leader cannot effectively manage and formulate the necessary decisions and choices to advance change and reform agendas. Furthermore, constituents do not accept the leader's plans for the future because the institutional context also includes the institutional memory, history, vision, successes, and failures. An understanding of the context helps the leader align values for developing, implementing, and evaluating plans. Similarly, according to Harris and Kinney (2004) effective leadership matters, and if the leaders neglect their own values in formulating their plans for improvement, they cannot present an authentic voice for future institutional directions and express a compelling rationale for reform.

Following his research of low- and high-performing schools in low and high socio-economic areas, Elmore (2005) expresses his point of view and findings in

the *Harvard Education Letter,* where he writes that in high-performing schools, regardless of socio-economic status, "School leaders clearly articulated expectations for student learning, coupled with a sense of urgency about improvement; they adopted challenging curricula and invested heavily in professional development" (p. 8). Specifically, the leaders of the high-performing schools valued high achievement, expressed their values clearly to their constituents, and found resources to support their expectations and initiatives. Furthermore, competent leaders communicated the urgent need to create a better future for their schools, implemented the transitions, and oversaw the work toward positive changes and improvements. This finding is supported by Kotter and Cohen (2002), who in *The Heart of Change* make an explicit point about the need to raise the feeling of urgency in order to bring about change. These findings lead us to argue that school reform will not be successful only through a central mandate. Developing and distributing goals and standards has to be accompanied by enhanced leadership at the school level—a leadership that believes in and values changes.

Values-based leadership is important in school reform and improvement. True school reform and improvement, which elevate student achievement and sustain results, occur when leaders go beyond management of the day-to-day or year-to-year business of maintaining school-based status quo. Sustainable reforms also require transformative leadership, which is values-based and focused on the future. To that end, the leaders must identify their own values and beliefs that they need to articulate clearly throughout the organization to

– Change the organizational culture
– Achieve success
– Ensure that the change results in continuous improvement

As early as 1994, Johnston, like Elmore, recognized the importance of leaders communicating their ideas and beliefs as a first step in restructuring, when she wrote that school reform and improvement need to begin with conversations through which leaders communicate with their colleagues to energize colleagues and constituents to share and develop visions and action plans (pp. 57–58). Johnston further suggested that through the conversations the restructuring agenda can move forward in a supportive, collaborative, and open climate (p. 58). Leaders need to bring the "values of an organization" to life, according to an executive summary of The Aspen Institute Executive Seminar: Values-Based Leadership Principles to Make You a Better Executive (2003). Identifying those basic organizational values is of the key importance when orchestrating successful sustained improvement because values, such as working collaboratively and articulating goals, are at the heart of the organization. However, the bringing the values of an organization to life also require the identification of personal values as well as leadership values.

To oversee change and improvement, the leader needs to be engaged, demonstrating the organizational values and model the commitment to the goals. Unfortunately, we attended too many school improvement committee meetings and activities that the administrator missed. By staying in the office to do paperwork, the sense of

urgency, which undergirds the change, is not communicated to the constituents. Values can be communicated or miscommunicated by actions.

Throughout the school improvement movement, we found that the school mission statements and goals were frequently about all children learning and achieving at higher levels. However, they are often stated with an attitude of "this too shall pass," not as part of the administrator's innate values. In the early 1990s, a school improvement consultant spoke to a group of administrators and teachers and said, "All students should be treated with respect." A member of the audience, representing administrators, sarcastically questioned the speaker with an incredulous air, "Can you believe that? Respect?" If leading schools to a better future requires respecting learners as a key value, then a true leader of reform must accept that value and authentically communicate it to ensure that everyone can embrace it.

Kouzes and Posner (2002) invite leaders to find their voices and ask them to identify what they stand for and what they believe in as well as recording the lessons learned from leaders they admired (p. 87). By finding personal voices and defining personal and leadership beliefs and values, leaders can authentically communicate their visions, commitments, and directions for improvement and change. The authors introduce five concepts which we believe are applicable to educational leadership:

1. *Model the Way.* Leaders must clarify their personal values and align their actions taken with shared values.
2. *Inspire a Shared Vision.* Leaders should imagine ennobling possibilities and appeal to shared aspirations in the organization.
3. *Challenge the Process.* This critical element is a complex concept which calls upon leaders to seek ways to innovate and grow, to create wins, and to learn from mistakes. Clearly a key concept in school reform, yet one that puts leaders at risk and at a point where they may lose support.
4. *Enable Others to Act.* Leaders of change promote cooperative goals and build trust. They call on leaders to share power and discretion. Any school reform requires work and change at the most basic level.
5. *Encourage the Heart.* Leaders accept individual excellence and create a spirit of community. Many leaders argue and promote change based on a cost–benefit and an analytical analysis. However, the key to successful leadership and reform is the leader's ability to create a sense of belonging and enthusiasm (pp. 14–21).

Educational leaders have an obligation and responsibility to identify and communicate their values. For the sake of their students, they need to move their schools to a better future. Furthermore, at a time when resources are scarce and educational leaders are under pressure to demonstrate positive results, the issue of core values becomes exceptionally significant because the leaders have serious decisions and choices to make regarding their limited resources. If they are guided by values and integrity, the leaders simply use the resources to support their strategic goals and the transformation of the organization.

Lessons learned from values-based leadership as a tradition. Values-based leadership is not a new concept or catchy passing fancy; it is a leadership model with practices that have met the challenges of time. To illustrate concepts associated with values-based leadership, we are sharing some examples from outside of education. These examples provide some lessons about values-based leadership and include lessons learned from the historic trials and rescue of the Shackleton Antarctic expedition, a review of a governmental leadership curriculum, the modeling behaviors of Warden Withrow who projected respect, and a business leader who looked at values other than the "bottom line"—specifically, the profit.

1. Leadership in times of limited resources, changing realities, uncertainty and constant pressure to demonstrate outcome and results can be demonstrated through the experience of Shackleton. He was an explorer who in August 1914 left England with a crew of 27 on the "Endurance" with the goal of crossing Antarctica. On January 1915, the Endurance became trapped in ice just before landing in Antarctica and 10 months later it was crushed by the ice and the crew was forced to live on sheets of floating ice. Under Shackleton's leadership, they made their way to Elephant Island. During April and May of 1916, Shackleton and four crew members sailed 800 miles and then he and two others crossed the Elephant Island by foot. He reached civilization and by August 1916 Shackleton rescued the remaining crew on Elephant Island. For almost 2 years, Shackleton led his men through amazing challenges, dangers, and obstacles and returned them all alive and well back from "the end of the world." During this time, Shackleton and his men utilized a variety of skills and survival techniques. However, it was his value-based leadership that was the necessary condition for their survival. Shackleton led his men and assured them of their well-being and safety through a clear message about the values that guide all of them. Among those values, which were key to their efforts to survive and his leadership, were the value of human life, the importance of each individual, and mutual respect. At all times, Shackleton maintained and demanded the crew's unity. We believe that the key to Shackleton's value-based leadership was the unique ability to maintain each individual's identity while sustaining a group unity based on shared values.

2. In 2003, K. C. James, United States Office of Personnel Management, wrote in the introduction to the leadership curriculum for federal executive leaders about the challenges of reshaping government saying that leadership should be citizen-centered, results-oriented, and market-based. To support those three principles, she offered an integrated curriculum for the Centre for Executive Leadership: Federal Executive Institute. That curriculum included a seminar on values-based leadership from The Aspen Institute as well as other workshops and seminars that focused on developing communication and interpersonal skills, integrity, honesty, collegiality, strategic thinking, and visions as well as leading change and working with diversity. Those attributes are considered to be components of values-based leadership.

3. When Pamela Withrow retired after serving as a warden in maximum security prisons, her colleagues recognized her as one of the best wardens in the United

States. Interestingly, Withrow did not have degrees in corrections or criminal justice, but in sociology. Through her studies, she learned a great deal about modeling. Consequently, throughout her career she modeled treating people with respect. She called the inmates "mister" or "sir" and required that others demonstrated respect that she modeled. Additionally, Withrow, a model of cleanliness, made sure that the inmates had clean clothes and living environments. She also knew that inmates often made decisions differently than others and began a research study on cognitive restructuring. During her tenure as a warden, she was heralded for her administrative skills. However, she based her work on values and emerged as a leader in her field.

4. In the modern business environment where raising corporate incomes and stock prices is important while competition to get to the top is intense, Vicki L. Pryor, President and Chief Executive Officer (CEO) of SBLI USA, stands out as a success. Because she is recognized for her successful leadership, she is frequently interviewed about the state of the business climate. At an interview at the Centre for Values-Based Leadership, she answered questions about leadership by saying that being an "effective leader" goes beyond economic issues and includes "treating people with respect and dignity."[1] Furthermore, she recognizes that values are at the heart of the organization. When the personnel within the organization understand how the leader's values align to the organizational values as represented by the intersections of concentric circles, the organization moves forward and improves.

Using the Kouzes and Posner framework, we can say that a critical role of the leader is to align actions with shared values. In order to successfully do so, there is a necessary condition through which leaders must be aware of their values and also identify the organization's value. They will then work to see what long-term adjustments need to take place in the organization's culture and align actions with shared values (Kouzes & Posner, pp. 49–51). In this case, Pryor was able to use her personal values to establish clear behavioral examples that guided her organizational decisions when she made some very difficult decisions. We can easily apply these lessons learned to school reform.

Buckingham and Coffman (1999), who tell their readers to *Break all the Rules*, agree with Kouzes and Posner (2002) by telling leaders to question or challenge procedures and policies. They also expand on the previous lessons learned by listing the following competencies of great leaders, whether they are leaders in business, politics, or education:

– Manage change
– Have self-knowledge
– Establish plans
– Set a compelling vision

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[1]Interview conducted in 2003.

– Inspire
– Have strategic agility
– Take risks
– Take charge
– Set practices
– Orient toward results
– Manage diversity
– Communicate a broad perspective
– Exhibit calm under fire
– Share interpersonal sensitivity (pp. 64–65)

These competencies parallel the underlying concepts of values-based leadership. Therefore, when the authors told their readers to break rules, they were admonishing them to go beyond management behaviors that they knew and move to the future, not the past. Specifically, the authors recognize that leading changes requires taking a risk and articulating a clear vision or strategic plan for the future. How can educational leaders authentically exhibit these competencies without first identifying their own beliefs and values?

Moreover, the thought of breaking the rules reminds us of managers who often told us that they think out of the box; yet, they contributed little to the change process. To contribute effectively to change and improvement, leaders have to go beyond the thinking and embrace the doing which includes expressing their personal values of leadership and exhibiting the competencies delineated by Buckingham and Coffman (1999).

In a recent article in the *Chronicle of Higher Education* (Jacobson, 2005), Arthur Levine, who is leaving the presidency of Teachers College Columbia, makes recommendations for the improvement of American schools. He suggests that the educational leadership programs, particularly the Doctor of Education (Ed.D.), should be eliminated because attaining an Ed.D. is allegedly easier than acquiring a typical Doctor of Philosophy (Ph.D.) (Jacobson, 2005, A22). He also says that principals and superintendents do not need doctorates and that doctorate degrees should be saved for the researchers. According to Levine, administrators do need new degrees something like "an educational equivalent of an M.B.A. which can address the specific skills and knowledge that the school and school district leaders need" (Jacobson, 2005, A21). Our institution offers an M.B.A. with an educational administration option in addition to a Master of Education in Curriculum and Instruction with an administration concentration. However, rather than including the traditional educational offerings, we plan to strengthen the program by including a theme of values-based leadership that weaves through the curriculum and provides the participants with knowledge, skills, and strategies to lead change and continuous improvement. Additionally, we are developing academies for aspiring and current educational leaders as well as redesigning our educational leadership program.

Framing values-based leadership within an educational focus. Lambert and her colleagues (1995) show that concepts of leadership evolved over time from "inducing obedience" and "conforming to standards and maintaining the status quo" to a

reciprocal leadership in which values, beliefs, and knowledge are shared (pp. 5–10). Past concepts of leadership allowed little institutional engagement or initiative for improvement and change. Having this reciprocal, values-based form of leadership allows leaders to engage their colleagues to be proactive change agents. According to Lambert et al., "Those who perform acts of [school-based] leadership need:

– A sense of purpose and ethics, because honesty and trust are fundamental to relationships
– Facilitation skills, because framing, deepening, and moving the conversations about teaching and learning are fundamental to constructing [shared] meaning
– A deep understanding of change and transitions
– An understanding of context so that communities of memories can be continually drawn and enriched; and personal identity that allows for courage and risk, low ego needs, and a sense of possibilities (p. 47)"

Although school administrators are not rescuing their crews from floating sheets of ice in Antarctica, they have to have the courage to take the risks necessary to articulate shared goals, maintain a collaborative environment, and work toward the change that is possible—a better future where schools thrive because the educational leaders base their work in values.

Fullan (2001) agrees with Lambert and her colleagues and writes that leaders have to communicate enthusiasm, energy, and hope—hope that good things happen as the organization progresses through significant and sustainable changes. Furthermore, according to Fullan, the leader's first job is to set the moral purpose of the organization. Specifically, the leader sets and communicates the values of the organization.

Efforts to improve schools without values-based leadership create competing agendas. As students of leadership, we interviewed educational leaders while they were engaged in reform movements over several years. In many cases, the administrators spoke about the challenge of reform and reported that school improvement was important or inevitable. However, we found few administrators who embraced school improvement as a value and, consequently, did not engage in actions necessary to oversee and manage the reforms. Kegan and Lahey (2000) suggest that there were competing commitments or agendas at work to impede the transformation. For example, if school improvement were to lead to curriculum reform, perhaps the curriculum director's agenda was to work for the status quo and keep the original curriculum, not the reformed curriculum.

In a recent interview with a school district superintendent, the superintendent reported that they (superintendents, he included himself in this description) have been "just hanging on" and "hoping to maintain"; however, he said, "They cannot continue on that course." By having an agenda of hanging on and maintaining, not reforming, the superintendents could hold on to their jobs, get promotions, and keep their lifestyles. With the current climate of competition, public accountability, and reform, schools must improve, leaving the leadership with no choice but to move forward. The superintendent concluded the interview by saying, "They [educational

administrators] have to have leadership development." To emerge as leaders, they must first recognize their own values and the values of their institutions. Without those defining values, competing commitments and agendas emerge and lead to perpetuation of the status quo.[2]

Recently, we implemented a research project in which 52 superintendents responded to surveys and participated in focus groups to determine the current status of rural Michigan schools which appear to be stagnant. Concomitantly, teachers in focus groups identified the status from their perceptions. According to many of the superintendents, they do everything that can be done while the teachers find lots of ways to improve the schools and elevate student performance. Yet, no one appears to be sharing the same values or agenda (Harris & Johnston, 2006, pp. 6–7).

The following examples show inadequate leadership development and performance in which the leaders did not operate according to any base of values or beliefs, but according to agendas that did not support improvement:

1. In a qualitative study of low-performing, isolated rural school districts, Chandler et al. (2004) found that the superintendents struggled to manage the basic financial and other requirements of the school districts and had difficulty leading sustainable change to increase student achievement (p. 43). Specifically, they were reactive and responsive to state and national standards, almost waiting to be found in non-compliance with the *No Child Left Behind* legislation. They often capitulated to external pressures such as building a new lighted football field and closing the school library rather than focusing resources on activities that would improve student learning. Following these key school districts beyond the study, all of the school districts continue to be low performing, two of the superintendents were released from their contracts, and many of the teachers were not teaching in their specific disciplines. Specifically, they are not "highly qualified," according to the *No Child Left Behind* legislation.[3]

2. A regional Rural Systemic Initiative, which involved approximately 20 school districts, identified six variables for change. The variables included curriculum development, professional development, community engagement, data analysis, school board involvement, and administrator development; however, the leadership development was not a defined concept, but as a series of activities—write a vision statement, create a mission, build a team, and communicate with parents. As a result of the multi-year project, there were only minimal improvements in student achievement in a few of the districts, because the administrators as well as the teachers viewed the initiative as "one more thing that will pass" rather than identifying where they stood in terms of improving student achievement in science and mathematics.

3. Similarly, in a multi-state, multi-year school improvement project, which focused on reading instruction, sponsored by the North Central Regional

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[2]Interview August 2005.

[3]Research methodologies are available from NCREL/Learning Point.

Educational Laboratory (NCREL) in the 1990s, there was little sustainable improvement. In a formative status report, 31% of the respondents noted that issues related to administration, including limited administrative support and commitment, impeded the successful implementation of the improvement project (King, 1993, pp. 22–23). Additionally, after the funding ceased, there was very little activity related to the project beyond the life of the project because the administrative commitment ended at the same time the money from the project ceased. In 2005, we re-examined the achievement data of the participating school districts and found that the schools continued to fail their students with only half of the students, according to the state testing data reports, achieving proficiency.

4. In a current multi-year partnership with two school districts which are struggling to maintain Adequate Yearly Progress and "highly qualified teachers," the administration has not been stable. Our focus was on the teachers; however, we recognize that working with the teachers also requires the supportive engagement of the administration. In one school district, the interim superintendent left the school district. His departure followed a reorganization of the administration, resulting in the elevation of a principal to superintendent and the resignation of a disgruntled principal who was not appointed to the superintendent position. Consequently, the school district has a fledgling superintendent and one principal rather than three principals. The other school district fired the superintendent and hired a former law enforcement officer to lead the school district. No one in a leadership position at either school district has the experience, commitment, or professional development to oversee improvement in these school districts.

In reviewing the minimal or unsustainable reforms in many school districts, there are common themes which emerge and suggest that the leadership had commitments that competed with the improvement agendas and perhaps had alternative goals and values rather than to support the projects.

Focus on values and get results. When teaching principals the techniques necessary to meet the challenge of improving student learning, Donaldson and Marnik (1995) write that the improvement and reform transformation begins with the principals (p. 137). If the school administrators are going to "trigger" changes in others, they have to "trigger" the changes in themselves first (p. 137). In a sense, the various theories about change, according to Donaldson and Marnik, have little influence unless the leader values the change, believes in it, and has it in their "heart" (p. 138).

Schmoker (1996) writes that school districts can make rapid and sustainable improvement by:

– Encouraging teamwork
– Setting goals
– Using performance data (p. 49)

Through values-based leadership, change agents can charge their colleagues to work together on achievable goals by using performance data to make decisions. Specifically, focusing on data, educational institutions can identify the appropriate

goals, implement professional development geared to the accomplishment of the goals, and monitor progress.

After completing their meta-analysis examining 30 years of leadership practices, Waters et al. (2003) suggest that studying the effects of schooling on achievement is a new science of education, particularly as they are associated with student achievement. They report that if students attend an effective school, 72% are expected to succeed and the converse is true if the students attend an ineffective school (Marzano et al., 2005, p. 4). Additionally, the researchers identify 21 leadership responsibilities that increase students' achievement (2003, p. 2). They organized the 21 leadership responsibilities into a "balanced leadership framework" that includes "knowledge, skills, strategies, and tools." Many of their leadership responsibilities reflect values-based leadership because they suggest that an effective leader:

– Fosters shared beliefs and a sense of community
– Establishes operating procedures and routines
– Provides the resources, materials, and professional development necessary to reach goals
– Establishes clear goals and articulates them such that they are in the "forefront of the school's attention"
– Establishes strong lines of communication
– Advocates and speaks for the school and all of its stakeholders
– Engages colleagues and teachers in the design and implementation of important decisions and policies
– Demonstrates an awareness of the personal aspects of the teachers and staff
– Challenges the status quo
– Communicates and operates from strong ideals and beliefs (p. 4)

Changing a school or school district to enhance school success, a school leader must engage in an analysis of their core values and beliefs to work toward accomplishing goals that reflect those values and beliefs. In the two school districts where we are now working, we are implementing a professional learning community focusing on the work of Waters et al. (2003) with the existing administrators in those districts as well as contiguous school districts.

In a recent interview with an urban superintendent, who oversees the operations of a school district where over 60% of the students receive free and reduced lunch subsidies because they live in poverty, the superintendent said that he focused the entire school district on one goal, improving student reading achievement, because he believed that it was the most important goal that the district could have.[4] He reported that he begins every meeting with a discussion of the goal, as do all of his deputy superintendents and principals. Furthermore, the superintendent made connections within the community, including health agencies, social welfare agencies, and other organizations to put reading first on their agendas. As a result of keeping

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[4]Interview September 2005.

reading on the forefront, there is evidence that reading achievement is improving in the school district on a number of indices.

In a low-performing rural district with a socio-economic level below its state mean, a middle school teacher-leader was aware of the difficulties engaging students, particularly young teens, in their studies and believed that with computers the students at his school would become more engaged in their learning. As the school principal reported in May 2005, "he knew what he wanted and I got out of the way." The teacher-leader knew that getting computers for the students was not the only thing that was needed. Specifically, his colleagues needed professional development to design new pedagogies that would engage the students. Three years later, all of the students in the middle school have laptops, which the teacher was instrumental in acquiring through various grants and special projects; the teachers are using new pedagogies that engage the students; the community is supportive of the laptop initiative; and the students' achievement levels dramatically increased in English language arts and mathematics as shown in Table 8.1.

In this district, change and improvement came from a teacher-leader who communicated and shared his values and beliefs.

Implications for the future. The lessons learned from interviewing superintendents, chronicling school-based activities, and observing reform and improvement initiatives in school districts suggest that we need to develop a sense of professionalism among the school leadership through a new type of professional learning for administrators and leaders with the intentional outcome of elevating student performance that leads to improving post-secondary readiness. Perhaps, the professional learning could follow some of Levine's advice (Jacobson, 2005), reserving the doctorate for researchers and providing a specific, rigorous professional learning for practicing principals and superintendents. Furthermore, we support his suggestions because we know that the important role of the local leadership is initiating and implementing reforms (Harris & Kinney, 2004). Such professional learning should include an examination of values-based leadership which includes within its definition creating transitions, overseeing changes, and achieving strategic goals that lead to a better future. Specifically, through professional learning experiences, the administrators need to examine their personal beliefs and develop the strength to take a personal stance. For example, the urban superintendent, who believed in the value of reading instruction and literacy, moved reading to the forefront of the change agenda by taking a stance, was able to articulate the urgent need to improve reading

Table 8.1   Improved student proficiency from 2002 to 2005

Content Area	Year	% of students proficient
English	2002	53.8
	2005	81.2
Mathematics	2002	71.1
	2005	84.56

instruction in his school district, and led the change, which is a risk-taking behavior. However, through the new focus on professional learning based on values and leadership, the administrators can engage their colleagues and constituents to bring to life the values of their organizations in authentic and direct ways.

We continue to argue that educational leadership, as a profession, requires additional research. Through an analysis of research, we can clearly identify leadership traits and fine-tune professional learning that supports and enhances the dispositions and behaviors of future leaders.

Finally, with the increased demands and awareness of the post-secondary educational requirements, as described by Hersh and Merrow (2005), the educational leadership must be skilful and knowledgeable enough to transform and improve the quality of education for all students.

Summary

In this chapter, we argue that values-based leadership is particularly important in school reform and improvement, especially in the current times when public and governmental accountability increase the pressures and demands for students to perform and achieve at higher levels to ensure their readiness for success at the post-secondary level. It is our contention that through values-based leadership school leaders can use their personal values and the organizational values as well as the context of the organization to frame and sustain reforms. They do so modeling or leading by example, developing visions and missions that inspire, challenging the process, maintaining ethics and integrity, formulating a larger perspective which can enable others, taking risks, making strategic decisions, and encouraging individual excellence as well as creating a spirit of community. Through an examination of lessons learned in diverse fields and examples drawn from education, we presented a rationale for the need for values-based leadership to oversee the reforms and improvements necessary for the future. We also recognized that developing current and aspiring leaders, who can take a stance and move their organizations through the change process, requires a new of level professionalism and a focused professional learning.

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Chapter 10
Multiple Thinking and Creativity in School Leadership: A New Paradigm for Sustainable Development

Yin Cheong Cheng

Abstract In a context of rapid globalization and huge transformation in the new century, life-long education, action learning, creativity, and multiple intelligence are often strongly emphasized in ongoing educational reforms and believed as the key elements for the sustainable development of the next generation. Yet, people are puzzled about how thinking, creativity, and intelligence are related to the process of school leadership such that the sustainability of school development and effectiveness can be enhanced in a complicated and fast-changing environment.

Taking leadership as an action learning process, this chapter aims to elaborate a framework for re-conceptualizing the multiple nature of thinking and creativity in school leadership for sustainable development. The profiles of multiple thinking in school leadership are mapped in terms of characteristics of technological thinking, economic thinking, social thinking, political thinking, cultural thinking, and learning thinking. The approaches to multiple creativity in school leadership are re-conceptualized in terms of cross-level thinking and cross-type thinking. With this framework, a new paradigm can be proposed to broaden the possibilities and approaches to facilitating multiple thinking and creativity in school leadership that can contribute to sustainable development and effectiveness at both individual and school levels in the new century.

Introduction

The tremendous impacts of globalization, information technology, economic transformation, demands for societal developments, and international competitions are driving the changes and reforms of education in most countries in the new century. People often believe that thinking, multiple intelligence, creativity, action learning, and life-long education are key elements for the sustainable development of young people and the society in a fast-changing environment and school education should

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be reformed to help students to achieve these elements (Education Commission, 2000a,b; Istance, 2003; Jorgensen, 2004). In such a context, the role of school leadership inevitably becomes very challenging and demanding in sustaining school development and effectiveness in response to the various waves of educational reforms (Cheng, 2003). How can school leaders meet the challenges from the changing environment and educational reforms? It becomes a core issue in the ongoing discussion of the development and practice of school leadership.

Currently, organizational learning, knowledge management, and institutional intelligence in daily action and practice are often considered as necessary for continuous development in schools in particular and in organizations generally (Boonstra, 2004; Goldsmith et al., 2004; Boshyk, 2002; Davenport & Prusak, 2000; Sydänmaanlakka, 2002; Leithwood et al., 1998; Leonard, 1998; Popper & Lipshitz, 1998; Senge, 1990). How can school leaders help their schools to develop such kind of organizational learning and institutional intelligence for sustainable development?

Also action learning is strongly emphasized for the continuous accumulation of action knowledge and the development of creativity and intelligence in order to pursue sustainable development of individuals and organizations (Wald & Castleberry, 2000; West-Burnham & O'Sullivan, 1998; Argyris, 1982; Argyris & Schön, 1978, 1996; Senge, 1990). How can school leaders continuously develop their thinking and creativity in leadership through action learning and set examples for school members (students, teachers, and other staff) to become active action learners and contribute to organizational learning in their schools?

In the past decade, a lot of efforts have been done to promote leadership development, organizational learning, and action learning in education and other sectors. But people are still confused and puzzled how thinking, creativity, and intelligence in action are related to the process of school leadership and how they can be enhanced to pursue sustainable school development and effectiveness particularly in a fast-changing and complicated context involving technological, economic, social, political, and cultural aspects (McGill & Brockbank, 2004; Dilworth & Willis, 2003; Boshyk, 2002). There is lack of a new paradigm that can provide a comprehensive understanding of school leadership process as related to thinking and creativity in action (Sternberg, 1999, 2000).

This chapter aims to explore the above issues and proposes a new paradigm for re-conceptualizing the nature of multiple thinking and creativity in school leadership. With this paradigm, implications can be advanced for broadening the possibilities and approaches to facilitating multiple thinking and creativity of key school leaders in making efforts and initiatives to sustain school development in the new century.

Leadership for Multi-level Organizational Learning

Action learning in school generally refers to the kind of learning earned from the process of action either at the individual level, group level, or organizational level of a school. At the individual level, action learning represents a type of professional

learning of a school practitioner from professional practices or a type of learning of a student from action projects or action activities (Stevenson, 2002; Argyris, 1982; Argyris et al., 1985). At the institutional level or group level, action learning may be a form of organizational learning or group learning earned from the daily or ad hoc operations and the short-term or long-term actions of this school or group (Argyris & Schön, 1974; Senge, 1990).

According to my previous studies (Cheng, 1996; Cheng & Cheung, 2003, 2004), there are multi-level self-managing cycles in a school, including individual self-managing, group self-managing, and organizational level self-managing, to sustain continuous school development and improvement. This self-managing process is also an organizational learning, involving a cyclic action process including environmental analysis, planning, structuring, implementing, monitoring, and evaluating. Through this cyclic process, there may be continuous learning and development at individual, group, and organizational levels for sustainable school effectiveness.

School leaders, on the one hand, should have an important role to lead their students, teachers, and all other members as action learners such that the kind of multi-level organizational learning for sustainable development can be developed in their schools. On the other hand, leadership is action and school leaders themselves need to be effective action learners in the action process of leadership. In other words, school leadership is also a process of action learning, in which a leader or a group of leaders who can accumulate action knowledge and wisdom from the practice of leadership and also can develop continuously their own thinking and creativity contribute to the development of learning organization in their schools.

School Leadership as Action Learning

Based on the work of Yuen and Cheng (2000), Argyris and Schön (1974), and Argyris, Putnam, and Smith (1985), Mok and Cheng (2001) conceptualized the process of action learning as a cyclic process that can be subdivided into a sequence of three components such as mental condition (mindset), action, and outcome, linked by four processes including planning, monitoring, feedback to mental condition, and feedback to action. This conception can be adopted to describe school leadership as action learning cycle as shown in Fig. 10.1.

Leader as *actor* can broadly refer to an individual (e.g., student, teacher, or principal) or a group (e.g., school management committee) carrying out the leadership action. Leader's *mindset* refers to his/her pre-existing conditions of motivation, cognition, and volition to action and learning. It will determine how the leader plans the action and learning processes and what aims, content, and characteristics of activities the leader wants to pursue. *Leadership action* refers to the intended or planned activities, behaviors, and even projects demonstrated by a school leader in the leadership process. *Monitoring* refers to the process of detecting any mismatch between the intended targets of leadership action and the outcomes of leadership process.
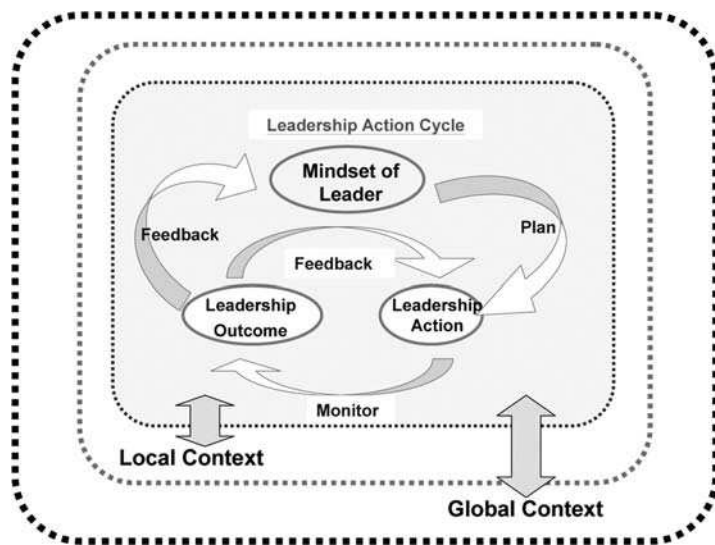
Fig. 10.1 School leadership as action learning cycle

Leadership outcomes refer to the results or consequences from the leadership activities, including positive and negative, overt and subtle results, and experiences during the leadership action.

Two Types of Leadership Learning

There are two types of *feedback* from the monitoring process and outcomes to school leaders: one to their action and the other one to their mindset. The feedback directly to action will help the school leaders to adapt performing behaviors in the leadership process. The learning associated with change in leadership behaviors is often referred to as *the first-order leadership learning*. Since this type of learning often has not changed the mental conditions of the leader, it may not produce long-lasting improvement effects at a higher level. It is often considered as a type of superficial learning that results only in some operational changes in school leadership.

The feedback to the mindset will help the school leader to reflect on and change her/his own mental models including meta-cognition, thinking methods, meta-volition, and knowledge and then to change the planning process as well as the aims and content of their leadership action in the next cycle. The improvement associated with change in mental set or mental models is often referred as the *second-order leadership learning*.

The cyclic nature of leadership learning reflects that a school leader may go through many action cycles in developing a higher level leadership thinking or mastering a new set of skills of school leadership to sustain their own effectiveness as well as school development in a changing environment.

Contextualized Multiple Thinking in School Leadership

The contexts in which school leaders undertake actions to achieve school effectiveness and development are multiple and complicated (Cheng, 1996). Based on a review of previous studies (Ohmae, 2000; Gates, 1999; Education and Manpower Bureau, 1998; Holmes, 1999; Education Commission, 2000a,b; Burnes et al., 2003; Jorgensen, 2004; Bolman & Deal, 1997; Schein, 1980), school leadership can be contextualized by a typology including *technological leadership, economic leadership, social leadership, political leadership, cultural leadership,* and *learning leadership* in a complicated context of the new century.

The school leaders' thinking is the key element that deeply influences the aims, nature, process, and effects of their leadership action and learning. From the above discussion, there may be six types of contextualized multiple thinking (CMT) in school leadership and action learning, including *technological thinking, economic thinking, social thinking, political thinking, cultural thinking,* and *learning thinking* (Cheng, 2005c). The major characteristics of CMT can be mapped in terms of rationality in leadership, key concerns in leadership, beliefs about school action, beliefs about school effectiveness, role of planning development, and thinking process in leadership.

As shown in Table 10.1, there is a typology of various types of CMT in school leadership.

Thinking in Technological Leadership

Given the tremendous impacts of technology on different aspects of the society and global community, technological leadership is increasingly popular in school leadership (Gates, 1999; Education and Manpower Bureau, 1998; Holmes, 1999). Technological leadership is based on a type of *technological rationality* in thinking that emphasizes on the achievement of planned goals and targets through the application of objective and scientific methodology and structure in leadership. Technological engineering, methodological effectiveness, and technical optimization are the key ideology and values in thinking during the leadership process to pursue school effectiveness and development. The management traditions such as the F. Taylor's principles of scientific management (Taylor, 1947; Villers, 1960) or the Max Weber's theory of bureaucracy (Weber, 1922) are mainly based on such a technological or structural rationality.

With this rationality, the common concerns in the thinking of technological leadership may include the following:

– What methods, procedures, techniques, and structures can be used to achieve the planned goals and targets of a school?
– How can the aims and related tasks be achieved more effectively through changes in structure, methodology, or technology of a school?

Table 10.1 Contextualized multiple thinking in school leadership

Characteristics	Typology of Contextualized Multiple Thinking in School Leadership					
	Technological leadership	Economic leadership	Social leadership	Political leadership	Cultural leadership	Learning leadership
Type of Thinking	Technological thinking	Economic thinking	Social thinking	Political thinking	Cultural thinking	Learning thinking
Rationality in leadership	Technological rationality	Economic rationality	Social rationality	Political rationality	Cultural rationality	Adaptive rationality
Ideology in leadership	Methodological effectiveness; Goal achievement; Technological engineering; Technical optimization	Efficiency; Cost–benefit; Resources and financial management; Economic optimization	Social relations; Human needs; Social satisfaction	Interest, power, and conflict; Participation, negotiation, and democracy	Values, beliefs, ethics, and traditions; Integration, coherence, and morality	Adaptation to changes; Continuous improvement and development
Key concerns in leadership process	What methods and techniques can be used? How can the aims be achieved more effectively? Why?	What resources and costs are needed and what benefits can be generated? How can the aims be achieved with minimal cost? Why?	Who are stakeholders involved in the action? How can they affect the aims, processes, and outcomes of action? How can their human needs be satisfied and the synergy be maximized?	What diversities, interests, and powers are involved in the action? How can the conflicts and struggles be minimized or managed through negotiation, democracy, and other? Why?	What values, beliefs, and ethics are crucial and shared in action? How do they influence the aims and nature of school action?	What learning styles, thinking modes, and knowledge can be used? What are thinking gaps in changing realities? How can the aims and nature of action be conceptualized more adaptive to the changes?

