

Australian Council for Educational Leaders

Yearbook 2006

New Waves of Leadership

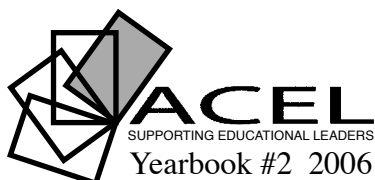
**Selected papers from the 2005 National Conference
of the Australian Council for Educational Leaders
Gold Coast, Queensland**

Edited by
Larry Smith and Dan Riley
University of New England

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Preface

New Waves of Leadership: Selected papers from the 2005 Conference of the Australian Council for Educational Leaders is the second 'yearbook' published by ACEL.

This year, the ACEL yearbook is divided into three sections: reflections on the conference (by Associate Professor Ross Thomas, Editor of the *Journal of Educational Administration*); articles refereed to comply fully with the verification requirements for DEST E1 Conference Publications; and selected non-refereed articles which have been included because they provide interesting and informative perspectives on a range of practical topics relating to educational leadership.

Reflections on the conference

Ross Thomas has been editor of the *Journal of Educational Administration* – arguably the premier international journal in educational administration – for some three decades. In reflecting on the conference, Ross stated that his primary objective is to “look for the ‘growing points’ from the conference: were there issues and ideas worthy of editorial pursuit and encouragement?”

Ross noted that “the phenomenon of leadership is, once again, undergoing one of its periodic, sustained examinations: definitions of leadership, components of leadership, correlates of leadership, and so on, are occupying more and more journal space and more and more conference time”. However, although leadership was the cornerstone of the conference, Ross observed that two closely associated themes kept appearing – change and values. He was particularly encouraged during the keynote presentation by Bell’s criticism of strategic planning – “that leadership (?) ploy with which so many have been enamoured”.

In his paper, Ross reports that “precisely half” of the lead papers were presented by principals, while a further 40% were presented by practitioners in departments of education and other institutions. “This was a noticeable and noteworthy attribute of the conference” he states, “impressive evidence that research in educational leadership is not the prerogative of academics”. Ross juxtaposes this observation with the personal statement: “I find myself disappointed that only 10% of participants are from our universities. Were more to attend then each would very quickly comprehend the nature and extent of research being conducted beyond his or her purview”.

Refereed papers

The five papers published in the Refereed articles section of this ACEL Yearbook have been refereed to comply fully with the verification requirements for DEST E1 Conference Publications (full written paper refereed) (Reference – 2004 *Higher Education Research Data Collection: Specifications for Preparing returns for the Collection of Data*, Higher Education Division, Department of Education, Science and Training, Canberra). Each paper was reviewed by two (2) educational leaders/academics who hold a PhD or equivalent and whose work is acknowledged nationally and/or internationally. All author identification was removed from the papers prior to being forwarded to reviewers.

Mark Sly, who has “a pragmatic concern for in-class teacher leadership”, provides insights arising from his current research for a Doctor of Education degree which involves a qualitative study of teacher leadership in South-East Queensland Anglican schools. This study examines in-class teacher leadership from the perspective of five classroom teacher leaders from each of three Gold Coast Anglican schools, by exploring four questions: What do in-class teacher leaders do? What motivates their leadership? What support do in-class teacher leaders need? What factors support and inhibit their work?

Four key themes have to be emerged from his study:

1. *Professional development* is most important to teachers.
2. *Positive relationships* with colleagues, students, parents and administration are crucial to supporting teacher leadership.
3. *Communication* that is clear and concise supports the development of strong teacher leadership in schools.
4. *Time* to plan together, write curriculum together, talk to each other generally about teaching and work on problems or new initiatives in the school are seen as essential requirements for effective teacher leadership.

Charmaine Driver discusses values-based leadership and strategic planning in a state special school where she was principal for a decade. She argues that once a school community understands and endorses a set of agreed values, then all members of the school community are able to understand, explain and further develop the roles that various people play in making the school a great place to work. It is asserted that collaboration, participation, engagement and involvement in a trusting, risk-free environment are essential if schools are to work effectively for the good of all members of their communities. “Strategic plans”, she says, “are of little use to school communities unless those whose lives the plan impacts have opportunity and support to engage with the processes used to develop the plan and are able to understand and relate to the goals and targets incorporated in it”.

David Gurr, Lawrie Drysdale, Russell Swann, Joy Doherty, Patricia Ford, and Helen Goode provide some cross country comparison case studies relating to the International Successful School Principalship Project (ISSPP). Their studies identified two categories of factors which influenced successful school leadership, the first concerned with the leaders themselves (such as their personal characteristics, traits, qualities, and skills), and the second relating to contextual or environment-specific issues. The authors argue that while the “social, political and educational histories of schools differ from country to country, all principals are experiencing change that emanates from social movements (i.e. changes in families, expectations of schools, attitudes of students, and the ever-increasing interests of central and municipal governments in ‘performance’ and ‘performativity’). Such changes are testing the values, resolve and resilience of principals in all schools in all countries”. Gurr and his co-authors conclude that: “What became clear from the case studies was the complexity of the social system in which the interaction between personal and environmental factors occurred”.

The paper by **Kathryn Lacey** and **Peter Gronn** addresses patterns of resilience among aspirant principals. Their discussion relates to 21 principal aspirants who participated in the *Identifying and Tracking Principal Aspirants* (ITPA) project. The authors explain that the concept of ‘resilience’ as it applies to aspirant principals, suffers from both definitional clarity and conceptual overlap. The causes of resilience, they assert, are unclear, as are the reasons why some people appear to “bounce back” from failure. Resilience, they warn, is also risky: “if factors related to the maintenance of personal well-being loom highly in the minds of aspirants, their lack of engagement with a possible

future role makes rational sense and even represents a highly resilient response to potential risk”.

Allan Morgan, a doctoral student at the University of Southern Queensland, addresses the concept of parallel leadership, which he defines as “an idea embedded in the school-wide approach to school reform called *IDEAS*. *IDEAS* is a process in which the professional community of the school, in concert with the wider school community, engages in collaborative learning to both enhance the school’s approach to teaching and learning, and to heighten the integration of teaching and learning with the school’s vision, values and structures”. Much of the school effectiveness and school improvement literature, he suggests, propagates an image of leadership centered on strong individuals with a clear, instrumental vision of the school. However, he contends that many educational researchers have been influential in promoting a more diffused view of school leadership - one that connotes a democratic, rather than transformational view. Morgan states that studies suggest that parallel leadership successfully facilitates school reform through three interacting processes: school-wide professional learning, school-wide pedagogy, and school-wide culture building. Parallel leadership, he says, challenges the orthodoxy that is still prevalent in many descriptions of distributed leadership.

Non-refereed papers

The nine articles in this section are all based on conference presentations, and provide interesting and informative perspectives on a range of practical topics relating to educational leadership. The articles have not, however, passed through DEST verification requirements for refereed ‘academic’ articles: rather, the authors have attempted to maintain the ‘flavour’ of their original conference presentations. For this reason, the reader is asked to focus on the practical rather than the academic strengths and contributions of each article.

John Alban-Metcalf, **Beverly Alimo-Metcalf**, and **Nick Burnett** examine the background to, and development of, the public sector version of the *Transformational Leadership Questionnaire (TLQ)*. The *TLQ* is a 360-degree multi-rater instrument that provides confidential diagnostic feedback in relation to fourteen dimensions, plus data on ten Leadership Impact Measures. This paper also explores the research methods and outcomes from a random stratified sample ($n = 248$) of the National Professional Qualification for Headteachers (NPQH) graduates of the 2001 cohort, who participated in the ‘Transformational Leadership in Schools (TLiS)’ project, undertaken to examine the applicability of *TLQ* to school leaders.

Andrea Harms describes the *Dare to Lead* project, a Commonwealth-funded initiative dedicated to improving educational outcomes for Aboriginal and Torres Strait Islander students, as well as committing schools to work towards making Reconciliation a reality. *Dare to Lead* supports project participants by providing leadership and professional development opportunities, regional networking opportunities, access to cultural tours, networking through buddy school partnerships, access to the What Works tool, electronic newsletters and mail-outs, a website with practical links and information, subsidised resources, and an opportunity to participate in the annual Excellence in Leadership awards. Data collected from school reviews shows that between 2002-04, *Dare to Lead* schools made strong advancements in implementing a variety of practical strategies.

Tricia Mason-Smith argues that the ways of thinking, knowing and understanding of the past, no longer match the reality of the 21st century. Education, she says, is reinventing itself, and is also reinventing perceptions and expectations about leadership. “The discussion in schools today

is about how we as a profession can produce the best possible leaders for the challenges that lie ahead. Those challenges are significant. We are leading in demanding times. The key to meeting these challenges is in discovering the humanity of leadership”.

Norm Hunter reflects on schools as communities. Whilst on study leave he visited Hong Kong, Copenhagen, Cambridge and Glasgow, where he explored the concept of schools as communities, and how this might link with student learning and welfare. His objective was to develop a greater depth of understanding of how to assist students to learn and grow as human beings, so they are able to participate in, and contribute to, the local, national and global communities of the 21st century.

Pauline Audley addresses how to facilitate support for new leaders through online collaboration. She argues that the introduction of online communities strengthens the concept of leadership learning as an ongoing process, and develops the skills that leaders need to engage with their peers. Supporting and developing the skills and knowledge of newly-appointed principals, she says, “requires an understanding of the nature, demands and complexities of their role. To perform effectively and efficiently, new principals require resources and networks that will assist them in dealing with the distinctive and often complex challenges that the role brings”.

Beverley Theobald quips that “through the experiences of my thirty-year history in education, it has become obvious to me that the key to leading educational change is the quality of the relationships within the organisation. Successes at achieving change as a classroom teacher, a head teacher and as a principal demonstrate clearly that leadership is not about positional power but, rather, the quality of the relationships”. Her paper presents a range of lessons learned during her extensive and varied career as an educator.