Table 10.1 (continued)

Characteristics	Typology of Contextualized Multiple Thinking in School Leadership					
	Technological leadership	Economic leadership	Social leadership	Political leadership	Cultural leadership	Learning leadership
Type of Thinking	Technological thinking	Economic thinking	Social thinking	Political thinking	Cultural thinking	Learning thinking
	Can any technical innovation and improvement be made and the process of action be reengineered?	How to innovatively maximize the marginal benefits?	Why?	How can "win–win" strategies, alliances, and partnerships be built?	How integration, coherence, or morality in values and beliefs can be maximized in action? Why?	How can the thinking gaps be minimized and new thinking modes and understanding be achieved?
Beliefs about school action	To use scientific knowledge and technology to solve problems and achieve aims	To procure and use resources to implement plan and achieve outcomes	To establish social network and support to motivate members and implement plan	To negotiate among parties and manage conflicts	To clarify ambiguities and uncertainties and realize the vision	To discover new ideas and approaches to achieving aims
Beliefs about school effectiveness	A predictable product of good technology and methodology	An output from the calculated use of resources	A product of social action; Social satisfaction is also an outcome	A result of bargaining, compromise, and interplay among interest parties	A symbolic product of meaning making or cultural actualization	The discovery of new knowledge and approaches and the enhancement of intelligence

Table 10.1 (continued)

Characteristics	Typology of Contextualized Multiple Thinking in School Leadership					
	Technological leadership	Economic leadership	Social leadership	Political leadership	Cultural leadership	Learning leadership
Type of Thinking	Technological thinking	Economic thinking	Social thinking	Political thinking	Cultural thinking	Learning thinking
Role of planning development	To find out the right technology and methods to overcome difficulties and problems and get things done; To study technological possibilities, strengths, and weaknesses	To find out how minimal resources and efforts can be used to produce outcomes; To calculate any economic value-added or hidden cost	To find out the optimal social conditions for action and satisfying human needs; To identify any social capital to be accumulated	To find out the balance among various political forces for achieving compromise; To search for any possibility for reaching the "win–win" situation and alliance building	To find out cultural meanings behind action alternatives; To derive meanings from possible overt and hidden outcomes	To reflect on the existing modes of thinking and practice and find out new modes; To deepen the level of understanding and thinking
Thinking process in leadership	Scientific reasoning, technological imagination, and methodological consideration	Economic calculation of cost and benefits	Investigation of social conditions and consequences	Consideration of micro-politics among interests; Calculation of political cost and consequences	Searching, clarifying, and making of meanings in line with values, beliefs, ethics, and morality	Generation, accumulation, and management of new knowledge about action and outcomes

– Can any technical innovations and improvements be made or the process of school functioning be reengineered to ensure sustainable development and effectiveness?

In the technological thinking, the basic objective of school action is to use scientific knowledge and technology to solve the existing problems and achieve the planned aims. Therefore, *school effectiveness* is a predictable product of right technology and methodology used in school action. If any defect occurs in school outcome, it means that there should be some mistakes in structure, procedure, or technology in action.

In planning school development, the school leader needs to find out the right technology and methods to overcome potential difficulties, obstacles, and problems in school and get things done. He/she often needs to study technological possibilities and alternatives and compare their strengths and weaknesses in considering technical optimization. In brief, technological thinking in school leadership is scientific reasoning, technological imagination, and methodological consideration.

Thinking in Economic Leadership

Economic growth is usually considered as the driving force of individual and national developments and as the cutting edge in international competitions particularly in a context of globalization (Ohmae, 2000; Burton-Jones, 1999). Inevitably, the importance and necessity of economic thinking are strongly emphasized in all types of action at both individual and organizational levels (Cavalcanti, 2002; Fontana, 2001). Economic leadership is based on *economic rationality* in thinking that concerns maximizing benefits and achieving planned aims and targets of a school through optimal use of various resources. Efficiency, cost–benefit, cost-effectiveness, resources and financial management, and economic optimization are some key values and ideology of economic thinking in pursuit of school effectiveness (Levin, 1994a,b). Numerous studies in the areas of economy and finance of education are examples using economic thinking in analysis of issues in action or reality (Owen, 1998; Weber, 1998; Woodhall, 1992; Wyckoff & Naples, 2000; Solmon & Fagnano, 1994). From the economic rationality, some typical concerns are often raised in economic leadership:

– What resources and costs are needed and what benefits can be generated in the action cycle of a school or its members?
– How can the planned aims of a school be achieved with minimal costs or resources in action process? Why?
– In what way the marginal benefits can be innovatively maximized from the action process of a school in general and its members in particular?

Different from the technological thinking, the role of school action is to procure various types of resources from internal and external sources and use these resources

to organize and implement the action plan and finally achieve targeted outcomes and other implicit and explicit benefits from the whole process. Thus, *school effectiveness* is the result of the calculated use of various types of resources in action of the school.

In the planning development, school leaders try to find out how minimal resources and efforts can be used to produce the targeted outcomes and benefits from the school action process or how the returns of school action can be maximized with the given resources. To calculate any potentially added values and hidden cost is inevitably necessary in the planning process. In general, the economic thinking in school leadership is economic calculation of cost and benefits and is salient and powerful in a leadership context where the resources for school action are scarce and very limited but the economic values and benefits are strongly emphasized in pursuit of school development.

Thinking in Social Leadership

Individual action or organizational action is mainly carried out in a social context, in which human factors such as human needs and development, social relations, and social expectations can deeply influence and shape the nature, aims, and outcomes of an action. There is a long tradition of organization and management with focus on the impacts of social relationships and human needs on organizational performance and human behavior (Maslow, 1970; McGregory, 1960). In education, human development and social relations are often perceived as core values in considering school effectiveness and leadership (Henderson & Cunningham, 1994; Hoy et al., 1991; Rosenholtz, 1991; Guskey & Huberman, 1995; Cherniss & Goleman, 2001).

Social thinking in school leadership reflects the concerns and values about human and social factors involved in school action. Social leadership is based on *social rationality* in thinking that emphasizes on the importance and necessity of social relationships and human initiative to the completion of action and achievement of aims of a school. Therefore, social interactions and relations, satisfaction of social needs, human initiative and development are some key values and ideology used in leadership thinking. The typical concerns in school leadership may be listed as follows:

– Who are major constituencies and actors involved in the school action and what are the social relationships between them?
– How can the relationships with these constituencies and actors affect the aims, processes, and outcomes of the school and the sustainability of school development?
– How can the human needs be satisfied and the synergy be maximized among involved constituencies to pursue school effectiveness and development? Why?

The major task of school leaders is to establish social network, motivate members, and promote their initiative and synergy to implement the school action and

achieve the aims of the school. *School effectiveness* is the product of successful social networking and solidarity in school action. Also, enhanced social satisfaction, personal or staff development, working relationships, and morale among school members are often perceived as important outcomes of a school to remain sustainable.

According to the logic of social thinking in leadership, the role of planning sustainable school development is to find out the optimal social conditions for implementing the school action and meeting human needs and expectations of involved school members and to establish social network and social capital for supporting the action process and achieving outcomes of a school. In brief, social thinking in school leadership is mainly to investigate social conditions and their consequences.

Thinking in Political Leadership

The increasing diversity in expectations and demands, competitions for resources, and struggles for power among different parties intensify the political aspects of life at the individual, organizational, community, and even international levels. In such a context, political leadership and thinking attract more and more attention in organizational phenomena (Pfeffer, 1992; Bolman & Deal, 1997; Ball, 1987).

Political leadership for sustainable school development is based on the *political rationality* in thinking that emphasizes on the recognition and significance of diversity in interests and demands of involved actors and constituencies of a school in action. School leadership involves the resolution and management of conflicts and struggles through various strategies such as alliances building, negotiation, compromise, participation, and democratic process that are necessary in formulating and implementing school plan and achieving aims of the school. The major ideology in political leadership includes competitions for interest, struggles for power, conflicts among members or parties, negotiation and compromise, participation and democracy in decision-making on school improvement and development (Pfeffer, 1992; Kotter, 1985; Sarason, 1998; Cloke, 2000). Some typical questions for political thinking in leadership may be as follows:

– What diversities, interests, and powers of actors and other constituencies are involved in leadership efforts for sustainable school effectiveness and development?
– How can the conflicts and struggles in a school be minimized or managed to sustain school development through alliance building, partnership, negotiation, democratic process, and other strategies or tactics? Why?
– How can "win–win" strategies, alliances, and partnerships be built to overcome political obstacles, facilitate the school action, and maximize the achievement of the school aims in the long run?

School leadership in a complicated context involving multiple and diverse constituencies inevitably induces a process of negotiation, struggle, and conflict management among various parties. To a great extent, *school effectiveness* is a result of bargaining, compromise, and interplay among interest parties during school practice. The planning of school development includes the efforts to find out the balance among various political forces for achieving compromise and to search for any possibilities for reaching the "win–win" situation and building alliance among interest parties of a school. Political thinking in leadership is to consider the impacts of micro-politics among interest parties on various aspects of action and outcomes and to calculate the political cost and consequences among alternative strategies or tactics for dealing with the political concerns in school action.

Thinking in Cultural Leadership

In facing the challenges from ambiguities and uncertainties emerging from the fast-changing internal and external environments, how schools and their members can remain consistent and confident in their values and belief system in school action is an important issue concerning cultural leadership (Bolman & Deal, 1997; Schein, 1999; Hofstede, 1997). The practice of cultural leadership is based on the *cultural rationality* in thinking that assumes the nature, aims, and effectiveness of school action heavily determined by the values, beliefs, ethics, and traditions shared among school actors and concerned constituencies (Cheng, 2000; Schein, 1992, 1999). Therefore, sharing of values, beliefs, and ethics, integration and coherence among school members, and morality in school practice are often key ideology in cultural leadership. In the cultural leadership, some typical questions in thinking about sustainable development may include the following:

– What values, beliefs, and ethics are crucial and shared among school members in the school action?
– How do they consistently influence the aims, nature, and even results of school action?
– How can integration, coherence, or morality in values and beliefs among school members and related stakeholders be maximized in sustaining school development?

   The objective of leadership is to clarify ambiguities and uncertainties in the contexts and realize the school vision (including the key values and beliefs) shared by members and key constituencies. In a cultural sense, *school effectiveness* is a symbolic product of meaning making or cultural actualization by school members and other constituencies in an ambiguous context (Bolman & Deal, 1997).
   Planning school development is to find out the cultural meanings behind action alternatives, choose the one that is consistent most with the values and

beliefs strongly shared by school members and key constituencies, and then derive meanings from possible overt and hidden outcomes. In general, cultural thinking in school leadership is a process of searching, clarifying, and making of meanings in line with the shared key values, beliefs, ethics, and morality of the school.

Thinking in Learning Leadership

Given the tremendous impacts of the fast-changing context on development and survival of individuals and organizations, learning and adaptation to the challenges are crucial and necessary. The pursuit of a learning society becomes more and more important (Wain, 2004; Gorard & Rees, 2002; Jarvis, 2001; Marsick et al., 2000; OECD, 2000).

Learning leadership is based on the *adaptive rationality* in thinking that emphasizes on the continuous learning and successful adaptation of a school to the changes and challenges in the internal and external environment as the key for sustainable school development and effectiveness. Therefore, continuous improvement and development of school actors' operational and cognitive styles to a higher level is a key ideology in the leadership thinking (Jarvis, 2001; Raven & Stephenson, 2001; OECD, 1997; Silins et al., 2002). The typical concerns in learning leadership may include the following:

– What learning styles, thinking modes, and knowledge can be used in the action process to sustain school development? What are the gaps between the modes of organizational learning and the changing realities?
– How can the aims and nature of school action be re-conceptualized to be more adaptive to the changes and challenges in the context?
– How can the cognitive gaps in understanding the changing realities be minimized and new thinking modes and new understanding about sustainable school effectiveness and development be achieved?

As the values of learning are strongly emphasized, the basic objective of school action is to discover new ideas, new knowledge, and new approaches to maximizing the achievement of aims in ongoing and next action cycles of a school. Therefore, *school effectiveness* is related to the discovery of new knowledge and approaches to action implementation and the enhancement of school actors' intelligence to understand and deal with challenges from the changing environment.

The leadership for planning school development involves a thinking process of reflecting on experiences of previous action cycles including the strengths and weaknesses of modes of learning, thinking, and practice as well as the characteristics of the context and investigating new modes of school action for more effective learning and deeper understanding in the next cycles. In brief, thinking in learning leadership

is a process of generation, accumulation, and management of new knowledge about action, learning, and outcomes (Davenport & Prusak, 2000).

Traditionally, intelligence and thinking are key elements in the discussion of human action and learning (Sternberg, 1999; Anderson, 1999; Baron, 2000; Kirby & Goodpaster, 2002). The typology of contextualized multiple thinking (CMT) provides a new way to re-conceptualize intelligence as contextualized multiple intelligence (CMI) in school leadership including *Technological Leadership Intelligence, Economic Leadership Intelligence, Social Leadership Intelligence, Political Leadership Intelligence, Cultural Leadership Intelligence,* and *Learning Leadership Intelligence.*

Levels of Thinking in Leadership

As indicated in the literature on knowledge management (Sydänmaanlakka, 2002; Davenport & Prusak, 2000; Marquardt, 1996; Dierkes, 2001; Al-Hawamdeh & Hart, 2002), data, information, knowledge, and intelligence are crucial elements in action learning of individuals and organizations in pursuing and sustaining effectiveness and development. The level of thinking in school leadership can be illustrated in terms of the data, information, knowledge, and intelligence involved in action as shown in Fig. 10.2.
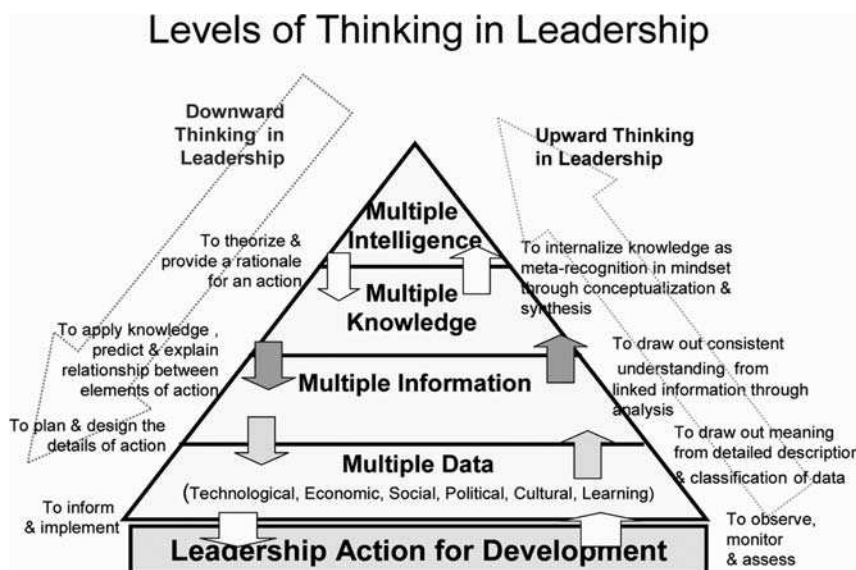
Fig. 10.2 Levels of thinking in school leadership

Upward Thinking in School Leadership

In the leadership action cycle, *data* can be gained from the monitoring and assessment of action process and outcomes or directly from the experiences and observations of a school leader or even independent observers (as shown in the right side of Fig. 10.2). These data may be multiple including the technological, economic, social, political, cultural, and learning data when the CMT framework is used in leadership action. From detailed classification and description of the data, the school leader can draw some factual meaning or understanding that becomes the *information* about the nature, impacts, and effectiveness of his/her leadership practice.

Through linking and analyzing various information about the input, process, and outcome of leadership action after a number of cycles, the leader can achieve more reliable and consistent understanding that becomes the *knowledge* about his/her action and effectiveness. Through conceptualization and synthesis, the leader can further internalize the knowledge into mega-cognition in his/her mindset that becomes his/her contextualized *leadership intelligence*. Given the multiplicity of data in nature, the related information, knowledge, and intelligence are potentially multiple in terms of technological, economic, social, political, cultural, and learning aspects.

The above mental process from data to information, to knowledge and to intelligence is a thinking or learning process of a leader in action. *Thinking* often refers to the internal mental process but *learning* is a general term including both internal mental and explicit operational processes of a leader. Since the thinking process is upward from data to intelligence, it is also called as "*upward thinking in school leadership.*"

Hierarchy of Thinking in School Leadership.

There is a hierarchy of thinking in the action cycle of school leadership, including four levels: (a) thinking from action to data; (b) thinking from data to information; (c) thinking from information to knowledge; and (d) thinking from knowledge to intelligence. In general, levels (a) and (b) are often considered as *superficial leadership thinking* or *first-order leadership thinking* that involves only observable data and information; levels (c) and (d) are considered as *deep leadership thinking or second-order leadership thinking* that involves implicit knowledge and intelligence. Correspondingly, learning in leadership action has four levels with levels (a) and (b) as *superficial learning* and levels (c) and (d) as *deep learning*. Only deep learning can cause internal changes in school leaders' mindset (in terms of knowledge and intelligence) that can be promising for sustainable leadership development; but superficial learning can just result in leaders' operational changes with feedback in terms of data and information that may not be so promising in sustainable leadership development.

Downward Thinking in School Leadership

The above thinking process of leadership can be downward from intelligence to knowledge, to information, to data, and to action as shown in the left side of Fig. 10.2. With the leadership intelligence (or CMI), a school leader thinks how to theorize the aim of a leadership action in a context and provide a rationale for conceptualizing such an action to pursue school effectiveness and development. Then he/she thinks how to apply some related knowledge to predict and explain the possible relationships between key elements (e.g., input, process, and outcome) of the action. The predicted relationships will become the major information to be tested and checked in reality. In order to test the information, the school leader thinks how to plan and design the action and collect the expected data on school leadership and school development. Finally, he/she validates and tests the above provided rationale, related knowledge, predicted relationships (information to be tested), and expected data in the reality through implementation of the action in the context. As a whole, this is a *downward thinking in school leadership*.

During the thinking process of leadership, contextualized multiple intelligence, multiple knowledge, multiple information, and multiple data may be involved and used by the leader. If the provided rationale, related knowledge, predicted relationships, and expected data are found to be consistent and valid in his/her action process, then the existing CMI and related knowledge of the leader are confirmed and reinforced. But if they are found to be inconsistent and invalid in the reality of action, the school leader needs to think and check if any gaps exist in the design of action or any misconceptions exist in his/her original mindset. Based on the actual results (data and information) of the action, the school leader thinks how to redress the gaps in the design of action (i.e., the first-order thinking) or modify the existing intelligence and knowledge in his/her mindset (i.e., second-order thinking). Then, the leaders start the upward thinking in leadership action as discussed above.

As illustrated above, the upward thinking and downward thinking as a whole form a cycle of thinking process in school leadership when the school leader is making effort to pursue school development in complicated and multiple contexts.

Integrative Multiple Thinking in School Leadership

In the action process for pursuing multiple school development, the school leaders' thinking can involve not only the four levels of thinking but also the six types of CMT. As shown in Fig. 10.3, there may be two basic modes of thinking in school leadership: *vertical thinking* (*y*-axis) across the data level to the intelligence level and *horizontal thinking* (*x*-axis) across the technological type to the learning type. It means that in school leadership, each type of thinking (e.g., political) may include four levels (from data to intelligence); and also each level of thinking (e.g., knowledge) may involve six types of thinking (from technological to learning). These two basic modes form *a matrix of integrative multiple thinking* that can provide a
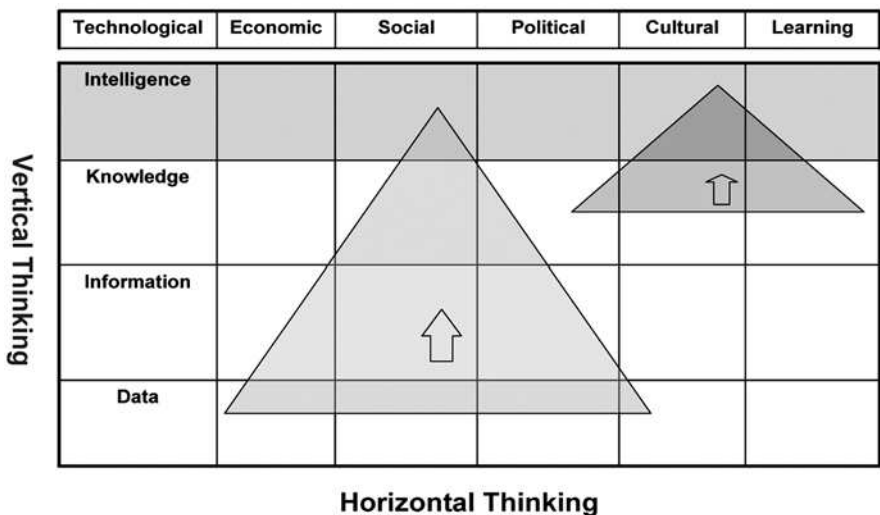
Fig. 10.3   Integrative upward multiple thinking in leadership (examples)

comprehensive framework to consider the complexity of multiple thinking and its application in school leadership acting for multiple school development.

Integrative Upward Multiple Thinking in Leadership

According to this matrix, any thinking process in school leadership may be an integrative combination of types and levels of thinking. In Fig. 10.3, there are two examples to illustrate the *integrative upward multiple thinking* in school leadership. The first example (indicated by the larger triangle) represents the upward leadership thinking through integration of the economic, social, political, and cultural data and information to produce social and political knowledge and develop social intelligence of a school leader. The second one (indicated by the small triangle) represents the upward leadership thinking with integration of the political, cultural, and learning knowledge to develop cultural intelligence.

Integrative Downward Multiple Thinking in Leadership

In Fig. 10.4, two examples are provided to show the *integrative downward multiple thinking* in school leadership. The large triangle graphically represents the downward thinking of a leader that integrates the economic, social, political, cultural, and learning intelligences to conceptualize the related multiple knowledge and information and direct data collection for designing the action in the political domain. In other words, this downward multiple thinking in leadership covering five types
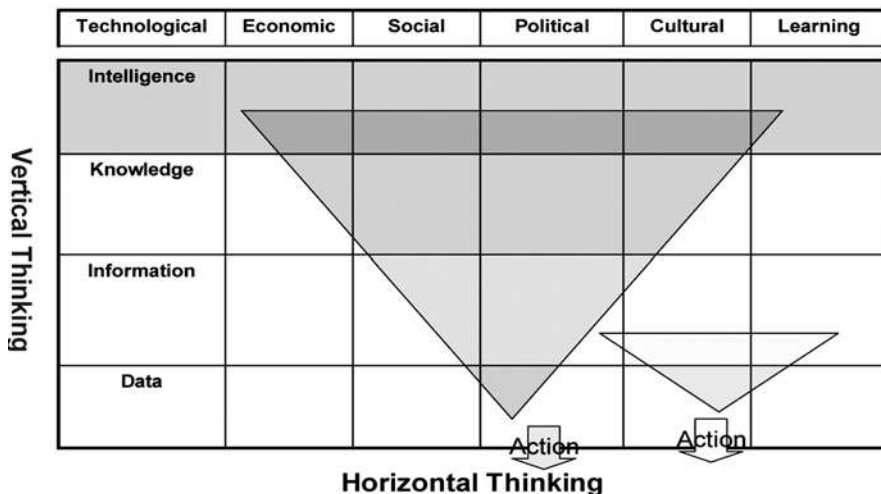
Fig. 10.4 Integrative downward multiple thinking in leadership (examples)

and four levels is used to direct and design a political leadership action to pursue *political school development*. The second example (indicated by the small triangle) represents the thinking of a leader that integrates the political, cultural, and learning information to guide data collection for designing leadership action or school action in the cultural domain.

Multiple Thinking Styles of School Leadership

To different school leaders in different contexts, the characteristics of involved multiple thinking styles in leadership in pursuit of school development and effectiveness may be different. Some school leaders' multiple thinking style may be mainly at the data and information levels and may rarely go into the knowledge or intelligence levels. Their thinking styles bounded by data and information tend to be a style of "*superficial multiple thinking*" that can contribute only to operational adaptation or behavioral change of the leaders or their schools. Figure 10.5 gives an example of the profile of a superficial multiple thinking style of a leader that involves technological, economic, social, cultural, and learning thinking mainly at the data and information levels in the leadership action process. No thinking in the leadership action reaches at the knowledge and intelligence levels.

If a school leader's multiple thinking style in action goes beyond the data and information levels and reaches mainly at the knowledge and intelligence levels, it is a style of "*deep multiple thinking*" that can contribute to the changes in the mindset of the leader. Figure 10.6 illustrates an example of the profile of a leader's
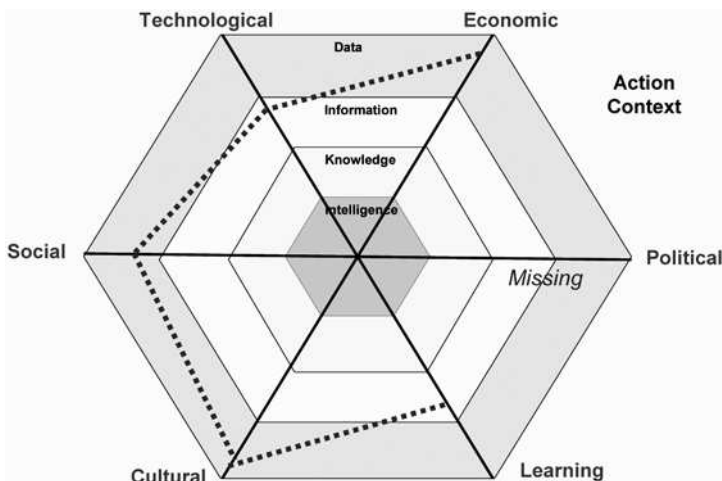
Fig. 10.5 Profile of superficial multiple thinking style of a leader (example)
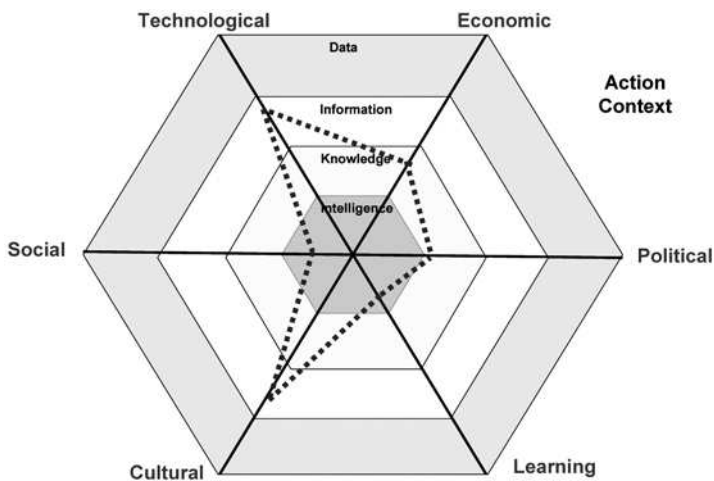
Fig. 10.6 Profile of deep multiple thinking style of a leader (example)

deep multiple thinking style with the economic, social, political, and learning think-ing reaching at the knowledge and intelligence levels and only technological and cultural thinking at the data and information levels.

As a whole, the profiling shown in Figs. 10.5 and 10.6 provides an illustrative and comprehensive method to demonstrate the profiles of various styles of thinking in school leadership for sustainable development. With these mapped profiles, the leaders can have a better and comprehensive understanding of the characteristics of multiple thinking styles used in their action cycles and then they can modify their

thinking style to pursue deeper thinking for effective leadership and school action. For example, knowing the profile of superficial multiple thinking in leadership as mapped in Fig. 10.5, the school leaders may need to redress the missing political thinking and enhance the levels of economic, technological, social, cultural, and learning thinking toward the knowledge and intelligence levels.

Hierarchy of Creativity in School Leadership

Creativity in thinking and action for personal or organizational effectiveness is increasingly emphasized in nearly every sector of a society in facing the challenges of globalization and knowledge-based economy (Andriopoulos, 2001; Education Commission, 2000a,b). But unfortunately, the conception of creativity and its relationship with thinking are quite vague and controversial (Sternberg, 2000; Petrowski, 2000).

In the framework of CMT, intelligence, knowledge, information, and data are crucial in both thinking and action of school leaders. Therefore, creativity in school leadership should be fundamentally related to the creation of intelligence, knowledge, information, and data. Similar to the hierarchy of thinking, there is a *hierarchy of creativity* in leadership with creation of data at the bottom level (first-order creativity), creation of information and knowledge at the middle levels (second- and third-order creativity), and creation of intelligence at the top level (fourth-order creativity), as shown in Fig. 10.7. This hierarchy also represents the extent of cognitive complexity and sophistication of creativity in school leadership. It means that creation of data and information is not as cognitively complex and sophisticated as creation of knowledge and intelligence in leadership.
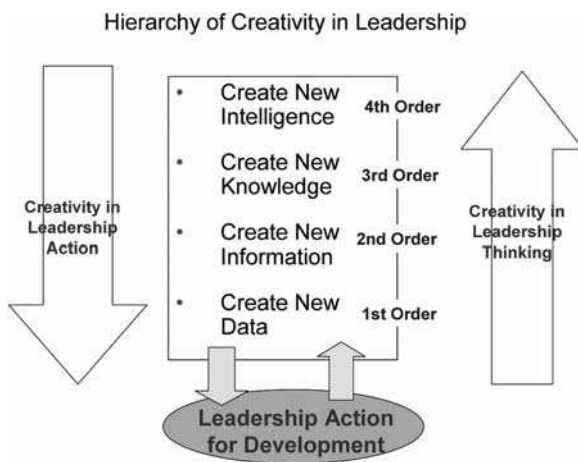
Fig. 10.7 Hierarchy of creativity in school leadership

Creativity in Thinking and Action of Leadership

There are two types of creativity in leadership: creativity in thinking and creativity in action of leadership as shown in Fig. 10.6. *Creativity in leadership thinking* refers to the leader's ability to create new data, new information, new knowledge, or/and new intelligence in the thinking process of leadership. Particularly it often occurs in the upward thinking. *Creativity in leadership action* refers to the leader's ability to create new application of data, information, knowledge, or/and intelligence to informing or producing new leadership action for school development. It often happens in downward thinking.

Single Creativity in School Leadership

When the consideration of creativity in school leadership involves each of the six key domains of thinking, there may be six categories of creativity including *technological creativity, economic creativity, social creativity, political creativity, cultural creativity,* and *learning creativity.* The creativity based on one domain may be called as *single creativity.* For example, *technological creativity in leadership thinking* is related to the leader's ability of creating new data, new information, new knowledge, or new intelligence only within the technological domain. And, *technological creativity in leadership action* refers to the leader's ability of creating new application of data, information, knowledge, and intelligence to informing and designing new action only within the technological domain.

Dual Creativity in School Leadership

When the consideration of creativity in leadership involves two domains of thinking, such creativity may be called as *dual creativity.* Similarly, we can define *dual creativity in leadership thinking* as the leader's ability of creating new data, new information, new knowledge, and new intelligence with integration of two domains (e.g., economic and political domains) (see Fig. 10.8). And, *dual creativity in leadership action* is defined as the leader's ability of creating new application of data, information, knowledge, and intelligence from the two domains (e.g., economic and political domains) to informing and designing new action to sustain school development.

Clearly, the dual creativity involves the data, information, knowledge, and intelligence not only from two domains but also their integration between these two domains. With this integration, more opportunities and possibilities can be available to create new data, information, knowledge, and intelligence and to inform new action. Therefore, dual creativity may be more powerful, complicated, and sophisticated than the single creativity in leadership. For example, the dual creativity with the economic and social domains is "economic–social creativity" that may be more
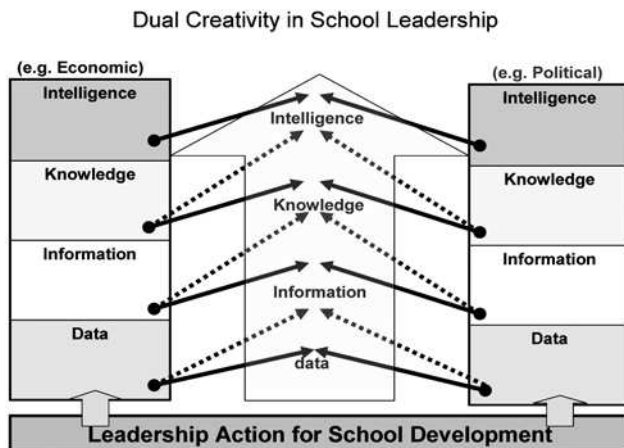
Fig. 10.8 Dual creativity in school development (example)

powerful and sophisticated than the economic creativity or social creativity alone. Similarly, we can have "economic–cultural" creativity, "economic–political" creativity, "economic–technological" creativity, "economic–learning" creativity, and other types of dual creativity through combinations of two domains of thinking in leadership.

Multiple Creativity in School Leadership

The above conception of dual creativity involving two domains can be further expanded to three or above domains as *multiple creativity in school leadership* for pursuing sustainable school development. *Multiple creativity in leadership thinking* refers to the leader's ability of creating new data, new information, new knowledge, and new intelligence with integration of multiple domains (i.e., three or above domains) in leadership. And, *multiple creativity in leadership action* is defined as the leader's ability of creating new application of data, information, knowledge, and intelligence from multiple domains (i.e., three or above domains) to informing and designing new action for school effectiveness and development.

Creativity by Thinking Transfer in School Leadership

There are four kinds of thinking transfer, including *intelligence transfer, knowledge transfer, information transfer,* and *data transfer* from one type to another type of thinking. Each kind of thinking transfer represents a kind of creativity, from which new data, new information, new knowledge, or new intelligence can be created. As the example shown in Fig. 10.9, the data of the technological domain
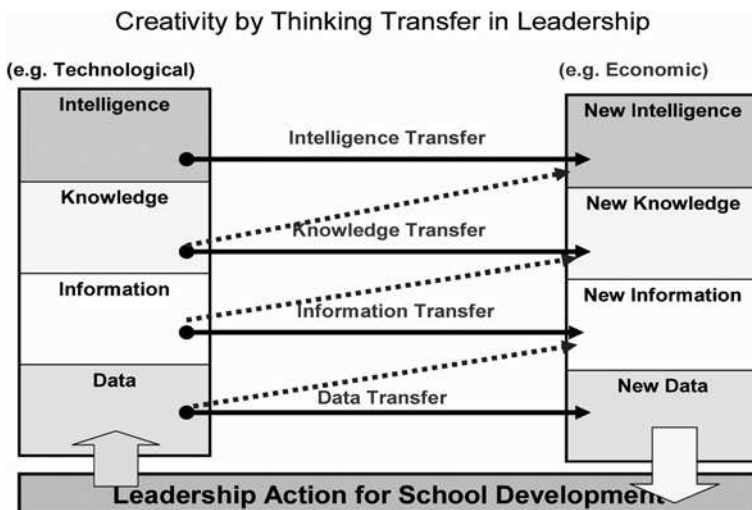
Fig. 10.9   Creativity in leadership by thinking transfers (example)

(e.g., technological data of an instructional innovation) can be transferred or converted to create new data and new information for the economic domain (e.g., the data of cost-effectiveness in using educational resources). Similarly, the information, knowledge, and intelligence of the technological domain can be transferred to create new information, new knowledge, and new intelligence of the economic domain such that a school leader can have a higher level of economic effectiveness in leadership.

In order to enhance creativity or promote creative thinking in school leadership, it is now not so rare that the rationality and ideology of one type of leadership thinking are transferred to another type of leadership thinking. Given the tremendous impacts of technology and economy in the new era of globalization, the technological rationality (in terms of methodological effectiveness, technological engineering, technical optimization, goal achievement) and economic rationality (in terms of efficiency, cost–benefit, economic optimization, and resources management) are often transferred and diffused into the thinking of social, political, and even cultural issues and create new knowledge, new perspectives, and often new alternatives to tackle these issues.

Creativity in leadership by thinking transfer is not limited to the transfer between two domains. It is also possible for *creativity by thinking transfer among multiple domains*, for example, thinking transfer from three domains to one domain. To a certain extent, the above-mentioned multiple creativity in leadership is a broad type of thinking transfer among multiple domains.

In brief, the above conceptions of multiple creativity and thinking transfer derived from the typology of CMT can provide a new paradigm for understanding and development of creativity in leadership for pursuing and sustaining school development and effectiveness.

Conclusions and Implications

The paradigm of CMT in leadership provides a new perspective to understand the complicated and multiple nature of leadership for sustainable school development and effectiveness. From this paradigm, some key implications can be drawn for practice and development of school leadership in a fast changing environment as follows:

Applying Basic Thinking Strategies with Typology of CMT in Leadership

The typology of CMT provides a systematic spectrum of thinking alternatives for school leaders to consider their leadership thinking for sustainable school development in different contexts and then plan the thinking strategies during the leadership process. In general, the basic thinking strategies may include the following:

a. *Single-type thinking strategy*: As illustrated previously, depending on the context in which concerns of one domain (e.g., concerns of cost–benefit, economic values) are most salient and significant, only one type of thinking (e.g., economic thinking) is adopted during the whole leadership action;
b. *Dual-type thinking strategy*: When the context is a little bit complicated, involving the concerns of two key domains (e.g., diversities and conflicts among constituencies in a context full of ambiguities and uncertainties), two corresponding types of thinking (e.g., political and cultural domains) can be used in the leadership action;
c. *Multiple-type thinking strategy*: When the context is complicated with multiple concerns in different domains or the school leaders are not sure what concerns are so salient, a combination of multiple types of thinking (e.g., three or more types) may be used to start as an exploration in the first cycle of leadership learning. After the first cycle or a few cycles with more understanding of interactions with the context, the school leaders may change the combination with more or less types of thinking if necessary.

The more types involved the more comprehensive the thinking is for school leadership to pursue school effectiveness. If all types of thinking are involved in leadership, we may call it "*total thinking in leadership*" that can provide a full range of consideration of technological, economic, social, political, cultural, and learning issues and related factors that contribute to the leadership process and school action. In general, the more types of thinking involved, the more time, effort, knowledge of the school leaders required. Therefore, a preliminary review or analysis of the context with multiple perspectives is necessary to see what concerns are particularly salient in the context and then decide what thinking strategies and what combinations in school leadership should be used to address these concerns on school

effectiveness and development in such a context. The change in thinking strategies may be quite natural after receiving more feedback and having more understanding about the process and impact of school leadership and action. It is important that the school leaders be trained to have a clear understanding of the typology of multiple thinking and knowhow to apply it in different leadership contexts.

Applying Upward and Downward Thinking in Leadership

The hierarchy of thinking in school leadership including the key levels of thinking from data, information, knowledge to intelligence provides a simple but powerful means to illustrate the nature of leadership thinking process and direct its practice no matter whether it is one type of thinking or multiple types of thinking. Both upward thinking (from action, data, and information to knowledge and intelligence) and downward thinking (from intelligence and knowledge to data, information, and action) are important and necessary to form the whole cycle of school leadership for enhancing school development and improving school practice. It means that the school leaders need to have the ability to conduct upward thinking that can contribute to the development of their intelligence from the analysis and management process of data, information, and knowledge got from the action. At the same time, the leaders also need to have the ability to perform downward thinking that aims at the successful improvement or implementation of the action through application of the leadership intelligence and related knowledge, information, and data.

In brief, how school leaders can be developed to have the above leadership ability of upward thinking and downward thinking in pursuing school effectiveness and development is a new area for professional education and training in the coming years.

Applying the CMT Matrix and Profiling CMT Styles in Leadership

The matrix of CMT, composed of vertical thinking across the four levels from data to intelligence and horizontal thinking across the six types of thinking from technological to learning thinking, further yields a more comprehensive and sophisticated framework of thinking patterns of school leadership for practice, development, and research.

The concepts of integrative multiple thinking (including upward and downward) in leadership can facilitate the application of CMT across levels and types in the complicated reality. With the integrative upward thinking, the school leaders can enhance their leadership intelligence and knowledge in one or more domains through the integration of multiple data and information across technological, economic, social, political, cultural, and learning domains. With the integrative downward thinking in leadership, the leaders can design or improve their action

for school development even in one domain through the integration of their multiple intelligence and related multiple knowledge, information, and data.

The various styles of multiple thinking in school leadership can be mapped through profiling in terms of four levels of thinking and six types of thinking. This profiling method can provide a very illustrative and powerful way to diagnose and study the strengths and weaknesses of CMT styles of a school leader in practice. With the mapped profiles, remedial training or action can be organized to redress the weaknesses and reinforce the strengths at the concerned levels or types in next cycles of leadership action.

From the above discussion, a number of research questions may be proposed for future research and development with aims at promoting multiple thinking in school leadership, as follows:

– To what extent the proposed typology of CMT in school leadership is empirically valid and practical in the reality of pursuing the sustainability of school development? Any other missing domains that should be included?
– How the levels and types of leadership thinking in the matrix of CMT should be measured, classified, and studied quantitatively or qualitatively?
– What profiles of CMT styles of a school leader can be considered as ineffective, effective, or appropriate in sustaining school effectiveness, given the various constraints in leadership contexts? Is deep thinking in school leadership across all six domains practically necessary or possible in all circumstances in limited time frames and resources for leadership thinking and for sustainable school development?
– How can the mapped profiles of superficial thinking style of a school leader be improved and enhanced toward deep thinking style? To improve all weak domains at the same time or to improve them one by one? Would there be any interactions between profiles of thinking style and pre-existing characteristics of school leaders in maximizing leadership effectiveness? If yes, what implications will be for education and training of school leaders?

Applying the Hierarchy of Creativity in Thinking and Action

The new conceptions of creativity together with the typology of CMT in school leadership can provide a systematic framework to conceptualize various approaches to enhancing creativity in leadership for school development, including the single creativity approach, dual creativity approach, multiple creativity approach, and thinking transfer approach.

In general, the single creativity approach encourages enhancing the leader's creativity to a higher level within only one domain through the following methods: (a) from creation of data and information to creation of knowledge and intelligence and (b) from new application of data and information to new application of knowledge and intelligence. The dual creativity approach adopts similar methods but it is

based on two key domains instead of one domain. The multiple creativity approach is more comprehensive, involving three or more domains in creation of new data, information, knowledge, and intelligence from action or creation of new applications in leadership action. Enhancing creativity in school leadership by the thinking transfer between two domains or among multiple domains is also a powerful and practical approach that should be encouraged in pursuing sustainability of school development.

The above theoretical framework of multiple thinking and creativity in school leadership can provide a new paradigm in both academic and professional fields for conceptualizing research and development on the practice, effectiveness, and development of school leadership in pursuing sustainable school effectiveness and development. It can also benefit the ongoing efforts of promoting continuous leadership learning and organizational learning in schools in different parts of the world in facing challenges in a new era of globalization and transformation.

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Chapter 11
Realising the Potential of System Leadership[1]

David Hopkins

Abstract Traditional leadership and management approaches are well able to accommodate technical problems. The future, however, is about solving problems for which there is no immediate solution and then to build the capacity for sustaining this into the medium and long term. This requires leadership of a different order.

The literature on leadership has mushroomed in recent years as have leadership courses and qualifications. All seem to have a slightly different take on leadership and claims on truth which I for one find a little confusing. In this chapter I will set out an approach to leadership, which I am calling 'system leadership' that accommodates the arguments for sustainable educational transformation. So, the purpose of this chapter is to

– propose a definition and elaborate the concept of system leadership;
– explore how system leaders can utilise the diversity within the system to create a new educational landscape;
– conclude by proposing a model for system leadership that incorporates 'a theory of action'.

Traditional leadership and management approaches are well able to accommodate technical problems. The future, however, is about solving problems for which there is no immediate solution and then to build the capacity for sustaining this into the medium and long term. This requires leadership of a different order.

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Defining and Conceptualising System Leadership

'System leaders' are those head teachers who are willing to shoulder system leadership roles: who care about and work for the success of other schools as well as their own. In England there appears to be an emerging cadre of these head teachers who stand in contrast to the competitive ethic of headship so prevalent in the 1990s. It is these educators who by their own efforts and commitment are beginning to transform the nature of leadership and educational improvement in this country. Interestingly there is also evidence of this role emerging in other leading educational systems in Europe, North America and Australia (Pont et al., 2008).

In terms of the argument here, this leads me to a simple proposition:

> If our goal is 'every school a great school' then policy and practice has to focus on system improvement. This means that a school head has to be almost as concerned about the success of other schools as he or she is about his or her own school. Sustained improvement of schools is not possible unless the whole system is moving forward.

Our recent research on system leadership began to map the system leadership landscape (Hopkins and Higham, 2007). It identified significant amounts of system leadership activity in England, far more than previously expected. However, we are still in the process of charting the system leadership movement as we work inductively from the behaviours of the outstanding leaders we are privileged to collaborate with. From all these evidence we can provide a sketch of some of the key aspects of the role:

– The moral purpose of system leadership
– System leadership roles
– System leadership as adaptive work
– The domains of system leadership

The first thing to say is that system leadership as Michael Fullan (2003, 2005) has argued is imbued with *moral purpose*. Without that, there would not be the passion to proceed or the encouragement for others to follow. In England, for example, where the regularities of improvement in teaching and learning are still not well understood, where deprivation is still too good a predictor of educational success and where the goal is for every school to be a great school, the leadership challenge is surely a systemic one. This perspective gives a broader appreciation of what is meant by the moral purpose of system leadership.

I would argue therefore that system leaders express their moral purpose through

1. measuring their success in terms of improving student learning and increasing achievement and strive to both raise the bar and narrow the gap(s);
2. being fundamentally committed to the improvement of teaching and learning. They engage deeply with the organisation of teaching, learning, curriculum and assessment in order to ensure that learning is personalised for all their students;
3. developing their schools as personal and professional learning communities, with relationships built across and beyond each school to provide a range of learning experiences and professional development opportunities;

4. striving for equity and inclusion through acting on context and culture. This is not just about eradicating poverty, as important as that is. It is also about giving communities a sense of worth and empowerment;
5. realising in a deep way that the classroom, school and system levels all impact on each other. Crucially they understand that in order to change the larger system you have to engage with it in a meaningful way.

Although this degree of clarity is not necessarily obvious in the behaviour and practice of every head teacher, these aspirations are increasingly becoming part of the conventional wisdom of the best of our global educational leaders.

Second, it is also pleasing to see a variety of *system leader roles* emerging within various systems that are consistent with such a moral purpose. At present, in England, these are (Hopkins and Higham, 2007) the following:

– Developing and *leading a successful educational improvement partnership* between several schools, often focused on a set of specific themes that have significant and clear outcomes that reach beyond the capacity of any one single institution. These include partnerships on curriculum design and specialisms, including sharing curricular innovation to respond to key challenges; 14–19 consortia; behaviour and hard to place students. While many such partnerships currently remain in what is commonly referred to as 'soft' organisational collaboratives, some have moved to 'harder' more fomalised arrangements in the form of (co)federations (to develop stronger mechanisms for joint governance and accountability) or Education Improvement Partnerships (to formalise the devolution of certain defined delivery responsibilities and resources from their Local Authority).
– Choosing to *lead and improve a school in extremely challenging circumstances* and change local contexts by building a culture of success and then sustaining once low-achieving schools as high-valued added institutions.
– *Partnering another school facing difficulties and improve it*, either as an Executive Head of a federation or as the leader of a more informal improvement arrangement. Such system leadership is differentiated from category 1 on the basis that leaders here work from a lead school into a low-achieving or underperforming school (or schools) that require intervention. As evidenced by our earlier research on Executive Heads for the NCSL, and the College's subsequent advice on complex schools to the Secretary of State, 'there is a growing body of well-documented evidence from around the country that, where a school is in serious trouble, the use of an executive head teacher/partner head teacher and a paired arrangement with that head's successful school, can be a particularly effective solution, and is being increasingly widely applied' (NCSL 2005, p. 3).
– Acting as a *community leader* to broker and shape partnerships and/or networks of wider relationships across local communities to support children's welfare and potential, often through multi-agency work. Such system leadership is rooted firmly within the context of the national ECM and Children agendas and responds to, as Osborne (2000, p. 1) puts it, 'the acceptance [that] some . . . issues are so

complex and interconnected that they require the energy of a number of organizations to resolve and hence can only be tackled through organizations working together (p. 1). . . . The concept of [a] full-service school where a range of public and private sector services is located at or near the school is one manifestation (p. 188)'.

– Working as a *change agent* or expert leader within the system, identifying best classroom practice and transferring it to support improvement in others schools. This is the widest category and includes

  a. heads working as mentor leaders within networks of schools, combining an aspiration and motivation for other schools to improve with the practical knowledge and guidance for them to do so;
  b. heads who are active and effective leaders within more centrally organised system leadership programmes, for instance within the Consultant Leader Programme, School Improvement Partners (SIP) and National Leaders of Education (NLE); and
  c. heads who with their staff purposely develop exemplary curricula and teaching programmes either for particular groups of students or to other schools and settings.

These roles could be divided into formal roles that are developed through national programmes and have clear protocols set out in their guidance (for instance, Consultant Leaders; SIPs; NLEs such as curriculum and pedagogy innovators); and informal that are locally developed and are far more fluid, ad hoc and organic. However, this flexibility is often an important part of how these system leadership roles have come about.

The formal and informal roles hold a very significant potential to effect systemic educational improvement. If a sufficient cadre of system leaders were developed and deployed, there would be

– a wider resource for school improvement: making the most of our leaders to transfer best practice and reduce the risk of innovation and change focused on attainment and welfare;
– an authentic response to failing schools (often those least able to attract suitable leaders);
– a means to resolve the emerging challenge of, on the one hand, falling student rolls and hence increasingly non-viable schools and, on the other hand, pressures to sustain educational provision in all localities;
– a sustainable and internal strategy for retaining and developing head teachers as a response to the shortage we are currently facing. A recent survey by the General Teaching Council (2006) warned that 40% of head teacher posts will be filled with difficulty in the coming years.
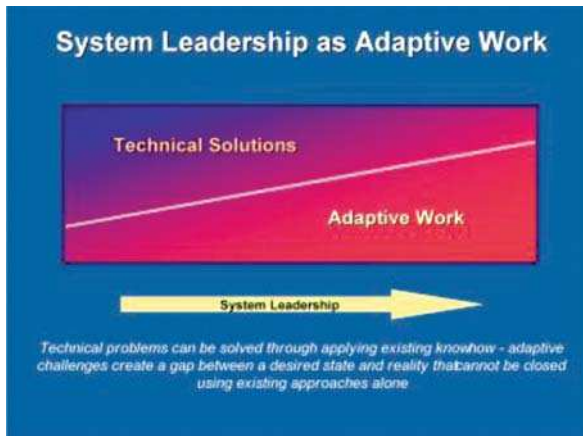
No doubt these roles will expand and mature over time; but what is significant about them is that they have evolved in response to *the adaptive challenge of system change*. This is the third of the aspects we need to discuss. It was Ron Heifetz (1994) who focussed attention on the concept of an adaptive challenge. An adaptive challenge is a problem situation for which solutions lie outside current ways of operating. This is in stark contrast to a technical problem for which the know-how already exists. This distinction has resonance for educational reform. Put simply, resolving a technical problem is a management issue; tackling adaptive challenges however requires leadership. Often we try to solve technical problems with adaptive processes or more commonly force technical solutions onto adaptive problems. Figure 11.1 captures this distinction and illustrates how this issue underpins the policy conundrum of making the transition from prescription to professionalism and emphasises the importance of capacity building.

Almost by definition, adaptive challenges demand learning as progress here requires new ways of thinking and operating. In these instances it is 'people who are the problem'; because an effective response to an adaptive challenge is almost always beyond the current competence of those involved. Inevitably this is threatening, and often the prospect of adaptive work generates heat and resistance.

Mobilising people to meet adaptive challenges is at the heart of leadership practice. In the short term leadership helps people meet an immediate challenge. In the medium to long term leadership generates capacity to enable people to meet an ongoing stream of adaptive challenges. Ultimately, adaptive work requires us to reflect on the moral purpose by which we seek to thrive and demands diagnostic enquiry into the realities we face that threaten the realisation of those purposes.

The fourth issue is what are the '*domains of system leadership*', what does the task involve? One of the clearest definitions is the four core functions proposed by Ken Leithwood and his colleagues (2009). These are the following:

– *Setting Direction*: to enable every learner to reach their potential and to translate this vision into whole school curriculum, consistency and high expectations.
– *Managing Teaching and Learning*: to ensure that there is both a high degree of consistency and innovation in teaching practices to enable personalised learning for all students.
– *Developing People*: to enable students to become active learners and to create schools as professional learning communities for teachers.
– *Developing the Organisation*: to create evidence-based schools and effective organisations and to be involved in networks collaborating to build curriculum diversity, professional support, extended services.

This outline stands up well when it is tested against existing approaches to school leadership that have had a demonstrable impact on student learning. Take, for instance, Richard Elmore's (2004: 66) definition of the leadership purpose:

> Improvement, then, is change with direction, sustained over time, that moves entire systems, raising the average level of quality and performance while at the same time decreasing the variation among units, and engaging people in analysis and understanding of why some actions seem to work and others don't.

> Leadership is the guidance and direction of instructional improvement. This is a deliberately de-romanticised, focussed and instrumental definition.

This definition of leadership underpins Elmore's (2004: 68) further contention that '*the purpose of leadership is the improvement of instructional practice and performance*' and its four dimensions:

– instructional improvement requires continuous learning;
– learning requires modelling;
– the roles and activities of leadership flow from the expertise required for learning and improvement, not from the formal dictates of the institution;
– the exercise of authority requires reciprocity of accountability and capacity.

My own work with schools in England represents a similar logic to school improvement and reflects the argument developed in the last few chapters. This as Elmore has proposed is the crucial domain of system leadership. Figure 11.2 contains an illustration of the activities that contribute to a capacity for learning within a school and that are facilitated, established and energised by system leaders. It represents an attempt to capture how schools establish a 'learning focus' and how a number of the elements of school improvement come together in practice. It begins from two assumptions. The first is that *all students* have a *potential for learning* that is not fully exploited (line 1). The second is that is that the students' learning capability refers to their ability to access that potential through *increasing their range of learning skills* (line 2). This potential is best realised and learning capability enhanced through the range of *teaching and learning models* that the teacher uses with her/his students (line 3). It is the deliberate use of a range of teaching and learning strategies that are rich in meta-cognitive content that is one of
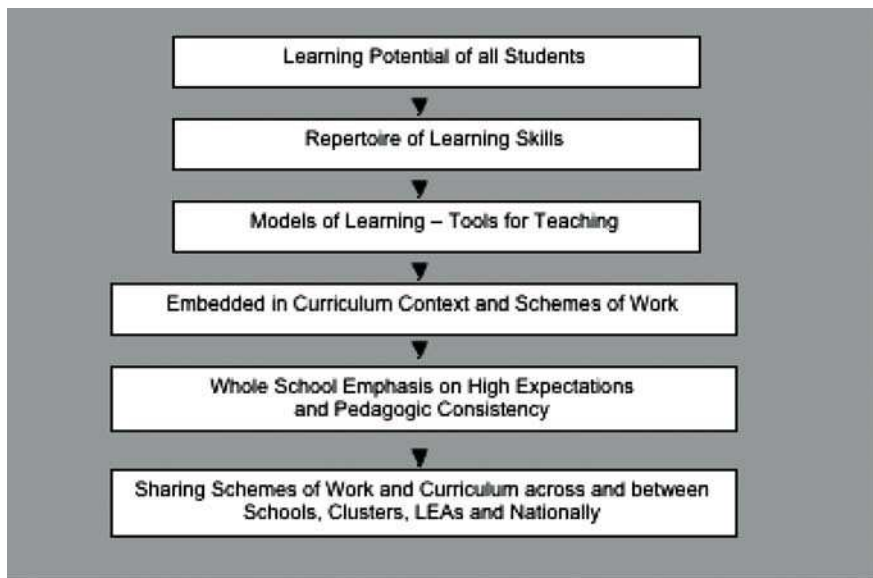
Fig. 11.2   The logic of school improvement

the richest features of personalised learning. But as has already been stressed, the teaching and learning strategies are not 'free-floating', but *embedded in the schemes of work and curriculum content* that teachers use to structure the learning in their lessons (line 4). This leads to the whole school dimension through the staff development infrastructure the school has established, the *emphasis on high expectations*, the careful attention to consistency of teaching and the discussion of pedagogy that pervades the culture of the school (line 5). It is these forms of internal collaboration on personalised learning and 'professional' teaching that enable schools to *network* in order to raise standards across local areas, nationally and even globally (line 6).

Finally, while it is true that 'system leadership' is a relatively new concept, it is one that is not only fit for purpose but also finds a resonance with the outstanding school leaders of the day. It is also not an academic or theoretical idea, but has developed out of the challenges that system reform is presenting us with and the thoughtful, pragmatic and morally purposeful responses being given by our leading principals and heads. Ultimately, the test of system leadership is twofold – Is it having an impact where it matters? And, can our school leaders answer the hard questions? Let us briefly answer each question in turn.

There is now growing evidence in the English secondary school system that this approach to system leadership is having a positive impact. Three examples make the point:

– Waverley School, under leadership of Sir Dexter Hutt from Ninestiles, improved from 16% 5 A-Cs at GCSE in 2001 to 62% in 2004.

– Sir Michael Wilshaw has instilled excellent behaviour, a focus on teaching and learning, and high expectations at Mossbourne Academy which is also having wider impact in the community.
– Valley Park School, under the leadership of Sue Glanville, improved from 31% 5A*-C in 2004 to 43% in 2005. The lead school, Invicta Grammar, also benefited by developing its leadership team and curriculum offer.

Although these results are very encouraging, they do not claim to be comprehensive. Our research programme, however, is beginning to build the evidence base more systematically (see, for example, Hopkins and Higham, 2007).

As regards to the hard questions, Michael Barber (2005) phrases them like this:

– Who are your key stakeholders in the local community? Do they understand your vision? Are they committed to it? How do you know?
– Have you established a core belief that every pupil (yes, every pupil) can achieve high standards? And then have you reorganised all the other variables (time, curriculum, teaching staff, and other resources) around the achievement of that goal? If not, why not?
– Is each pupil in your school working towards explicit, short- and medium-term targets in each subject?
– Does each teacher know how his/her impact in terms of results compares to every other teacher? Have you thought about whether governors or parents should have access to this data? And what do you do to make sure that teachers who perform below the top quartile are improving?
– How do you ensure that every young person has a good, trusting relationship with at least one significant adult in your school?
– What do you and your school do to contribute to the improvement of the system as a whole?

These are the types of questions that the best system leaders test themselves against and are now comfortable with. When all our school leaders can do so, then surely we are well on our way to every school being a great school.

Segmentation and System Leadership

The reason why reform efforts struggle to achieve a system-wide impact is because change is complicated by the high degree of segmentation within the school system. It is here where system leadership can have its most powerful effect. In all countries there are large groups of schools at varying stages of the performance cycle between low and high performing. For every school to be great we need to move to a new trajectory through using this diversity to drive higher levels of performance throughout the system. System transformation depends on excellent practice being developed, shared, demonstrated and adopted across and between schools.

It is important to realise, however, that this aspiration of system transformation being facilitated by the degree of segmentation existing in the system only holds when certain conditions are in place. There are two crucial aspects to this:

– First, there is increased clarity on the nature of intervention and support for schools at each phase of the performance cycle.
– Second, schools at each phase are clear as to the most productive ways in which to collaborate in order to capitalise on the diversity within the system.

The following discussion reflects experience in the English secondary school system, but the analysis is designed to have a more general applicability. There are probably six clearly identifiable levels of performance within the current structure of English secondary schools that are recognised by both statisticians and those tasked with improving schools. These six school types when taken together comprise the full range of the secondary school performance cycle. They, together with their key strategies for improvement, are the following:

– *Leading schools* (possibly 10% of secondary schools) – these are the highest performing schools that also have the capacity to lead others. Their route to further improvement and contribution to the system comes in at least two forms: first, becoming leading practitioners through disseminating best practice and networking; and second, through working more formally and systematically with lower performing schools through some 'federation' arrangement to improve the partner school's performance.
– *Succeeding, self-improving schools* (possibly 20% of secondary schools) – these are schools that have consistently above average levels of value-added and that exhibit aspects of best practice that will benefit the system through further dissemination. Their route to further improvement and contribution to the system comes in networking their best practice in local networks using their leading teachers to mentor in other schools and to take students from local schools into their areas of specialism.
– *Succeeding schools with significant areas of underperformance* (possibly 20% of secondary schools) – these schools although successful on published criteria have unacceptable numbers of underperforming teachers or departments who are masked by the averaging out of published results. Their route to further improvement and contribution to the system comes on the one hand contributing as above to other schools from their areas of strength and being the recipients of such support in their weaker areas.
– *Underperforming schools* (possibly 25% of secondary schools) – defined as those secondary schools in their lowest value-added quartile of their distribution, who may have adequate or good headline results, but are consistently failing to add value to the progress of their students. Their route to further improvement is to use the data discussed with the School Improvement Partner (SIP) as a basis of a whole school raising standards plan. They will need sustained consultancy in the early stages of an improvement process from a school(s) with a similar intake, but

far higher value added using a modified version of the 'Federations intervention' described below.

– *Low-attaining schools* (possibly 20% of secondary schools) – defined as those secondary schools below the 30% A*-C GCSE floor target but with a capacity to improve. Their route to further improvement requires sustained support through some Federation arrangement or involvement, consultancy support through the National Strategies and possibly the application of an improvement grant.
– *Failing schools* (possibly 5% of secondary schools) – defined as being well below the floor target and with little capacity to improve. At a minimum these schools will require intervention in the form of a 'hard Federation' or membership of the Intensive Support Programme. If these strategies are not successful in the short term, then closure, Academy status or a school's competition is the only other answer in order to sustain adequate provision for the students involved.

A summary of this approach is set out in Table 11.1. In the right-hand column is a basic taxonomy of schools based on an analysis of secondary schools in England. The number of categories and the terminology will vary from setting to setting, the crucial point being that not all schools are the same and each requires different forms of support. It is this that is the focus of the second column, where a range of strategies for supporting schools at different phases of their development are briefly

Table 11.1 The six school types of English secondary schools and their key strategies for improvement

Type of School	Key strategies – responsive to context and need
Leading schools	• Become leading practitioners • Formalfederation with lower performing schools
Succeeding, self-improving schools	• Regularlocal networking for school leaders • Between-school curriculum development
Succeeding schools with internal variations	• Consistency interventions: such as Assessment for Learning • Subject specialist support to particular departments
Underperforming schools	• Linked school support for underperforming departments • Underperforming pupil programmes: catch up
Low-attaining schools	• Formal support in Federation structure • Consultancy in core subjects and best practice
Failing schools	• Intensive Support Programme • New provider such as an Academy

described. Again these descriptions are grounded in the English context, but they do have a more universal applicability. There are two key points here:

– The first is that one size does not fit all.
– The second that these different forms of intervention and support are increasingly being provided by schools themselves, rather than being imposed and delivered by some external agency. This approach to system transformation relies fundamentally on school to school support as the basis of the improvement strategy.

However, in order to be successful the segmentation approach requires a fair degree of boldness in setting system-level expectations and conditions. There are four implications in particular that have to be grappled with:

– All failing and underperforming (and potentially low-achieving) schools should have a leading school that works with them in either a formal grouping Federation (where the leading school principal or head assumes overall control and accountability) or in more informal partnership. Evidence from existing Federations in England suggests that a national system of federations would be capable of delivering a sustainable step-change in improvement in relatively short periods of time. For example, a number of 'federated schools', as has been seen, have improved their 5 A*-Cs at GCSE from under 20% to over 50% in 2 years.
– Schools should take greater responsibility for neighbouring schools so that the move towards networking encourages groups of schools to form collaborative arrangements outside of local control. This would be on the condition that these schools provided extended services for all students within a geographic area, but equally on the acceptance that there would be incentives for doing so. Encouraging local schools to work together will build capacity for continuous improvement at local level.
– The incentives for greater system responsibility should include significantly enhanced funding for students most at risk. Beyond incentivising local collaboratives, the potential effects for large-scale long-term reform include
○ a more even distribution of 'at-risk' students and associated increases in standards, due to more schools seeking to admit a larger proportion of 'at-risk' students so as to increase their overall income.
○ a significant reduction in 'sink schools' even where 'at-risk' students are concentrated, as there would be much greater potential to respond to the social-economic challenges (for example, by paying more to attract the best teachers; or by developing excellent parental involvement and outreach services).
– A rationalisation of national and local agency functions and roles to allow the higher degree of national and regional co-ordination for this increasingly devolved system.

These proposals have a combination of school- and policy-level implications. This is consistent with the phase of adaptive change the overall system is currently in. If we are to move towards a system based on informed professional judgement then capacity has to be simultaneously built at the school and system level as both schools and government learn new ways of working, establish new norms of engagement and build more flexible and problem-oriented work cultures. It is system leadership that has the power to maximise the energy latent in segmentation analyses such as this and to use it to ensure system transformation.

Towards a Model of System Leadership

We have seen glimpses in this chapter of a new educational landscape that is becoming better defined through a more systematic approach to segmentation and the power of system leadership. As the system leadership movement develops we will find a new model of leadership flowing inductively from the actions of our best educational leaders. In *Every School a Great School* (Hopkins, 2007) I made an initial attempt to capture the main elements of this emerging practice in the diagram below. As such, it obviously builds on the logic of the discussion on system leadership in this chapter. What is distinctive about the model is that the individual elements build on each other to present a theory of action for leadership in the new educational context.

Fig. 11.3 An emerging model of system leadership

The model exhibits a logic that flows from the inside-out. Here leaders, driven by a moral purpose related to the enhancement of student learning, seek to empower teachers and others to make schools a critical force for improving communities. It is premised on the argument made in this chapter that sustainable educational development requires educational leaders who are willing to shoulder broader leadership roles, who care about and work for the success of other schools as well as their own.

Let me briefly unpack the elements in the model. It begins in the centre with the acknowledgement that such forms of leadership are imbued with moral purpose in the way in which we defined it earlier. This though is necessary but not a sufficient condition. Although I am not a great believer in attributional or heroic theories of leadership, it is clear from the practice of our best system leaders that there is a characteristic set of behaviours and skills that they share. As illustrated in the next ring of the diagram these are of two types. First, system leaders engage in 'personal development', usually informally through benchmarking themselves against their peers and developing their skill base in response to the context they find themselves working in. Second, all the system leaders we have studied have a strategic capability, they are able to translate their vision or moral purpose into operational principles that have tangible outcomes.

As denoted in the third ring of the model, the moral purpose, personal qualities and strategic capacity of the system leader find focus on three domains of the school – managing the teaching and learning process, developing people and developing the organisation. These three aspects of system leadership have as we have seen a strong empirical base (Hopkins, 2007). To summarise very briefly, system leaders engage deeply with the organisation of teaching, learning, curriculum and assessment in order to personalise learning for all their students, reduce within school variation and support curriculum choice. In order to do this they develop their schools as personal and professional learning communities, with relationships built across and beyond each school to provide a range of learning experiences and professional development opportunities. They also realise that all this requires a robust and reliable school organisation and work towards achieving this.

Although there is a growing number of outstanding leaders that exemplify these qualities and determinations they are not necessarily 'system leaders'. A system leader not only needs these aspirations and capabilities but in addition, as seen in the outer ring of the model, strives for equity and inclusion through acting on context and culture and through giving their communities a sense of worth and empowerment. They do this by assuming one of the system leadership roles described earlier. Whatever the role, they realise as was said earlier, that in order to change the larger system they have to engage with it in a meaningful way.

So, in concluding, the purpose of this chapter has been to chart the emergence of a system leadership movement that can be increasingly clearly defined in terms of concepts, capacities, roles and strategy. What is exciting about the potential of such a movement is that the practices of system leadership will grow out of the future demands of system leaders. Consequently, moving system leadership to scale is the key driver in ensuring that every student reaches their potential and that every school becomes great. That is what school transformation is all about!

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Chapter 12
Preparing School Leaders – International Approaches in Leadership Development

Stephan Gerhard Huber

Abstract In view of the ever-increasing responsibilities of school leaders for ensuring the quality of schools, school leadership development has recently become one of the central concerns of educational policy. Based on data from an international study of school leadership development, an overview of international efforts to develop school leadership is given and international trends in school leadership preparation are identified and discussed, e.g. central quality assurance and decentralised provision; new forms of cooperation and partnership, preparatory qualification; extensive and comprehensive programs; multi-phase designs and modularisation; the communicative and cooperative shift; from administration and maintenance to leadership, change and continuous improvement; qualifying teams and developing the leadership capacity of schools; needs, experience and application orientation; new ways of learning; adjusting the program to explicit aims and objectives; new paradigms of leadership; orientation towards the school's core purpose. In addition, this gives a conclusion and provides recommendations for designing and conducting training and development programmes.

In view of the ever-increasing responsibilities of school leaders for ensuring and enhancing the quality of schools, school leadership has recently become one of the central concerns of educational policy makers. In many countries, the development of school leaders is high on the agenda of politicians of different political wings. At the beginning of the new century, there seems to be a broad international agreement about the need for school leaders to have the capacities required to improve teaching, learning and pupils' development and achievement. Looking more carefully, however, it is apparent that a number of countries have engaged more rigorously in this issue than others. While in some countries discussions of school leader development are mainly rhetoric, elsewhere concrete steps have been taken to provide significant

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development opportunities for school leaders. Hence, a closer examination of school leadership development opportunities in different countries is instructive.

The analysis in this chapter, draws on data from an international study of school leadership development programs (see Huber, 2004a). This project on school leadership development was based on analysing, comparing and discussing programs of 15 countries in Europe, Asia, Australia/New Zealand, and North America. The surveys the development models for school leaders in those countries. It describes international patterns in school leadership development and provides recommendations based on current trends. A broad variety of school leadership development approaches and models became apparent from this project. Second, the analysis is based on our experiences in developing program designs and in implementing training and development opportunities.

International Approaches

Table 12.1 summarises school leadership development models in 15 countries. It is meant to provide an accessible overview of predominant approaches in use across Europe, Asia, Australia, and North America.

Table 12.1 Overview of current approaches to develop school leaders

Europe
Denmark
Optional offers made by municipalities, universities and private suppliers without any central framework or delivery system
Sweden
A national preparatory program offered by universities through a basic course plus additional offers by the municipalities
England and Wales
A centrally organised program delivered by regional training centres; combines assessment and training with a competency-based and standards-driven approach; the program is embedded in a three-phase training model
France
A mandatory, centrally designed, intensive, full-time, half-year preparation program with internship attachment for candidates who have successfully passed a competitive selection process; completion guarantees a leadership position on probation (during which further participation in training is required)
The Netherlands
A broad variety of different optional preparatory and continuous development programs by different providers (e.g. universities, advisory boards, school leadership associations) in an education market characterised by 'diversity and choice'
Germany
Courses conducted by the state-run teacher training institute of the respective state, mostly after appointment; differs from state to state in terms of contents, methods, duration, structure and extent of obligation

Table 12.1 (continued)

Europe

Austria

Mandatory centrally designed, modularised courses post-appointment; delivered by the educational institute of each state; required for continued employment after 4 years

Switzerland

Quasi-mandatory, canton-based, modularised programs offered post-appointment; delivered by the respective provider of the canton, most often the teacher training institute, wherein the aim is nationwide accreditation (national standards are currently being developed)

South Tyrol, Italy

A mandatory program for serving school leaders to reach another salary level as becoming 'Diricente'; delivered by a government-selected provider that combines central, regional and small group events with coaching attachment

Asia

Singapore

A mandatory, centrally controlled, preparatory, 9-month, full-time program provided through a university; comprised of seminar modules and school attachments

Hong Kong, China

A centrally designed, mandatory, 9-day, content-based induction course immediately after taking over the leadership position

Australasia

New South Wales, Australia

An optional, modularised, three-phase program offered by the Department for Education; centrally designed, yet conducted decentralised via regional groups; besides there are offers by independent providers

New Zealand

A variety of programs with variation in contents, methods and quality; conducted by independent providers, but also by institutes linked to universities; no state guidelines, standards or conditions for licensure

North America

Ontario, Canada

Mandatory, preparatory, university-based, 1-year, part-time program delivered through several accredited universities following a framework given by the 'College of Teachers' (the self-regulatory body of the profession)

USA:
Washington
New Jersey
California

Mandatory, intensive, preparatory, 1-year, university programs that include extensive internship attachments; programs use a broad variety of instructional methods

In spite of differences in cultural and institutional traditions, the study's findings underpin a number of international patterns or tendencies in school leadership development seen from a global perspective. While some of them may be viewed as differences in emphasis, others may be so significant as they can be seen as

representing paradigm shifts. The largest differences are evident in those countries with longer experiences in school leadership development and school leadership research. In the following sections, these trends will be explored (for a full account, see Huber, 2004a).