Warren Marks looks at a principal-driven solution to effective succession planning and sustainable leadership in schools. His paper examines the research, design and implementation plan for an innovative school leadership preparation and development strategy which is currently being implemented in the Illawarra and South Coast Region of the NSW Department of Education and Training. The strategy was premised on the belief that there was a need to shift the emphasis from the previous focus on employer-delivered competencies training to profession-delivered leadership capability enhancement. Marks argues that: “In addition to addressing the system needs for effective *succession planning* and the individual career needs through a clear, accessible and needs-related *leadership preparation and development framework*, the strategy has also released an enormous professional energy amongst principals who are now taking a leading role in the ownership of and the responsibility for, the preparation of future leaders”.

The paper by **Kathleen Park** examines the development and implementation of *social and emotional learning* (SEL) programs within a school setting. Suggestions for developing and implementing a program are provided, along with a case study of a school that is in the process of introducing a program of SEL in the senior years. The ultimate goal, she says, should be that “all interactions and experiences at the school display an awareness of the social and emotional competencies”.

Richard Waters contends that: “Educational leaders are public figures who are increasingly under scrutiny over their performance and the decisions they make, both over the general direction of their schools but also over individual decisions affecting specific situations and individuals”. In this paper, he poses two key questions: Can leaders be trained to acquire the capabilities to make decisions on ethical dilemmas, and, if so, what are the appropriate modalities to equip leaders with these capacities? What supports do leaders need to meet the expectation that they will make correct and good decisions on ethical dilemmas?

Foreword

New Waves of Leadership: In Retrospect

A. Ross Thomas
Editor

Journal of Educational Administration

Broadly speaking, those who attend conferences may be placed into three categories – those with papers to present (the informers), those who seek enlightenment (the informed), and the hybrid – informers who also seek to be informed. As a participant in the 2005 ACEL conference I belonged, on this occasion, to the second category. Thus, I felt some guilt because of my failure to contribute anything of substance to what is Australia's premier conference on educational leadership. Guilt was assuaged, however, because of my editorship of the *Journal of Educational Administration*. Accordingly, an important reason for my attendance was to identify 'likely-looking' papers and to invite their presenters (the informers) to consider submissions to the journal. But, as this volume attests, ACEL publishes its conference proceedings, and therefore material for a hopeful editor is limited. Thus I looked for the growing points from the conference: were there issues and ideas worthy of editorial pursuit and encouragement?

Having participated in many conferences on educational leadership I continue to live optimistically for the moment when, as a journalist would describe it, a big story breaks. This anticipation may be attributed to the experience of one of the earliest major international gatherings I attended – the third International Intervisitation Program (IIP3) held in the UK in 1974. During the conference phase of the IIP Thomas Barr Greenfield presented "Theory in the Study of Organisations and Administrative Structures: A New Perspective". In his paper Greenfield questioned the basic assumptions of the natural systems view of reality (then the dominant theoretical construct guiding the study of educational administration) and explored the implications of a phenomenological perspective. His presentation registered high on the Richter Scale of academic discomfort – and it did so immediately! The conference was ignited by his challenge and, seemingly, all participants joined in debate, much of which was conducted at high emotional temperature! The aftershocks were, of course, felt for many years thereafter. The American author, T. Scott Fitzgerald, once remarked: "No grand idea was ever born at a conference, but a lot of foolish ideas have died there." Greenfield certainly disproved the first part of Fitzgerald's claim although, it must be conceded, grand ideas in our field are few and far between.

The 2005 ACEL conference was not seismic; there were no Richter-ranking disturbances; but there were some attention-catching tremors.

The majority of participants (about 90%) at ACEL gatherings are educational practitioners as distinct from academics (full-time scholars and researchers) and this distribution of

backgrounds and interests is one of the most exciting and challenging aspects of the Council's conferences. Thus, permeating the ranks of the majority of participants is the expectation that papers presented will be of direct and obvious application to the leadership of their respective schools and institutions. It is relevant for each to ask: "What does this paper mean for me? my school?" and to judge papers accordingly. Answers to such may not necessarily coincide with those that respond to my editorial query: "What are the growing points of this paper? and where do we go from here?" My impressions of some of the conference papers may thus differ, at least in part, from those of the majority of participants.

Of the 28 concurrent ("Lead") papers precisely half were presented by principals (or by principals currently enrolled in doctoral programs) and ten were presented by practitioners in departments of education and other institutions. (Keynote "Leader" speakers were similarly distributed). This was a noticeable and noteworthy attribute of the conference: impressive evidence that research in educational leadership is not the prerogative of academics. This is a strength of ACEL and serves to distinguish the structure of its conferences from those of, for example, the Australian Association for Research in Education (AARE) and the University Council for Educational Administration (UCEA). I find myself disappointed that only 10% of participants are from our universities. Were more to attend then each would very quickly comprehend the nature and extent of research being conducted beyond his or her purlieu.

"New Waves of Leadership" was, of course, a most fitting theme for a conference conducted literally 200 metres from the renowned Gold Coast surfing beach. But the theme was also an appropriate metaphor for the surge in studies of educational leadership that is now confronting us. The phenomenon of leadership is, once again, undergoing one of its periodic, sustained examinations: definitions of leadership, components of leadership, correlates of leadership, and so on, are occupying more and more journal space and more and more conference time. Yet, therein, lies an emerging danger. Just as the trait approach to leadership in decades past succeeded in identifying a plethora of individual attributes or characteristics fundamental to successful leadership, contemporary studies threaten to engulf us with their own tidal wave of descriptors. At this conference the following emerged (from the 28 concurrent papers) to confront participants: leadership sustainability and leadership density; leaders who were educational, Catholic, humane, and metastrategic; teacher leadership, and leadership that was school, new, authentic, parallel, principal-centred, principal-driven, profession-driven, educational, successful, curricular, transformational, values-based, and heroic.

Such a profusion of labels may be viewed with alarm and, paradoxically perhaps, excitement: alarm because of the possibility of duplication in conceptualisation, definition and approach, with a resulting potential for confusion and even exasperation; excitement because of the variety of lenses being used to examine educational leadership. One may only hope that for the individual presenters of these papers valuable guidelines are actually providing bases for their future leadership. Similarly, one may hope for a successful application of their findings beyond the specific institutions in which they collected their data.

Inevitably conferences fall short of perfection; in spite of all care taken by the convenors some things become irritants. At the risk of being cast in the ABC's "Grumpy Old Men" series, I identify a few of these. For example, the presentations of the concurrent papers were made within 90 minute segments but there appeared no rationale for allocating 60 minutes to the first papers and 30 to the second. On at least three occasions the presenters of the briefer papers found their allocated time insufficient, a situation exacerbated by the failure of those

chairing the sessions to adhere to the times allotted. Ruthlessness is an essential quality for session chairs!

I think it time that organisers of future conferences look afresh at the presentation of the W.G. Walker Oration. As things are currently enacted, the oration is not an oration at all. Within its first 90 minutes the conference was opened, participants were welcomed, Fellowships and awards were presented. The orator, Professor Keith Walker of the University of Saskatchewan, had time merely to speak to his paper. Admittedly, the opportunity to read the oration in its ACEL Monograph form (distributed prior to its presentation) at a later date was a valuable and stimulating experience for me. Nevertheless, the excitement and expectation traditionally associated with an oration were missing. Future conference organisers may consider a separate, specified time for the oration with directions to the orator to confine the presentation to a maximum of 30 minutes!

But there were irritants at the conference attributable, not to its organisers, but to several of the presenters. Label me an instructional Luddite if you will, but in at least two of the key-note papers and three of the concurrent papers I attended the medium – PowerPoint – was the message. In one keynote in particular it was used to display lists, lists and more lists! Future presenters please seek a balance – even encourage your audience to look at you on occasions! That said, Avenell's presentation was a model use of this technology – a comprehensive (and often humorous) review of international leadership research punctuated by a handful of potent, challenging visuals. (His introduction of Nintendo leadership should be added light-heartedly to the cornucopia of leadership labels above.)

And then, in several presentations, a foreign language was used! As a journal editor I fight a losing battle but to encounter so much jargon and linguistic invention continues to dishearten me. Why is it that so many in our field – and that field is educational leadership – are seduced by the jargon of others? Examples were disappointingly numerous: value-added, benchmarking, customer value, bottom line, think outside the box, incentivate (yes I know, even the Prime Minister is guilty of that one!), and so on. In one paper I encountered a profusion of invention and pleonasm: “a problematising approach to education and learning”, “to value add”, “a dialogical approach”, “re-imaging leadership”, “key episodes were surfaced”, “uses these to surface some emerging findings” [whatever became of “identified” or “revealed”?], “the visioning process”, and “mutualistic relationship”!

For more reasons than one, therefore, I enjoyed Bell's keynote presentation. I found particular satisfaction in his criticism of strategic planning – that leadership (?) ploy with which so many have been enamoured. It seems as though the present model is fundamentally flawed; it doesn't facilitate educational leadership at all!

With criticisms despatched I acknowledge the successes of the conference. The environment for the gathering was most comfortable and fully supportive of a conference of this magnitude. The organising committee fulfilled its responsibilities most adequately and the members of such were always prompt and courteous in responding to queries and requests. I was one of approximately 250 participants able to renew and make new acquaintances in a context that enabled and encouraged interaction, informality and friendship.

Each day's program was initiated by entertainment of some sort. Some outstanding performers – soloists, choir, dancers, players – reflected magnificently the experiences of their schools and the skills of their teachers. They also served as reminders that all deliberations on educational leadership have an ultimate focus – the well-being and development of students.

Sadly, such a focus is often overlooked in leadership studies. It was salutary, therefore, to note the centrality of students in Robinson's keynote presentation, an address which immediately followed a superb display of dance and drama.