International Trends

In spite of differences in cultural and institutional traditions, there are common tendencies and trends throughout these countries. Current trends and paradigm shifts in qualifying school leaders include the following:

– Central quality assurance and decentralised provision
– New forms of cooperation and partnership
– Dovetailing theory and practice
– Preparatory qualification
– Extensive and comprehensive programs
– Multi-phase designs and modularisation
– Personal development instead of training for a role
– The communicative and cooperative shift
– From administration and maintenance to leadership, change and continuous improvement
– Qualifying teams and developing the leadership capacity of schools
– From knowledge acquisition to creation and development of knowledge
– Experience and application orientation
– New ways of learning: workshops and the workplace
– Adjusting the program to explicit aims and objectives
– New paradigms of leadership
– Orientation towards the school's core purpose

Central Quality Assurance and Decentralised Provision of Programs

Regarding the provider or the mode of providing development opportunities, two major tendencies become apparent when comparing the historical development in the countries. On the one hand, the development of new, qualifying programs and suitable quality control measures are being more and more centrally implemented or handed over to a central (super-ordinate) institution. On the other hand, numerous decentralised providers, that are meant to meet local and regional needs, are then responsible for actually conducting the programs.

Centrally issued guidelines and standards are apt to provide fundamental quality assurance. Other instruments used for quality assurance include the accreditation of local providers and centralised participant certification. This provides teachers

Table 12.2 Centralisation and decentralisation of school systems and school leader development

		Approach to school leader development	
		Predominantly centralised or using standards or guidelines	Entrepreneurial
Level of central control over school management	Predominantly centralised	A France; South Tyrol; Austria; Germany; Hong Kong; Singapore	B
	Substantially devolved	C Ontario, Canada; USA*; NSW, Australia; Sweden; England and Wales; Switzerland	D Denmark; Netherlands; USA*; New Zealand

Double listing is due to differences in the approaches of the different states

intending to qualify for a leadership position with certain advantages. They can choose from a variety of providers and, at the same time, expect certain uniform basic standards. This, in turn, ensures a certain quality connected with the program and the acceptance of the degree or credential obtained by the government and the educational authorities or the respective employing committees. In addition to the state taking on the major role in certifying school leaders, an accreditation by the professional associations seems to be valued by the participants.

Since the central guidelines do not account for all the details of the programs, adequate freedom in developing the actual design of programs is left to the local providers. This results in increasing flexibility towards the participants' needs and provides better opportunities for cooperation with the local school authorities and the individual schools.

New Forms of Cooperation and Partnership

New arrangements concerning partnerships in numerous countries can be viewed as the second trend. These arrangements were created to conceive, implement, supervise, and evaluate school leader development programs. The most striking feature of this development, however, is the fact that representatives of the recruiting committees (either state or local), of the colleges of education at the universities, and more

and more representatives of the profession itself (predominantly from professional organisations, but also from local schools) are now included as well.

It becomes apparent that much of the coherence that characterises the new programs in these countries is due to this cooperation. These groups contribute a variety of perspectives concerning the essential content of the programs, the teaching strategies and learning methods, and the organisational and chronological conception of the programs; that is to say, their conception on a macro- and micro-didactic level.

It is the cooperation of these groups, especially in collaboration with universities, school boards and particular schools within the region, which supports field-based projects and school internships and enables the implementation of innovative approaches for adult learners.

These partnerships have also contributed to the creation of a pool of highly qualified and accredited or certified trainers in some countries. This, too, is important, since the credibility, the currency, and the current knowledge of trainers have been a matter of debate in several countries in the past, and the preparation of trainers is likely to become an increasingly important issue in the future.

Dovetailing Theory and Practice

Partnerships like these have also contributed to the next trend: the increasing combination of the theoretical and practical aspects of school leadership development, which is an important task that is difficult to achieve. It might sound axiomatically that theory has to be made accessible through practice and vice versa. Seemingly, it has never been easy to achieve both at the same time. In many of the countries investigated, it was perceived that either development programs emphasising theory were developed from those focusing on a more practical approach or that courses evolved from being theoretically oriented to experiences for practitioners by practitioners. Both models therefore seem to suffer from one-sidedness and do not seem to be attracting participants or leading to the expected increase in knowledge, understanding, skills and abilities. Only a more balanced model leads to participant satisfaction and is a suitable method to meet the participants' needs. It is thus safe to assume – although this aspect has not yet been investigated sufficiently – that dovetailing theoretical and practical aspects is essential for designing effective development programs which aim at changes in the participants' behaviours and dispositions through the process of teaching and acquiring knowledge. Admittedly, school leaders themselves seem to prefer what they refer to as practical experience and, at times, regard theoretically and academically oriented topics as less useful. It can be seen (see West et al., 2000), however, that they find it much easier to deduce general knowledge from their experiences and to use effective strategies when they have a theoretical conceptual framework that underpins their decisions and actions.

Theory and practical experiences are interdependent and therefore have to be developed together. The partnerships indicated above appear to be a suitable starting

point, since research is conducted alongside the development programs and can affect the development concepts. Hence, research-based training concepts are implemented. This connection requires partnerships between the individuals working at schools and those who research and study schools. This will more effectively link the work carried out in both areas. Mutual respect and collaboration between both groups are essential for this to occur.

Preparatory Qualification

Another shift observed in the international comparison concerns the target group and when training and development takes place. Many of the countries included in the study offer pre-service preparation, that is training scheduled before taking over a position of school leadership, instead of relying solely on in-service induction, that is training once one has been appointed to a leadership position.

In the countries that have mandatory preparatory qualifications, participation in the program is an important selection criterion for future employment as a school leader. However, successful completion of a preparation program does not automatically guarantee employment in a leadership position. In countries where preparation programs are optional, there is a growing tendency among employing bodies towards expecting some preparation for the position or requiring applicants to complete in-service training immediately after appointment but before taking over the leadership position. This tendency is certainly matched by an increasing understanding of the central importance of school leadership for effective schools.

Additionally, pre-service training offers the chance of self-evaluation and of assessing one's own interests and strengths. As a kind of orientation process, it may help to decide on one's next career stage more consciously. Participants who may not achieve a leadership position at the end of the program are then looked upon as resources for professional development and change agents in their schools and may be involved in both leadership and management activities, especially as shared or distributed forms of leadership and management becomes inevitable.

More and more countries are thinking about offering preparatory courses in addition to their already existing induction programs as they move away from the concept that the school leader is nothing more than a teacher with a few extra responsibilities, a position which is associated with the phrase '*primus inter pares*'. This mirrors a prevailing view of 'school leadership' as a profession in its own right that requires a shift of perspective in the knowledge, skills and dispositions that school leaders need.

In many countries, school leaders must meet centralised qualifications and have preparatory training, as a *conditio sine qua non*. This may be regarded as a kind of paradigm shift in the view of school leadership and leadership development because it supports an increased recognition for the importance of specific (and often extended) training and its central part in adequately qualifying candidates for their new leadership role.

Table 12.3 Timing in participants' career and nature of participation

	Preparatory	Induction
Mandatory	A Ontario, Canada; USA; France; Singapore	B Germany*; Austria; Switzerland*; South Tyrol; Hong Kong
Optional	C England and Wales; Netherlands; NSW, Australia; New Zealand	D Denmark; Sweden; Germany*; Switzerland*

*Double listing due to differences in the approaches of the German 'Laender' or Swiss 'Kantone'

In countries that have mandatory preparation (see Table 12.3, cell A), taking part in the program is an important selection criterion for future employment as a school leader. For example, France has a unique interrelation of selection, training and appointment. Here, successful completion of the competitive 'Concours' makes it possible to participate in the state-financed training. The state training is a precondition for employment in a leadership position. Subsequently, retaining one's post as a school leader depends on having successfully completed the second phase of qualification, the 'Formation d'Accompagnement'. In Singapore, the government has mandated specific career regulations. It is only possible to obtain a leadership post after taking part in state-financed, full-time training. This is offered through a single institution. The situation of teachers aspiring to school leadership in North America is less certain. Preparation is a precondition for application. However, successful completion of a preparation program and subsequent certification does not automatically guarantee employment in a leadership position.

In countries where preparation programs are optional (see cell C), there is a tendency among employing bodies towards expecting some preparation for the position. An alternative trend finds the provision of in-service training immediately after appointment and before taking over the leadership position. This is the case in Hong Kong or in some states in Germany.

What are the arguments in favour of preparatory qualification? First a preparatory training and development is supposed to respond best to the relevance of school leadership. On the one hand, the key role of school leaders is increasingly accepted internationally. On the other hand, pressure has increased on policymakers to ensure that the occupants of these positions can fulfil system expectations. Second, adequate preparation may reduce the 'practice shock' experienced by new entrants to the role. Particularly if pre-service learning and reflection is combined with practical experiences at school, new school leaders get the chance to develop a new perspective when changing from 'teaching' to 'management'. Third, pre-service training offers the chance of assessing one's own interests and strengths. This may help

leaders to make career decision more consciously. Fourth, international experiences indicate that the provision of pre-service preparation may stimulate the number of women applicants to educational leadership positions. Women may be more self-critical and may also be less connected to influence networks that are related to employment decisions. Obviously, development opportunities are helpful in this case. Fifth, experience shows that participants who do not obtain a leadership position may still enrich the leadership resources of their schools. Sixth, the assumption that 'on-the-job-training' alone is the most effective and efficient one has not been adequately empirically validated. In this context, a cost–benefit analysis – in terms of educational economy – would have to be complex and long term.

All of these arguments clearly favour orientation and preparation opportunities.[1] More and more countries are considering preparatory courses in addition to existing in-service programs. This reflects a movement away from the concept that the school leader is nothing more than a teacher with a few extra responsibilities.

Effective school leadership requires a demanding set of attitudes, attributes, skills, knowledge and understanding. A thorough training and development starting with appropriate preparation prior to assuming the position has been recognised as undoubtedly vital. This may be regarded as a kind of paradigm shift in the view of school leadership and leadership development.

Extensive and Comprehensive Programs

This tendency to regard school leadership as a profession in its own right has implications for the depth and breadth of training and development programs. This comparison indicates a significant tendency towards more extensive training programs that are then able to explore many of the challenges connected to this new leadership role and its responsibilities.

Many of the countries that have, in recent years, gained more experience in the field of school leadership development originally started with short courses of a very practical nature. These courses often focused on fairly limited areas of interest and were designed to provide answers rather than encourage reflection and development. The programs were then extended so that the courses might add up to a more comprehensive package, supported by a theoretical framework. These training and development opportunities have become quite extensive. Examples can be found in North America as well as in Europe, Asia, Australia and New Zealand. Since the extensive set of required activities is usually preparatory and often takes

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[1]Even more extensive are approaches to make orientation elements for leadership part of initial teacher training in order to identify and foster potential for leadership at the earliest possible stage. This has been done recently by the Australian State of Victoria. In Sweden, there is a project that offers enrolment in a school management course during initial teacher training, and in Canada, too, long-term promotion is intended by a portfolio system.

Table 12.4 Length of school leader preparation programs (contact time)
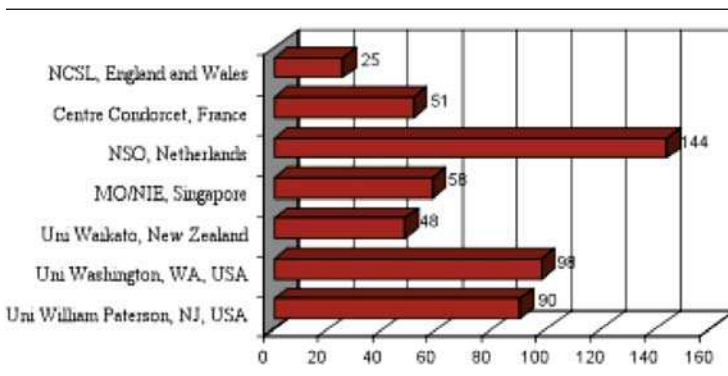
place before one applies for or before assuming positions of leadership responsibility, it is safe to state that the relevance of school leadership for the effectiveness and improvement of schools has been realised in many countries in the last years.

While Table 12.4 indicates only the number of course days, the real demands on the time of the participants is apparent when we consider that beyond 'contact time' there is other time committed to preparation. This includes individual study time for readings and writing assignments, but also time for internships or school-based projects and the documentation of one's progress and reflection as by writing a 'learning journal'.

For example, at the University of Washington, preparation requires 39 credit hours (assuming 15-week semesters) and an additional 720 internship hours (i.e. 16 hours per week). The program of the Nederlandse School voor Onderwijs management is comprised of four semesters with around 350 working hours for each semester. This includes for each semester 20 hours for seminars, 175 hours for training sessions, up to 20 hours for consultation sessions, further time for literature studies, and 140 hours for internships in the first three semesters, and time for a written assignment in the fourth semester. The University of Waikato offers a program comprised of 24 credit hours (assuming 12-week semesters). In addition there are 1.600 hours assumed by the provider for individual studies, participation in an email forum and for conducting school-based projects.

In summary, there is a clear trend towards requiring an extensive set of quite time-consuming preparatory activities prior to assuming positions of leadership responsibility in schools across the countries included in this study.

Multi-phase Designs and Modularisation

The international comparison shows that there is a tendency to move away from the idea that adequate preparation and development could be completed in a specific time frame using a standardised program. Instead, school leadership development is more and more regarded as a continuous, life-long process linked

to the career cycle and to specific needs of the leader and the needs of her or his school.

This continuous process could be divided – ideally speaking – into the following phases:

1. A continuous development phase for teachers: this provides training and development for teachers in the fields of school effectiveness, school improvement and school leadership.
2. An orientation phase: this provides the opportunity for teachers interested in leadership positions to reflect on the role of a school leader in respect to their own abilities and expectations.
3. A preparation phase: this occurs prior to taking over a school leadership position or even before applying for it.
4. An induction phase: after taking over a leadership position, development opportunities are provided to support the school leader in his or her new position.
5. A continuous professional development phase: this provides various training and development opportunities for established school leaders, best tailored to their individual needs and those of their schools.
6. A reflective phase: this provides the opportunity for experienced school leaders to continue to grow introspectively by being involved in development programs for others as coaches and to gain new experiences through learning by teaching, supplemental train-the-trainer-programs, and the exchange with the younger colleagues who participate in the programs.

Additionally, a 'reflective phase' might have a twofold effect, for themselves and for others. Experienced school leaders continue to grow introspectively by being involved in development programs for others as a coach. This phase would be supported through methods like 'learning by teaching' and through supplemental 'train-the-trainer-programs'.

Although it may be erroneous to state that this ideal model has currently been realised in some countries, tendencies towards developing in this direction are emerging. Instead of a standardised program for all participants that intends to 'teach' all the required competences at once, more and more countries provide professional development through multi-phase designs. These phases are, ideally, based on a coherent conceptual model.

It can also be observed internationally that programs become increasingly modularised. These modules tend to be organised according to individual needs that become evident during different stages of the school leader's career, but also to the needs of the school she or he is in charge of. For the modules, there is no mandatory sequence for completion. Moreover, the individual school leaders may well rely on these modules for support during crucial phases of their careers. These modules will be 'collected' and archived in a kind of personal portfolio.

Table 12.5 Phased models of school leadership development

Personal Development Instead of Training for a Role

As the role of school leaders is becoming more and more complex, it becomes more and more evident that it is no longer sufficient to train potential candidates or school leaders for a fixed role, whose model may be quickly outdated. Instead, aspiring school leaders must develop a vision within the context of their school and adapt their role and responsibilities to that context. To achieve successful adaptive leadership, the programs of some countries include components such as personal vision, personal and professional development, development of fundamental values and of one's ability to reflect, time and self management, developing mental models of the organisational structure, and activities in the school that mirror good leadership activities. Moreover, day-to-day school or internship experiences have become reflective activities that result in constant re-conceptualisation.

As far as qualifications are concerned, the emphasis has shifted from focusing on a specific role to a broader one that concentrates on personal learning and individual needs in the areas of knowledge, dispositions, and performances that would be useful in a more complex environment. Often, training for a management position has been replaced by offering professional development opportunities for one's leadership style. Then, it is the personality of the (aspiring) school leader that becomes the focal point of the program.

The Communicative and Cooperative Shift

In spite of the increasing stress on school leaders due to the complexity of the role – particularly in countries with more devolved systems – school leadership programs are not preoccupied with administrative topics. On the contrary, the overall focus of

school leadership programs is no longer on administrative and legal topics as it used to be in earlier programs, but has shifted to topics that focus on communication and cooperation.

The image of school leaders as experts in administration has shifted to school leaders as experts in communication and cooperation This trend has become another international paradigm shift. Topics such as communication, motivation, collaboration, collegiality, and cooperation are essential parts of all programs. Internationally, there is the recognition that understanding and effectively using these topics is essential to become a successful school leader.

Communication and cooperation as essential components in leadership development programs also play an important role as far as the methods applied in those programs are concerned. Realising that learning processes that take place in groups provide participants with better opportunities for experiential learning, more programs are moving in the direction of small and large group interaction. The aim then becomes one of creating reflective practitioners and this will intensify the teaching-learning experiences. In addition to traditional seminars, 'collegial learning' – learning together with other colleagues – is being realised through a variety of strategies including peer-assisted learning, peer coaching, critical partnerships, acquiring knowledge from experienced peers by shadowing or through mentoring programs or collegial networks that were created (for example, as a result of experiences from the cohorts that existed during other training programs). When one uses these strategies, learning evolves through mutual reflection and problem-solving processes; it is about learning with and from colleagues.

From Administration and Maintenance to Leadership, Change and Continuous Improvement

Throughout the countries that were involved in this study, an important paradigm shift has occurred: from a focus on managing schools with an emphasis on maintenance, to a focus on leading and improving schools. The aim is no longer to make the organisation function within a static or fixed framework, but it is considered essential that programs adequately respond to the challenges created by social, cultural and economic changes. Schools are no longer static organisations, but must be considered learning organisations, each with their unique culture. Therefore, leading a school no longer means simply maintaining the status quo, but, above all, developing a changing learning organisation. Consequently, what is worthwhile has to be sustained and, at the same time, necessary changes have to be made, and after being successfully implemented, they have to be institutionalised.

This paradigm shift can be identified in the lists of themes that are in the courses of many school leadership development programs. They take into account that school leaders must be educational leaders and that is about initiating, supporting and sustaining substantive and lasting change as well as continuous improvement in schools for the benefit of pupils. The focus is then on a collaborative and collegial style of leadership.

Qualifying Teams and Developing the Leadership Capacity of Schools

One trend in development programs for school leaders is particularly interesting: attempts are made at linking one's qualification and development more directly to the improvement of individual schools. School leader development programs then become a means of school improvement. They intend to affect and impact directly on everyday activities at school.

Training and development providers, therefore, try to attract more and more teacher leaders to some of the preparation programs, thus broadening the target group. Rather than simply attracting aspiring school leaders, teachers who want to enhance their leadership competences are admitted to these programs. These applicants may not plan to apply for a school leadership position, but may be interested in other school-level leadership positions such as department head or head of year.

If school improvement is the explicit goal, whole school leadership teams or teams of staff members may participate in these programs, and this may sometimes include parental and community representatives. While the trend towards team-based training is only apparent in a few programs, an increasing number of providers indicate that they intend to focus on developing leadership teams in addition to focusing on school improvement. They believe that this approach is necessary in order to develop stronger leadership and enhance the leadership capacities within schools.

This shift in focus to enhancing the leadership capacity of the school (rather than qualifying 'just' one individual person) implies that the professional development activities no longer take place solely in an institute away from the school site, but at the individual school itself, where school improvement processes are initiated and implemented. Programs then are much more focused on content-specific topics that are generated at the individual school level.

From Knowledge Acquisition to Creation and Development of Knowledge

In many development programs, two conceptual considerations appear to be taken into account. First, at a time when swift changes in many areas, including education, are coupled with a worldwide explosion of information, it would not be sufficient to simply increase the quantity of declarative knowledge that aspiring school leaders must learn. The development programs must prepare the aspiring school leaders for new knowledge as information continues to expand. This is a shift away from imparting a seemingly fixed knowledge base towards the development of procedural and conditional knowledge. The notion of 'acquiring' knowledge will be replaced by the concept of 'developing' or 'creating' knowledge through information management. Participants should enhance their ability to learn and to question traditional thinking patterns and cognitive processes. They should acquire

skills to be proactive in complex work environments. How to learn and to process information are therefore increasingly emphasised.

Second, in general there is consensus among the providers and the participants that the teaching strategies used in development programs have to meet the needs of adult learners. Hence, fundamental andragogic principles must be taken into account: while children learn new things, adult learning usually supplements what has been already learned. Their individual experiences always have a subliminal influence on the new information and, at the same time, represent the foundation upon which something new can be learned. Consequently, development programs increasingly create learning environments that offer the opportunity of deliberately linking and embedding new information in previous experiences. The reality and the experiences of the participants, their needs and problems, become the starting point as well as the point of reference for the selection of contents and learning methods that are used in these programs. The knowledge gained during the development programs should be directly transferable to the specific working environment of the participants. Therefore, knowledge cannot simply be imparted but it has to be created and developed.

Experience and Application Orientation

In the programs studied, there is a clear tendency towards experience-oriented and application-oriented learning. A shift away from purely practice-driven or from purely theory-driven learning towards practice-with-reflection-oriented learning became evident in many programs. This becomes obvious as development models bring practical experiences from the schools into their programs. Case studies play a particularly important role in this context. Popular learning strategies including reflective practice such as learning journals, discussion groups, working with mental maps are linked to authentic school experiences.

New Ways of Learning: Workshops and the Workplace

With the aim of providing some orientation towards the participants' needs, being relevant to actual field practice and to be able to transfer learning into the world of work, the participants are often placed in workshops in which they role play school situations within the context of carefully constructed cases. Learning becomes team focused as these role plays and case studies unfold. Problem-based learning is a concept employed by many programs, although notably by those in North America.

Going one step further to bring theory to practice, genuine, authentic cases are taken from everyday school life. Thus, the cases are grounded more concretely and authentically in school situations. Many providers reported that real-life case studies are used more widely than before.

Table 12.6 Emphasis of learning opportunities within school leader development programs[2]

Experience-Based Learning		Course-Based Learning	
centred around experiential methods	extensive internships	mixed model	centred around courses
	France; Singapore; Washington	NSO, Netherlands; New Jersey; Ontario, Canada; England and Wales	Germany; Hong Kong

An increasingly high number of development programs take another step, leaving the workshop model and going into the actual workplace, using school as clinical faculty. For the participants of predominantly pre-service school leadership preparation programs, internships at one or several schools are organised within the preparation programs. They 'shadow' the principal or head of school, assist, or take on leadership tasks, and carry out school-wide projects independently. Here, the school leaders at the intern's school function as mentors or supervisors.

Project work and/or internships are included, for example, in the National Professional Qualification for Headship in England and Wales, in the Management-en Organisatieopleidingen of the Nederlandse School voor Onderwijs management, in the Master program in Educational Leadership at the William Paterson University of New Jersey, in the Principal's Qualification Program in Ontario, and particularly extensive in the central program in France, in the Diploma in Educational Administration in Singapore, and in the Danforth Educational Leadership Program at the University of Washington. However, countries which still favour more or less an approach to leadership development which is centred around courses also indicate that certain modifications are under consideration.

Hence, it is obvious that in many countries there is a shift from solely course-based learning towards experience-based learning in development programs. Increasingly, programs are centred around experiential methods.

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[2] It has not been taken into account whether the offers are made to teachers aspiring to leadership or to school leaders newly appointed and in position. Besides, the different emphasis could be viewed in reference to the total amount or length of training available, since offering experiential learning opportunities inevitably means expanding the programme accordingly.

Adjusting the Program to Explicit Aims and Objectives

It becomes increasingly obvious that the process of developing school leaders is becoming more professional. This also includes explicitly stating the program's aims that aspiring leaders must achieve. Until now, programs were not necessarily developed with explicit goals or objectives, especially in the early stages of their development. Instead, generalised statements like 'school leader development aims at developing school leaders', were used. Content-wise, however, the aims postulated differ greatly at a higher level of explicitness. They can be classified according to their main focus: those with an explicit functional orientation and/or task orientation, those which are distinctly competence oriented or cognitions oriented, those with a definite orientation towards school improvement and some which are clearly vision or value oriented (Huber, 2004b).

As new concepts of leadership and schools emerge, based on the values of society, they begin more and more to impact on the programs.

New Paradigms of Leadership

Preparation programs reflect more and more the new concepts of leadership. The school leader is often called the educational leader, an instructional leader or a visionary leader, and schools are no longer seen predominantly as static systems in which the existing structures have to be managed. Concepts like 'transformational leadership' are increasingly being advocated. Transformational leaders regard schools as culturally independent organisms, which have to continue to evolve. Hence, transformational leaders attempt to actively influence the school's culture so that it values collegiality, collaboration, cooperation, cohesion and self-reliant learning and working. They are not only expected to manage structures and tasks, but to focus on establishing relationships with and within the staff and make an effort to influence their thinking towards a common vision and commitment. The application of this definition of leadership appears to be particularly successful in school development processes.

If schools are considered learning organisations, this implies the stakeholders are empowered and collaboratively work together. Leadership is no longer hierarchical and dependent upon one person, but is shared and empowers others as viable partners in leadership. The previous separation between leaders and followers, as well as between the teachers and learners, begin to blur. A new concept emerges, called 'post-transformational'. Another concept that emerged in the study is 'integral leadership'. It aims at overcoming the classical division of management and leadership and emphasises an integrating perspective focused on the overall aims of the school.

Orientation Towards the School's Core Purpose

Another trend that emerged seems particularly interesting: New concepts of schools are embedded in the programs. Schools are now seen as learning, problem-solving,

creative, self-renewing, or self-managing organisations. This has an impact on the role of school leaders, and, on how training and development programs have been designed.

The schools' core purpose, namely teaching and learning, and the specific aims of schools within society today and in the future have increasingly become the starting point for designing school leadership development programs. These reflections on the school, its role and function, and – derived from this – on successful leadership have definitely influenced development programs in more and more countries. The principle that 'school has to be a model of what it teaches and preaches' (see Rosenbusch, 1997) has become the implicit foundation of some leadership development programs.

The development models strive to create the vision of the school leader as educational leader whose focus is on improving the schools' teaching and learning processes and outcomes. Focusing on the school's primary goal is not only a reasonable means of guiding the school leaders' decisions, but also becomes a criterion for reflective inquiry into their ways of thinking and behaving.

Conclusion

A comparison of school leader development programs gives a dominant impression of global approaches and shifts. What can be clearly stated about school leader development from this international perspective is that there have been many changes during the last years in many countries. In other countries, this process has just started. School leadership and leadership development is high on the agenda of educational policy makers.

Obviously, many of the countries that have enhanced their leadership development programs have increasingly focused on linking leadership development with school development. Developing the leadership competences of an individual is here seen as a component of building the leadership capacity of the whole school.

To sum up, we find two new avenues in preparing school leaders: first, new ways explore the development of training and development designs, quality assurance, and the overall organisation through the development of central institutions that are in charge or the setting up of standards and accreditation procedures for the providers. Second, new ways explore the implementation and carrying out of training and development programs based on new macro- and micro-didactic[3] considerations of instruction and learning settings with a focus on putting theory into practice and, vice versa, using experiences to develop subjective theories.

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[3] Macro-didactic considerations are about defining the target group(s), the timing, the nature of participation, the professional validity, but also the pattern with the total number of training and development days, the time span, the scheduling, etc. Micro-didactic considerations are about the curriculum, the content, the teaching strategies, learning methods used, etc.

For successful training and development opportunities, it is necessary to link stakeholders and agents in the school system vertically and horizontally. The training needs to have a multi-level approach using this 'vertical and horizontal linking'. It is about cooperation within the school and among schools, either position or theme oriented. It is about learning from and with colleagues, it is about professional learning communities within the whole school system. It is about developing a shared language, shared concepts and a shared culture. This approach is a vehicle for school development and has to be taken into account and mirrored by leadership training and development opportunities.

Bringing theory and practice together seems to become very important, too. The linkage is using a reflective learning approach. Reflection – also together with others (peers, seniors, experts) – plays an important part. Moreover, training and development have to be seen as a continuous process and need to be multi-phase oriented. Additionally, programs have to be context related (to the country, to society, to the school system, to the individual school, to the individual needs of the participants). Besides these premises, training and development opportunities should be needs oriented, practice oriented, application oriented, consequently, competence oriented.

Over all, school leadership and leadership development have no purpose in their own right, but serve a specific function. This function requires an orientation to the school's core purpose, and hence, where needed, an adjustment of aims. In order to improve teaching and learning in schools, and, ultimately, the quality of education received by students, the central focus is on improving the conditions under which these processes will have the greatest possible impact. It would then make no sense if school leadership development did not focus on the specific role of school leaders in the school improvement process and did not try to equip the participants with the skills urgently needed.

Development programs for school leaders therefore require a multi-stage adjusting of aims. The first question would be: What are the essential aims of education? From these, the corresponding aims for schools and schooling in general can be derived: What is the purpose of school and what are the aims of the teaching and learning processes? Considering the perspective of the new field of 'organisational education', one should ask: How does the school organisation need to be designed and developed in order to create the best conditions possible so that the entire school becomes a deliberately designed, educationally meaningful environment? This would enable teaching and learning to take place as well as multi-faceted and holistic educational processes that would lead to achieving the school's goals.

This leads to the essential concern of school leadership: What are the aims of school leadership regarding the school's purpose and the individual context of each school? How do school leaders lead to reach those aims?

Therefore, the aims of school leader development programs should answer questions such as What is school and schooling about and what are leadership and management about? What is the core purpose, what should be the aims? What kind of training and development opportunities are therefore needed to prepare and support (aspiring) school leaders in adjusting their perspectives, conceptualising their role and function, developing the necessary competences and mastering the

manifold tasks within the individual school in order to provide conditions and support staff so that effective and efficient teaching and learning takes place for the sake of the pupils? This should be the essential or core goal for aligning and evaluating school leadership development programs.

Given the fact that school leadership is getting more and more complex and that the tasks but also the competences are too demanding for one person alone, shared, distributed or cooperative leadership seem to be solutions discussed internationally in the academic community but also increasingly in the profession itself. However, it may be stated that the conception of school leadership in training and development programs, even taken internationally, still is a rather narrow one. Perhaps there does need to be 'one supreme head' in each school. Maybe school leadership development programs are about finding and equipping such individuals. But perhaps there are other alternatives – collective leadership, the development of whole teams of staff, the re-conceptualisation of the school leader's role as simply one part in a team, a team made up of leaders who all need support, training, and development opportunities. It is this last issue that seems to us to challenge most forcibly the orthodoxy underpinning current provision and that offers the most interesting avenue of exploration for the future. Particularly in the last couple of years, we have been able to find that writings about shared, cooperative or distributed leadership concepts increase, more policy initiatives which promote these concepts are put in place and training institutes implicitly integrate and explicitly offer programs which foster these approaches. Although this has an impact on training and development programs for school leadership, it is still too little, quantitatively and qualitatively speaking.

If change is on the agenda of schools and school leaders, it is crucial to have a vision which gives them a direction.

Leaders (of any kind) need to know what goals and aims for real improvement are. What is needed is to have criteria to judge the overall leadership approach and the day-to-day decision making. This should be back-mapped against the core purpose of school, namely teaching and learning. As a solid base for what education aims at, in some of the programs an orientation towards a specific value-based attitude is intended. Thus, the understanding of leadership in this context includes moral and political dimensions.

Another remark should hint at the phenomenon across countries that less and less teachers are interested in leadership functions. Training and development opportunities can and have to take that into account, in terms of fostering potentials. Besides being an individual training measure and a school development initiative, they can also be a measure for personnel marketing. It is about attracting potential leaders to apply for school leadership positions. This can be achieved more easily if training and development programs are less position oriented than competence oriented. Hence, there may be training and development programs which are not school leader programs having a fixed set of competences in mind but school and school leadership development programs which try to enhance the development and leadership capacity of a school in particular and the school system in general. This, too, fits to the now newly discussed concepts of system leadership.

More and more relevant to policy, practice and research is the issue of the effectiveness and efficiency/efficacy of training and development programs. It is about the resources needed, the output and outcome, the benefits for the participants but also for the individual school organisation, and the school system in general. Whether school leadership development programs are successful is still not researched on sufficiently. The efficacy and effectiveness of programs is still a research desiderate.

On the basis of the international study in 15 countries worldwide as well as the comparative analysis and the discussion of the results, a number of basic principles could be deduced, which are essential for the qualification of school leaders. These could serve as recommendations or even as guidelines for the design and conception of future programs. They are listed here in a kind of catalogue that is not intended to be complete but tries to be open for supplementing. They are also meant to give an input that leads to new ideas and refinements. The following principles might also serve as standards which have to be considered by providers. Then, they could be the criteria for the accreditation of providers and programs or, in case of a certificate for quality assurance offered to the providers, serve as criteria for certification.

These recommendations include the following:

– Centralised guidelines for quality assurance combined with a decentralised implementation
– Suitable recruitment of teams of highly qualified trainers with appropriate backgrounds
– Selection of participants
– Clear and explicitly stated definition of aims, using the core purpose of school as a focus
– Alignment according to values and educational beliefs
– Development as a continuous process
– Importance of declarative and procedural knowledge
– Suitable balance between theory and practice
– Orientation towards the actual needs of the participants
– Active involvement of the participants
– Inspiring collegial learning and intensive collaboration
– Problem-based training in workshops
– Learning opportunities at the workplace
– Focus on the personal and professional development of the participants as well as on improving their schools
– Self-organised and reflective learning processes, supported by communication and information technology
– Academically grounded and authentic training material
– Presentations of learning results and self-evaluation of learning processes
– Certification of participants
– Conceptually established support for the actual transition

Centralised Guidelines for Quality Assurance Combined with a Decentralised Implementation

The responsibility for designing the programs and for assuring their effectiveness should be shared by the profession itself and the state. More centralised forms of quality assurance (for example, by determining guidelines and standards, the accreditation of providers, the certification of participants) in combination with a decentralised implementation of the programs (together with corresponding possibilities of collaboration with school authorities and schools, etc.) appear to be suitable. The intensive collaboration with universities should guarantee reasonable academic foundation and support.

Suitable Recruitment of Teams of Highly Qualified Trainers with Appropriate Backgrounds

Special consideration needs to be given to the suitable selection and recruitment of the instructors, facilitators, trainers, mentors, etc. They are ultimately those who implement the program's concepts, are in immediate contact with the participants and are responsible for the teaching and learning processes. Teams of trainers and instructors, which also include university faculty and representatives of the profession itself but also from the business world are especially suitable. They should not only design the implementation of the development program as a team but develop the concept and plan together as well. They should be highly qualified and experienced in their field, but also have an understanding of other areas so that an interdisciplinary, integrative approach can be implemented.

Selection of Participants

Careful selection of participants is needed to find suitable candidates who meet the program's requirements and have a strong motivation to succeed as (aspiring) candidates for school leadership positions. Since the school officials or the Ministry for Education may pay the fees for the program either by offering scholarships for individual participants or by financing the entire program, these public entities should be given the opportunity to get actively involved with the selection of participants. Therefore, selection criteria have to be developed and agreed on collaboratively.

Clear and Explicitly Stated Definition of Aims, Using the Core Purpose of School as a Focus

Development programs should begin with an explicit statement and a clear definition of their aims. Goals and objectives should be clearly established and the programs' curriculum as well as macro-didactic and micro-didactic considerations

should become an outgrowth of these aims. The goals should not be dominated by a set knowledge base that should be imparted to the participants, nor should that knowledge base be established as a result of external pressures. On the contrary, a concept of the purpose of school and schooling and the function of educational leadership within that context should be clear, that is to lead communities of children and adults in a way that teaching and learning processes are promoted, supported and genuine educational processes are realised. In the end, it is this goal of school and school leadership activities from which the goals and objectives for the development of school leaders should be derived.