Overall, the papers on offer provided a satisfactory range of choices for participants. It was noteworthy that all keynote presentations were well-attended; two of the concurrent papers I attended were standing-room only. A blend of local, national and international speakers must take credit for such.

Although leadership was the cornerstone of the conference, two closely associated themes kept appearing – change and values. Reflections on change in one form or another were a feature of several concurrent papers. Cardno's "Leading Change from Within" made direct linkage between the two concepts. The themes also found parallels in Theobald's presentation. Several of the keynote speakers explored the leadership-change nexus in a variety of contexts. Whereas the following aphorisms do not adequately reflect the purpose and content of their presentations, they do assist in providing moments of reflection for school leaders.

- Research findings alone do not provide solutions to problems: "Teachers will not learn from data unless they see themselves in it." (Robinson)
- Change may well be the prerogative of the adventurous: "It's impossible to discover new oceans without the courage to lose sight of the shore." (Casey)
- Change may readily be thwarted: "If you don't want change, write policies." (McCauley)

Even a cursory glance of contents pages of recent issues of the *Journal of Educational Administration* will reveal the increasing interest of scholars in the importance of values in determining the behaviours of school leaders. This has been reflected in papers at this conference. For example, McCauley, in his keynote, posed the question (that has particular relevance to relationships between educationists and politicians!): "How does an educational leader implement something he doesn't philosophically agree with?" (Part of the answer was to be "true to one's self" and to develop and enact one's "personal spirituality".) Waters addressed the pressures brought to bear on principals when confronted by ethical dilemmas and Cranston (with Ehrich and Kimber) noted that, until a principal enters a crisis, he or she is not confronted by values. Right versus wrong situations are less difficult to deal with by honest, ethical principals. But, at the heart of most choices a principal must make are right versus right conflicts in which the arguments for both sides are firmly rooted in core values. Small wonder that the principalship may be a lonely job!

As is customary at conferences of this stature, appearances were made by members of the political caste. The Minister for Education, The Hon. Rod Welford, spoke of his government's determination to make Queensland the Smart State. Accordingly, improvements (i.e. changes) in education were necessary. Obviously 2001-2005 have been challenging years and sufficient already to enable the Minister to state: "Education is much more complex in this century than it was in the past"! Although "aware of teachers' change fatigue" he indicated that the "roll-out" of new practices will continue. (Shades of automotive assembly lines! Add "rollout" to the strange language reported earlier.)

The Federal Minister for Education, Science and Training, The Hon. Dr Brendan Nelson, addressed several themes – and he did so in an impeccably self-deprecatory manner, completely at odds with his public/political persona. His call for teachers to become "more professional" (i.e. emulate his own medical association) seemed to take no account of the his-

tory of debate on his theme (and Ingvarsons's rejoinders the following morning did not add confidence to such a possibility: "The profession (of teaching) is defenceless"; "Nowadays everything has to be measured"). The Minister's suggestion that ACEL publicise its "heroes" in a book about our educational leaders is worthy of implementation, particularly since it was accompanied by an offer to contribute towards the cost of such. *Carpe diem*, ACEL!

I return to my opening remarks on an editor's interests. The conference presentations identified several areas worthy of follow-up. The Walker Oration injected the concept of hope into the analysis of leadership. Argued so well by Professor Keith Walker, the concept is worthy of wider dissemination. Although the two concepts may overlap in part, hope – more so than vision – may well provide a more fruitful approach to comprehending educational leadership. With permission from ACEL and the author the paper will be published in the *Journal of Educational Administration* in 2006 (Vol.44 No.5). Similarly, papers by Drysdale and Gurr – the International Successful School Leadership Project (which has also been reported in the *Journal*) – and Lacey and Gronn (resilience among aspiring principals applying for positions) are worthy of further development and publication. Both papers offer immense potential for understanding better the nature of the principalship and how to become a principal. Their significance will extend well beyond the confines of this conference.

Professional conferences serve many purposes. "New Waves of Leadership" has shown that ACEL is "alive and well".

Refereed Articles

The papers published in the *Refereed Articles* section of this ACEL Yearbook have been refereed to comply fully with the verification requirements for DEST E1 Conference Publications (full written paper refereed, Reference – 2004 *Higher Education Research Data Collection: Specifications for Preparing returns for the Collection of Data*, Higher Education Division, Department of Education, Science and Training, Canberra). Each paper was reviewed by two educational leaders/academics who hold a PhD or equivalent and whose work is acknowledged nationally and/or internationally. All author identification was removed from the papers prior to being forwarded to reviewers.

Sincere thanks is expressed to the following educators who donated their valuable time to review the papers for this section:

Dr Ralph Catts (*University of Stirling, Scotland*)

Professor Steve Dinham (*University of Wollongong*)

Dr Lisa Ehrich (*Queensland University of Technology*)

Professor Ian Falk (*Charles Darwin University*)

Associate Professor Peter Hobson (*University of New England*)

Professor Jack Keating (*University of Melbourne*)

Dr Suzanne Lunn (*Association of Independent Schools, Queensland*)

Dr Dan Riley (*University of New England*)

Associate Professor Erica Smith (*Charles Sturt University*)

Professor Richard Smith (*Central Queensland University*)

Dr Deidre Thian (*Queensland Studies Authority*)

Associate Professor Ross Thomas (*Editor, Journal of Educational Administration*)

Teacher Leadership in South East Queensland Anglican Schools

Mark D. Sly

There are significant challenges confronting schools today as they attempt to adequately prepare students for the twenty-first century. New times call for a new measure of leadership. “Thus a new paradigm of the teaching profession is needed, one that recognises both the capacity of the profession to provide desperately needed school revitalisation and the striking potential of teachers to provide new forms of leadership in schools and communities” (Crowther, Kaagan, Ferguson & Hann, 2002, p. 3).

As a principal in a south east Queensland Anglican school, I have been intrigued by the fact that some teachers naturally assume a leadership role amongst their peers through their regular classroom teaching, while others allocated positions of responsibility, or formal, out-of-class roles may not be as effective in their leadership. As a foundation principal, I have been driven by a pragmatic concern for effective leadership from teachers in a new, developing school¹.

I am in the midst of conducting research for a Doctor of Education degree at Australian Catholic University in Brisbane. The impetus for this study was a pragmatic concern for in-class teacher leadership. This is a qualitative study of teacher leadership in South-East Queensland Anglican schools. Which examines in-class teacher leadership from the perspective of 16 classroom teacher leaders from three Gold Coast Anglican schools, by exploring three questions:

1. What do in-class teacher leaders do?
2. What motivates their leadership?
3. What support do in-class teacher leaders need? What factors support or inhibit their work?

Context of the Research

An initial exploration of the contemporary educational context revealed both a national and systemic concern for teacher leadership.

A national concern for teacher leadership

The call for teacher leadership is situated within an on-going, public conversation about qual-

1. The researcher is the foundation principal of a Gold Coast Anglican school that commenced operations in 1997.

ity in education. Various national reports (Beazley, 1993; Dawkins, 1987; Karmel, 1985;) argue that quality education depends on quality teaching which depends on teachers having a set of professional standards, and taking on leadership roles within their schools. The Commonwealth Government report *Teachers for the 21st Century*, recommended the introduction of funding initiatives to raise standards of school education and to maximise student learning outcomes, by improving teacher skills and status, and supporting principals in developing school leadership teams (DEST, 2000, p. 8-9).

A Commonwealth Government-funded research project conducted by the Australian College of Educators (ACE) in teacher standards, quality and professionalism, resulted in the National Statement from the Teaching Profession on Teacher Standards, Quality and Professionalism, which was released in May 2003. This report identified common and agreed understandings about professional teaching standards and their relationship to teacher quality and teacher professionalism (ACE, 2003). It clearly stated that there was a need for teachers to demonstrate their leadership by driving the standards debate.

Further to this, the Commonwealth Government established the National Institute for Quality Teaching and School Leadership (NIQTSL) in June 2004, with the aim of raising the status, quality and professionalism of teachers and school leaders throughout Australia.

A systemic concern for teacher leadership

This broad understanding of school leadership is also being considered in the Anglican Schools system². In 2002 the Anglican Schools Commission (ASC) created a Leadership Development Standing Committee made up of employees of various schools. The Leadership Development Standing Committee is chaired by a principal, but the majority of members are teachers from a range of Anglican schools. The aim of this committee is:

To identify, develop and strengthen leadership in our schools: leadership that enables our schools to create learning environments that generate high quality outcomes for our students, and the development and retention of talented, committed teachers and support staff. (ASC, 2004)

This leadership development experience is promoted amongst newly-appointed positional leaders (teaching and non-teaching); experienced positional leaders (teaching and non-teaching); aspiring positional leaders; potential leaders/non-positional 'parallel leaders'; chaplains; members of governing bodies; and students have been identified as a possible future target group.

It is clear that leadership in Anglican schools is being seen increasingly as more than just the domain of the principal. At this stage however, there is no formal policy for leadership in Anglican schools and little is known about teacher leadership in action in schools from the perspective of teachers.

The Research Problem

Despite the growing call both nationally and systemically for teacher leadership, this policy

2. In Queensland there are 25 Anglican schools. These schools operate autonomously but are connected by an Anglican ethos statement. The schools all belong to the Anglican Schools Commission (ASC), which operates a collegial federation.

direction is not supported by research. The few studies that do involve teacher leadership reveal little about the in-class teacher leaders; rather they tend to focus on principal leadership or ‘positional’ leadership roles. In addition, researchers tend to describe what they see and perceive as leadership from the external perspective of participant observation and tend to ignore the ‘voice’ of the classroom teacher.

Significance of the Research

Exploring what is going on with teachers in the classroom, and how they feel about their practice, provides an insight into the motivation behind teacher leadership. The teaching profession is the centrepiece of the emerging knowledge society, and many teachers possess the leadership skills previously untapped, that could transform schools and society (Crowther et al. 2002). Through by monitoring the feelings of teachers as they practices their craft, teacher efficacy and professionalism may be enhanced and a greater understanding of teacher leadership emerge, as the policy and practice becomes better informed.

Research Questions

Research to date has focused on the out-of-class, positional or formal teacher leaders at the expense of in-class or informal teacher leaders. This research study seeks to develop a more informed, sophisticated understanding of in-class or informal teacher leadership by investigating the behaviour, motivation and support of in-class teacher leaders in South East Queensland Anglican schools. In particular, this research study seeks to address three questions:

1. What do in-class teacher leaders do?
2. What motivates their leadership?
3. What support do in-class teacher leaders need? What factors support or inhibit their work?

Research Methodology

A case study methodology has been employed. This case study is a ‘bounded system’ (Stake, 1994), hence the study makes no claims to draw conclusions beyond its own operation. Despite these limitations, a case study offers the ideal vehicle for this study to examine the phenomenon of teacher leadership as it exists in the classroom. Not only can a rich ‘thick’ description of the phenomenon be articulated, but the researcher and participants have the opportunity to gain greater understanding of the implications of teacher leadership in this setting, and its role in promoting leadership in schools.

Participants

Three Anglican schools from South-East Queensland have been used in this case study. The selection of participants used non-probabilistic, purposeful sampling (Patton, 1990; Merriam, 1998).

The participants were selected on the basis of the following criteria:

- Viewed classroom teaching as their primary, full time responsibility.
- Were recognised as teacher leaders in their school communities.

- Available for interaction with the researcher.
- Consented to interviews and possible observation on site.
- Had a genuine desire to engage in leadership activities within their school.

Five teachers from each school (six from one) were selected. This size sample ensured an “adequate number of participants” (Merriam, 1998, p. 64) were engaged to explore the research problem from a variety of perspectives.

Data Collection Strategies

In line with the orchestrating framework of a case study, the design involved two stages of research: an ‘exploration stage’ and an ‘inspection’ stage (Charon, 2001).

Exploration stage

The exploration stage was designed to glean an understanding about the practices of the participants and the environment in which they work. Stage one of the data collection involved the use of “Experience Sampling Method (ESM)” (Forgasz & Leder, 2003). This refers to a technique of gathering data that is designed to allow people to document their thoughts, feelings and actions within the context of everyday life. ESM was used to gather data from 16 teachers across three South-East Queensland Anglican schools. “The ESM offers a sustained method for capturing not only an individual’s activities over an extended period of time, but also that individual’s reactions to, and beliefs about, those activities” (p. 2). ESM allowed the use of modern technology to gain real insight into the “motivations, attitudes and beliefs associated with an individual’s behaviours, through extensive monitoring of activities over an extended period of time” (p. 3).

In adopting the Experiencing Sampling Method this research used mobile telephone technology to communicate with the participants. Participants were sent a SMS text message five times a day for one week between the hours of 7.30am and 10.00pm weekdays, and between 9.00am and 10.00pm on weekend days. The times of each message varied each day but generally remained within a two-hour time slot. The messages were sent simultaneously to all 16 participant’s mobile telephones via a single email message. Upon receipt of each SMS message, participants were asked to complete an Experience Sampling Form (ESF) immediately or at least within 30 minutes of receiving the SMS. This form asked participants: What are they doing?, Why are they doing it? and How are they feeling? The participants were able to complete the ESF anonymously, recording their feelings as they conducted different activities associated with their teaching and leadership.

Inspection stage

During the inspection stage the data was fine tuned through specific questioning during focus group interviews. Interviewing is probably the most common form of data-gathering in qualitative studies in education (Merriam, 1998). Three different focus groups (one from each of the three schools) met to discuss the research questions in a non-threatening environment. The purpose of the focus group interviews was to collect quality data and gain an insight into the participants’ perceptions, attitudes, feelings and ideas, while encouraging group interactions (Wilson, 1997). The synergy of the group added depth and insight to the research questions

(Anderson, 1990). The focus group interviews were tape recorded to capture the rich data. Transcriptions of the conversations were sent to the participants for verification.

Analysis of Data

The results of the study to date have revealed some interesting trends. The participants were supplied with 35 ESF data sheets on which they were to answer three questions each time they completed an ESF:

1. What are you doing?
2. Why are you doing it?
3. How are you feeling about what you are doing?

What are you doing?

A wide variety of participant activity was recorded during the period of monitoring, as would be expected. The preliminary investigation of the ESF data sheets enabled the activities to be grouped into ten different categories. Table 1 displays examples of the specific activities and the overarching categories and the amount of time spent on each activity.

Table 1: Categories for teacher activities

Examples of Specific Activity	Category	Time
Classroom teaching, supervision, extra tuition	Teaching/Instruction	15.0%
Lesson preparation, marking, correction, planning, reporting, syllabus writing	Preparation/Correction/Reporting	14.0%
Desk administration, travel, class administration, assembly	Administration/Routine matters	12.0%
TV, outing, exercise, reading	Leisure activities	18.7%
Sport training, self-study, professional development, co-curricular activities (fundraising, debating etc)	Extra curricular activities	10.0%
Meal preparation, eating, cleaning, shopping, resting, preparation with children, gardening, medical	Home duties	19.6%
Social, meetings	Staff related activities	6.0%
Talking to students, talking to parents	Interviewing	2.4%
Travel to and from excursions, activities with students	Excursions	0.7%
Sick, in bed during day, at doctor	Unwell	1.6%

These data give a very clear picture of the activities that occupy the participants during the day. It is interesting to note that less than 35% of messages were sent during what might be called ‘regular’ school hours (8.30am-3.30pm), yet approximately 60% of all activities recorded during the study were school-work related. It is clear that the participants are engaged in their work as teachers and leaders well beyond their hours of contact with students.

In order to determine which activities could be classified as ‘teacher leadership’, it was necessary to define what was meant by the term teacher leadership. “Teacher leadership is a very complex, very subtle and very challenging concept” (Crowther, 2004), and as such has been difficult to define with any agreement. A review of the literature enabled the matching of teacher leader abilities and actual participant activities in Table 2.

Table 2: Examples of participant activities as teacher leadership

Literature-recorded teacher leader abilities	Participant activities (Participant code)
Understand politics and systems within the school	Working on leadership issues talk to staff (N651, N621, N251); preparing church youth service to strengthen school/church relationship (I621), Organising fund raising events/raffles/stationery donated to Africa (A241, A211, A321, A431)
Nurture relationships by supporting the work of colleagues	Meeting with teachers to share ideas, focus on curriculum/pastoral needs of students (G141), liaising with colleague about work programme – shared understanding (J721), meeting with English teachers-professional sharing (G241)
Engage in professional development	Organising IT workshop for colleagues (D221), inservice for staff on Dreamweaver (D141), running inservice for parents on using the internet (P751)
Support colleagues through change	Team teaching (G111), planning meeting for Year 9 technology (A141)
Challenge status quo by leading change to improve learning for their students	Using Bloom's taxonomy/multiple intelligences to deepen student comprehension and knowledge (B321), teaching sex education as part of a self-initiated pastoral care programme (M721)

By responding to the SMS messages and completing ESFs, participants were able to provide a clear picture of the type of activities in which they were engaged during the study. In essence the vision of teacher leaders' work became clearer by looking carefully at the activities of the participants.

Why are you doing it?

Participants' responses on the data sheets revealed seven broad motivation categories: to assist students; to assist colleagues; to assist parents; satisfaction; routine; own development; and my job. The focus group interviews led to more specific motivation being articulated by the participants; such as enjoyment, adding value to student learning experiences, increased spread of skills, a supporting colleagues, sense of satisfaction, pride in work, mutual trust / respect, and strong values/morals. The responses are consistent across the three schools in this study, and suggest that teacher leadership is being practised for similar reasons.

How are you feeling about what you are doing?

During the focus group interviews participants were asked to discuss their feelings in relation to their teacher leadership. The discussions were overwhelmingly positive, and participants reported the following emotions in describing how they felt about their teacher leadership: satisfaction, enjoyment, support, pride, respect, admiration, intrinsically motivated, feeling good, love it, and passion.

What Factors Supported or Inhibited their Work?

Focus group interviews were used to seek further clarification about the factors that supported

and inhibited teacher leadership in the three schools, as part of stage two data gathering. Not surprisingly the focus group interviews revealed similar requirements for all participants in their teacher leadership practices. There was strong agreement amongst participants within and across schools about the factors that enabled them to operate as teacher leaders. Factors supporting leadership included: parent support; colleague support – teaching teams, emotional support from family, friends, colleagues, administration, students; professional network beyond school; rapport with students; relevant professional development; and time with colleagues. Factors inhibiting leadership included: time; poor communication; fatigue; lack of direction from senior administrators; ineffective professional development; lack of access to resources; and lack of belief in oneself.

Major Themes

Although the data analysis is incomplete at this stage of the research, some significant themes are emerging:

Professional development is very important to teachers. It can enhance or inhibit teacher leadership. There is a need for teachers to have some input into their own professional development. This provides a feeling of great achievement and satisfaction. A combination of formal and informal professional development? enables teachers to learn alongside their colleagues and administrators, and from each other.

Positive relationships with colleagues, students, parents and administration are crucial to supporting teacher leadership. These relationships are built on mutual trust and respect. The relationships and interactions within a school on a daily basis are complex and multidirectional, and assist with or hinder the development of in-class teacher leadership.

Communication that is clear and concise supports the development of strong teacher leadership in schools. The sharing of resources, collegial planning and peer mentoring have a strong bearing on the success of teacher leadership in schools.

Time to plan together, write curriculum together, talk to each other generally about teaching and work on problems or new initiatives in the school are seen as essential for teacher leadership to be most effective (Beachum & Dentith, 2004). Time constraints are the greatest inhibitor of teacher leadership. In order to be effective teacher leaders, classroom practitioners take on more than they are employed to do. Inevitably the time required to complete these tasks is significant and generally has an impact on their own lifestyle rather than impinging on their teaching. The end result of insufficient time for teacher leadership activities is a lack of balance in the life of teacher leaders. This can lead to problems of burn out and ill health.