Alignment According to Values and Educational Beliefs

In a world of changing values and a broad range of different values, the development for educational leadership must not be subject to a positivistic management-oriented paradigm, but should be based on a value-centred paradigm. The participants should reflect upon their own values in general, and upon their educational values in particular. In the end, the individual should be able to develop rather than simply be made 'suitable' to fulfil a certain fixed school leadership role effectively. Besides, leadership must be made legitimate in society and above all to those who are 'led'. Power must be handled carefully, and the balance between influence and confidence has to be maintained. The main principles of education in schools have to be respected: maturity has to be encouraged when dealing with pupils, teachers, and parents, acceptance of oneself and of others has to be practised, autonomy has to be supported, and cooperation has to be realised. Development programs should be aligned to these beliefs.

Development as a Continuous Process

The development of school leaders should be seen as a continuum, beginning with the initial teacher training, ongoing professional development for teachers, adequate orientation, preparation, and induction programs. For established school leaders continuous professional development should be provided, tailored to their individual needs and those of their schools. For experienced school leaders a reflective phase provides development opportunities through learning by teaching, supplemental train-the-trainer-programs, and the exchange with younger colleagues. This would lend itself to a multi-phase design.

Importance of Declarative and Procedural Knowledge

In recent years of swift social, economic, cultural, technical, political, and educational-policy changes, along with experiencing increasing information overload, it would not be sufficient merely to enhance the quantity of (declarative)

knowledge that aspiring school leaders should know. The development program would rather have to prepare aspiring leaders for something that they or others do not know. Consequently, there must be a paradigm shift away from programs that impart a fixed body of knowledge and towards the development of procedural and conditional knowledge. The acquisition of important knowledge should be accompanied by the creation of knowledge and the effective management of information. The participants shall be supported to further develop their ability to understand cognitive processes and shall achieve what Giroux (1988) calls 'conceptual literacy'. Preparation programs must prepare aspiring school leaders to work in a complex, sometimes chaotic work environment.

Suitable Balance Between Theory and Practice

The time structure and scheduling should take into consideration that learning in terms of changing behaviour and thought patterns is a process which should be supported by stimuli and information; a process, which, however, needs a lot of reflection and exchange, and which occurs over time. Therefore, development programs should have a good balance between theory and practice as far as both the content and the methods are concerned. Consequently, programs are designed which comprise a higher frequency of short events over a longer period of time.

Orientation Towards the Actual Needs of the Participants

The starting point of any program should be the participants, their experiences, needs, views, problems, and maybe their own prejudices or bias about their view of leadership. The programs should be needs oriented. Here, the self-assessed needs of the participant (What do I need? Where do I feel unsure?), those assessed by others (Where are her or his weaknesses?) and the demands of the school she or he comes from (internal or external: What does the school need, Which competences are required?) may indeed be divergent. Different evaluations based on different levels of professional experiences, at different stages of the career cycle are essential. For a systematic evaluation of the qualification needed, a needs assessment might be helpful for the individual participant. Additionally, feedback should be given continuously to the participants about their individual performance. It is easier to realise a needs-oriented concept if programs are using a problem- and practice-oriented approach.

Active Involvement of the Participants

Previous knowledge and previous experiences should be collected thoroughly and used systematically throughout the program. The participants should be provided with the opportunity to contribute actively to the planning and the design of the

program. Trainers and participants should collaborate and interact as much as possible. During the entire program, and throughout all its phases, the program should contain ample opportunities for trying new ideas and opportunities for collaborative reflection.

Inspiring Collegial Learning and Intensive Collaboration

The participants should be given the opportunity to collaborate with colleagues and to learn with and from colleagues in various contexts such as peer-assisted learning, learning tandems or critical friends. Mutual participation in the tandem partner's school life can offer valuable insights. The formation of a professional network, which can outlive the duration of the development program, should be encouraged and supported. As a result collegial support and counselling for practising school leaders will become second nature.

Problem-Based Training in Workshops

The teaching strategies and learning methods should be problem based and foster both individual learning and collaborative teamwork and learning. This is important for adult learners. Problem-oriented learning environments that offer complex tasks can be most effective. A learning context like this has the best chances to be authentic and congruent with the working context that the participants will find in their everyday school life.

Learning Opportunities at the Workplace

In addition to the workshop, learning at the workplace is particularly useful. The practical applications of the development programs should be carefully considered. Internships supervised by mentors that also include opportunities to shadow practising school leaders, as well as active participation in leadership tasks, which cover as many aspects of school leadership activities throughout the term as possible, have proven particularly effective.

Focus on the Personal and Professional Development of the Participants as Well as on Improving Their Schools

The development of the individual participants in terms of 'individual development' should be linked to 'school development'. Modules that match the personal development needs and, additionally those, which include the present needs and demands of the individual school, should be encouraged. Moreover, the development should

take place on site. Participants should have the opportunity to provide some input into the managing of the school and they should recognise the school itself as one of the essential places to learn school leadership skills. Therefore, it would be important to integrate other members of the school's staff into the program. This will result in the creation of school leadership teams in addition to the individual school leader. The respective school indeed has to benefit from this concept in order to attract its staff's support and to extent the leadership capacity of the school.

Self-Organised and Reflective Learning Processes, Supported by Communication and Information Technology

The participants have to be the designers of the learning processes. As mentioned above, they should be partners in the program and be actively involved. This also means that they plan their own learning processes according to their particular needs. Moreover, the training and development programs should also support individual reflection processes through writing a learning journal, assignments, etc. Here, communication and information technologies play an important role. New forms of self-designed and interactive learning can be applied throughout the program by using CD-ROMs, email platforms, and web-based learning environments.

Academically Grounded and Authentic Training Material

The materials used in development programs should be based on topics that focus on current topics in education. They should use authentic documents from current school leadership practice. Cooperation with university faculty seems suitable and necessary here as well. Carefully selected media will result in a broader variety of teaching strategies and learning methods.

Presentations of Learning Results and Self-Evaluation of Learning Processes

The participants should present the results of their work to the cohort. Self-evaluating the learning achievements stimulates the participants own awareness of the teaching-learning experience. Objective, external feedback complements the evaluation processes and conveys a feeling of achievement. It should include both a summative and a formative feedback. The summative one gives a feedback about what has been achieved so far (i.e. is looking back), the formative one provides guidelines for further work (i.e. is looking ahead).

Certification of Participants

Upon successfully graduating from the program, participants should be awarded a certificate. This will give them the opportunity to provide information to others about their level of qualification as well as document their experience in the program. Additionally, the committees or boards who recruit school leaders may use the certificate as a selection criterion.

Conceptually Established Support for the Actual Transition

Different initiatives can be taken in order to sustain participants learning and development after ending the formal program. Examples of such initiatives could be follow-up events after a certain period of time, and establishing learning cohorts and networks of the participants, which remain in existence beyond the development program.

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Chapter 13
Developing New School Leaders: Application of International and Local Knowledge to Practice

Linda Kaser and Judy Halbert

Abstract This chapter describes a development program for new leaders in British Columbia, Canada. Three main sources informed this program: case study analysis of Canadian school leaders involved in action research and team inquiry; the research evidence about school leadership from studies by Leithwood and his colleagues; and the findings and recommendations from Huber's study of international leadership development programs. The program is intended to create an evidence-informed approach to school leadership development and to establish a distributed team of leaders who will make a significant difference to the learning of young people in their schools. The initial program results are promising and warrant further research. This chapter reports on the evidence used to inform the program content, emphasizes the importance of inquiry-mindedness for new leaders, and describes the program design elements based on international leadership research findings.

Introduction

Contemporary international scholarship and leadership practice have provided us with a picture of the habits of mind needed by school leaders. New leaders are being required to develop schools as part of a 21st century learning system. They must be systems thinkers who can take action on the basis of moral purpose and ethical understanding. They need to be able to work simultaneously in developing high-quality deep learning *and* pursue equality of outcomes for learners. And, they have to keep concepts of sustainability in mind – working from the first moment they arrive in their schools to develop leadership in those around them.

The implementation of a shared approach to leadership development is currently underway in the province of British Columbia, Canada. This approach is a

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result of partnerships among university faculty and practice scholars, school districts, professional associations, the Ministry of Education and individual educators – teachers, principals and vice-principals – all of whom had a role to play in developing the initiative. The new leaders program was introduced in the summer of 2005. The program allows interested educators to acquire both a leadership knowledge and practice base recognized by a certificate in leadership and management and academic credit towards a Masters degree.

The program has been constructed around a set of leadership habits of mind based on theoretical perspectives including ethical understanding, sustainability, democratic and distributed leadership, capacity building and learning communities. The development of the set of leadership mindsets has been shaped by empirical evidence from international and provincial studies of the leadership of schools in a variety of contexts including those in challenging circumstances. The program has also been informed by an analysis of case studies of formal and informal leadership in 300 schools. Leaders in many of these schools have been involved in team inquiry and action research using formative assessment practices as a key evidence source over the past 7 years.

This chapter includes a brief description of a recent study of leadership by Leithwood and his colleagues used in the program development, outlines how elements of the program design have been informed by Huber's international research on school leadership programs and ends with questions for further exploration.

Leadership Practices

Good teaching matters and so does good leading.There is a strong knowledge base (Leithwood et al., 2004) that supports the view that school leadership is second only to classroom instruction among all school-related factors that contribute to what students learn at school. Where learners come from challenging backgrounds the impact of positive leadership is especially significant.

Although researchers and practice scholars may vary in their work orientations, in our context there is broad agreement on five essential practices for contemporary school leaders: setting directions, developing people, redesigning or reculturing organizations, leading and managing the learning program and responding strategically to the learning challenges in unique school communities.

Setting directions. School leaders are expected to be able to work with their colleagues to develop a vision and a set of goals that are compelling, challenging and achievable. Clarity around purpose and consensus about important goals help staff create personal meaning and strengthen school identity. Schools with a strong, meaningful habit of mind around achieving important goals as a way of life are schools where teachers and students feel pride in their work. Schools where there is no improvement orientation can be discouraging places to work.

Developing people and capacity. Teaching colleagues value school leaders who have strong competencies in developing the capacity of adult learners. The strongest leaders stimulate the thinking of their staff members in team and individualized

ways, work with informal leaders on staff to provide the best possible models of practice for staff development and work thoughtfully to develop the individual strengths of each staff member. Before strong leaders leave a school, they ensure that there are other leaders in place thoroughly prepared and personally motivated to continue and sustain the work.

Reculturing schools. Leaders require the capacity to work with their colleagues to create strong directions for growth; they need to know how to help staff members acquire the teaching strategies required to obtain desired learning gains; and, they also need to know how to shift cultures and structures to make ongoing school improvement work more productive. A learning culture and supportive school structures – for shared learning and teaching time for adults, for learning-focused meetings, for formative and summative assessment of school improvement progress, for respectful relationships with families and communities – emerge from and complement the identity and purpose of the school.

Responding productively to unique contexts. What works well in one context often does not translate to success in another. Twenty-first century school leaders use cultural intelligence and community savvy to respond thoughtfully to the unique features of their schools, districts and communities. Leaders equipped with a large repertoire of practices as well as the ability to skilfully select and apply those practices likely to suit their new context are making a difference to learning in a variety of school settings over time.

Leading the learning program. With the shift in emphasis to "deep learning" in the knowledge society, the approach to leadership, teaching and curriculum development also requires change. Contemporary school leaders are asking to know more about how deep learning can be developed. In responding to the move from the industrial age to the knowledge society, educational practitioners are considering societal and economic changes and making five shifts in focus:

Learning Leadership: A Shift in Assumptions

Scholars have argued that a move from an industrial to a knowledge society demands a shift in key assumptions about schooling and leadership. Starratt (2004) contends that the industrial model in schools has developed educational practices that have fragmented and trivialized learning and have separated school activities from the worlds in which students live. Increasingly, with the move from the industrial age to the knowledge society (Castells, 2000), there has been a growing interest in educators working together to make the learner's individual experience more relevant.

In the industrially based paradigm, one of the key functions of public education was to sort and rank students. Teaching was conceived of as covering the curriculum and curriculum documents have been described by many educational critics as both too broad and too shallow. Formal school leaders have been expected to manage and organize; they could leave the responsibility of teaching to the staff.

With the shift in emphasis to "deep learning" in the knowledge society, the approach to leadership, teaching and curriculum development also requires change. Current thinking about curriculum development is placing greater emphasis on thinking strategies and meta-cognition. This is leading to a reduction in the amount of content to be covered and to an increased focus on fewer and deeper concepts.

Contemporary school leaders are asking to know more about how deep learning can be developed. In responding to the move from the industrial age to the knowledge society, educational practitioners are considering societal and economic changes and making five shifts as shown in Table 13.1.

Table 13.1 Shifts from a supporting to a learning system

From	To
Instruction and teaching	Learning for deep understanding
Summative assessment for reporting and grading	Formative assessment for thoughtful and individualized descriptive feedback to the learner
Teaching in isolation	Teaching teams working together as a learning communities
External school improvement	Internal, ongoing model of school improvement with norms of continuous inquiry and a drive for the development and/or improvement of deep learning
No public accountability or an external focus for accountability	Community-based and context-rich internal accountability model of shared responsibility for every learner including both adults and young people

Leading a school in the knowledge society requires educators with an understanding of the implications of these shifts in focus. School leaders are expected to know how to put learning ideas into practice through working with their staffs. New expectations include that school leaders are knowledgeable about learning and are able to think about, talk about and provide feedback to learners, staff and families about deep learning (Copland, 2002; Claxton, 2004; McLaughlin & Mitra, 2004; Fullan, 2005; Hargreaves & Fink, 2006; Leithwood & Jantzi, 2006; Earl & Katz, 2006). Regular dialogue about learning, and how specifically to improve learning for each individual learner, must be a characteristic of schools. Making sure this is a way of life is a fundamental responsibility of leadership.

One current expectation for school principals in Canada is that they are regularly in classrooms observing and following up with conversations with individual learners and with teachers about learning. Thoughtful leadership practice is difficult unless principals and other formal and informal leaders are working with teacher colleagues within a contemporary learning model, which is evidence informed and makes sense to them. Learning leadership requires current knowledge of and understanding about key aspects of learning and how to apply these understandings in the creation of positive learning environments in schools. These understandings take time to develop.

Inquiring Leaders for Improving Schools

Formal studies of leaders, schools and systems inform us of the importance to learners of leaders who establish a direction for school change (Leithwood et al., 2004). We know from Canadian school improvement studies (Sackney et al., 2000) that leadership is a key to changing schools for the better. Change thinkers (Fullan, 2005; Senge, 2000) have led us to believe that a new model for school leaders is one of "systems thinkers in action."

Western Canadian studies of school improvement and the leadership behaviours of exceptional school leaders (Raptis & Fleming, 2004; Bell, 2004) have provided evidence that these school leaders have "an inquiry habit of mind" – they thoroughly examine a range of evidence sources in their learning leadership work. These Canadian findings are also found in the work of Lieberman and Miller (2004):

> An inquiry stance is far different from a solution stance. It requires that one ask questions of one's practice rather than look for answers. It places contextual data collection and analysis rather than generalized solutions at the center of improvement efforts (p.41).

Copland found evidence of an "inquiry habit of mind" in his study of the role of leadership in schools in the Bay Area School Reform initiative in the San Francisco area. He concluded

> The study was able to provide evidence of the efficacy of a policy strategy rooted in a new understanding of school leadership. Key within that understanding is the notion that the distribution and sharing of leadership, around a clear, inquiry–based focus on improving student learning, provides a policy direction for moving beyond narrow role–based strategies that have defined school leadership for decades.

> The leadership experiences of these schools suggest a distribution of leadership functions across a school, given adequate time and personnel to handle the tasks, can provide the capacity, coherence and ownership necessary to sustain and deepen reforms. Perhaps most significantly, this research provides initial evidence of the power of inquiry as the engine to enable the distribution of leadership, and the glue that binds a school community together in common work. Given that role–based leadership strategies have been essentially unable to meet the complex challenges associated with school change, this research calls for a new look across all roles within school systems with a mission to distribute and sustain the functions of leadership within the broader school community (2002, p. 22).

School Leadership Inquiry Framework

Leaders in today's schools are working in a context in which an inquiry habit of mind is important. One key skill used by current school leaders is the exercise of critical thinking in meeting the needs of a variety of frequently competing accountability demands. Many leaders are finding it important to develop a form of internal accountability that is inquiry-based, values distributed leadership and focuses on student learning. In an inquiry framework these leaders and their school leadership teams consider a series of questions as they either design or reflect on their focused inquiry/improvement work.

– What deep learning goals are worth pursuing in your school context/culture?
– What critical thinking/rationale/reflection provides you with your school identity, culture, direction and goals?
– What thoughtful and balanced sources of evidence are you considering? How are you making formative assessment a central core of your work?
– What are you doing to listen to and work productively with your communities?
– How are you applying your knowledge of cultural intelligence?
– What leadership capacities are you developing – from a sustainability of change perspective? How are you building in sustainability understandings?

Reflective discussions, writing and visual representations both in person and online allow leaders to deepen their thinking about genuine improvement for learners in contexts that often are characterized by conflicting ideas about what is productive and appropriate. An "inquiry habit of mind" can assist leaders with a thoughtful stance towards proposed changes likely – or unlikely – to develop deep learning.

Program Design and International Leadership Findings

The design of the program has been based on an examination of the leadership experiences of B.C. school educators in rural, suburban and urban public schools; the findings from ongoing case studies of a networked school inquiry community; the findings from international and Canadian empirical studies of leadership effectiveness; a critical examination of leadership theoretical perspectives; and from the findings of studies of international trends in leadership programs. This section of the chapter describes the links between the international findings and recommendations and the new leaders program.

An international study in 15 countries (Huber, 2004) combined with the comparative analysis and discussion of the results in international seminars (2003–2006) led to the development of a set of guidelines for the design of new leadership programs. Participants in the first new leaders program considered these recommendations and provided the following perspectives as part of the internal and external evaluation process.

Recruitment of teams of highly qualified leaders with strong leadership development backgrounds is a key variable. The program developers and faculty in a leaders program must include those with records of exemplary and contemporary leadership at school (K-12), district and/or state levels in a variety of rural, suburban or urban schools and communities. Faculty at the university are valued when they make a commitment to serving the leadership learning needs of their graduate students on an ongoing basis, beyond their course and degree completion. The mentors selected to work with the learners must bring experience as school and district leaders with demonstrable skills in improving learning in a range of challenging contexts. Coaches and mentors must be current in their learning and assessment knowledge and in their reflective leadership practice.

Selection of participants is important. The selection criteria need to be agreed on collaboratively. Candidates who are selected must have a strong motivation to succeed in informal and formal school leadership roles and must meet university standards for enrolment in graduate programs. In the first leadership group, there were participants from varied backgrounds and from different parts of the province. A key challenge in British Columbia is to improve learning for all learners, particularly those from vulnerable backgrounds. For this reason, it is important that the program attracts new leaders from a range of settings including those from rural communities serving aboriginal families. Over half the participants in the first group have extensive experience working in small communities and learning from and serving aboriginal learners. The international perspective of the program is enhanced by the participation of educators working with international students as well as by the involvement of a new leader serving post-secondary learners in Japan.

Leadership programs need a clear and explicitly stated set of aims, using the core moral purpose of school as a focus. Huber (2004) suggests.

> The goals should not be dominated by a set knowledge base that should be imparted to the participants, nor should the knowledge base be established as a result of external pressures. On the contrary, a concept of the purpose of school and schooling, and the function of educational leadership within that context should be clear. (p. 99)

An ethical mindset – considering the ethics of care, justice, critique and the profession – informs the leadership development program. New leaders are expected to pursue the goals of increasing both quality and equality not only in their schools but also in the system as a whole. They are expected to demonstrate democracy in action and cultural intelligence in their community work. The work of two Canadian scholars, Christopher Hodgkinson, in illuminating the importance of leadership as a moral art, and Lorna Williams, whose knowledge has been recognized in her appointment as Canada Research Chair in Indigenous Studies, has been important to the development of the new leaders program.

The new leaders program also has a strong focus on learning and on learners. Supporting this focus is the development of knowledge about formative assessment, current learning models, the conceptualization of leadership broadly as distributed, networked and democratic, and the development of an inquiry-oriented mindset.

The development of the program must be based on a values and educational beliefs paradigm. Developing leaders need to reflect on their own values in general and on their educational values specifically. Among the core components in the new leaders program are an examination of the research on trust and relationships and the development of and reflection on a personal set of educational leadership values.

The issue of power and the challenge of maintaining a balance between confidence and influence are explored. The ethical dimensions of school leadership developed in the scholarship tradition (Begley & Johansson, 2003; Hodgkinson, & Starratt) and in the journalism tradition (Kidder) are central to both the applied leadership inquiry and to the coaching relationship.

Development must be viewed as a continuous process. An analysis of the international leadership findings led to the conclusion that a continuum of leadership

development is important – including initial preparation, orientation to the new role, induction work and ongoing, reflective professional development.

The new leaders program has been conceptualized as one aspect of leadership development. It is intended that it will become a part of a continuum of connected development opportunities.

Table 13.2 Continuum for leadership development

Task	Responsibility
1. A broad base of shared/distributed development opportunities and experiences for teacher leaders (team leaders, department heads, curriculum coordinators)	Districts, associations, networks – local, regional, provincial
2. Identification of potential school leaders	Districts, networks
3. Formal development program – leadership certificate program laddering into Masters' program	University, province, district, association partnership
4. Induction program – support for newly appointed vice principals and principals for first 2 years	District, associations
5. On-going professional development and opportunity to mentor	District, networks, associations
6. Mentor development	District, associations, university

The forms of knowledge that are important are shifting. The international leadership research literature indicates that there is a need for a shift away from programs that impart a fixed body of knowledge towards the development of conditional and procedural knowledge, conceptual literacy and knowledge management. This is supported by the challenge offered by Heifetz and Linsky (2002):

> Leadership would be a safe undertaking if your organizations and communities only faced problems for which they already knew the solutions. Every day, people have problems for which they do, in fact, have the necessary know–how and procedures. We call these technical problems. But there is a whole host of problems that are not amenable to authoritative expertise or standard operating procedures. They cannot be solved by someone who provides answers from on high. We call these adaptive challenges because they require experiments, new discoveries, and adjustments from numerous places in the organization or community. Without learning new ways – changing attitudes, values, and behaviors – people cannot make the adaptive leap necessary to thrive in the new environment. The sustainability of change depends on having the people with the problem internalize the change itself. (p. 13)

Implicit in the design of the new leaders program is the understanding that schools are complex and often chaotic places. Learners design a 1-year applied leadership inquiry that fits the context of their individual school. The primary role of their coach is to serve as a reflective partner who will help in the development of solutions to the adaptive challenges of leading in a specific and unique context.

There needs to be an intelligent balance between theory and practice. The necessity of changing both behaviour and thought patterns requires a design that includes

combining theory and practice in a program that involves intense learning experiences over a longer period of time. The program involves an initial intensive 2-week summer residential experience, an online course during the fall term, regular contact with faculty through reflective papers and e-journals, ongoing contact with mentors related to the applied leadership inquiry and a second intensive week-long residential session. The year-long design gives new leaders the opportunity to apply the theoretical and research perspectives to their own school leadership practice. The design also enables learners to have frequent contact with each other and with their faculty and mentors during the 1-year certificate program. As well, the program has been structured so that those continuing into a masters' program can do so seamlessly.

The program must have a strong orientation to the individual and actual needs of the participants. The certificate program addresses two sets of needs: those of the individual participants and those of their school. Participants are expected to make a positive difference to learning in their school through their applied leadership inquiry. This involves knowing their own strengths and interests, the needs of their school, and especially, the challenges of the learners they serve. The use of a variety of self-assessment tools and a range of approaches for understanding the culture and context of their own schools helps to deepen awareness.

The participants must be actively involved in their learning. Leaders of the program and participants need to be engaged in a highly collaborative and interactive manner. Participants, in designing the applied leadership inquiry, are connecting their work with school goals and other learning-oriented school-based initiatives. The assessment framework for the program and criteria for leadership assignments are developed collaboratively.

Inspiring collegial learning and intensive collaboration are key elements. The formation of professional networks that can outlive the duration of the development program is encouraged and supported. Many of the participants in the program are currently members of a provincial networked learning community. This participation allows the opportunity to meet with their colleagues and faculty at seminars and conferences during the school year. The online component of the program is designed to build on and support the learning community developed during the summer residency. New forms of supporting the on-going connections of the program graduates through advanced forms of personal and technology-based networking need to be developed as the program evolves.

Problem-based learning is an important component. Adult learners need teaching and learning methods that are complex, problem based and real. The use of "living" case studies is a particularly effective leadership learning strategy. Principals representing a diversity of school contexts provide complex scenarios for group analysis, reflection and discussion. The problem-based learning introduced during the summer residency is designed to complement the development of a year-long inquiry leadership project.

Learning opportunities at the workplace are central. The international research findings have indicated that active participation in leadership tasks has proven

particularly effective in leadership development. The major focus of both coaching and mentoring in the new leaders program is on the involvement of the new leader in real-world learning leadership tasks with a strong learning improvement orientation. Mentorship for role and task responsibilities seems to be especially effective once school leaders acquire their first formal position as vice-principal or principal. This important aspect of new leadership development is currently the major responsibility of districts working with their local associations. Training of coaches and mentors in the future needs to address the reality of role changes experienced by new leaders during the program. The development of new coaching-based models will be explored in the ongoing evolution of the leadership program.

Dual focus on the personal and professional development needs of the participants as well as a focus on improving their schools is required. The international findings suggest that the development of participants in their individual growth should be linked to school improvement. The applied leadership inquiry requires that participants involve other colleagues at their school or in their district – a department, grade group or a whole staff. By engaging in leadership activities at the school site, and by working with other staff members in the process, participants are helping both to develop capacity and apply their own knowledge about distributed leadership capacity building.

Self-organized and reflective learning processes supported by communication and information technology are important. The certificate program supports the development of a reflective mindset through the use of individual processes such as writing a leadership journal as well as through the use of email platforms and web-based learning environments. Through the use of WebCT participants are involved in online discussion groups. The requirement for monthly readings and reflective writing about leadership practices forms the basis for the development of a personal view of leadership in action. The leadership journal documents the participant's applied leadership inquiry and their interactions with their coach.

The materials used in leadership development must be both academically grounded and based on current genuine school life leadership challenges. The materials used in a leadership program need to reflect current issues in education and use authentic leadership practice documents as much as possible. The participants in the new leaders program have, for example, examined actual and exemplary school growth plans; analysed case studies of schools and data sets available from state/province, district, and school web sites; considered current legislative frameworks; and discussed digital videos of teacher–learner interactions in schools serving vulnerable learners. The required readings are academically grounded in contemporary leadership theory and empirically based leadership research studies. The readings have been selected to provide current, Canadian and international perspectives on leadership issues.

Leadership learning work and self-reflection presentations must be part of the program. Participants regularly share both their writing and their reflections with others. The presentation opportunities include small and large group sessions with peer formative assessments. Upon the conclusion of the applied leadership inquiry,

the new leaders prepare a presentation outlining the focus for their inquiry, the rationale for their choice, the desired outcomes, the staff development strategies used, the results they achieved and their reflections on their leadership learning experience.

There needs to be conceptually established support for the actual role transition. Support for the participants in transferring knowledge from the development program into their new role is important. Follow-up seminars, the development of ongoing networks and strengthened ongoing mentoring and coaching are needed in order to ensure there is as little "transfer" loss as possible. The involvement of many of the new leaders in ongoing local and provincial networks can play a role in easing the transition to formal leadership. Evidence-informed programs at the district and association levels are also required once aspiring leaders assume formal roles.

Participants who successfully complete a leadership development course must receive certification. The receipt of a certificate at the completion of a leadership development program permits developing leaders to document their success. The certificate also provides information to boards about their level of qualification. The new leaders in this province receive their certificate as part of the university graduation ceremonies. There is evidence, based on recent appointments, that the leadership study which the certificate represents is highly regarded by school districts seeking new leaders.

Centralized guidelines for leadership quality assurance are required. The provincial, state or national level needs to develop, in consultation with a variety of interested partners, a process for determining quality in the development of new leaders. This process must be informed by both Canadian and international research and theoretical positions. It must also be informed by the strongest emerging transformative work by local scholars and leaders of practice who are successfully shifting their schools from the industrial to the knowledge and learning system paradigm.

Questions for New Leaders Programs

Programs for new leaders must be rigorously assessed if the learners are to have confidence in them and if the public and the profession are to have confidence that the leaders we trust to help develop our future democratic citizens are well prepared for their challenging and critically important work. The evaluation of current leadership programs is an area of weakness internationally. Firestone and Riehl (2005) conclude their chapter on how educational leadership can be studied by stating.

> In its defense, Berliner (2002) calls educational research one of the hard–to–do sciences, given factors that limit opportunities for theory–building and generalization, the confounding power of context, the rarity of simplistic causal relationships, and the problem of "decade by findings" interactions that render educational knowledge moot in relatively short time spans. The methodological challenges facing researchers in educational leadership are formidable, but they are not insurmountable. (p. 170)

There is an emerging perspective in the North American leadership research community that new questions need to be a part of a future research agenda.

Questions from the traditions of cognitive psychology, ethical leadership and policy, for example, include the following:

– What leadership knowledge and practice contributes to improved learning and teaching?
– What are the connections between the ideas of distributed or networked leadership with the concept of "professional community" from the sociology of school improvement and "communities of practice" from the study of cognitive psychology?
– How do leaders contribute to a community where all learners are and feel included in the school and the educational enterprise?
– How do leaders contribute to the organization of student, teacher, support staff and parent communities?
– What do leaders need to know to contribute – in a time- and energy-effective manner – to building the broader community connected with the school?
– In a turbulent accountability policy environment, how do leaders make sense of the competing demands and move to thoughtful actions for learners?
– How can leaders work within and across schools to deepen internal accountability based on moral purpose? (Firestone & Riehl, 2005, pp. 174–181)

The positions explored and the inquiries generated from Firestone and Riehl's *A New Agenda for Research in Educational Leadership* need to be examined and debated in our province by scholars of practice, interested partners, faculty members, students and members of the public. The recommendations regarding international perspectives on leadership development of Leithwood, Huber and Hallinger need to continue to be considered for their applicability to our provincial context.

The Ministry of Education has made a productive beginning to examining the leadership program described in this chapter by commissioning both an internal program self-study/review and an external evaluation. The findings from these studies will strengthen the experiences of future participants interested in school leadership. When new leaders can be assured that their programs are based on both the strongest traditional and emerging provincial and national knowledge base and on the best of what is currently known internationally, they can be more confident that the challenging work they are committing themselves to – work done for the public good – is both theoretically grounded and practically defensible.

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Chapter 14
Investigating the Use of Capability and Standards – Referenced Frameworks to Support the Professional Learning of Aspiring, New and Experienced School Leaders in the Public Education System in New South Wales, Australia[1]

Norman McCulla

Abstract Recruitment to positions of school leadership, the preparation of aspiring school leaders, support for the induction of newly appointed school leaders, and ensuring quality professional learning for experienced school leaders all require agreement and transparency on what it is that successful school leaders do.

This chapter outlines recent developments in the public education system in New South Wales, Australia, where research has led to the development of a School Leadership Capability Framework. The framework centers on the capabilities required for quality school leadership identified from analyses of the work of successful school leaders. Using the framework as a base, the chapter outlines how a leadership continuum is being developed in an integrated, tri-level approach to professional learning and program development involving schools, administrative regions and the state office.

A second dimension to the chapter is added by an outline of policies that are in place to enable distributive leadership to occur within and across schools through school planning, professional learning, and the introduction of a standards-referenced framework for teacher professional development.

The chapter identifies areas for further research that are being suggested from the implementation of these policy frameworks so as to ensure the successful evolution of strategies and programs for school leadership development and the development of sound professional learning cultures in schools.

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Introduction

Education jurisdictions everywhere face similar challenges of assuring quality school leadership and succession to it. Ramsey (2000, p. 12) commented in a review of teacher education in New South Wales (NSW), Australia, that

> There are two critical points where extensive attention is needed. . .. The first is the need to improve the transition from teacher–in–training to fully–fledged–teacher, using mentoring, internships and better induction.

> The second issue is the development of professional leaders to take teaching forward and to manage schools effectively in an educational development sense. . . A key question for teaching is to determine the characteristics of good educational leadership in contemporary society, to set standards and to structure continuing teacher education programs which align educational leadership with the times.

Fullan (2001, p. 261) elaborates on the challenge:

> We do know that individual principals are often the key agents of school success, that there is little direct preparation for the role or systematic professional development on the job, and that there is no research that links particular professional development to success on the job.

The challenges are accentuated at times when the demography of a teaching service shows that its teachers are ageing and that ensuring succession both into the profession and on to positions of school leadership will be of vital importance. This is presently the case in the public education system in the state of New South Wales, Australia, where a generation of teachers who have served the system well are moving towards retirement from the full-time teaching service. Workforce projections show, over the next decade, 74% of the current secondary school principals and 59% of primary school principals will separate from the system (Scott, 2003). The data also show that many school executives other than principals, who might be seen as a natural means of succession in other circumstances, will also be separating around the same time.

This scenario led policy makers in the NSW Department of Education and Training to consider the fundamental questions of what it is that successful school leaders do and what might be learnt from the current generation of school leaders that could help shape the preparation, professionalisation and ongoing support of new school leaders. It also required the Department, if it were to avoid simply replicating the status quo, to set clear priorities for the future of public education in NSW. This required, in turn, a broad-based consultative process in 2004–2005 that encouraged each school community to have its say on what is important to the further development of public schools (see http://www.det.nsw.edu.au).

Recognition that there is a learning continuum for school leaders as they move from aspirant to experienced in the role, and also from small school to larger school contexts, required the development of strategies, programs and resources to support school leaders at their various stages of need.

From these considerations, a developmental model arose that is firmly grounded in the current research literature and in principles of effective adult learning. It

forms the basis of a learning continuum supporting the development of aspiring, new and experienced school leaders and is implemented within an enabling policy and accountability framework for school planning and professional learning. The components of the model are outlined in the sections which follow.

A School Leadership Capability Framework (SCL)

Research commissioned by the Department, and undertaken by Professor Geoff Scott at the University of Western Sydney in 2002–2003, studied the work of successful school leaders. This was a complex task given the size of the education system and the diversity of school community contexts in which principals undertake their work. School contexts range from large, metropolitan schools to small schools in isolated rural communities. Many NSW schools are also characterised by student populations that are highly multicultural, an outcome of Australia's immigration policies, and by the numbers of Aboriginal students, Australia's indigenous population.

The NSW public education system is the largest education system in the southern hemisphere. The organisational structure of the NSW Department of Education and Training is based on a state office structure that provides enabling policy and accountability frameworks for aspects of schooling to all schools, and 10 regional offices that provide local support to a proportion of the state's 2244 schools. Regional offices also undertake analyses of the geographic and socio-economic contexts in which their schools are set to further contextualise planning.

Scott's study, the *Leadership Capability Research Project* (Scott, 2003), aimed to apply and refine a capability research methodology with a sample of 322 school principals from the Department who were representative of the many distinctive operating contexts for government schools. The principals were identified as performing effectively on a specified range of indicators. From the data generated, the study aimed to produce

- a research validated leadership capability framework to give focus to NSW principal preparation, induction and development programs and
- a clear picture of the forms of professional learning and support that are most (and least) productive for principals.

Scott (2003, p. 43) concluded that

Once the daily realities and nature of the principal's work are appreciated, the unique and complex combination of leadership capabilities identified in the study as being critical to effective performance as a school leader become understandable. In particular, it becomes clear why technical and academic excellence are not enough, why these must work in combination with a high level of emotional intelligence (both personal and social)...(that is) far more critical than previously understood.

A key outcome of Scott's study was the development within the Department of the *School Leadership Capability Framework*. This framework now underpins all school leadership development programs. Development of the framework was undertaken in co-operation with the NSW Primary Principals' Association and the NSW Secondary Principals' Council, both professional associations of Government school principals.

The *School Leadership Capability Framework* is based on five domains that combine to ensure effective school leadership: (a) educational, (b) interpersonal, (c) organisational, (d) strategic and (e) personal.

A leadership development instrument linked to the *School Leadership Capability Framework* enables individuals to conduct a self, peer or 360° assessment of their current leadership strengths and areas for further development. The framework is conceived as an evolutionary one, continually responsive to feedback from school leaders as well as new developments and research in leadership. The current version is appended.

Strategies for School Leadership Development

A challenge within education jurisdictions is to provide structures for school leadership development and support that are transparent in their operation and accessible to all aspirants. By itself, however, this is insufficient. Ideally, such structures will also be capable of enabling any number of professional relationships to form, including mentoring and coaching, all of which enable action learning and the effective management of change processes.