Conclusion

This study has examined teacher leadership from the perspective of 16 in-class teacher leaders in South East Queensland Anglican schools. Monitoring their daily activity through the experience sampling method has enabled classroom practitioners to reveal what they do, why they are doing it and how they feel about it. The voices of the teachers clearly articulate behaviour that the literature supports as teacher leadership. It is encouraging that teachers see themselves as leaders involved in leadership activities within their classrooms. The motivation for teacher

leadership is primarily intrinsic, with passion, enthusiasm, respect, a desire to do the best for their students and colleagues, with a strong sense of achievement being paramount. Relevant professional development, strong interpersonal relationships, clear communication, and adequate time, are felt to be crucial for the success of teacher leadership.

To conclude this study further comparison of the data with the literature is required before it can be claimed with certainty that teacher leadership is being practised in South East Queensland Anglican schools. The likelihood however, is looking very positive.

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Values-based Leadership and Strategic Planning in a State Special School

Charmaine Driver

Shared values provide the glue that bonds people together.
(Thomas Sergiovanni, 1995)

Values-based planning and leadership is a coordinated attempt to match rhetoric to reality. A key focus of the school studied was life quality, relationships, empowerment and a sense of belonging for all members of the school community, alongside coordinated planning and action to enhance student outcomes, enhance staff confidence and capacity, and promote horizontal, values-based leadership and succession planning, as significant features of school culture.

Darling Point Special School established a Council as part of the Education Queensland Leading Schools agenda in 1998. Within strategic review and development processes, an overt focus on shared values and beliefs achieved confirmation of the school's vision and strategic direction. Ongoing processes and strategic development initiatives have continued to explore and enhance values-based leadership and decision-making across the school community. Icons – in this case, geese flying in echelon have been adopted as reminders of the school's values-based culture and processes. Results have included a revitalised school culture, interdependent teamwork, shared decision-making, positive school climate, collaborative curriculum development, registered training organisation status, embedded positive behaviour support technologies at a schoolwide level, and excellent student and workforce outcomes.

Definitions

Values-based planning

Values-based planning is a qualitative process which focuses on values, not behavioural goals. To succeed, team engagement with the process is essential. The essential stages are: a focus on success, clarification of shared values, consideration of alternatives, and action planning.

Values-based strategic planning, leadership and decision-making define and describe the beliefs and values which guide schools' planning, actions, activities and relationships. This enables all stakeholders to see 'what could be' and 'what should be' and to work out what they could and are prepared to contribute towards achieving the things which the school com-

munity values. As a result, teams are able to align local strategic and operational planning, decision-making and behaviour, to systemic and local negotiated and agreed values.

Once a school community understands and endorses the set of agreed values, then all members of this community are able to understand, explain and further develop the roles that various people play in making the school a great place to work. Intrinsically, values-based planning and decision-making provide a strong platform on which to establish an integrated and strategic system as the basis for partnerships amongst all members of the school's community.

Values

The values fabric of any organisation is made up of attitudes, political preferences and beliefs. Values are *the enduring beliefs about the desirability of some means or process*. "Once internalised, a value becomes a standard or criterion for guiding actions and thought, for influencing the actions and thoughts of others, for judging oneself and others" (Leithwood, 1992). Value systems are inseparable from theory. They are formal and informal, and whilst often not explicitly documented, can be read in the way things are done, issues are resolved, and decisions are made.

Shared values provide a firm basis for forming and confirming relationships, helping people to make meaning out of what happens in the organisation, facilitating organisational communication and analyzing organisational perceptions. *Values unify the moral order of the school, enabling all members of the wider school community to derive direction, meaning and significance* (Sergiovanni, 1995). By mapping an individual school's values, a foundation for strategic intent is identified. Basically, Once a school has an agreed set of values and operating principles, then whenever a decision is made, it can be validated against those benchmarks.

Once agreed, values provide school leaders and the wider school community with a sound basis for decision-making, the development of educational curriculum and programs, and accountability for the range of actions undertaken in a school. These values also become a yardstick for guiding and monitoring actions, progress, relationships and behaviour.

In the commercial world, leaders engage in a top-down imposition of values. Values-based decision-making has been used in Queensland schools associated with strategic planning and review cycles since the late 1980s when Collaborative School Reviews were initiated. Well-anchored values become well-grounded and established norms. Specified beliefs and assumptions provide schools with *a standard for determining what is good and bad, effective and ineffective, and acceptable and unacceptable. Using a values-based approach ... provides a school with a set of indicators that defines its educational and moral health* where leaders guide, provide, enable, and support to promote involvement, responses, and life quality (Sergiovanni, 1995, p. 7).

Introduction

Professionals in modern times live and work in societies impacted upon by increasing fragmentation of values and social networks, and escalating pace, complexity and bureaucratisation of public service roles. There are, on the one hand, signs and symptoms of an emerging sense of professional dissatisfaction and alienation, and on the other, the increased desire of many professionals and organisations to find ways to question the nature, purposes, processes, and outcomes of their work. The challenge for school leaders in this environmental context is to revitalise ownership, morale and professional practice whilst educational jurisdictions

place an increasing emphasis on accountabilities, ethics, legislative frameworks and litigation.

Increasingly, schools are moving towards partnership relationships, knowledge creation, and moral responsibilities within ethical and informed best practice and where local shared values drive practice at least as much as external policy constraints. By fostering values-based planning, leadership and decision-making, organisations promote alignment between conviction, action, belief and behaviour (Stanley, 2003, p. 118).

Strategic Planning

Strategic planning processes that rely on external parameters, policies and rules usually rely on goals and objectives identified behaviourally; a definition of what is to be accomplished; the selection of the best strategies to use; designing, developing and implementing the best ways for goal achievement; and an evaluation of what was done and what is needed to achieve the goals and objectives. This approach seems neat and tidy, albeit based on gap-analysis to define how schools can overcome problems, or redress costs or inefficiencies. Basically, it runs the risk of relying on deficit thinking and rules. Many teachers and school communities do not engage enthusiastically with these strategic processes, perceiving them as bureaucratic and external to the core work of schools. This leaves small groups of compliant players and those people who enjoy documenting strategies and plans to work through processes to meet systemic obligations. Many teachers report that find these processes and products irrelevant and unacceptable, and in many schools, there is considerable evidence that nothing really changes for students, families, staff, schools or the system, despite engagement with and documentation of plans and publication of glossy reports.

Values-based or people-focused strategic planning and decision-making is a conscious attempt to engage the school's most valuable resource in deep and meaningful consideration of futures planning that acknowledges the school as a social creation. Values-based strategic planning records and analyses how the people who make up the school community can best work together to achieve the most worthwhile educational outcomes for the school community (Kaufman, 1992). This type of strategic planning achieves a match between messages and messenger, deep convictions are acknowledged and accepted, even if not agreed with by all stakeholders, and personal accountability is emphasised. Power is in the message not the person.

Collaboration, participation, engagement and involvement in a trusting, risk-free environment are essential for schools to work effectively for the good of all members of their communities. Planning processes and products must be simple enough to encourage all community members to participate, reflect the uniqueness and needs of the particular school, and acknowledge systemic mandates but integrate local priorities and perspectives. At times, it becomes adaptive for leaders to provoke anxiety that leads to creative tensions and lateral problem-solving. Because of the distaste that some people have for anxiety at any level, care must be taken to ensure choice, support, encouragement and a threat-free environment where members are assisted to understand that there is nothing to fear. Within the parameters of values-based planning, on the one hand, anxiety is at times deliberately created, and on the other, the school community members are protected and supported to prevent debilitation through too much stress.

School value systems need to include and reflect systemic values so as to ensure integration and avoid isolation from the necessary influences of government and the system. Hence, the rationale and application to policy and guidelines of stated systemic values and associated legislation needs to be clearly understood and explained as part of the work with school communities to negotiate shared school values that will form the cornerstone of all aspects of the school's processes and work.

Theoretical Models Aligned to Values-based Strategic Planning in the School Context

The work of the case study school reflects two values-based planning models.

1. The empowerment model

The empowerment model (Appleton & Minchcom, 1991) emphasises the right of choice of parents and carers as consumers regarding choice of service and level of engagement, recognition of family as a system, and recognition of the family's social network. The school described here recognises the intrinsic worth, power, value, and responsibility of the family unit within the educative process. Collaborative planning towards school and student educational goals actively involves parent input and shared decision-making.

2. The negotiating model

The negotiating model (Dale, 1996) focuses on negotiation as the significant driver in fostering open, collaborative relationships amongst family members and professionals to achieve outcomes with which everyone is happy. This model emphasises joint decision-making, resolution of differences, shared perspective, and partnership as a multi-level concept.

Six key behaviours were adopted early in the first values-based strategic planning cycle to guide the various phases of collaborative planning and to inform the school's work with team members, students, families and other agencies. These behaviours continue to support strategic and operational planning and development processes and guide relationships: be honest with each other; be willing to learn from each other; treat each other with respect and dignity; be willing to admit make mistakes; work collaboratively and cooperatively; and be yourself (Carpenter, 2003).

By adopting a values-based approach with components of both the empowerment and negotiating models, this school has progressed a range of meaningful, relationships-based strategies that endorse the talents, expertise, competence and experience of the teaching team in partnership with parents, families and the wider community. This values-based model has provided the school with:

- a democratic and inclusive relational framework for coordinated and accountable review, analysis, planning and decision-making processes to achieve systemic, local community and school goals;
- guidelines and frameworks for mutually empowering relationships and shared, non-hierarchical (horizontal) leadership; and
- opportunities to emphasise equality of effort and engagement within a supportive environment whilst minimising role or seniority.