With the *School Leadership Capability Framework* as a base, a range of strategies is in place in the NSW public education system to support the professional learning of aspiring, new and experienced school leaders. The strategies provide accessible and flexible delivery of leadership development opportunities with an emphasis on self-assessment linked to the *School Leadership Capability Framework*, individual planning, mentoring and ongoing professional learning. The strategies encourage school leaders and those who aspire to leadership positions to access learning opportunities that take into account their professional experiences, career stage and aspirations.

The strategies and related programs are implemented in a context where the state office establishes a broad policy framework and each of 10 administrative regions develops local infrastructures for professional development responsive to local issues and need. An outline of the main program areas follows.

Teacher Leader Program

The *Teacher Leader Program* provides a formal introduction to whole-school leadership through, for instance, learning circles that consider research into school leadership, leadership styles and the *School Leadership Capability Framework*.

Principal Preparation Program

The *Principal Preparation Program* is focused on preparing those who demonstrate a high level of leadership in their current position and aspire to be a principal. It specifically assists those who, within a period of 2 years, are aspirants to be a principal of a school context that may be characterised by (a) remote location, (b) high staff mobility, (c) high proportion of newly appointed teachers and executive and (e) schools with culturally diverse communities.

The program involves attendance at conferences and engagement in other leadership development opportunities including workshops, mentoring, shadowing and interactive online support. Web-based resources support these activities.

Experienced principals mentor aspirant school leaders. Principals who have current or recent successful experience in a school within the targeted contexts apply to be mentors to the participants in the *Principal Preparation Program*. They are able to integrate their work in the *Principal Preparation Program* with further tertiary study at a Masters level. Interactive online learning and support provides the basis for a blended approach involving both face-to-face and web-based professional learning. Participation in the program is voluntary. Increasingly, however, participation in the program is being seen as a pre-requisite for applicants for school leader positions. One outcome of the strategy has been a marked increase in the number of aspirant school leaders coming forward voluntarily to undertake the program.

Induction Support for School Leaders

Induction for newly appointed principals extends over an 18 month period. It includes an initial 2-day conference and follow-up support provided by state office. The induction conference provides opportunities for new principals to develop personal leadership development plans based on the *School Leadership Capability Framework*, form collegial networks, personally meet senior departmental officers and update their understandings of key departmental policies and requirements central to their role. Follow-up telephone contact and online resources ensure continued support is provided.

Other induction programs support preparation for whole-school leadership. They include programs for newly appointed, first-time executive (focusing on "making a difference to the classrooms next door"); developmental programs for experienced school executive focused on team building and change management; and induction programs for newly appointed deputy principals.

Leadership Development Support for Experienced School Leaders

The development of programs supporting school leadership is being informed by a commitment to provide professional learning opportunities that best suit the times and ways in which individuals prefer to learn. As such, a goal is for aspiring school

leaders and school leaders to have increasing levels of access to programs and resources along a leadership learning continuum including a web-based *Leadership Tool Kit*.

Case-based learning and the use of *hypotheticals* that parallel the real-life experiences of school leaders are proving to be of value in enhancing the leadership capacity of school executive in developing solutions to local issues. School teams choose cases that align with issues they themselves are encountering. Responses to cases and hypothetical situations require group discussion and planning drawing on the domains within the *School Leadership Capability Framework*. By selecting a case or hypothetical that parallels a local issue, aspects of the local issue can be discussed objectively in an environment where school leaders can further develop their leadership capabilities.

A constructivist approach has been used in working with teachers and school leaders to develop each case. Cases take into account the authentic contexts in which school leaders work and reflect the complexity of the school environment. Facilitation processes have also been developed to assist the use of cases with school teams and professional learning circles (see   http://www.qtp.nsw.edu.au/flme).

Short courses and *multi-phased programs,* such as those presently being conducted across the state in association with Professor Michael Fullan, provide insights into preferred organisational cultures, interdependencies in relationships and sustainable leadership practices. Other programs conducted in association with Stephen Covey increase the capacities of school leaders through developing the habits of highly effective people and include a focus on personal well-being.

Consolidated Training provides twice-yearly opportunities for principals to update their knowledge and skills of new areas that are required by legislative change in areas such as student or staff welfare or the introduction of professional teaching standards. Principals are obligated to respond to these policy changes that, in turn, require new skills and understandings to bring about the required changes in school practice.

Online Leadership Development Support

The Department's *School Leadership Development Website* provides a wide variety of relevant materials and services to support the professional learning of aspiring, beginning and continuing school leaders. Specific programs include *Principal Action Learning* where school planning processes led by the principal are enhanced through the use of a facilitator, academic or business partner committed to action learning.

A menu of development opportunities aligned to the *School Leadership Capability Framework* has been developed. This online resource allows school leaders to access research articles, departmental materials and policies, tertiary courses, professional associations and information about upcoming state and national leadership conferences. Current developments on the web site include provision for

online conferences and "just in time" learning units. The web site address is
www.det.nsw.edu.au/proflearn

The development of programs supporting school leadership is being informed
by a commitment to provide professional learning opportunities that best suit the
times and ways in which individuals prefer to learn. As such, a goal is for aspiring
school leaders and school leaders to have increasing levels of access to programs and
resources along a leadership learning continuum including a web-based *Leadership
Tool Kit*.

Sharing and Developing Leadership Practice

Leadership Fellowships are provided to principals to conduct research into aspects
of school leadership development. The focus of a study, initiated by the applicant,
reflects both the priorities of the school system and the professional interests and
critical questions of the applicant. Studies currently in progress include, for instance,
an investigation of the ways in which the capabilities of school leadership remain
the same or change in their emphases as school leaders move from smaller to larger
schools.

A *Visiting Principal Program* establishes interactions between educational lead-
ers within NSW, other Australian states and overseas through exchange programs,
placements and reciprocal study tours. The *Principal for a Day Program*, conducted
for 1 day each year, encourages leaders from business, industry and the general com-
munity to spend a day in a government school as "the Principal" and, at the end of
the day, share their experiences in a forum. The program provides for the exchange
of understandings and leadership practices and establishes greater links between the
business and general community and schools. In so doing, it celebrates the work of
the schools.

Accreditation

There is a commitment within the Department to link professional learning with
post-graduate programs of study. Universities in NSW offer credit transfer arrange-
ments for a number of programs including the *Principal Preparation Program* and
other online courses in areas such as developing the school's professional learning
program. Support is also available for doctoral studies.

Contextualising School Leadership

School leadership does not occur in a vacuum. Effective leadership is grounded in
the moral purpose of achieving the best possible learning outcomes for students

within the contexts in which their learning takes place. School planning in NSW Government schools is based on understandings of the context in which each school is set and of the expectations of the community it serves. It is informed by data on student learning outcomes from state-wide testing programs and other sources. Government schools work within broad policy frameworks provided by the state office, including statements of overall priorities for the betterment of public education in the state that encompass all schools. Professional learning programs and resources support curriculum and organisational change efforts required of all schools as well as change relating to student and staff welfare that reflects legislative requirements.

School planning is embedded in a school accountability framework that sees professional learning as a key strategy for achieving targets. Principals lead school planning processes based on school self-evaluation, consultations with the community, data analysis and reflection. Specific priorities for each school emerge from these planning processes. Priorities are determined by school data and influenced by the broader regional and state-wide planning processes and support structures. Professional learning plans for the principal and staff, developed collegially in each school by a professional learning team, are key components of the school plan and instrumental to the school's achievement of its stated priorities. Principals develop school plans annually on a rolling, 3-year horizon. Schools report to their communities annually in a reporting format that includes statements of intentions and outcomes, including data on student learning outcomes.

Responsiveness to context is important. The three rural regions of the NSW public education system (New England, Western NSW and Riverina), for instance, encompass 84% of the land mass and 15% of the student population (Green & Reid, 2004). Rural regions are characterised, in general, by an arid topography, distance and school isolation. Other regions are coastal and reflect substantial diversities in socio-economic backgrounds and community aspirations in a public education system committed to equity and social justice in the outcomes of schooling.

A recent 4-year research study co-funded by the Australian Research Council, the *Rural (Teacher) Education Project*, has brought together analyses of Departmental data on student learning and school staffing; data from other government agencies concerned with children, young people and indigenous communities; and data from 18 case studies into aspects of rural education conducted as action learning projects in co-operation with the rural communities.

The case studies focused on "outlier" sites where success was evident in student learning outcomes and/or where there were substantive issues related to the rural context with which the school was engaged. The data analyses have formed rich and multi-layered cartographies of rural education and are shaping planning priorities for the future at each of the three levels: school, region and system (see Green, 2008).

The *Rural (Teacher) Education Project* is highlighting just how important it is to successful school leadership to be able to know about the antecedents, and read the nuances, of a school's context, as well as to be an integral and respected member of the school's community.

Distributing School Leadership

A key component of effective school leadership is the capacity to enable others to take a leadership role as the situation demands. To enable these kinds of distributive leadership relationships to take place, funding for teacher professional learning is provided directly to schools.

Funding is allocated to the school, not to the individual teacher. The quantum of funding to each school is determined by the number of full-time teachers on the staff. Allocations range from AUD $600 per teacher for schools in metropolitan areas to AUD $1000 per teacher for schools in the more remote rural locations, a commitment of AUD $36 million annually.

The policy framework is established by the Department's *Professional Learning Policy for Schools* (2004) (See www.det.nsw.edu.au/proflearn). The policy framework was developed in 2003 from four major sources of information: research into teacher professional learning; reference to recent reports specific to the NSW context and involving extensive consultations with teachers and school groups (Vinson, 2002; Ramsey, 2000); identification of current good practice; and consultation with peak groups including the NSW Primary Principals Association, the NSW Secondary Principals and the NSW Teachers Federation (an industrial union).

The policy framework requires the formation of a school professional learning team, led by the principal or his/her delegate, to determine the focus of the school's professional learning program and use of funds; the alignment of the professional learning program with the overall school plan and strategic priorities; and a consideration and integration of corporate, school and regional priorities in determining the plan.

Under the policy, responsibility for professional learning is seen as shared: between employer and employee; between school, region and system. While the DET is to be seen as the "preferred provider" of professional learning, schools do have the freedom to choose the provider that best suits a specific professional learning need provided that the choice can be justified as cost-effective. This means that professional teacher associations and universities are playing a more prominent role in teacher professional learning. Principals and school staff have responded positively to the policy framework (see McCulla & Gereige-Hinson, 2005).

The policy framework means that teachers can be encouraged to lead professional learning initiatives within the school, region and/or across the state. It enables outstanding teachers to work within university teacher education programs, post-graduate education programs and programs for continuing professional development. In so doing, teachers have opportunities to develop capabilities within the *School Leadership Capability Framework* and be recognised for doing so. They have opportunities to demonstrate higher order standards of professional learning.

The need to understand the relationships between school leadership, teacher professional learning and student learning remains fertile terrain. We know that teacher professional development is essential to efforts to improve schools (Borko, 2004). Interest in investigating school leadership that enables, develops and applies teacher

learning to student learning is opening up opportunities for university staff to work in schools to better understand the links and demonstrate their outcomes.

Focusing School Leadership

Just as the capabilities required for effective school leadership of government schools in NSW have been made more transparent through the *School Leadership Capability Framework,* so too have the professional standards of teaching through the work of the newly formed (2004) NSW Institute of Teachers. The institute is a statutory body with regulatory responsibilities on aspects of teacher professionalism that are binding on the state's Government, Catholic and independent schools (see http://www.nswteachers.nsw.edu.au).

Four standards–referenced frameworks for teacher professional learning have been developed from research in schools. They are at the following levels:

1. *graduate teacher* – that is, the standards required upon graduation from a teacher education program;
2. *professional competence* – that is, the standard required for registration as a practising professional following a period of induction;
3. *professional accomplishment* – that is, the standard demonstrated after a period of professional practice when higher order skills and experiences are evident; and
4. *professional leadership* – that is, the standard demonstrated that shows leadership of the profession from the vantage of the practising professional.

The first two levels are mandatory in that graduate teachers and teachers on probation are required to demonstrate the required standards and, over a 5-year period, present evidence of maintaining standards for re-certification. Teachers will also be able to present themselves for accreditation at the higher levels in a voluntary capacity. The standards framework is being phased in with the current focus on the first two levels. It points the way as to what school leaders do both in developing the content and processes of their own professionalism and in supporting the professional growth of their staff.

The standards within each of the four key stages are intended to describe the nature of teachers' work in three broad domains: (a) professional knowledge, (b) professional practice and (c) professional commitment.

Seven elements describe the areas encompassed within the domains. They give the organisational structure necessary for a consistent presentation of the standards within each key stage and elaboration of them from stage to stage. The seven elements are that teachers

1. know their subject/content and how to teach that content to their students;
2. know their students and how students learn;

3. plan, assess and report for effective learning;
4. communicate effectively with their students;
5. create and maintain safe and challenging learning environments through the use of classroom management skills;
6. continually improve their professional knowledge and practice; and
7. are actively engaged members of their profession and the wider community.(*Professional Teaching Standards*, NSW Institute of Teachers, 2005)

The work of the Department's Professional Learning and Leadership Development Directorate is focused on articulating and supporting the continuum of teacher professional learning from the within-school components of pre-service teacher education programs, through induction and the development of quality teaching practices, to the development of school-based and non-school-based school leaders. It does this within the context of the professional standards framework and in a collegial working environment involving the 10 regions, other state office directorates, representatives of peak groups including the NSW Institute of Teachers, principal associations and teacher industrial unions.

These developments have raised the question in the Australian context of whether professional standards should be developed explicitly for school leaders and, if so, what purpose they would serve.

1. Do such standards, for instance, aid or hinder recruitment and preparation for the principalship?
2. Is their prime focus developmental or regulatory?
3. Is it possible to reconcile the two in the interests of striking a balance between self-regulation professionally and public accountability as a profession?
4. Who should develop such frameworks, and how?
5. And if place does matter in the way the context of the school is instrumental in shaping the school leader's role, how might standards best acknowledge and respond to that characteristic?

Researching School Leadership

The evolution of the policy framework described above is being shaped in New South Wales by some key research questions.

1. As schools and society change, what amendments need to be made to the *School Leadership Capability Framework* to ensure its continued relevance to developing and supporting school leaders?
2. How might the work of school leader preparation and support be effectively integrated with standards-referenced frameworks for teacher professional development?

3. Should standards be developed explicitly for positional school leadership and, if so, by whom, how and for what purposes?
4. Just how important to successful school leadership is the capability to know about the antecedents and read the nuances of a school's context, as well as be an integral and respected player in the school's community?
5. How might interactive e-learning approaches better support the professional development of aspiring, new and experienced school leaders by integrating localised, face-to-face initiatives with web-based resources?
6. How and in what ways might the links between successful school leadership, targeted professional learning and improvements to the learning outcomes of students be better demonstrated?

Summary

The use of a *School Leadership Capability Framework* and the introduction of a standards-referenced framework for teacher professional development in the NSW Department of Education and Training have substantially increased the professionalisation of school leadership by making transparent to the profession and to the general community what it is that effective principals and good teachers do. They are also serving as the basis on which strategies, programs and resources for aspiring, new and experienced school leaders are being developed. In so doing, the *School Leadership Capability Framework* is opening up access to teachers to pursue their career path development within an organisational structure that is supportive of this growth and developing strong professional learning cultures in schools.

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Chapter 15
Cloning Their Own: Aspirant Principals and the School-Based Selection Game

Peter Gronn and Kathy Lacey

Abstract In this chapter, we report data from two projects concerned with the aspirant principals' perspectives about school principal recruitment in three Australian states. In particular, we consider what our respondents perceive as factors that inhibit the realisation of their aspirations. One of these factors is to do with aspects of the operation of school-based processes of application and selection. Principal aspirants regard selection as a game that works to the advantage of internal applicants for advertised vacancies. We analyse a number of dimensions of the selection game and we liken the bias towards internal candidates as a form of personnel cloning. Finally, we consider some possible explanations for this practice and review its wider significance in respect of the themes of risks, risk-taking and risk aversion in employment recruitment.

Introduction

> It cannot be supposed . . . that a bureaucracy operating in an environment which is dangerous to it or is regarded as such, which is surrounded by earthly foes or perceives itself as encircled by dangerous supernatural forces, will give the recruitment of expert personnel a more salient place than the reinforcement of loyalty (Gouldner, 1958, pp. 465–6).

In this chapter, we discuss an emerging trend in leadership replenishment which has surfaced in the data from two research projects. This trend is the increased predilection of government primary and secondary schools in some Australian states in the making of appointments to advertised principal class vacancies to nominate

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internal applicants (or candidates from within the school) in preference to external applicants. We characterise this trend as a form of role cloning; hence the notion of "cloning their own". By cloning we do not have in mind the employment of personnel who literally replicate their departing predecessors in temperament, attributes, skills and styles, etc. On the contrary, we are attempting to capture the idea that schools are tending to play safe by choosing "one of their own". That is, the selection panels which act on behalf of schools and their communities are seeking to ensure that the persons to whom they accord senior-level responsibilities are "known", as distinct from "unknown", quantities. This tendency, in turn, is a way of seeking to guarantee that new appointees fit a preferred mould (or are deemed able to be moulded). The assumption is that such moulding is more likely to occur if appointees come from within the school where they may have already been socialised in preferred ways in prior lead-up roles consistent with the overall leadership culture of a school. One of our aspirant respondents (A#9) summed this expectation up rather pithily as follows:

> I think that … asking people to be so concise [in preparing their written applications] schools are essentially saying: "We are really not interested in taking any chances. We know exactly what it is that we want and so we will just go through this process".

Another aspirant believed that, in wider circumstances of relative career immobility for teachers, such "looking after your own" is both inevitable and desirable (A#10):

> People are always going to try and support their own staff if they think they are good. I would hope that would always be the case. If your staff have served your school well, then you are not going to treat them poorly, hopefully.

For these and other reasons discussed below, our hypothesis is that while this trend may be discounted as an atypical outcome of school-based selection policies and procedures, it might also be viewed more pertinently as a deliberate risk aversive strategy by schools, the intention of which is to try to avoid any undesirable outcomes of local selection.

This chapter analyses a selection of data from two research projects: *Identifying and Tracking Principal Aspirants* (ITPA)[1] and *Principal Aspirations and Recruitment amidst Leadership Disengagement* (PRALD).[2] In the following sections of the chapter, we outline the background to both projects; briefly summarise our methodology; and consider a number of features of school-based selection, including their intended and unintended consequences, and aspirants' coping strategies. We conclude by discussing the overall significance of our findings, in particular their implications for occupational identity formation and the emotional vulnerability experienced by aspirants during role transition.

Background to the Research

For about a decade, there has been a concern with "supply-side" difficulties experienced in principal recruitment, in particular actual and/or anticipated shortages. While this concern is international, the incidence of it is by no means globally uniform. The voices articulating this concern include professional associations, journalists, politicians, policy analysts, researchers and employers. The strength of this concern is evident in the increased amount of recent academic writing devoted to principal shortages (some of which is discussed below). On the other hand, the phenomenon of shortage is bedevilled by conflicting perceptions and an absence of agreement about what counts as a shortage and as evidence of a shortage.

Issues of Definition

There are two main dimensions to principal supply. The first is quantitative while the second is qualitative. From a quantitative perspective, a necessary pre-condition of a shortage of appointees is a demand for replacements to a position, so that if there are no current or projected vacancies to be filled then shortage is not an issue. In this situation, then, assuming that there are applicants at the ready, supply will exceed demand. If, on the other hand, there are vacancies (current and/or projected), then a shortage exists when the ratio of applicants to job vacancies is low, as when only 90 people apply for 100 positions, so that there is a shortage of 10. But a shortage may mean more than this. Suppose that a 5-year trend of an average of 20 applications for those 100 vacancies dips in year six to an average of three. This means that for year six the overall "pool" of potential appointees has dried up (significantly) from 2000 to 300. If 300 becomes the trend for the next 5-year period, then a pool problem has been transformed into a "pipeline" problem. (Employing authorities that require principal applicants to obtain certification—e.g. a principal's certificate—may, as a result, be able to identify reduced pipeline flows.)

Is such a decline (i.e. from 20 to 3) interpretable as a shortage? Possibly, given that 20 is an average figure, in which case the numbers of applicants for some vacancies may be much lower. Thus, shortages are unlikely to be experienced uniformly, so that some locations experience an oversupply and others an undersupply. In the USA, for example, Roza et al. (2003, p. 14) suggest that while "there are far more people 'qualified' for a principalship in the United States than there are jobs for them to fill" (a national average of 17 applicants for every principal vacancy— down 10 per cent over a 7-year period), supply problems exist in pockets. As an illustration, in 2002 one Californian school district received 40 applicants for every vacancy while another "just 12 miles down the road" received an average of 4 (Roza et al., 2003, p. 23). These kinds of applicant distributional preference patterns may be compounded by qualitative considerations. Thus, while a selection panel which desires to make (what it deems to be) a good quality appointment requires only one "good" applicant to do so, an absence of quality may be more obvious to it when its pool of applicants is reduced. Quality considerations are also slippery because

selectors' prototypes of candidate acceptability shift. Roza et al. (2003, p. 31) argue that in the USA the shift has been upwards. Thus, school districts have created their own recruitment difficulties by "searching for characteristics beyond minimal state certification requirements". Then, "by defining an idealised set of attributes that they seek in principal candidates (who, after all, walk on water)", they make hiring decisions "that bear little relationship to the attributes sought". For these reasons, then, the topic of principal supply is a knotty one and claims about shortages should be treated with caution.

Australian Research

Evidence of principal shortages is difficult to obtain. In Victoria, some data exist for the period 1999–2001 (see Table 15.1), when the average number of applications for each advertised principal vacancy was approximately seven, with (although this is not evident in the table) the average number of secondary applications per vacancy for the period slightly higher than primary applications. The smallness of this figure in absolute terms probably means that some schools selected candidates from very restricted interview shortlists or may even have had no applicants. Moreover, given that candidates often submit applications for multiple vacancies and may be preferred by a number of schools, in some cases schools may have had a very limited opportunity to secure their first preferences or may not have had an acceptable candidate. (Indeed, in 1999, in one rural region a mere 27 candidates applied for 8 secondary schools between them, an average of about 3 per school.) It is also evident that females mostly comprised less than 40 per cent of all applicants.

   Possible factors affecting future principal supply have been the subject of research in Victoria and New South Wales, in both the government and non-government schooling sectors. The bulk of this research has documented the principalship aspirations of assistant principals and teachers and the factors that make for the attractiveness or unattractiveness of the principal role in the eyes of potential applicants. The most comprehensive Australian study of principal aspirations to date was undertaken in Victorian government schools by Lacey (2003). This

Table 15.1 Victoria, principal vacancy applications 1999–2001[3]

Year	Vacancies (prim & sec)	Applications (prim & sec)	Average applications per vacancy	Females as a % of total applications
1999	390	2846	7.3	38
2000	296	1989	6.7	37
2001	217	1607	7.4	40

[3]Source: Department of Education Training, Victoria (Policy and Employee Relations Branch), March 2002 and August 2005.

was a survey of approximately 1350 teachers and principal class members which investigated influences on teachers' decisions to apply or not to apply for principal class positions. Lacey's (2003, p. 139) findings indicated that a mere 12 per cent of respondents aspired to become principals (with aspirations stronger among males than females), compared with a similar percentage who aspired to be assistant principals and 52 per cent who wished to remain as classroom teachers or classroom teachers with responsibilities. The five strongest disincentives to teachers seeking promotion to the principalship were (in order of strength) stress level of the job, time demands of the job, effect of the job on family, impact of societal problems on the role and the inadequacy of school budgets (Lacey, 2003, p. 150). More recently in Victoria, issues of principal role onerousness highlighted by Lacey have broadened into a wider public concern with occupational well-being (e.g. "Suicide: men at risk", *Age*, 18 August 2003; "Stressed principals get life coaches", *Age*, 12 January 2005) which has triggered a major analysis of principal workloads (Victoria, Department of Education & Training, 2004).

Within the non-government sector, the principalship has also become less attractive as a career goal for teachers. In New South Wales Catholic schools, for example, Dorman & d'Arbon (2003, p. 27) suggest that the difficulty of finding principals is "acute". In that state, the Catholic Education Commission commissioned research into "why so many eligible applicants are not applying for principal positions" (d'Arbon et al., 2002, p. 470). Approximately 1000 assistant principals and religious education and subject co-ordinators responded to a 47-item survey. Eight major dissatisfiers were highlighted, with the negative impact of the principalship on personal and family life being the highest. Thirty per cent of respondents stated their intention to apply for a principalship while 16 per cent were unsure. Forty-five per cent of assistant principals said they were willing to apply (d'Arbon et al., 2002, pp. 473–476). Subsequently, however, these intentions appear not to have translated into practice for, in 2004, a mere 200 applicants applied for 71 principal vacancies in New South Wales Catholic schools (d'Arbon, 2004, p. 4), an average of 2.8 per vacancy. In Victorian, Tasmanian and South Australian Catholic schools, on the other hand, the picture is slightly rosier, for nearly 35 per cent of approximately 640 assistant principals and senior-level teachers surveyed were willing to apply for principalships, with about a quarter of the sample unsure (Carlin et al., 2003, p. 25).

Researching Principal Aspirations

In the ITPA project, we worked with a cohort of 21 assistant principals and leading teachers identified as aspirants by their employer. This cohort completed weekly e-journals, participated in focus groups, and each person was interviewed at the commencement and conclusion of the research period. One of the aims of the ITPA research was to ascertain those factors that had an impact on the aspirants' identity formation as principals from a range of potential career incentives and disincentives. In PRALD, we were working with a range of teachers of varying levels of experience, assistant principals and recently retired principals in three Australian states.

Sixty principal aspirants from Victoria, Tasmania and Queensland took part in focus groups in Phase 1 of PRALD. Here, our aim was to identify aspirants' perceptions of careers and the principalship, as part of which we sought to establish why they were pursuing the principalship as a career goal.

Based on previous research (e.g. Draper & McMichael, 2000; Lacey, 2003), we anticipated finding two broad sets of influences on the likelihood of teachers aspiring to become principals and on the strength of their aspirations. Thus, early in our PRALD focus groups, two of the questions we asked were:

1. What factors have supported your career aspirations to this point in your career (i.e. "supports")?
2. What factors have thwarted or blocked your career aspirations to this point in your career (i.e. "blockers")?

Broadly speaking, blockers were found to outweigh supports. The most frequently cited blocker was school-based appointment and selection. This was unexpected. Also unexpected was the depth and extent of aspirants' concerns with respect to a series of selection-related issues, in particular vacancy application mechanisms, interview treatment of candidates and post-interview experiences. Overriding these matters is the aspirants' major concern, which is that teachers perceive a pattern of school-based appointments to principal and principal class roles for which, to be successful, one has to be an internal (rather than an external) applicant. This trend is a significant source of grievance to our respondents.

The Selection Game

Occupational career mobility observes different timetables. It also proceeds along a range of pathways in different employment sectors, with each individual's career passage determined by a mix of institutional and systemic influences (e.g. need for formal qualifications, terms and conditions of employment) and personal goals (e.g. choice of location and place of work). Regardless of their particular pattern of movement (e.g. vertical within an organisation and sector, lateral and zig-zagging between sectors), the mobility of individuals and cohorts is rarely smooth and trouble-free as they may be required to negotiate gateways during transition periods between promotional roles. One such gateway is the selection process which, because it structures opportunities for the experience of both success and failure, may, in respect of the latter, result in the obstruction of professional goals and be experienced as a "catalytic psychological event" (Zaleznik, 1967, p. 61).

Selecting Australian School Leaders

Processes of merit-based local selection for principal class appointments operate in the three states. In Tasmania, for example, appointment and promotion are made on

"the basis of the capacity of the person to do the job". This is in order to prevent the use of "nepotism, patronage, favouritism or discrimination" as bases for decision-making.[4] As a general rule, local selection in all three states requires applicants to forward documentary material about themselves (including referees' names) for advertised vacancies in their schools of choice. Thus, in Queensland, applicants for principal vacancies submit a 2-page resumé, a task/activity verification sheet and a statement which addresses the selection criteria (maximum 3000 words).[5] In addition, applicants might undertake site visits and, if shortlisted, may be required to make a presentation to, and be interviewed by, a small selection panel, following which they may or may not be made an offer of appointment. In Victoria, this panel comprises four members: the president of the school council, a parent member of council, a nominee of the Department of Education & Training and a teacher from the school.[6] When an offer of appointment is accepted, it has provisional status until it is confirmed by the department or ministry.

Selection Bias?

The deceptive simplicity of these arrangements is readily apparent. In the observation at the outset of this discussion, Gouldner (1958, pp. 465–466) suggested that, in adverse external circumstances, or at least the perception of them, organisations place a higher priority on the loyalty of their personnel than expertise, despite a public commitment to the contrary. In short, while they by no means discount expertise, organisations may be more inclined to recruit personnel whose identity and outlook are "local" rather than "cosmopolitan". A local, in the parlance of the day (Gouldner, 1957, p. 288), was someone "regarded as having totally committed his career aspirations to his employing company and as having indicated that he wishes to remain with it indefinitely". Such individuals, as Whyte (1963, p. 8, original emphasis) said, not only work for "The Organization" but *belong* to it as well". Cosmopolitans, on the other hand, were outsiders in orientation, mobile individuals less domesticated by their employing organisation cultures and committed to their professional specialities (Gouldner, 1957, p. 288).

Given that internal candidates are believed to have the front-running in principal class appointments, our argument is that schools are behaving in a manner akin to that proposed by Gouldner. Some of the aspirants themselves were alert to the standardisation of outlook that is occurring, as this focus group comment indicates:

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[4]Department of Education, Tasmania *Guidelines for Applicants* (July 2004), p. 2. http://www.education.tas.gov.au/admin/hr/policies/recruitselectandstaffmove/selection/applicant guidelines.doc

[5]Education Queensland, *Applicant Package, Positions Bands 5–11* (undated) http://www.qed.qld.gov.au

[6]Department of Education & Training, Victoria, *Blueprint for Government Schools Initiative: Principal Selection Process* (undated), p. 5. http://www.sofweb.vic.edu.au/blueprint/fs3/selection.asp Principal selection, at the time of writing, is under review in Victoria.

> At the moment our staff is starting to become very homogenised. Because you are getting the same sort of people meeting the same sort of staff and from the small primary school that I was at before, if you didn't fit into that mould then you were very much on the outer.

As we are reliant solely on the war stories of aspirants for our data, we can only hypothesise why this kind of development may have occurred (which we do in the discussion section below), but first we consider whether there is any substance to the aspirants' perceptions of bias. Indeed, there is. For 2004, the year of the ITPA research, we checked the primary and secondary assistant principal appointments for Victoria listed in the *Education Times*. Of a total of 133 appointees, 71 (or 53 per cent) were internal candidates and 62 (or 47 per cent) external. As the disparity in these figures is slight rather than gross, it is debatable whether the difference amounts to bias. In our view, perceptions of bias may be accounted for as follows. That aspirants construe the cards as stacked against them in the application and selection process, unless of course they are internal candidates, is likely to be a reflection of the target vacancies they will have set themselves. While the above figures apply to the entire state, we have found that aspirants tend to be selective in their nomination of promotion possibilities. Accordingly, some will apply only for schools in their own district or region, and most are dissuaded from re-locating by a host of constraints (including lack of employment opportunities for a spouse or partner, responsibility for the care of dependent elderly parents, disruption to children's schooling, etc.). As one aspirant (A#17) said: "I am really only looking at [names of two regions] because I live in the area". Bias, then, might be explicable provided there are few vacancies within each aspirant's restricted horizon of potential choice and these are seen to be filled mostly by internal applicants.

If our reasoning is correct, then it helps explain why the aspirants view selection as a game, despite the official justification of merit-based appointments. As one aspirant (A#21) said:

> I've accepted that is the game. That is the way it goes. There is no point taking it [a negative outcome] personally because it happens to everybody that you talk to, and that one day it'll work in your favour.

The most explicit dismissal of merit we heard was that, in practice, it meant "Mates Employed Regardless of Intellect or Talent" (A#35). Such disavowals should not be taken as evidence of objection per se to the principle of merit. Rather, they reflect the belief that, despite the rhetoric, the process does not do what it purports to do: i.e. deliver outcomes based on merit. This disjunction between intention and effect is an instance of Argyris Schön's (1974, p. 7) distinction between an espoused theory, a theory of action to which an individual or organisation "gives allegiance" and "communicates to others", and a theory-in-use, "the theory that governs [an individual's or organization's] actions" and which "may or may not be compatible with [their] espoused theory". The significance of this espousal and in-use values gap for selection is that it calls into question the legitimacy of the process. Further, bearing in mind our earlier points about blockers as disincentives to the

realisation of aspirations and that blockers outweigh incentives, as a blocker a perception of selection invalidity does not assist principal recruitment in employment circumstances that may be prejudicial to current and future supply.

Playing the Selection Game

Increasingly, according to Derous & Witte (2001, pp. 319–320), personnel psychologists are discounting or downplaying psychometric understandings of selection intended to highlight such traditional criteria as the reliability and predictive validity of test instruments. Indeed, the recent emphasis has been on selection as a social exchange relation in which a match or mismatch will occur between candidate presentations and selectors' prototypes of prospective incumbents. This means that at different times during selection, the two parties, selectors and candidates, will "compare their perceptions of the other's identity with their own in order to discover whether they are compatible" (Herriot, 2002, p. 391). In this section, our focus is on one of these two parties, aspirant candidates and their perceptions of selection along with their strategies for negotiating it.

According to Gilliland (1993) and Derous & Witte (2001), prospective employees' reactions to employment selection are twofold. These are the extent to which two sets of norms are likely to be satisfied or violated by the process: procedural justice norms (i.e. perceptions of the fairness of treatment leading to a hiring decision) and distributive justice norms (i.e. perceptions of the fairness of the hiring decision itself). Consistent with our argument so far, infraction of the latter necessarily entails exploitation of selection by schools to engineer the desired cloning. Much as they may resent this fact, and may feel bitter about it, most aspirants have adjusted to the reality of it, in which case their criticisms of selection practice deficiencies concern breaches of procedural norms.

Taking the Risk of Applying

A decision on their part to engage with principal selection sets aspirants up for potential failure, as well as the possibility of success. This is because, as one (A#38) said: "to go for a job you risk a lot of yourself, your internal self, and then to miss out is very disappointing". In this sense, selection is a gamble and, like other forms of gambling, the dice may be loaded and the results pre-determined (A#50):

> If they [panel members] have already got in their minds some things that they want in a candidate but they are not saying what they are, well they are excluding candidates, because they also have in their mind information about those candidates which is not anywhere on paper . . .

Given the possibility that a selection outcome is likely to be a done deal, aspirants have learned to be prudent in ascertaining whether or not an advertised assistant

principal or principal vacancy is genuine. Sometimes they will make a direct in-person inquiry or they will telephone a school (A#2):

> When the job was advertised, I said: 'I am interested in the position'... And he [principal] said: 'Oh, great'. I said: 'Before you send me the stuff [information package] I've a couple of questions: Is somebody acting in the position?' And he said: 'Yes, we have a very good person acting in the position at the moment'. I said: 'Oh, so you expect that person will apply for the job?' And he said: 'I most certainly do expect that that person will apply for the job. We're very happy with the way she's working'. And I said: 'Thank you very much for that. Don't send me the information'.

Others request their principals, or even their spouses, to telephone on their behalf (A#21):

> And I've been put off applying for two jobs simply because I know that there was no point, and subsequently there was no point because they went exactly where they were going to go.

As is implied by this last observation, far from such responses to their enquiries being a source of grievance, the aspirants are grateful to know where they stand (A#9):

> I knew the principal of the school and I just rang them up directly and just asked whether there was anyone in the spot... And the response was: 'I'd love to work with you but there's somebody that's doing a pretty good job in there at the moment and you might have, you might have some competition'. Which is the sort of thing you really want to hear I think when you ... because you don't want to spend hours and hours writing applications.

With these and similarly framed responses, the aspirants are displaying that "staunch acceptance of reality" which is an important indication of their resilience (Coutu, 2002, p. 48). Schools, on the other hand, may be playing with fire in publicly signalling their intentions. One aspirant, informed during a tour of a school that a recent retiree would be an applicant for the vacancy, was then warned (A#3):

> 'And it'll take a darn good person for them to knock for them off and change my mind'. And that came from a principal. And I thought: 'Wow! I'd love to have that on tape and give it to the [merit agency]!' But that's a reality.