A Values-based Framework for Strategic Thinking in a School Community

Strategic plans are of little use to school communities unless those whose lives the plan impacts upon have the opportunity and support to engage with the processes used to develop the plan and are able to understand and relate to the goals and targets incorporated in it. If the school community is motivated to decentralise decision-making, maximise staff and community input, re-think the schools structures, and empower people to talk about their needs and values, then the strategic development process is useful.

The following eight stages describe the processes used to achieve a values-based school Strategic Plan / Partnership Agreement for Darling Point Special School.

Stage 1. Personal reflection. This stage engaged participants in individual reflection in group sessions and individually over a period of time.

Stage 2. Clarification of shared values. This stage involved all staff and interested community members. This phase included mapping what the school stands for and what it should achieve and comparison and rationalisation of school and systemic values

Stage 3. Consideration of critical issues. This stage included consideration of system mandates, directions, community politics, and possible policy changes that together with local requirements, might impact on the school's intentions.

Stage 4. Development/refinement of the vision statement.

Stage 5. Development/refinement of the statement of purpose. This statement summarised the collated values of the school.

Stage 6. Confirmation of the key result areas for the strategic plan.

Stage 7. Action planning and consideration of resource implications. Focus sheets were used to explain how the key result areas would be achieved, the strategies that would be required, the performance indicators, key tasks and resources that would be needed.

Stage 8. Compilation and confirmation of the strategic plan.

Strategic management planning and tasks require understanding of the environmental issues, values, cultures and structures within the school. Some questions that were posed to assist staff, parents, carers and members of the wider school community to understand the school's structures and its culture include:

- What are the common myths and legends told to new staff during their informal induction?
- Who are the heroes and heroines in the school and who were they if they have left?
- What events are remembered with humour or reverence?
- Who are the change agents, the important people who lead change?
- What types of metaphors or symbols are used in day-to-day language to describe the school's processes?
- How do school leaders, other staff members, parents, carers, and students describe their school to others?
- What is acceptable behaviour in various school contexts?

The aspects of school review and strategic planning involved values, staff histories and

collective wisdom, motivators for staff to be enthusiastically involved with their work, charts of influence, and a definition and documentation of the school's critical success factors.

At each stage of the process, participants were encouraged to think about these issues:

- What happens in our classrooms? What do we value? Want to replace? Want to expand?
- Who do we have to do the necessary work and what development and support do they require? Which other people do we need to enroll in our work?
- What management and leadership practices do we have? Which practices do we want to foster and expand especially regarding school culture development and succession planning? Which practices do we want to guard against?
- What community partnerships and relationships can we promote and for what purpose?
- What facilities and physical resources do we have at our disposal and which ones do we need to enhance and for what purpose?
- What financial resources can we access to assist school development generally and specifically?
- What are the risks that we need to acknowledge and manage?

Effective schools pay equal attention to both strategic and operational tasks and encourage all staff members, parents, and community members to actively engage at both levels. Often, operational tasks can be used as the platform to encourage strategic thinking. This school community continues to find that values-based planning and decision-making processes promote shared leadership and a relationship-based culture. There is commitment, motivation, mentoring, coaching and support for values-based decision making at all levels at all times.

Guiding Principles

Our school adopted the following guiding principles during its consideration of shared values and beliefs and subsequent strategic planning. An agreed framework for values-based leadership and decision-making has been achieved. Our guiding principles are:

1. The future lies with the learner so the plan must be learner-centred;
2. Place a greater value on learner needs than organisational needs;
3. Emphasise relationships;
4. Align values with practices;
5. Examine measures of quality and success;
6. Continually re-evaluate the plan to stay on track and achieve the vision;
7. Focus on shared values to foster participation, confidence risk-taking;
8. Values are the tool for guiding thinking and decision-making.

Values Integrated into Practice

The school community considered the features of values-based compared to rule-driven practice. The schema for the most recent values-based strategic review and planning processes is provided as Appendix 1. A comparison of behaviours demonstrated through values-based, compared to rule-driven, practice, and which have been validated through our experiences, is provided in Appendix 2. Essentially, school community feedback defines the relevance of values for behaviours within the school community and for our work. The features identified as aspects to be promoted and minimised are described below.

Essentially, the following collation of desirable and unhelpful behaviours has become the basis for informing practice at all levels of school organisation and culture.

We promote:	We minimise:
Supportive climate with care, nurturing and just enough challenge	Intimidation
Active, reflective listening	Arrogance
Opportunities for flexible work and consensus decision-making	Erosion of self esteem
Empowering leadership and management structures	Segregation
Acceptance of differences amongst people	Power
Respectful confronting of problems	Factions
Teams, cooperation in good faith, sense of responsibility	Distrust
Professional conversations, active reflective listening, warm interactions	Judgment
Cutting edge practices and achievement	Put-downs
Focus on strengths, confidence, interests	Disrespect
Humour and laughter	Ego-centric reactions
Everyone being informed	Impatience
A feeling of family in the workplace	Threats
Capacity for unfettered work, decision-making and risk-taking	Rules
Professional and administrative support, opportunities to ask for help, reassurance, mentoring and coaching	Need to seek permission
Time for reflection, planning, doing, evaluating and re-formulating	Rush and hurry
Freedom to express concerns and have them acknowledged	One way of doing things

Outcomes

Workforce capacity

Values-based leadership continues to achieve high levels of staff and parent satisfaction with in the school. Teachers, therapists, teacher aides and ancillary personnel voluntarily adopt managerial and mentoring roles within the school. Decisions are made collaboratively, and support and engagement with school, district and systemic strategic agenda are high. Staff recognise their levels of expertise and talent and network with colleagues in professional sharing. Engagement, commitment, focus and risk-taking are enhanced.

Differentiated processes

Values-based leadership has empowered the school community to collaborate to solve problems, design and conduct research projects, move forward to higher levels of risk-taking, and adopt and adjust evidence-based practices for whole school implementation in areas such as:

- whole school positive behaviour support,
- goal attainment scaling for tracking and evaluating student learning achievement and outcomes, and efficacy of teaching interventions and curriculum programs,

- restructure of the whole school aligned with the three phases of learning – early, middle and senior (as per the Education and Training and Reforms agenda),
- curriculum-based staffing structures instead of the traditional class-teacher arrangements typically employed in special schools,
- international internship programs in partnership with agencies and universities in Japan and Denmark,
- registered training organisation status,
- inclusive education opportunities for students to participate in shared learning placements with local government and non-government schools so that students are able to benefit from the specialist programs and approaches used at the special school, as well as social and relationship opportunities with age peers from their local neighbourhood,
- school-based traineeships and apprenticeships.

The school strengths were identified as:

<ul style="list-style-type: none"> • the school's culture, • program development and consolidation, • willing engagement and interest, • enthusiastic, committed relationships and approaches to work, • creative thought, • a futures orientation, • individualised and group work, • supported risk-taking and initiative, • efficient, effective, shared management, 	<ul style="list-style-type: none"> • authentic monitoring, feedback and reporting, • encouragement, support, reinforcement and positive 'stroking' at all levels, • support to give and receive constructive feedback and to act on it for the good of the school and the individuals concerned, • high morale, • teams and networks, • family atmosphere.
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The opportunities for further growth were identified as:

<ul style="list-style-type: none"> • parent engagement with learning and teaching programs, • parent and carer support groups that involve a greater proportions of families, • parent and carer skills development and empowerment, • wrap around planning, • formalised business partnerships, • formalised initiatives to enhance student post school options and employment, • cooperation with local schools, • partnerships with medical and care professionals, 	<ul style="list-style-type: none"> • goal attainment scales linked to outcomes statements within KLA syllabuses, • student plans more closely integrated with curriculum outcomes, • research projects, • coping skills curriculum, • expanded inclusive technologies, • integrated therapy programs, • can-do approaches, • high order thinking activities, • coaching and mentoring, continued development of teams, • partnerships with private sector agencies.
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Comparison Between Values-based and Traditional Processes in Schools

Using similar processes, the school team achieved a comparative analysis of values-based, compared to traditional, processes:

Curriculum

Traditional	Values-based
<ul style="list-style-type: none"> • All students have the same needs • An external body determines the curriculum • There are pre-determined steps to meet pre-determined goals • Curriculum is the same in all schools, implying that 'kids are the same the world over' 	<ul style="list-style-type: none"> • Student needs drive the curriculum • Local community needs provide a focus for the curriculum • Each student is unique • Individuals – background, experience, expertise, expectations, settings are all unique • Make use of the setting, expertise etc.

Planning

Traditional	Values-based
<ul style="list-style-type: none"> • Teachers focus on the work plan and/or syllabus • Split the plan and/or syllabus to fill the year • Consider the content to meet externally prescribed outcomes • Plan curriculum irrespective of local community situation and values 	<ul style="list-style-type: none"> • Planning focuses on the process not the product • Planning emphasises the needs of students – context, learning style, strengths, needs • Planning includes flexibility to accommodate student needs • Planning allows for how the lesson develops as it goes along • Planning recognises that there is not always a pre-determined outcome

Assessment and reporting

Traditional	Values-based
<ul style="list-style-type: none"> • Tests • Assignments • All students do the same assessment task the same way at the same time • Standardised reporting format against pre-determined criteria • Reporting against the norm-curve 	<ul style="list-style-type: none"> • Different assessment tasks at various times in various styles • Ongoing assessment • Individualised reporting • Anecdotal, goal focused assessment and reporting • Assessment and reporting towards outcomes • Assessment and reporting is realistic, authentic and achievable

Teaching

Traditional	Values-based
<ul style="list-style-type: none"> • Chalk and talk • Teacher as instructor • Teacher is ‘in charge’ • Teacher is responsible for student learning • Year level emphasis on strategies and content • Material is at year level and students are expected to be able to cope with strategies at their chronological level 	<ul style="list-style-type: none"> • A wide variety of experiences and strategies • Teacher as facilitator • Students are responsible for their own learning • Teacher is responsible for creating a nurturing, motivating environment • Teacher uses strategies and decision-making processes consistent with agreed school values • Teachers emphasise teaching students ‘how to learn’ • Teaching processes emphasise self-knowledge

Behaviour support

Traditional	Values-based
<ul style="list-style-type: none"> • Considers that the student is the problem • Attempts to ‘fix’ the student • Extinguishes problem behaviours, • Sanctions aversives • Takes days or weeks to ‘fix’ a single problem behaviour • Implemented by behavioural specialists often in atypical settings • Often resorted to when systems are inflexible 	<ul style="list-style-type: none"> • Views systems, settings and skill deficiencies as ‘the problem’ • Attempts to ‘fix’ the systems, settings, and skills • Creates new contacts, experiences, relationships and skills • Sanctions positive approaches • Takes years to create responsive systems, personalised settings and appropriate empowering skills • Implemented by a dynamic and collaborative team using person-centered, values-based planning in typical settings • Flourishes when systems are flexible

Specific Outcomes and Achievements

Specific outcomes and achievements attributable to values-based strategic and operational planning, leadership and decision-making at the school include:

- school expertise and practice recognised by peers and validated through quantitative and qualitative evidence in areas such as authentic, inclusive and disability-specific educational practice amongst the educational team at the school;
- embedded positive behaviour support technologies across the school;

- reducing levels of staff absence (10.1 days per 100 work days in 1997, 3.16 days per 100 work days in 2003, 1.87 days per 100 work days until end August 2005);
- high levels of parent/carer and staff satisfaction;
- 100% parent/carer participation, and 100% student participation where meaningful, in individual education and senior education and training planning processes;
- increased student enrolments;
- improvements in the proportion of students involved in enterprise programs directed towards vocational education and post-school options;
- aggregated student achievement towards priority and general curriculum goals has progressively increased since 1998;
- improvements in whole-school and individual student behaviour outcomes;
- teacher self-and other-report evidence on Autism Quality Program indicators and Elementary Programming Quality Practices, Index for Inclusion, Severe and Multiple Quality Program Indicators that most indicators are always met, and the remainder are nearly always met by all school teams; and
- staff and council rating of leadership, focus and school culture indicators ranged from 95% to 100% on all indicators.

Conclusion

The experiences with values-based strategic planning, leadership and decision-making at this school endorse the proposals and findings in the literature regarding school development and culture, as well as outcomes for individual students, staff members and families. School climate is enhanced, relationships are fostered, and workforce capacity and student learning and life quality outcomes are improved.

Values-based leadership, strategic planning and operational decision-making provide adaptive and straightforward processes to assist school leaders and communities to enjoy the challenges that confront them, make headway towards goals and targets, and foster horizontal structures and nurturing cultures where individuals are valued and respected and the future is better assured for all people involved within the school community. Partnerships are fostered and resources are able to efficiently and effectively used.

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The International Successful School Principalship Project (ISSPP): Comparison across country case studies

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The position of principal is an enduring feature of schools. Any attempts to have structures that do not include principals are resisted or are only evident in small, often community-based schools. In some areas there is a relatively low level of importance attached to the principal role (for example, see Zhang and Ribbin's, 2003, description of principals from the prefecture of Chuxiong, in Yunnan province, China). There are also alternative school leadership arrangements, such as co-principalships in which two or more people share the principal role (see Court, 2002), or the sharing across all teachers in the College of Teachers as used in Steiner schools (Richards, 2005). Nevertheless, in most countries it is the principal who is regarded as the key educational leader and the one person in a school who has the most opportunity to exercise leadership. There is, however, considerable debate concerning the impact that principals have on schools, especially in terms of student learning outcomes (Hallinger & Heck, 1996; Mulford, 1996).

Despite these concerns about the impact of school leadership, the fascination with this phenomenon has ensured that there has been considerable research focus on successful school leadership. Leithwood and Riehl (2003) have provided a comprehensive review of knowledge about successful school leadership based upon academically sound quantitative research studies, multiple case studies and systematic single case studies. Leadership was defined as 'those persons, occupying various roles in the school, who work with others to provide direction and who exert influence on persons and things in order to achieve the school's goals' (Leithwood & Riehl, 2003, p. 9). This definition, and their review, included people in schools other than principals. Nevertheless, the bulk of the research reviewed was concerned with principal leadership. Leithwood and Riehl described six claims that could be defended by the research evidence and which are generalisable to most school contexts. These are described briefly below:

1. Successful school leadership makes important contributions to the improvement of student learning.
2. The primary sources of successful leadership in schools are principal and teachers.

3. In addition to principals and teachers, leadership is, and ought to be, distributed to others in the school and school community.
4. A core set of 'basic' leadership practices is valuable in almost all contexts: setting directions; developing people; redesigning the organisation.
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 including market, decentralisation, professional and management accountability.
6. Many successful leaders in schools serving highly diverse student populations enact practices to promote school quality, equity, and social justice through: building powerful forms of teaching and learning; creating strong communities in school; nurturing the development of educational cultures in families; and, expanding the amount of students' social capital valued by the schools.

There are two important limitations to the review which this current research addresses: (1) most of research evidence was from North America or the United Kingdom; (2) in respect to principal leadership, the research typically relied on principals as the source of evidence.

The disregard for country context is worrying, as despite observations about the apparent homogenisation of world education, there remain important differences in how countries approach school education such as the degree of autonomy given to principals and schools (OECD, 2001). Expectations of the principal's role can vary widely and can sometimes even be seen to be contradictory (e.g. autonomy versus control). Yet despite these differences, there is often uniformity in how research is approached. An example is the use of narrow definitions of success for both schools and principals, with these typically constrained to student performance on external tests of literacy and numeracy.

The reliance on principals as the primary source of data about principal leadership limits our understanding. Findings from studies of student (Rudduck & Flutter, 2000), teacher (Berends, 2000; Silins & Mulford, 2002), and teacher, student, ancillary staff, governor and parent (Day et al., 2000) perspectives provide particularly rich sources of evidence about principal leadership. Whilst there is evidence that principal and teacher views on principal leadership are often congruent (Gurr, 1996, 2002), there is also evidence of difference, with school leaders shown to be consistently more optimistic about the effects of their leadership or efforts at school reform (McCall et al., 2001; Mulford et al., 2000, 2001). Reliance on principal evidence may not only be limiting, but it may lead to ill-founded conclusions.

In response to these concerns, the International Successful School Principalship Project has been instigated. This is a three-phase project involving eight countries (Australia, Canada, China, Denmark, England, Norway, Sweden, USA). The three phases consist of multiple-perspective case studies, surveys, and observational case studies. Thus, the ISSPP involves perspectives across several countries from Asia, North America, Europe and the Pacific, and contains the voices of students, parents, teachers and principals.

The first phase is now complete and an upcoming special issue of the *Journal of Educational Administration* is devoted to reporting upon 63 case studies from the countries. In a synthesis of the articles, Leithwood (2005) suggests that it is 'for individual researchers in the international project to take greater account of evidence and ideas from the work of their colleagues in other countries.' This paper attempts this by discussing evidence from the case studies. Following Leithwood's synthesis of the case studies the paper explores evidence for

the following themes:

- contextual differences between countries
- common features of leadership across the countries
- factors affecting successful leadership
- interventions affecting successful leadership
- conditions enhancing or diminishing leadership effects

Contextual differences between countries

Evidence reported from each country shows school leaders using practices in ways especially suited to their own school context set within the wider national context. The contextual differences that exist between the case studies fall under three broad headings: case study sites; the education system or structure within the country; and the government educational policy.

Case study sites

The case study schools differ both within countries and across countries in size, location, background history, stage of development, leadership structure (whether top down or team-centred), school-wide pedagogy, staff competence and professional disposition, student mix and resource need, and culture. The details of the study context for each of the seven countries (Canadian data is unavailable) now follows.

The English report concerns successful head teachers in ten ‘challenging’ public-owned schools where, upon entry, the majority of students were underachieving and where there existed relatively high levels of social deprivation indicated by both high levels of free school meals and by special education needs being well above national average (Day, 2005). The schools are urban or suburban, of varying size and consisting of one nursery/infant school, five primary schools and four comprehensive secondary schools, with three serving communities with a significant proportion of ethnic (Muslim) pupils.

The Danish report (Moos, Krejsler, Kofod, & Jensen, 2005) is of two contrasting schools – the North school, characterised as materially affluent with two to four children per upper middle class blended family – and the Islet school, with low income, high unemployment families with no academic background and increasing social problems. North is an affluent suburban school in a big city and Islet a poor rural school outside a small provincial town. Both schools have about 600 students and are designated as primary and lower secondary (7-16 year olds).

The USA report (Jacobson, Johnson, Ylimaki & Giles, 2005) is of seven ‘challenging’ schools in western New York state and includes five elementary (primary) schools, one middle school (grades 5-8) and one high (secondary) school (grades 9-12); one of the schools is explored in more detail in (Giles, Johnson, Brooks & Jacobson, 2005). All but one are high-need schools, reflected in the high percentage of students eligible for free or reduced-fee lunch. All schools have shown improved student performance since the arrival of the current principal. The schools vary in size from 400 to 900 students and in location from large urban, small city, first-ring suburban and rural. As they are in the same state, the schools operate under the same federal and state accountability systems, but vary in their ability to provide resources in response to the external expectations.

The Norwegian report concerns 12 'good practice schools' (Møller, Eggen, Fuglestad, Langfeldt, Presthus, Skrøvset, Stjernstrøm & Vedøy, 2005). Located throughout Norway, two are in large cities, four are in small towns, two are in semi-rural districts and four are in rural districts. Two are primary schools (grades 1-7), three are lower secondary (grades 8-10), four are combined (grades 1-10) and three are upper secondary (grades 11-13).