In another instance, a school that had overstepped the mark was pulled into line by being forced to withdraw an advertisement that required applicants to provide evidence of their successful leadership and achievement in the area of curriculum, and that ended with the words "... in our school" (A#17).

The Onerousness of Application Writing

The aspirants' sense of realism and the decision as to whether to put the effort into pushing themselves forward extend to the process of application writing. Job descriptions have to be appealing to them, rather than creating a disincentive (A#20):

> I read a couple of the job descriptions [for assistant principal] and they had in it that you needed to be able to deal with issues such as violence, regular occurrences of truancy, regular non–compliance with the uniform policy, all this sort of stuff. And I'm looking at that thinking: "Oh, Is that really what I want to do?".

Assuming that one is committed to putting fingers to the keyboard or pen to paper—the validity of which, incidentally (as a measure of capacity to perform the intended role), some aspirants query—the next task is to spend time informing oneself about the target school. This can be time-consuming (as it has to be fitted in around one's existing work commitments) and stressful, particularly if the submission deadlines are short (A#53):

> within two weeks you have got to have a 1500 or 2000 word paper put together which addresses all the current criteria. And once you have been through that it's not necessarily the case that you are going to be selected for an interview.

In these circumstances, it helps to be able to know the selection panel and its thinking (A#47):

> So . . . that means that if you don't know who the panel is before you write the application then you don't know what their interpretation of the merit principle is. How can you possibly write an application that is direct and relevant to the position that you are applying for?

Some aspirants are convinced there is a knack to preparing their material (A#47):

> There is a special code that you need to know before you can write an application. So nobody who hasn't been part of that process has no idea how to write up a 1000 words. And I have written about 10 different ways of doing it and none of them has been successful. So there is a code that you have to learn if you want to be successful.

Cracking the so-called code can prove to be protracted. After completing four or five applications, one aspirant (A#10) exclaimed to an assistant principal colleague: "Jeepers, I don't know how long I can keep this up", to which this person replied: "Listen, I did 28 applications before I got my position". In all of these remarks the challenge that is evident is one of self-presentation arising out of the need for calculated impression management (Gronn, 1986, pp. 11–15). That is, aspirants need to be able to find the means of selling themselves as credible, but in ways that are consistent with their preferred senses of identity and, hopefully, which accord with each panel's tacitly understood prototype of suitability. Should they be successful, the aspirants might secure an interview.

Coping with Interview Stress

One informant's disarmingly brutal description of the selection interview was (A#14): "You come into a room, you meet four people, you spend half an hour answering specific questions, and then you go". It is in this interview room that aspirants become aware of all manner of biases in the minds of selectors. One (A#80) claimed that panelists were prejudiced in favour of teachers with generalist classroom literacy and numeracy backgrounds. Another (A#44) believed that extended

employment experience in rural schools had stymied any chance of being promoted. Others were galled at being informed that their lack of recent classroom experience (due, perhaps, to secondment to special, fixed-term projects) counted against them, particularly in one case where an assistant principal aspirant (A#48) was told that: "it was the best application out of the whole lot but we rated you fourth because you hadn't been in a classroom for two years".

Who, then, is lucky enough to be interviewed? Ironically, an outstanding application may not be enough to guarantee that one is short-listed, let alone made an offer (A#17):

> I have found that if you don't get an interview often it's because if they don't, if they do interview you then they have to come up with some reason not to give you the job under [the merit criterion]. So if they don't interview you at all then it's just that you weren't suitable at this time. If you do get as far as an interview, and I think I interview really well, because people have given me that feedback that I do interview well, so it's really you just don't know what they are looking for. And is it just to make up the numbers so that they are seen to have followed the process?

Thwarted aspirations, it would appear, breed cynicism. Prior to cynicism taking hold, however, there may be apprehension. Some aspirants confess to interview shyness (A#5):

> I am not brilliant in an interview. I know that that is one of my failings. I can write wonderful applications but I know I get to an interview and I go blank. I feel like I'm gibbering. And I rattle off at the mouth. And afterwards I think: 'I should have said' and 'I should have done'. So I know myself that my interview skills or whatever are not the best, yet I know that I am able to do what I say I can do.

Yet, "if you can't handle interviews then you're almost up the creek" (A#54).

Others know what they are expected to do, but worry about being able to perform with conviction (A#15):

> How do I cut it in an interview, just saying: 'Look I just know I'll be good at it'? It's the whole talking the talk and walking the walk that concerns me, because I am not sure I do that. I mean, what I do, anything I do, I know I do well because that's just, that's me. But as far as when it comes to talking the talk . . . that's where I worry. . . If that's all that's going to not get me the job then I worry that . . . about the process, whether they can, they actually look and see what I am capable of. . . All the lingo and the jargon.

While another informant (A#13) steadfastly refused "to go in and talk the talk, do the jargon and if that's what they're after then it's probably not me", after taking the initial plunge, the post-interview reflections of the aspirant who was doubtful about cutting it (A#15) were:

> Feeling OK about the interview. Boned up on areas I thought might be asked about & had 6 little packets of notes. . . Nice feel about the school. Was given time to read the questions & jot do[wn] some notes. 3 men & 1 woman on the panel. Lasted for about 35 minutes. Had responses for all questions. Don't think I was startling but I was fairly happy. I had achieved my primary goal & that was not to choke. Probably could have provided more details as to processes and timelines in relation to projects I have led, I think I glossed over the top a little too much. Nerves not too bad. Figured, what have I got to lose?

The intensity of the mix of emotions experienced by candidates during selection may vary according to whether they are interviewed as external or internal applicants. In a sense, internals have a distinct advantage for, as one (A#13) said: "They [panel members] know you, they know your work. It's not just a whole lot of stuff you, anyone can put it in [an] application . . . People know you". Even so, being known might impose an added pressure, in which case having an edge turns out to be double-edged, which also explains why this same aspirant (who secured an assistant principal appointment as an internal appointee) took nothing for granted (A#13):

> I was actually still applying for AP jobs outside the school while our process was going on, because I didn't believe that I could sit back and say: 'Well, this is mine, this is my turn'. I think having that attitude helped me to actually get the job. Because I went into that interview and I fought like crazy. I performed like I've never performed before. . . I prepared very, very well for it. I had a stand–up easel. I anticipated nearly every one of their questions, because I know the school and I know where the school has come from, where it's going to... I probably anticipated four out of the six questions. And the others I had material there and I could flip over my pages and refer to them and I had a handout on change for them. How we were going to change and how I would lead it. And that gave me a real edge.

While the decision in this instance was affirmative, although by no means a lay-down misère, many aspirants find panels' reasoning to be baffling.

Perverse Selection Judgements

The aspirants cite a series of vagaries which make for a hit or miss evaluative process. A good example is when the criteria for vacancies in schools in two different locations are worded almost exactly the same. In one case, an aspirant may get as close as being one of the last two applicants, yet in the other situation may not even be shortlisted. In such instances it may be a case of (A#8):

> You have got to be realistic about it, because it's very pragmatic. The principal will go: 'I am absolutely flat stick here. I can't afford to interview eight people, you have got to get it to five'. . . That might be the simple answer rather than, there's nothing surreptitious happening. It might be just a numbers game.

Another pet aspirant hate is unreconstructed subjectivity, as recounted in one person's own experience of panel membership (A#8):

> There was an outstanding female candidate at a principal panel that I was on and there were two female members and two male members on the panel. We just questioned her, I just felt she was looking at me and the other male member continuously. She went out, and the two female members, one of [whom] was a principal, said: 'Oh, you couldn't give it to her, she had lipstick on her collar'. . . And the other female was a parent committee member and she said: 'I wouldn't want my principal representing my community and they couldn't even dress themselves without lipstick'. But then she also said: 'But she also had an older stain on the other side'. And I'm thinking: 'I didn't even see it'.

Afterwards, the significance attached to these blemishes was rationalised as follows (A#8):

> The principal said: 'If you are representing your community you have to be meticulously presented at all times. If you can't do that for a job interview how are you going to be on Wednesday morning?'. But that was that perception or that perspective. Some people would argue that's a very valid perspective, because communication is one of the key criteria. You are communicating a message by the way you appear. Personally I think it has a few flaws in it.

As was evident in previous research (Gronn, 1986, p. 5), while panel members' judgements may be meant to be equal, some can be more equal than others (A#11):

> I have been on one panel where the numerical ranking was overruled by the chairperson based on her knowledge of the person and I argued against that but I was overruled because she was the chairperson. But in almost every case it has been that numerical setting out... You have got three or four people on the panel . . . and you would hope that they are not just all yes people for the principal and that they do have an opinion and they can say, or have a bit of a discussion about what's right and what's wrong.

Not all aspirants have been privileged to witness selection from the other side, as it were. For the most part, they have to cope with panel feedback with very little insider knowledge of how selectors arrive at their post-interview decisions.

Unsupportive Feedback

The provision of what they perceive to be inadequate post-interview advice grates with unsuccessful aspirants like little else, regardless of whether they are internal or external applicants. For a start, they resent the inability of the bearer of bad news to be able to differentiate them from successful applicants. As a focus group participant reported:

> I applied for an assistant principal job, one of the positions at my school. And my principal just could not give me any constructive feedback at all. And all he said was 'Other people were better than you'.

This may reflect a kind of mental paralysis on the part of panels, terrified by the possibility that a decision may unravel if they do anything to strengthen an aspirant's hand in an appeal (A#14):

> I went for the acting principal position at this school and missed out and got feedback and the feedback from one of the panel members was very pat on the back, it was not professional. It was: 'You did a good job, bad luck'. There was no concrete move forward. I don't believe the principals are in a position to give you authentic feedback because of [the merit criterion]. I think that they are a bit stymied with that. . . I don't need someone to tell me that you were very good but unfortunately you just missed out because there was someone slightly better than you. And that's really, they can't say much more than that.

From an aspirant's point of view, such responses fail to take account of an important distinction (A#50):

> What you feel you are getting, really, is a justification for the panel's decision rather than any feedback which is useful to you. And I think that the panel has to defend itself from unwanted claims about having not carried out the process appropriately.

This timidity is compounded by what aspirants interpret as evidence of rank opportunism. Whenever applicants (especially internals) are defeated for a vacancy, schools leave themselves open to allegations of expediency, as a focus group participant said: "And I also think that they [panel] think: 'Oh well, we've got you anyway, so if we can have you plus we can have this one [new appointee] as well'" and "Yeah, we really value you, we'll keep you and we'll have that one too. Thanks very much".

Other complaints include the frustration of obtaining conflicting advice about how to improve, first, from different panel members (A#28) and second, as a result of changing their applications to take account of feedback, only to discover that "that is not what the next panel wants or what somebody else thinks you should be doing" or, even more graphically, as in this account (A#31):

> In fact I put seven applications in at one stage. I got feedback for all seven of them. And every one highlighted a strong point on a different selection criterion. So that left me not knowing exactly where I was. I find it a hideous process in terms of if you can write two star stories and demonstrate through that genre that's fine. But ... if your approach to things is through doing, practicalities and proven ability, well that is where I shine rather than being able to write about what I can do or talk about what I can do.

Despite such limp and indifferent feedback, most aspirants manage to display resilience, as indicated earlier by their parodying of the word "merit". In some cases they have even developed a discourse of ridicule as a kind of cathartic release for managing their disappointments. Such expressions as "how sad, too bad" (A#1) and "too bad so sad" (A#17), for example, indicate the ways they demean the official correspondence notifying them of their lack of success.

Summary

Our analysis in this section has derived, for the most part, from the experiences of aspirants who have played the school-based selection game and who have experienced a sense of frustration and disappointment. The most succinct summary of how this game works, why it is played and its unintended consequences is captured graphically in this extended reflection of one of our respondents (A#21). Nominating for principal class vacancies has affected this person in two main ways, first in respect of professional development, second in furthering an understanding of how "the system" works:

> I've applied for three jobs now where I have been ranked second. And each of those positions there was somebody ... either in the position at the school doing the job and I wasn't told, or there was somebody who knew the person, the principal or in one case region personnel very, very well.

Others hold this aspirant in very high regard:

> My application is great. My interviewing skills are terrific. I have actually been told by my last, feedback was: 'Oh, you shouldn't just apply for AP jobs, you should be applying for principal jobs. I really wanted to have you here'. Which was fascinating to hear when she didn't employ me. And then I found out who got the jobs. And the only conclusions I could draw given the limited feedback these people have given me in regards to what I have to do to get a job, was . . . history: knowing, networking, getting your name known through certain people.

This person acknowledges that a game has to be played and that it is played solely because most people are prepared to do so:

> But by spitting [the dummy] and taking it all personally and getting disillusioned and disheartened, it won't help me and won't anybody else. So it's built up my resilience quite significantly. It's a pretty tough old system. And it's a fairly on the surface fair system. But when you really dig deep it's not equitable at all. It's a load of rubbish. But everyone plays the game, which is why it is a load of rubbish, because if we all didn't it wouldn't be, but. . . I know there's schools . . . where that isn't the case and there are certainly limits to the appointments made.

In short, selection is "like a lottery basically", so that "you've got to be at the right place at the right time and know the right people, that can help".

Discussion

Despite the avowed commitment of education systems to the principle of merit-based appointments, some notion of "fit", in the view of aspirants, appears to be uppermost in the minds of selectors. And fit, as we have seen, conduces to cloning. In some ways, this outcome is unsurprising and unremarkable, for the likelihood of tension between the conflicting imperatives of universalism (merit) and particularism (suitability) in recruitment selection systems is strong. If so, this tension will tend to be resolved in favour of the latter when organisations attach a high priority to cultural uniformity (Herriot, 2002, p. 397). This explains why, in previous research (Gronn, 1986, p. 1), one English head confessed how, in the appointment of her deputy, the decision would come down to "an instinctive feeling this person is right because of personal qualities". It also accounts for New Zealand principals' beliefs that recruiting beginning teachers who fit into the prevailing school culture "actually makes good sense" (Broadley & Braodley, 2004, p. 261). As we foreshadowed with Gouldner's hypothesis, the clue to why the game plays out the way it does is the phenomenon of risk. What, then, are the risks in selection? Who bears them? And what are the consequences of risk aversion?

The Burden of Risk

From the standpoint of schools, competitive schooling markets have made educational provision a high-risk business. The target-driven accountability pressures on

principals and teachers to be entrepreneurial, as Oplatka et al.'s (2002, pp. 424–426) analysis of marketisation shows, are intense and inescapable. As a consequence, the recruitment stakes for schools (and selection panels as their proxies) are high. The last thing a school needs in these circumstances is a selection decision that backfires, as in this focus group example:

> She [new appointment] is not cutting it at all. And we are feeling terrible. She interviewed really well. Her referees were great. And then she comes along to do the job and it's not happening. And we are . . . feeling the weight of that decision. A beginning teacher it's not nearly as, well it's important because she's still in with the kids, but what schools must feel if they make the wrong decision in a principal. And there is a school very close to me and I know that's how they felt. And I just don't know how you get over that.

And as with this appointee (also cited in a focus group) who was "a total disaster":

> She's hardly ever at the school . . . and yet that whole 'how do you know you are getting the right person?'. . . you write the rhetoric, you do the spiel, but can you do the job?

If the personnel recruitment hell described by these sad tales is avoidable, then there is surely a strong incentive for schools to play safe.

Spreading the Burden of Risk

Making appointments on the basis of *who* one knows, rather than solely on the basis of *what* one knows, however, offers little solace to unsuccessful applicants, although it might account for the vehemence of one aspirant's belief that the selection game is "corrupt!" (A#3), and the frustration implicit in such dismissive comments as "I know that the schools that I've been at where vacancies have come up that the principals have actively groomed one person that they want for that job" (A#17). One corollary of schools trying to ensure that they pick winners is the strong inducement this creates for aspirants to become calculating, particularly in respect of safeguarding their own well-being. One aspirant, a successful internal applicant, was prepared for the worst (A#4):

> It wasn't plain sailing, it was a very emotional time because, even though it might have appeared to be a taken position from outside it certainly wasn't that way from the inside. My emotional and stress levels were extremely high at the time because I had to really think about, if I didn't get the position, what my contingency plans were. Because I knew that if I missed out, because they will always do what's best for the school here, if I missed out I knew that I couldn't stay. And I had mapped out that whole scenario.

By contrast, another internal applicant for an acting principal class role, who was unsuccessful, was lulled into a false sense of security and got very badly burned, with the result that there was (A#14)

> A lot of self-doubt. . . a lot of wanting to throw in the towel, a lot of feeling: 'Why bother?'. . . I think the biggest thing. . . that affected me was that I can't trust my leaders, who say one thing, who told me that I can do the job, I'm good, I can run the school, and there was a lot of build-up before this interview in that: "It's a great job and you'll fulfil it well, it will be good for you". All that kind of build-up and it's false build-up, and I think

> I have learned not to trust people. You really are responsible for yourself... It's really up to yourself to get what you want to get.

While these are the reflections of self-responsible subjects (Sointu, 2005, p. 271), this last remark exposes a paradox inherent in notions of responsible personhood and autonomous subjects exercising prudent choices in environments of risk (Beck-Gersheim, 2000, pp. 130–132). Self-reliance and self-help may indeed "get you what you want" and ensure that as a risk-taking accountable subject one performs in ways that are true to self. On the other hand, the self-responsible maintenance of one's resilience and well-being might result in a calculated refusal to continue to act as an aspiring subject. That is, risk-taking aspiring self-hood is one self among a multiplicity of selves (Hill & Stephens, 2005) that self-managing individuals might manage to do without. In this respect it is noteworthy that A#14 also said: "I don't want to play the game". The irony here, of course, is that, when sufficient numbers of otherwise qualified aspirants also deem such disengagement to be a personally responsible course of action, the locus and burden of risk shift back to employing authorities by compounding their problem of principal "shortage".

Consequences of Risk Aversion

As schools adjust to the target-driven accountability and marketisation challenges demanded by neo-liberal inspired reforming governments, they have begun to manifest increased leadership density. In one case, Reid et al. (2004, p. 252) were able to count a mere 16 secondary teachers of a total of 68 in a school (or 24 per cent) who were "without a significant leadership role, or roles". This stark evidence of responsibility sharing may amount to a kind of "bottom-up" adaptive response to increased complexity, represent a philosophically driven commitment to implement some form of distributed leadership (Gronn, 2002) or a mixture of both. Regardless of which explanation best accounts for this emergent phenomenon, schools clearly want (and need) a broad skills base that encompasses specialisation and complementarity, attributes of upper echelon leadership groups to which Hodgson et al.'s (1965) pioneering research drew attention so long ago. In light of this trend, the grooming of internal aspirants for vacancies makes a lot of sense (A#4):

> When I have been on panels employing staff, you want the person who is going to be the right person for your staff, because you have to work as a team. I think that's very important.

As a form of leadership replenishment, then, for a school to "grow its own" (through cloning), as opposed to acquiring new blood from without (Miles & Snow, 1984, p. 45), is a risk averse means of affording it some guarantee of predictability. It accords with the view of one aspirant at a focus group who insisted: "I don't think jobs are advertised until there is an incumbent who is capable". The flipside of such a strategy, however, may be the unwelcome spectre of groupthink (Janis, 1982) in which a hoped-for like-mindedness puts a premium on concurrence seeking at all costs in decision-making, a possibility to which some aspirants were alert (A#9):

> And I think in some instances . . . that kind of small mindedness leads to, stops certain schools from reaching their potential. I have often been on panels too where there have been two people on the panel who said: 'Well this person just doesn't meet the criteria'. And I would argue that almost in all cases that a lot of people do meet the criteria and they would probably . . . add a lot of value to the school, but people don't like to take a risk when they're looking for people at a senior level within a school.

The moot point, then, is whether or not cloning, while it may be self-serving, might also turn out to be self-defeating. Interestingly, Miles & Snow's (1984, p. 37) way of characterising those companies whose operations they examined which relied on "grow" or "build" recruitment strategies was "defenders", as opposed to others that were "prospectors" and "analysers", for defenders were primarily inward looking and narrowly focused and mainly bent on improving their internal efficiency.

Conclusion

All personnel selection processes, especially for senior-level appointments, create winners and losers. The selection of principal class personnel is no exception. The reason these processes deliver both preferred and undesirable outcomes is because discrimination, differentiation and distinction are inherent in the process. Our immediate research interest in this chapter has been in how principal aspirants perceive and cope with a range of pressures experienced as part of school-based selection. The findings we discussed arose out of an investigation of the factors which influence prospective principal recruitment. In keeping with Thomson et al.'s (2003, pp. 128–129) call to talk up the principal role, our wider research interest is to identify (with a view to remedying) those factors ("blockers") that forestall the realisation of teachers' principal class leadership aspirations. Our purpose in the chapter was to indicate how, as it currently operates, principal class selection imposes a significant and unnecessary barrier in the path of aspirant principals. Those to whom we have spoken regard selection as an unpredictable game of luck or chance and a supreme test of their emotional resilience and resolve. We have also indicated how, to the way of thinking of our respondents, schools have learned to exploit the process so as to maximise the opportunity to realise their staffing needs. This strategy we have typified as cloning, a pragmatic and defensive posture for which the pay-off is some guarantee of loyalty, predictability and avoidance of risk. What remains uncertain, however, is the extent to which cloning can hope to serve simultaneously the interests of both principal aspirants and schools and offer a viable solution to the problem of shortages of principals.

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Chapter 16
The Recruitment and Selection of School Leaders – First Findings of an International Comparison

Stephan Gerhard Huber and Maren Hiltmann

Abstract This chapter looks at the growing importance placed on activities to select and recruit school leaders that has led to the development of systematic selection procedures in many countries in recent years. The central question is: Do we have policies and strategies that ensure that qualified individuals are recruited to be principals?

The chapter offers an overview of current practices to select and recruit school leaders which is international in scope, draws on experience and a synthesis of existing literature as well as from the first findings of a comparative research study that includes 20 countries worldwide (in this first exploratory phase, data from around 10 countries were gathered). For the purpose of illustration in this chapter, we offer brief summaries from five countries, including examples from Europe, Asia, Australia, and North America. The countries selected are England, Germany, Singapore, Australia, and the United States.

The respective Country Reports focus on providing answers to questions such as the following:

– What is the overall approach to recruit and select school leaders?
– Are the selection procedures conducted centrally or de-centrally?
– Who is responsible for conducting the selection procedure?
– Do the countries have standards for school leaders?
– Do the countries have prerequisites for applicants for leadership positions?
– What are the steps of the selection process?
– What methods are applied?
– What criteria are relevant for the decision on who is selected?

The final section examines similarities and differences with regard to the countries' approaches to recruitment and selection. It asks what can be learned more

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generally about the selection and recruitment of school leaders from these examples and looks for common solutions. Finally, emerging issues are identified and discussed.

The pivotal role of the school leader as a factor in effective schools has been corroborated by findings of school effectiveness research over the last decades. School improvement researchers have also demonstrated increasing recognition of the importance of school leaders for all stages of the school improvement process. The school leader is most often cited as the key figure in the individual school's development, either blocking or promoting change, acting as the internal change agent, overseeing the processes of growth and renewal. Moreover, the school leader's role has to be seen in relationship to the broad cultural and educational contexts in which the school is operating. Since schools are embedded in their communities and in the particular national educational system, and these in turn are embedded in the particular society, schools and their leaders have to cope with, and respond to the social, economic and cultural changes and developments taking place. Schools, and consequently the expectations on school leaders, also change as a result of more subtle and indirect forces in society – social, political and economic changes – that are gathering pace across the world. Moreover, direct changes in the educational system have a particularly strong impact on the school leader's role. In most countries, the tasks and structures of schools and of the education system are changing. These change processes strongly influence the leadership of schools.

Consequently, more and more attention is being given to the role of school leaders in creating the conditions for an effective school. There is broad international agreement about the need for school leaders to have the capacities needed to improve teaching, learning and pupils' development and achievement.

For these reasons, it is essential to select (and develop) suitable individuals for school leadership positions. In many educational systems around the world it is a difficult (if not an impossible) process to dismiss an incompetent leader to correct problems stemming from mediocrity in management. Therefore, the issue of who is allowed into formal educational leadership positions is indeed of fundamental importance for educational systems around the globe. Furthermore, to establish and modify appropriate training and development opportunities has become a major focus of professional development programs in many countries, as shown by an international comparative research project (Huber, 2004) about school leadership development. But – compared to selecting leadership personnel in the private sector – insights in appropriate selection procedures and criteria for school leaders are still lacking to a great extent in the educational sector.

The growing importance placed on activities to select and recruit school leaders has led to the development of systematic selection procedures in many countries in recent years. The central question is Do we have policies and strategies that ensure that qualified individuals are recruited as principals?

The chapter provides an overview, which is international in scope and draws an experience and a synthesis of existing literature as well as from the first findings of a comparative research study that includes 20 countries worldwide (in this

first exploratory phase, data from around 10 countries were gathered; see Huber, 2005, 2006, 2007; Huber et al., 2007). For the purpose of illustration in this chapter, brief summaries from five countries are offered, including examples from Europe, Asia, Australia, and North America. The countries selected are England, Germany, Singapore, Australia, and the United States.

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– What are the steps of the selection process?
– What methods are applied?
– What criteria are relevant for the decision on who is selected?

Then, similarities and differences in approach are examined. The final sections ask what can be learned more generally about the selection and recruitment of school leaders from these examples and look for common solutions. Finally, they identify emerging issues.

Selection and Recruitment Around the World

For this section, we have chosen five countries to give some examples from different parts of the world. The countries selected are England, Germany, Singapore, Australia and the United States. In each report, we will provide information regarding the context, the overall approach and organization of the selection procedure, advertising and marketing, prerequisites and pre-selection, job profiles in use, selection methods and selection criteria applied and whether there is any evaluation of the selection procedure available.

England

In England's decentrally organized education system, nationally, the responsibility for the education policy lies principally with the Department for Education and Skills (DfES).[1] Regarding the selection of school leadership personnel, the DfES has set standards for their education and development programs. On the district

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[1] Reconstituted in 2007 as the Department for Children, Schools and Families (DCSF). Scotland and Northern Ireland have different far-reaching ranges of freedom of decision in education policy and therefore differ from what is described here for England.

level, the local education authorities (LAs) remain responsible for the performance of publicly financed schools in their respective districts, and their tasks include ensuring that there are sufficient school places and school buildings suitable for the education of children living in the district. The regional differences which shape the school system in England can be accounted for by the freedom with which the LAs can establish schools and design and implement individual school profiles. In the course of the "Education Reform Act 1988", the LAs' capacities to determine the distribution of funds to schools, to develop curriculum locally, to appoint teaching staff and to inspect schools have all been eroded, as the national policy has moved towards a partnership built around a strong government and strong schools that has squeezed the LA's powers. The individual schools have obtained considerably increased powers, which extend to the selection of teaching staff, and, significantly, the appointment and suspension of the teachers and of the headteacher. Specific regulations regarding the appointment of a headteacher and deputies, other teachers and support staff are laid down in the "The Education (School Staffing) England Regulations 2003" made under sections 35 and 36 of the Education Act 2002.

The following information about the current school leader selection procedure is primarily based on a recent 2-year study by the National College for School Leadership (NCSL, 2006).

Organization of the Selection Procedure

The responsibility for the selection of teaching staff, the establishment of salary and promotion policies and, significantly, the appointment and suspension of the teachers and of the headteacher lie with the respective school governing body. Members of this committee (governors) include the headteacher, elected representatives of the parents, representatives of the teaching and the non-teaching staff and of the LA, and partly so-called co-opted members (invited influential representatives of politics and economy). This board is in charge of selecting and appointing new headteachers, too. A specific panel of five to seven governors is appointed to conduct the selection process. Altogether, the selection and appointment procedure of school leaders can be divided in the following seven phases (see NCSL, 2006): (1) Continuous Preparation, (2) Defining of Need, (3) Attraction, (4) Selection, (5) Appointment, (6) Induction and (7) Evaluation.

The proper selection procedure (without the preceding marketing and other preparatory measures and without the design of job profiles) typically starts with long-listing. It results in a first pre-selection on the basis of all applications received, and it defines which applicants will be invited to interviews with the board members. Due to the results of the interviews another and more restricted selection is made (short-listing). Sometimes, the applicants chosen take part in an assessment centre as the next step. In those cases the selection procedure in the narrow sense is finalized with the decision making process after the assessment centre.

Advertising and Marketing

The School Governing Body informs the LA of the vacancy and advertises the vacancy. The most commonly used recruitment efforts comprise advertising in the Times Educational Supplement, in online job boards, in regional newspapers or relying on word-of-mouth recommendation, and using the LA networks. Since 1985 the "Annual Survey of Senior Staff Appointments in Schools in England and Wales" carried out by the Education Data Surveys (www.educationdatasurveys.org.uk) provides information on the number of advertisements and vacancies. The 2007 report indicates a high need of headteachers and problems in filling vacancies: many schools failed to appoint a new headteacher after their first advertisement (36% in the primary sector, 29% in the secondary sector and 48% in the special school sector).

The process of personnel marketing includes all the advertising efforts, the provision of application packs, visiting schools, providing information on the school's website, and letters by the Governors. According the NCSL survey (2006), the advertising costs per school ranged from 500 to 1000 pounds sterling. In regions with particularly difficult recruiting conditions, additional "incentives" such as "Golden Hellos" or relocation packages are offered to attract potential candidates.

Prerequisites and Pre-selection

Since 1997 teachers aspiring headship take part in a training and development program, the National Professional Qualification for Headship (NPQH), in order to qualify for application. Since 1 April 2009, it is mandatory to have completed NPQH prior to appointment to a first headship. The program consists of six modules, whose contents are aligned to the National Standards for Headship (a national catalogue of requirements relevant for the qualification and assessment of candidates aspiring headship) (see Starkebaum, 1998). Besides going through the NPQH, applicants have to meet further requirements (Eurydice Report, 1996; now known as Eurybase):

1. a "Qualified Teacher" status (teachers of special needs schools must have an additional qualification, e.g. as a teacher for students with sight defects);
2. adequate teaching experience;
3. appropriate management knowledge and skills.

There are no explicit demands regarding the time span of being a teacher and the kind of functions held so far. However, often some experience as a deputy headteacher is expected.

Job Profiles

According to the survey by the NCSL, 37 per cent of the schools included have formulated specific demands for the headteacher role based on the "National Standards for Headteachers" (edited by the DfES 2004). In most cases, this national catalogue was only slightly adapted or modified to fit to the local conditions.

Selection Methods

After screening incoming applications various methods are employed to screen the candidates: panel interviews by the committee (75.3%), presentations by the applicants (89.2%) and finalizing interviews (88.5%). Psychological tests (7.2%) and talks with representatives of the parents (5.4%) are applied more rarely. External assessment centres are seen to be useful even though not widely used (NCSL, 2006). They were conducted with external support by 5.7 per cent of the schools. Providers are, e.g. the Secondary Heads' Association (SHA), the Association of School and College Leaders (ASCL) and the National College of School Leadership (NCSL).

The Specific Role of the Assessment Centre

Linked to the increase of demands on school leaders in the course of the Education Reform Acts, the assessment centre as a method to find suitable candidates was introduced in 1990. The National Educational Assessment Centre, NEAC (1995), was developed by SHA and the Oxford Brookes University, in cooperation with the industry and economy. According to Schneider (1997), the pilot scheme was widely supported by authorities during the 1990s. It is the objective of an assessment centre to gain evidence for the actual capacity and competencies of a candidate with regard to the criteria described in the National Standards or additionally formulated by the schools. The assessment centre developed by NEAC is underpinned by a development model with 12 competencies, which can be grouped into four areas:

– *Administrative Competencies*: problem analysis, judgement competence, organizing competence, decision making competence
– *Interpersonal Competencies*: leadership potential, empathy, stress resilience
– *Communicative Competencies*: oral and written communication
– *Personal Versatility*: a broad range of interests, motivation, educational values

The candidates taking part in the AC go through four to six position-related exercises: discussing a case, to which consensus should be found within a given time span; working on 10 in-tray tasks related to every-day or more rarely occurring situations; analysing individual position-specific problems and presenting the results; watching a video of a lesson and discussion of the professional development plan of the teacher; analysing a current study on education and instruction in schools. After

all observations have been recorded and coded, the team of assessors goes into the final assessment process. If an assessment centre is used, the selection process itself is completed after the AC with the decision making process.

Selection Criteria

The last phase of the procedure comprises the information of and a feedback to the candidates (if judged not suitable, the candidates are entitled to be given reasons for rejection and another chance to apply again in the following year), the reference checks, and the finalizing of the contract. According to the NCSL (2006), there is widespread agreement on the conduction of reference checks. Due to their rather low validity they serve more as an additional confirmation of the decision already made than as an actual basis for the decision.

Information about the criteria relevant for decision making process is provided by the survey by the NCSL (2007). The governors interviewed regard the following criteria as utmost relevant:

Table 16.1 Governors' ranking of relevant criteria in the decision making process

	Primary schools (%)	Secondary schools (%)
Expertise in teaching and learning	94	88
Leadership and management skills	87	94
NPQH qualification completed	49	57
Proficiency in budgeting and finances	32	37
Experience in collaboration with the community	34	35
Former school leadership experience	13	23

The appointment is made by the LA in charge, on the basis of the respective school committees' recommendation (for community, voluntary-controlled, community special or maintained nursery schools). In the case of a foundation, voluntary-aided or foundation special school, the school itself makes the appointment.

The newly appointed headteachers get a contract equivalent to that of employment in the civil service. Hence, in most cases they get a permanent contract (Eurydice/Eurybase, 1996).

Evaluation of the Selection Procedure

The school governing body is strongly advised to carry out an evaluation of the recruiting process. However, evaluation takes place in an informal manner, if at all. The NCSL survey found that in 47 percent of the cases evaluation has taken place.

Regarding formal evaluations, an evaluation of the NEAC model, the progress of the first 100 AC participants was examined. According to Schneider (1997), the

collecting of competence-related evidence has a much higher validity (0.40 to 0.60) than the formal interview with a validity of 0.30 with regard to the prognosis of future success in the job. Unfortunately, in Schneider's (1997) study, details of how the data were collected and of the kind of interview conducted remain unclear.

First general findings regarding the practice and effectiveness of the English scheme for the selection of school leaders are as follows (NCSL, 2006):

Errors may occur in any phase of the actual selection procedure. Yet the interviews seem to be particularly prone to mistakes. To guarantee that the best possible candidate gets in post at their school, the Governors have to be capable of correctly "translating" the demands and needs of their school into selection criteria that the successful candidate will have to meet. Apparently, however, sometimes the Governors prefer the "safe route". In these cases they seek for an individual as similar as possible to the previous school leader in post instead of focusing on the future needs of the school. Moreover, there are great differences concerning the quality and the amount of support (e.g. interview training) that Governors get from their LAs.

In sum the NSCL expects "some basic changes to rationalize the processes of recruitment and appointment. Possibilities include changes to resignation dates and notice periods; the provision of formal, regional or national assessment centres; the proliferation of fast-track schemes to accelerate candidates; technology-enabled advertising and matching of candidates to posts; formalized training and support to governing bodies; advertising and looking for candidates beyond the teaching profession; standardization of procedures across different children's services; the formalization of different career paths; the development of context-specific job descriptions and person specifications; increased emphasis on succession planning and talent management at the school and local level." (NCSL, 2006, p. 54).

To sum up, Table 16.2 provides an overview:

Table 16.2 Recruitment and selection in England

ASPECT	DESCRIPTION
OVERALL APPROACH	1. Distinctive decentralization (responsibility lies with the schools)
SELECTION BODY	2. School Governing Body
ADVERTISING & MARKETING	3. Advertised throughout England and Wales: Times Educational Supplement, in regional newspapers, online job boards
	4. Provision of application packs, visiting schools, providing information on the school's website and letters by the Governors
	5. Advertising costs per school ranged from 500 to 1000 pounds sterling
JOB PROFILE PREREQUISITES	6. Based on national standards, formulated in 37% of the schools
	7. Participation in The National Professional Qualification for Headship (NPQH); mandatory from 1 April 2009
	8. A Qualified Teacher Status (QTS) adequate teaching experience, appropriate management knowledge and skills (e.g. from experience as a deputy headteacher)

ASPECT	DESCRIPTION
SELECTION METHODS	9. Presentations by the applicants (89.2%), finalizing interviews (88.5%), interviews by the committee (75.3%), psychological tests (7.2%), talks with representatives of the parents (5.4%), sometimes reference checks (per cent ages refer to secondary schools)
	10. Depending on number of applicants and funding: an assessment centre
SELECTION CRITERIA	11. Leadership and management skills (94%), expertise in teaching and learning (88%), NPQH qualification finished (57%), an understanding of budgeting and finances (37%), experience in collaboration with the community (35%), former school leadership experience (23%) (important criteria to governors)
	12. Appointment made by the LA in charge on the basis of the respective school committees' recommendation
EVALUATION	13. Differences in experiences and preparation of Governors influences quality of interviews
	14. Analysis of the NEAC assessment centre

Germany

The German school system is under federal control. At a national level, independence in matters of education and culture lies with each state due to the federal principle. This means that each of the 16 federal states (the German "Länder") has an individual school system ensured by jurisdictional and administrational laws. Hence, the legal basis for the selection and appointment of school leaders is within the responsibility of the respective state as well and is formulated in its respective laws. School leaders are employed by each state as civil servants and in general they have non-terminable (lifelong) tenure. Hence, for promotion the career regulations for civil servants are valid. Legally, all appointments have to be in accordance with the goal laid down in the "Grundgesetz" (the Constitution), article 33, postulating an equal access to any public position for every German, according to her or his aptitude, competence, and professional performance (Grundgesetz, 2005).

For the first time, Rosenbusch, Huber and Knorr investigated the selection procedures of school leadership personnel in Germany in 2002. A second study was undertaken by Huber and Gniechwitz (2006).

Organization of the Selection Procedure

The selection and appointment of a school leader lies within the responsibility of the Ministry for Education of the respective German federal state. Regulations of the school laws vary from one "Land" to another regarding how detailed they are. Summing up, however, it becomes obvious that all states (with the exception of Berlin, Bremen, Lower Saxony and North Rhine-Westphalia) do not go beyond a

general description of the selection procedure. In the states mentioned as exceptions, criteria are formulated a priori in the school law, and, more precisely, in the official regulations and stipulations.

One finding of the 2002 exploratory study shows that the departments of the ministries of education and the education authorities not only are in charge of the selection and appointment procedure, but they are also involved in the development of the selection methods. In some states, the authorities are supported by state academies or state-run teacher training institutes or the personnel department.

The filling of a vacant position needs long-term personnel planning by the authority. In this context, in a publication of the German School Leader Association (ASD, 2005) the creation of a "pool" of applicants by the state is regarded as a relevant condition for a successful selection and appointment procedure. In Bremen, Berlin, Hamburg, Hesse, Lower Saxony, Saxony, Schleswig-Holstein, and Thuringia, the creation of such a "pool" on the basis of the candidates' taking part in development programs early in their careers is being considered and realized in some pilot schemes. Other federal states are following.

Advertising and Marketing

In all federal states, vacant school leader positions (or those expected to become vacant) are advertised in the official information published by the Ministry, in regional official newsletters and partly on the internet (see Rosenbusch et al., 2002). Generally speaking, those advertisements comprise the name of the school, the details of the school profile, the exact title of the position, the level of salary and relevant information about the formal requirements and deadlines of the application procedure. States such as Brandenburg and Hesse additionally use regional and national newspapers, and so does North Rhine-Westphalia, where (like in Lower Saxony) optionally public advertising by the "Schulträger" (institution or political community in charge of the maintenance of the school) is not unusual (see Rosenbusch et al., 2002). Only in exceptions (e.g. in Bremen and Lower Saxony), the text of the advertisement is precisely adapted to the individual school's needs. According to the authorities in charge of selection and to the School Leader Associations of the individual federal states, on a national average there are 1.3 to 5.6 candidates per vacant position. In some "Länder", such as Baden-Württemberg, Bavaria, Berlin, Bremen, Hesse, Lower Saxony, North Rhine-Westphalia, Saxony and Saxony-Anhalt, interviews with potential school leader candidates are conducted. Marketing measures in a classic sense are not in use.

Prerequisites and Pre-selection

In all federal states, a new school leader is required to have teacher training for, and teaching experience in, the respective type of school. Moreover, additional qualifications are an advantage, like experiences as a deputy school leader, in leading

teams, or working as an instructor in charge of the induction phase of teacher training, etc. Mostly, however, the state examinations after teacher training are decisive as well as the regular official performance assessments by superiors. The candidates who are evaluated as most suitable are appointed school leaders for life (see Eurydice/Eurybase – Germany, 2004/2005; Huber, 2004).

In almost all states, with the exception of Bavaria, where the regular official performance assessment by superiors is taken into account, the teachers aspiring for school leadership are evaluated for this purpose (see Rosenbusch et al., 2002). Consequently, the assessment of one's professional performance and achievements is not only a basis for promotion (see the section about selection criteria), but also the central precondition for the application. In some states, it is considered to establish a systematic training before the application as a prerequisite for taking over school leadership, as it is the case in some other European countries (Knorr, 2004).

Job Profiles

Job profiles or competence profiles have been set up in 11 (out of 16) federal states (Huber & Schneider, 2007a,b). Others may have them now as well. However, they are not always explicitly formulated as job profiles. Besides, it is striking that most of the descriptions comprise both goals and central school leadership tasks as well as requirement with regard to competencies. Some states explicitly claim that the advertisements for vacant positions are supposed to be based on the criteria formulated in the profiles, which should be adapted to the local conditions. In some states, these descriptions also function as a basis for the evaluation/assessment of school leaders.

Selection Methods

The choice of selection methods differ widely across the federal states so that there is no Germany-wide selection procedure (Rosenbusch et al., 2002). After the applications have been received and passed on to the authorities in charge, the first step is a general check to see if the candidate is suitable with regard to the results of the regular official assessments by his superiors.

In Bavaria and Hesse, the focus is only on these formal criteria indicating performance and abilities as stated in the regular official assessment. This selection method is the explanation for the fact that the complete selection procedure takes comparatively little time. Interviews play only a minor part in Bavaria and Hesse. They are only fallen back upon in case the applicant's documents and evaluation results do not show clear picture in terms of selecting the best.

In the federal states Baden-Württemberg, Brandenburg, North Rhine-Westphalia and Saxony-Anhalt, among the selection methods are classroom observations (and analyses), chairing of conferences (not in Baden-Württemberg), and interviews.

In Lower Saxony, Thuringia, Saxony, Hamburg and Berlin the emphasis is on the interviews, though the type and length of interviews differ. The impression of the applicant gained through the interviews is most influential for the decision on who is selected (see Rosenbusch et al., 2002). In those states, the time span of the procedure is the longest.

In Schleswig-Holstein and Bremen, too, the personal presentation of the applicant plays a decisive part. In Schleswig-Holstein, the interviews are conducted in the selection committee; in Bremen, however, the applicants do not personally introduce themselves to the panel. There, the interviews with the pre-selected candidates are conducted by the respective board at the school itself. A further particularity of those two countries is that they establish a pool of candidates on the basis of professional development talks, potential analyses, and training and development programs, which can be fallen back upon in case of new appointments, thus shortening the length of the procedure to approximately 3 months.

For some years, in Lower Saxony, Hesse, and Schleswig-Holstein an explicit restructuring of the school leader selection procedure has been aimed at with regard to selection methods (see Niermann, 1999; Hoffmann, 2003; Denecke et al., 2005; http://www.modelle.bildung.hessen.de). Those new conceptions particularly stand out due to a linking of personnel planning, staff development and selection, in which different potential analysis procedures and/or components of an assessment center are applied after the candidates' taking part in a development program.

Selection Criteria

According to the unpublished study by Rosenbusch et al. (2002), in all federal states there is consensus that the best candidate shall be selected for a school leadership position. Bavaria, Berlin, Bremen and Schleswig-Holstein stated that above all the objectivity and lucidity of the procedure are the most relevant criteria for the selection. The applicants shall get the chance to fully understand the decision made. In all federal states, in the genuine selection procedure, the aptitude, capability, and professional performance of the applicant are assessed on the basis of his or her evaluation of achievement as a teacher.

The assessment of the professional abilities and performance of the future school leader is the central basis for promotion and appointment (see Eurydice/Eurybase, 1996). In quite a number of states, additional emphasis is put on performance in the personal interview. With the exception of countries that only focus on assessments of professional performance, the criteria for the final selection remain unclear. In some federal states, the individual schools have a say in the procedure, in most cases, however, in terms of having a counselling voice. In Hamburg, Bremen, Schleswig-Holstein and Lower Saxony, the individual school is actively taking part in the process through a specific panel.

Evaluation of the Selection Procedure

When comparing the duration of the selection procedures of the German federal states, there are some striking differences (see also Rosenbusch et al., 2002). In Bavaria, Bremen, and Schleswig-Holstein the average time span is between 2 and 3 months. Those three states are below the German average of approximately 4 to 6 months. In Saxony and Thuringia, for example, the procedure takes 1 year on an average and is clearly longer than the German average.

As far as we know, interviewing authorities and school leader associations in Germany did not bring about any insights in the reliability and validity of individual selection procedures and methods, as no state could provide any information about such results in 2002. This situation has not substantially changed in Germany. At present, studies focusing on the validation of selection methods cannot be found.

To sum up, Table 16.3 provides an overview:

Table 16.3   Recruitment and selection in Germany

ASPECT	DESCRIPTION
OVERALL APPROACH	1. Centralized selection process in most federal states
SELECTION BODY	2. The departments of the Ministries of Education in the respective German federal state
ADVERTISING & MARKETING	3. In the official information publications of the Ministry, in regional official newsletters and partly on the internet
	4. General advertisements of open positions (no specifications about the individual school's needs)
	5. No information about any marketing activities
JOB PROFILE	6. Job profiles or competence profiles in 11 federal states, however, not always explicitly formulated as such
PREREQUISITES	7. Teaching experience in the respective school type
	8. Good results in previous performance assessments
	9. Completion of a qualification program (is currently discussed)
SELECTION METHODS	10. General check of the results of the regular official performance assessments by the superiors
	11. Mostly focused on formal criteria indicating performance and abilities as stated in the regular official performance assessment
	12. Additional selection methods such as classroom observations and analyses, chairing of conferences and interviews are used in some federal states
SELECTION CRITERIA	13. Additional qualifications are usually an advantage
	14. The weighing of single selection criteria differ widely across the federal states; the criteria for the final selection remain mostly unclear
EVALUATION	15. No information on the reliability or validity of the selection procedures or methods

Singapore

From 1824 to 1945, Singapore was a British colony. During those 120 years Singapore took over England's education system. In that time, the management, supervision, evaluation, selection, and the training and development of staff were within the responsibility of the schools themselves. After the independence from the British Empire in 1945, the government decided to manage the education sector centrally and to control it more strictly.

Singapore's present school system is determined by a meritocratic policy approach with strong emphasis on achievement, efficiency and economic success. Most influential in the education sector is the Ministry of Education (MOE). The ministry formulates and implements education policies, and it is responsible for the design of the curriculum and allocates resources. Furthermore, it controls the development and administration of the government and government-aided schools and also supervises private schools. The school division of the MOE wants to ensure that schools are effectively managed and that the education provided is in accordance with national objectives.

Moreover, the ministry is in charge of the selection, training and development of school leaders. The school leaders and the whole school leadership team are supervised, guided, supported and assessed regarding their effectiveness by superintendents. Hence, school inspection is allocated directly at the ministry level.

The responsibility for the individual school lies with the school leaders, yet most schools actually are directly administered by the ministry (with regard to selecting staff, admitting pupils, buying material needed, etc.). Thus, the tasks of school leaders are almost completely reduced to implementing the stipulations of the ministry, assessing whether the quality of instruction is good, and launching improvement efforts if necessary. Singapore's education system is extremely competitive, and there is much pressure on the schools, the teachers and the pupils, as pupil achievement is evaluated through standardized tests and the results are published in ranking lists (league tables).

Since the end of the 1980s, there have been calls for a decentralization of educational governance. The school leaders have demanded more responsibility on school level in order to be able to introduce initiatives and respond more flexibly to changes. Since the beginning of the 1990s, the demands for more autonomy have been responded to positively.

In 1997, the MOE introduced the "Thinking Schools, Learning Nation" concept. The school principal obviously plays a key role in this transition from a very result-oriented approach of viewing schools to a more process- and learning-oriented one. The principal has to make sure that the school reacts to varying needs and challenges, and she or he supervises the development of school programs. The main emphasis will be on character building, motivation and innovation, creative and committed learning. This could mean even more pressure to succeed for the single principal, since there will still be ranking lists and competition among schools while the range of criteria for all that has changed and increased. It could thus be argued that school principals in Singapore have to cope with conflicting demands. On the one hand they need to drive forward the holistic vision of a thinking school:

developing into a more organizationally independent and self-reflecting entity, even as they are ranked. In fact, schools are supposed to develop contrary to what has shaped them for decades. The school principal, therefore, plays an important role in this politically propagated societal change.

Organization of the Selection Procedure

The possible further career steps for teachers within their school (e.g. to become a head of department or deputy school leader) are regulated by the Education Service Professional Development and Career Plan Path System. It was developed to plot the training needs and career prospects of all teachers, and it functions as a formal guideline for promotions, positioning a teacher within a school according to his or her academic achievements and teaching experience as well as the reports. It differentiates three career tracks: the teaching track, the leadership track, and the senior specialist track.

Advertising and Marketing

Unfortunately, we could not gather any information available about means of recruiting suitable applicants and ways of advertising vacant positions.

Prerequisites and Pre-selection

As a prerequisite for a school leader position, the compulsory preparatory program Diploma in Educational Administration (DEA) was a requirement. The program was developed and conducted in conjunction with the MOE and the National Institute of Education of the "Nanyang Technological University". Recently, a new program has replaced the DEA. This shorter qualification called Leaders in Education Program (LEP) is, at its core, an executive program conceiving of the principal's role as that of a Chief Executive Officer. It is shorter in duration from the previous DEA, adopts an innovative process-as-content model to place the emphasis on learning, on problem solving and decision making, draws on the expertise available in industry and provides opportunities for field trips abroad.

Job Profiles

There is no information available about any job profiles.

Selection Methods

In the selection procedure in a narrow sense, teachers are invited to interviews upon the recommendation of the district superintendent. The main criteria for the selection of school leaders are their academic achievement, their teaching experience and their evaluation reports.

Selection Criteria

The school leaders should at least hold a master degree. If there is an exception, the degree can later be done at the Ministry or at a University of Education. The final decision regarding the appointment is made by the Board of Education.

Evaluation of the Selection Procedure

It seems that evaluations are not conducted, as there is no information available about any evaluation of the school leader selection procedure.

To sum up, Table 16.4 provides an overview:

Table 16.4 Recruitment and selection in Singapore

ASPECT	DESCRIPTION
OVERALL APPROACH	1. Highly centralized
SELECTION BODY	2. The Ministry of Education (MOE)
	3. Basis: a formal Career Advancement Chart
ADVERTISING & MARKETING	4. No information available
JOB PROFILE	5. No information available
PREREQUISITES	6. Mandatory prerequisite: participation in the "Leaders in Education Program" (LEP)
	7. A Master degree
SELECTION METHODS	8. Interviews upon the recommendation of the district superintendent
SELECTION CRITERIA	9. Academic achievement, teaching experience and performance according to assessment reports (career up to now).
	10. Final decision regarding the appointment by the so-called Board of Education.
EVALUATION	11. No information available

Australia

New South Wales (NSW) is one of the six federal states of Australia. Australia's federal structure of government assigns most of the responsibility for schooling to the six states and two territory governments. The federal government through the Department of Education, Science and Training (DEST) provides national cohesion across the various school systems, a system of vocational training, funding for universities, which operate relatively autonomously, and a policy framework linking education to the economy, society and culture of the nation. Each state and territory has developed its own system of educational administration within this framework; New South Wales is the largest public school system, with 2200 schools, 750,000 pupils and 46,000 teachers. In New South Wales, as in most other states of Australia, reforms in the field of educational policy took place in the course of the 1990s. The

central administration was reduced and schools were given more decision making power in terms of site-based management, by which local school committees and school leaders were delegated more tasks and responsibility. Since then, to some extent, individual schools and their leaders are to a larger extent held. In the course of these developments, a new conception of leadership has become operational, namely School Leaders in Learning Communities.

On the basis of this new conception of school leadership, the NSW Department of Education and Training launched a comprehensive training and development program, the School Leadership Strategy (SLS), which was centrally developed and implemented, with support being provided through local Inter-District School Leadership Groups (ISLGs) and the principal associations. The School Leadership Strategy (SLS) is a multi-phase systematic program, based on an understanding of schools functioning as learning communities with leadership distributed widely within each school. It is underpinned by the NSW DET School Leadership Capability Framework and the NSW Institute of Teachers' Professional Teaching Standards. The programs address the needs of future school leaders and the broader leadership group within each school. The School Executive Induction Program and the Principal Induction Program are designed to induct new appointees into these leadership functions. The Principal Development Program and the School Executive Development Program provide continuing professional development for established school leaders and for faculty with other leadership roles.

Organization of the Selection Procedure

Regarding the filling of vacant school leadership positions, different situations have to be described. In case a member of the school leadership team has to be appointed for an interim period, the selection is made by a committee within the school. When school leadership personnel have to be appointed for a longer period, until recently, a distinction was made whether the appointment was for lifetime or "merit based" for a specific time period. In the meantime, however, only merit-based selections for limited periods are made. In charge of the organization of this selection procedure is a panel usually comprised of different members according to the respective federal state. In NSW, the panel consists of one representative of the NSW Teachers Federation; one representative of the Director-General, and one administrative/clerical representative of the Education Department.

Advertising and Marketing

Vacant positions are advertised on the online platform jobs@DET as well as in the Commonwealth Government Gazette and additionally in the ACT Schools Bulletin (in most cases in March). The advertising period is about 6–12 months, which is quite long, due to the effort to advertise and fill all vacant positions for the coming term at the same time.

Linked to the various training and development programs, there are extensive marketing activities: Since the entire qualification program is mainly organized and implemented by the ISLGs, these groups are of major importance. There are 20 of these groups altogether. They have been formed out of two to three individual school districts respectively. The main task of each ISLG is to disseminate information about the programs, to coordinate the implementation at the local level and to facilitate mentoring opportunities and the development of local collegial networks. It may be assumed that networks can also be used for recruiting applicants for vacant positions.

Prerequisites and Pre-selection

Applicants for a school leadership position are expected to have taken part in one of the development programs and to hold the "Certificate of School Leadership". That, however, is not a mandatory requirement for appointment to school leadership positions. All teaching staff is free to apply.

Job Profiles

The NSW Department of Education and Training through the Training and Development Directorate formulated a conceptual basis for a notion of leadership that is expected to cope with the enlarged demands on school leaders. Hence, this may be called a comprehensive job profile. There is, however, no information about the extent of this job profile being taken into account in the selection procedure itself or whether it is supplemented by any further locally decided demands.

Selection Methods

Within the frame of the merit-based selection, the classic methods are applied. First, the online applications are gone through. The references are checked and partly the support by external consultants is used. On the basis of this pre-screening, a more restricted selection is made (short-listing). Applicants on the short-list are invited to an interview by the panel. While Chapman (1984b) still reported that the "most senior eligible applicant must be offered the position" (p. 45), today a merit-based selection is made.

Evaluation of the Selection Procedure

Some basic evaluation was undertaken in the 1980s (Chapman, 1984a,b). A team of the Commonwealth Schools Commission was founded with the primary objective to identify ways of supporting and improving the professional development

of principals. For this purpose, four studies were conducted, one of which aims at developing a descriptive profile of principals and another at summarizing the procedures which are currently followed in selecting and appointing principals and to identify the assumptions underlying these processes. Due to the changes in the 1990s, it must be assumed that the modes of selection and the criteria for the decision were modified. There is no information about evaluation studies on school leader selection and appointment after those changes in the 1990s.

However, there are some hints at general problems in the Policy Statements of the Australian Secondary Principal Association (ASPA). The Policy Paper "School Leaders: Shortage and Suitability in Australian Public Schools" from November 1999, for example, indicates some improvements of the selection procedure.

More importantly, ASPA notes that some jurisdictions are questioning the ability of the merit-based selection processes to ensure that the best person is actually offered the job. ASPA strongly endorses the principle of selection by merit but notes there are some strongly held views that current processes by which merit is determined are not always working well. Issues surrounding existing selection processes are

– self-promotion is rarely a reliable predictor of future performance.
– information about past performance is a more reliable indicator but is hard to obtain.

To sum up, Table 16.5 provides an overview:

Table 16.5 Recruitment and selection in New South Wales, Australia

ASPECT	DESCRIPTION
OVERALL APPROACH	1. Interim positions: fully decentralized (appointment by schools) 2. Long-term positions: relatively decentralized (selection panel)
SELECTION BODY	3. Mixed selection panels
ADVERTISING & MARKETING	4. In the Commonwealth Government Gazette and the ACT Schools Bulletin 5. Long advertising period of 6 to 12 months 6. Extensive marketing activities linked to the development programs
JOB PROFILE	7. No information about profiles; but conceptual basis for a new leadership in schools is formulated by NSW Department of Education and Training
PREREQUISITES	8. All teaching staff are free to apply 9. "Certificate of School Leadership" (expected)
SELECTION METHODS	10. Screening of written applications, references checks, interviews by the panel 11. Partly supported by external consultants
SELECTION CRITERIA	12. Principle of a merit-based selection process highly emphasized
EVALUATION	13. No information about evaluation studies on school leader selection and appointment after the changes in the 90s 14. Some critique is formulated by the ASPA

The United States

It is the distinctive decentralization of decision making processes in the education sector – besides open enrolment and the accountability of schools to the public – that has had serious effects on the principals' functions and range of tasks. For that the federal states have set up standards, and the universities of various states have founded bodies for collaboration in order to be able to create consensus across the states and to assure a level of quality as high as possible. Thus, when issues of personnel marketing and the selection of principals in the Unites States are discussed, this should be closely linked to the characteristic features of the US education system and the present "market" for educational leadership qualification programs as of a master degree. Generally speaking, the responsibility for the training and development of teachers aspiring a leadership position lies with the universities.

Organization of the Selection Procedure

Due to the special role of the university-based training and development programs, the selection procedure basically is two-phased: In the first phase, the teachers have to get an adequate university degree as a prerequisite. This is closely linked to getting a license, which is a precondition for consideration as a potential candidate for a vacant position at all. It is only on that basis that the actual selection procedure takes place. As mentioned above, the tradition of university-based training and development programs is highly relevant. Of similar importance are the federal states' responsibility for the education policy, which already leads to an enormous differentiation, and the development of school site management (including the individual school's autonomy in matters of personnel), which increases individualization and differentiation. Hence, the responsibility for the design of the selection procedure eventually lies with the schools. In most cases, the selection committees, established by the school, are in charge of it. Quite often, the committees delegate the (pre-)selection procedures to other agents or carry it out with the support of personnel consultants or personnel recruitment agencies. Services of that kind exist (according to a survey of the School Boards Associations (of 2001, quoted after Riede, 2003a)) in more than 34 states. Among them are private companies as well as services of the School Board Associations (see Riede, 2003a,b).

Advertising and Marketing

Advertisements for vacancies can be found on the career boards of the various professional associations or on the board of the National Association of Secondary School Principals (NASSP, 1998, 2002, 2004), which can be accessed by members

only. Some companies and districts also set up their own candidate pool, circulate emails and lots of leaflets around schools, or publish advertisements in newspapers. Assumedly, the Unites States is the country in which most marketing is practiced (in terms of leaflets for programs, etc.), as these programs are integrated in the university culture of the American higher education system with its typical marketing culture and are advertised accordingly.

Prerequisites and Pre-selection

In general, the prerequisite for the application of teachers for a leadership position as a "principal" is a master degree in "Education", "Educational Leadership", "Educational Administration" or similar. Additionally, applicants for principalship have to own a certificate (valid in the respective state or district). To get that, they must have taken the respective courses, have professional experience, and often have passed a special test or an assessment centre interview. For a detailed survey of the conditions for licensing in the different federal states see the information offered by the National Center for Education Information in Washington (2003). Besides, Korostoff and Orozco (2002) provide detailed information about all state agencies and universities and various ways to get a licence.

Job Profiles

Evidence for fulfilling the demands from this implicit profile can be provided by candidates through their licence. However, in the actual selection procedure, there are additional demands specific to the individual school, which are individually formulated by the private personnel agencies and the school itself.

Selection Methods

Little is known about the selection methods applied in the actual procedure of filling the position. Essentially, there is supposed to be an analysis of the curriculum vitae and a sequence of interviews with the personnel agency and members of the hiring committee. According to various advertisements, the following documents are usually required: current resume, current transcripts, cover letter outlining your qualifications for this position, professional letters of reference, copy of principal certification, and quite often, additionally the response to some questions regarding the school or the vision of the future development of the school.

On the other hand, in an effort to find out more about what factors are really important in predicting performance for future principals, the assessment centre method came into play.

The 12 leadership indicators identified by the NASSP (1998, 2002, 2004) are supposed to constitute a good predictor for future levels of performance for newly hired administrators in education. The assessment centre, a growing trend currently used in various areas of the United States, has several characteristics: (1) The use of multiple contrived situations (e.g. business simulations) to observe behaviour, (2) the presence of several trained assessors who pool their evaluations along a variety of specified dimensions (e.g. the assessee's leadership, risk-taking, and administrative abilities), (3) the evaluation of several candidates at one time, and (4) extensive feedback, written or verbal, to either the candidate or management, or both.

Selection Criteria

The decision very often lies directly with the school, i.e. with the hiring or selection committee of the particular school. The heterogeneous composition of those bodies on the one hand has the advantage that various perspectives can be taken into account. On the other hand, the members of those committees usually have not been trained in the selection of personnel at all, or give access to criteria different from the search for the "best suited individual". Riede (2003a), for example, reports on issues of very able candidates having not been accepted out of "political reasons" and less able ones having been favoured. Roza et al. (2003) state that human resource directors and superintendents draw on different criteria for selection, the former preferring professional experience – typically defined as years of teaching experiences – and the latter focusing on for leadership competences and often being dissatisfied with the individuals put in the position.

Evaluation of the Selection Procedure

The NASSP has had their assessment centre procedures (already in place since the early 1980s) evaluated continuously (see Schmitt, 1980, 1994; Schmitt et al., 1982; Schmitt & Cohen, 1990a,b; Williams & Pantili, 1992; Pashiardis, 1993). The research findings confirmed sufficient prognostic validity of the assessment centre for the future achievement of principals. Research in further selection methods applied in concrete processes of filling positions (e.g. interviews, potential analyses, self-assessment through psychological tests) still is a desiderate. In comparison, the effectiveness and the quality of preparatory training and development programs, of some specific methods such as principal internships and the effectiveness of the standards are regularly evaluated and broadly discussed.

To sum up, Table 16.6 provides an overview:

Table 16.6 Recruitment and selection in the United States of America

ASPECT	DESCRIPTION
OVERALL APPROACH	1. Distinctive decentralization (responsibility lies with the schools)
SELECTION BODY	2. Hiring or selection committees, established by the school
	3. Sometimes supported by personnel consultants or personnel recruitment agencies or services of the School Board Associations
ADVERTISING & MARKETING	4. In career boards, newspapers, etc.
	5. Recruiting companies also send emails and leaflets around
JOB PROFILE	6. National standards serve as a general job profile, complemented by specific requirements of the respective school
PREREQUISITES	7. Teaching licenses, adequate university master degree, principal license
SELECTION METHODS	8. Great variation among tests (for licensing); analysis of the curriculum vitae, answers to written questions, reference checks, interviews and assessment centres
SELECTION CRITERIA	9. No data (probably a result of the very decentralized process)
EVALUATION	10. Studies on the validity of the NASSP assessment centre
	11. No research findings in further selection methods
	12. Heterogeneous composition of the selection committee is not always an advantage

Conclusion

This chapter has drawn heavily on a recently started international comparative study (Huber, 2005, 2006, 2007; Huber et al., 2007), which describes current practice from around the world and identifies commonalities and differences. As this project has only started in an exploratory first phase, we are still restricted in the way we can draw our conclusions. Interestingly, there seems to be little international work available on how school leaders are selected and recruited.

Given our first five case study countries, some central similarities and differences can be highlighted.

First, the overall approach of school leader selection ranges (as could be expected) from a distinctive decentralized one (with responsibility lying with the schools as in England and the Unites States) to a centralized one (as in many German states and above all in Singapore, where the ministry is in charge). Accordingly, the selecting body is either a committee established by the school, the community (or district) or the department of the ministry itself. These decentralized versus centralized approaches seem to affect the advertising and marketing activities undertaken to fill vacant school leader positions. They are either quite intense and widespread (in the countries with the decentralized approach) or restricted to official information publications.

Second, many countries use job profiles or framework conceptualizations of different kinds. Some are based on standards, some are solely driven by school law

and school regulations in which the role of school leaders is described. In countries where the selecting body is school or district based, there is a whole variety of different kinds of profiles, often taking the local situation into account.

Third, a *conditio sine qua non* as a prerequisite for applying for a school leadership position in most countries is having a teaching licence and some experience in teaching in the respective type of school. In the countries described here teaching experience is required but its duration is not stipulated in official documents unlike in many other European countries (e.g. Cyprus, France, Italy, Norway, Spain and others, see Eurybase Fig. 49: Minimum number of years of professional teaching experience required to become a school head in primary, general lower and upper secondary education, 2002/03). With regard to further formal prerequisites, two approaches seem to exist. Many countries require participation in a preparatory training course or an extensive development program usually concluding with a certificate or a license, as it is the case in Australia, England, Singapore and the USA. On the other hand Germany is relying mostly on the previous performance of the candidates as teachers.

Fourth, the selection methods applied differ widely. While in most of the German Länder the emphasis is put on formal criteria indicating abilities (albeit adding further selection methods if considered desirable) and in Singapore they solely rely on interviews. Although a great variety of methods are used in England and the United States, interviews, however, seem to be indispensable.

Fifth, as to the evaluation of the selection procedures, there is a striking research desiderate: Mostly, no information about the reliability and validity is available. In England and the USA, however, some studies on selection methods are being undertaken.

It can rightly be assumed, however, that increasing efforts concerning the selection of school leaders will be made at the moment and in the near future. This is due to the rising awareness of the central role of school leaders, corroborated by international research findings, as well as to the increasing importance of school leadership in the change process of many school systems from a centralized one towards a more decentralized system of self-managing schools.

What has to be taken into account in respect to diagnostic measures used for selection should be based on a few considerations. In general, it seems as if a more rigorous and systematic approach is needed.

First, the approach should be based on what we know from research about good or competent school leadership with regard to school quality and school improvement. Findings from research help to identify what is expected from school leaders in general.

Second, the approach should also be based on the specific organizational context. What expectations by regulations, professional standards, or voices of different stakeholders exist and have to be taken into account? What is needed is not only to take a general perspective into account but also the specific organizational context. Given the desired fit of a person's competences to the requirements of a specific organization, more is required than just backmapping individuals against a general compilation of generic competences: a contextual fit is required.

Third, the selection processes should use a wide range of diagnostic means in a kind of mixed method approach combining biographic-oriented, behavioural-oriented, and the trait-oriented instruments. The biographical assessment approach follows the idea of predicting the candidate's future performance on the basis of his or her past achievements and experiences. Methods following this approach are, e.g. screening of biodata, reference checks, or interviews. The behavioural-oriented approach focuses on one's actual behaviour usually observed in tasks where future job situations are simulated and in which the applicant is required to take action (e.g. work sample, assessment centre, classroom teaching). The trait focuses on assessing personality characteristics. This approach follows the idea that there are basic personality traits (e.g. intelligence or achievement motivation) which have a demonstrable causal link with professional success. Psychometric intelligence and personality tests are an example of a selection process designed according to this approach. From several decades of research in the field of aptitude assessment it can be concluded that combining all three assessment approaches by integrating different diagnostic measurements will lead to better person-job-fit decisions. Currently most countries focus on biographical information for selecting school principals. Methods representing a behavioural or trait-oriented approach are far less used.

This is interesting because a professional selection approach should focus on a prognostic perspective. It is about assuming the future performance of a candidate in a certain position. It is not about "rewarding" experienced individuals as teachers for their merits. We do not have empirical evidence for the existing practice in some countries, which is based on the assumption that a good teacher automatically becomes a good school leader. There is the risk of losing a competent teacher while not necessarily gaining a competent school leader. Professional diagnostics aim at prediction on a prognostic base, not solely on a retrospective base. In this respect, an even less valuable criterion would be the mere age of the candidate in terms of the years of experience in the profession.

Huber et al. (2007) developed an online inventory for self-assessment (the Competency Profile School Management – CPSM) comprising around 30 test scales related to the competence profile to undertake school development and school management (with around 400 items) and a complex problem analysis tool (in the form of an in tray exercise), which have been standardized with around 300, 2009 with 1000 teachers.

As to what is missing but needed, we see several emerging issues.

First, there is still some need for a clearer conception of competencies required for school leadership. It is clear from the brief country reviews that there is a further demand to compare both the common and the distinct elements that we find in different countries, and to recognize that – although a competency-based approach may have some advantages – there is still little consensus about what the key competencies are than there might be. However, school leadership has to deal with a great amount of complexity and uncertainty but also with dilemmas and contradictions and with different expectations, given all the different stakeholders from the system context as well as the local context.

Second, in this regard, there appears to be a strong case for looking in more detail at the impact school leaders have on the school's quality and improvement process. We need research on the effectiveness of school leadership considering the complexity of an organization and all its possible impact. We now have the necessary statistical and analytical tools to investigate this impact through multi-level and multivariate techniques.

Third, we have become increasingly conscious during our own work in this field that the conception of school leadership, even taken internationally, is a rather narrow one. Perhaps there does not need to be "one supreme head" in each school. Maybe school leadership needs other conceptualizations like collective leadership and the re-conceptualization of the school leader's role as simply one part in a team. This would allow to move away from the school leadership concept as a position for one person, the "multifunctional miracle being" (Huber, 2004), the one-man/one-woman at the top, but to conceptualize school leadership as a function that a team serves to fulfil. It is this last issue which seems to us to challenge most forcibly the orthodoxy underpinning current approaches to recruitment and selection and which offers the most interesting avenue of exploration for the future.

Fourth, we need research on the instruments' reliability and validity in particular, and on the effectiveness of selection procedures in general. We need to know how accurate the method applied can measure the intended criterion (a question of reliability). We also need to know if it really measures what it intends to (a question of construct validity) and whether it allows us to draw trustworthy conclusions on future job performance (a question of criterion validity). Especially little is known about the quality of interviews in the context of selecting school principals, even though they are the most applied and probably the most influential tool in hiring decisions. As has been known from studies in the economic sector, interviews differ widely in their reliability and validity.

Fifth, in this context, there are further considerations of efficiency that have to be determined in terms of a cost–benefit analysis. It can be assumed that there is a higher efficiency and effectiveness when individuals take over leadership who have been carefully selected and are suitable for the demands. Undeniably, however, there are the costs associated with the various selection methods. As stated above, the more different sources of information or the more different perspectives one includes in the selection procedure, the more objective and reliable, but also the more expensive the process gets. Consequently, the dilemma is higher expense versus more reliability and validity of the selection process. Yet, it is also important to ask how much has to be spent if the wrong individuals are selected, let alone the educational damage that an incompetent principal can inflict. In essence, a cost–benefit analysis of the type described above would probably prove that it is far more beneficial to spend more resources initially during the selection process as opposed to having the wrong person on the job for a number of years, particularly in the countries where school leaders get appointed as civil servants and keep the position and the salary level for many years.

Finally, it is very interesting to look at potential links of diagnostic procedures, leadership experiences and training and development opportunities. Among the

diagnostic procedures are self or needs assessment and assessment in terms of selection or external evaluation. Leadership experiences may comprise a position in the middle management or the senior management team or elsewhere in the school, or as a previously established school leader. Training and development opportunities may have different phases: orientation, preparation, induction and continuous professional development. The kind of triad of diagnostic procedures, leadership experiences, and training and development opportunities might serve to illuminate and to enhance practice in terms of quality assurance and quality development in leadership.

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