The Chinese report (Wong, 2005) is of two contrasting schools in northern areas of the city of Shanghai. Eastern Senior High is one of the best schools in Shanghai and has about 2000 students who have completed the nine years of education to the end of junior high school. Northern Junior High has about 1625 students and is in a poor district with high crime and illiteracy rates and with the lowest average rate in educational attainment.

The Swedish report (Höög, Johansson & Olofsson, 2005) involves four junior high schools, grades 7 to 9 in Sweden. The River school is rural, located 50 kilometres from the nearest town. The Mountain school is small, with a low level of parent education. The Multicultural school, in a large urban area, has a high proportion of immigrants and segregation. The Upper Middle Class school is in a prosperous urban community with a culturally and economically homogenous population.

The Australian report (Gurr, Drysdale & Mulford, 2005) combines two independent sets of case studies involving five schools in the state of Tasmania and nine schools in the state of Victoria. The Tasmanian schools were all in the government system and included one primary school, one primary/secondary school and three secondary schools. The four Victorian government schools included two primary schools, one secondary school and one special school. The five Victorian non-government schools included four Catholic primary schools and one independent primary/secondary school. Schools ranged in student numbers from 120 to 1330.

Educational Systems and Structures

The schools are situated within quite different educational systems and structures, as evidenced by the following brief descriptions from the Chinese, Australian and Norwegian studies.

The Chinese government provides nine years of education for all children and at the end of junior high school, all students sit for an examination. The results are used for entering senior high schools, with the key municipal senior high schools requiring the highest scores for entry. For most Chinese schools, principals and teachers are appointed and sponsored by local governments. Teachers have large classes and relatively light teaching loads to enable more people to be employed. Each school establishes its own teaching and research unit (TRU) that works with the district TRU in organising and giving support for teachers in their schools. The young teachers learn from the experienced teachers, who are their mentors. Whilst an appearance of rigidity and conformity might occur to a western observer, each principal in the case study schools was able to subtly play out the contextual issues in their own school, within the Chinese educational system (see below for further discussion of this).

In Australia, education is a complex interplay between the commonwealth (national) and state governments and between government (67% of schools) and non-government or independent (33% of schools). The independent system is dominated by Catholic schools serving approximately 20% of all school age students. The remaining 13% of independent students

attend a range of religious and non-religious independent schools and the proportion attending non-government schools is increasing. Most students (approximately three-quarters) complete 13 years of schooling and attain a Year 12 certificate.

For Norway, educational institutions are important for the survival of the small local communities, as the population is widely dispersed and largely homogeneous. Møller et al. (2005) comment that 'it is probably the many small local communities that give Norwegian society its distinctive character'. The structure of the school system is ten compulsory years, beginning at the age of six, and incorporating primary and lower secondary years, with three years of optional upper secondary education. The system is predominately public, but recent legislation implies a liberalism that may mean more differentiation and privatisation within the education system.

Government education policy

Changes in government education policy are occurring in all seven countries. Some are more mature government initiatives, and others more recently introduced accountability systems.

In England, headteachers work within a dynamic government reform context that focuses on the compliancy of schools in meeting externally derived standards of student performance and external, independent school inspection.

The USA has a decentralised approach to the governance, policy and funding of public education which serves to both democratise and contextualise public education. As education is not one of the responsibilities granted to the federal government by the Constitution, each state holds primary authority for the education of its school-age children and individual state education departments delegate considerable authority to local educational authorities (school districts). The federal government can wield greater influence over educational policy than its monetary contribution (7%) would suggest. An example is the 'No Child Left Behind' (NCLB) federal legislation (2002) that has placed all schools under far greater public scrutiny and accountability than ever before.

The Norwegian government has recently pursued accountability through a system of quality controls on schools. National test results are published on the Ministry of Education website leading to the ranking of schools. This has placed teachers and principals under stress to improve their school's national ranking in certain areas; for example, literacy and numeracy. A tension has emerged between market orientation and the 'long valued ideas of a democratic school including democratic leadership practices' (Møller et al., 2005).

The inclusion of the two Chinese case studies has offered a valuable opportunity for successful school leadership to be investigated within an Asian societal context. Leadership in the Chinese schools was shown to be exercised within an authoritarian, rather than democratic, policy framework.

This can be contrasted with the democratic values-driven schooling system in Sweden where 'all activity in schools shall proceed in accordance with fundamental democratic values, (Höög et al., 2005). In Sweden, principals are expected to develop 'a two-fold focus on both academic knowledge and on social or democratic goals for the school' (Höög et al., 2005).

In Australia, there exists increasing Commonwealth government influence through grants to both government and non-government schools, and in Tasmania and Victoria there has been

major curriculum reform over the past decade.

Despite these contextual differences between the case study schools, and between the education systems in which they exist, all principals are experiencing a context of change that challenges their leadership practices and their underlying core sets of values. For all countries studied there exists:

- increased change
- increased levels of self-management (at various levels of maturity)
- increased marketisation of education
- increased accountability
- higher expectation of improved student performance

Common Features of Leadership Across the Countries

In all countries investigated, case study schools had improved markedly over time, and many had been transformed, due to the leadership practices of the principal. The principal was seen as the key figure in the school's success.

The most outstanding feature identified in the cross-country analysis was the passion with which these leaders modelled a commitment to education, to the development of the students in their care and to serving the community in which they worked. Moreover there was an ethical imperative underpinning this commitment that enabled or inspired school communities to work together for the common good of the students and the schools. Many of the schools were described as having challenging circumstances, however there was a commitment to student learning and principals were seen as crucial in enabling this to occur.

One of the USA case studies concerned a female charismatic principal who faced the challenges of a failing school and turned it into a successful school by adopting a cautious, inclusive and respectful approach to building relationships with all the school community (students, teachers and parents), while at the same time being ruthless in restoring discipline to make the school a safe environment (Giles et al., 2005). Five morally-grounded principles were identified as underpinning her professionalism: caring, enabling, accountability, learning and success, which when applied simultaneously, enabled school improvement and student achievement (both academically and socially) to occur.

The Chinese study (Wong, 2005) identified two principals who were able to drastically improve their failing schools by acting as change agents to reorder both the curriculum and the teaching to focus on the children as the centre of the learning endeavour. Through sensitive handling of the teaching staff, the first principal introduced sport and music to revive the curriculum and provide success for underachieving students. The leadership style was one of compassion and sensitivity, characterised by high expectations, a strong vision and focus upon student success, and encouragement of teacher responsibility. The second principal introduced a teaching reform, 'Success Education', to restructure the teaching force to enable team teaching, continuous evaluation, mentoring and professional development. Both principals were driven by the belief that all students can learn given the right environment and structures.

School leadership in the English study (Day, 2005) showed that successful principals were able to manage tensions and dilemmas, such as government imposed accountability measures, by adapting them to the local context of their schools and by being driven by their individual

value systems. These headteachers sustained success by building communities underpinned by an ethical commitment to students' holistic development and by attending to equity and social justice concerns. They were characterised by their ability to set directions, develop people through modelling and support, and to redesign structures to nurture staff. The headteachers were 'Lead Learners' who demonstrated the importance of defining and maintaining identity, building trust and who had an unswerving passion for the work of educating. Underpinning their work was a moral agency that fueled the integrity of their decisions.

The moral enterprise of education seems to be the guiding feature of leadership as outlined in the studies from Norway (Møller et al., 2005), while student learning was the focal point for the schools' philosophies. Collaboration was imbedded in the schools studied and school success was characterised by open and honest communication and negotiation in professional relationships. Tensions and dilemmas, related to government accountability agendas, were addressed through the democratic principles and values of the leadership team. Characteristics such as empathy, intuition, trust and care were at the core of successful leadership in Norway.

The Swedish study (Höög, Johansson & Olofsson, 2005) identified that all principals focused on creating a good learning structure and a culture supportive of that learning in the four schools studied. Three of the principals were driven by the desire to balance the academic achievements of the students with their holistic development in response to government accountability requirements which they considered too narrow in scope. All leaders were hard-working, passionate about their vision, highly visible in their schools, self confident implementers of change and were also good managers.

In the Danish study (Moos et al., 2005), having rebuilt and restructured the school into self-governing teams, the first principal, an extrovert, was well respected and liked by the total school community. He was a pedagogical leader, demanding teaching that was individualised, student-centred and of high standard. He was a hardworking, highly visible, skilled problem solver, and delegated authority while working collaboratively with the leadership team. The second principal was shy and gentle in demeanor, a skillful administrator, excellent listener, proficient in conflict management and respected for his negotiating skills and personal integrity. His emphasis was on providing socially adjusted students rather than outstanding academic results for the school. Leadership similarities between the schools included highly developed distributed leadership and highly ethical foundations to their vision and mission. Differences included the way they structured their schools and the way they balanced the academic and social development of their students.

Across the 14 Australian schools (Gurr, Drysdale & Mulford, 2005), principal values and beliefs included honesty, openness, flexibility, commitment, empathy, and a belief that each child is important, has unrealised potential and can succeed. Passion and goodness drove their leadership endeavours and they harnessed the school community through a common vision, by setting up structures that supported improvement in learning and teaching, and by being sensitive to the contexts in which they operated. Leadership styles were characterised by the modelling of high expectations and professionalism, by empowering staff in a supportive and structured environment, by distributing leadership and responsibility throughout the school and by remaining focused on enhancing quality education for students and families. Evidenced based monitoring, evaluation and reflection drove change and improvement.

The following conclusions regarding commonalities across countries may be drawn:

- The ethical and moral imperatives, emanating from each principal's value system, were consistent across countries and underpinned successful principal leadership.
- Improvement in student learning and student development were the core concerns of the principals and schools.
- Principals were typically able to harness the whole community to contribute to the educational vision and strategies.
- Successful principals were able to balance external pressures, such as accountability in a results-driven environment and testing regimes, with the context of their school.
- Principals were seen as responsible for three key leadership practices, namely, setting directions, developing people and redesigning the organisation as identified by Leithwood and Riehl (2003). The competent, respectful and cohesive manner in which these practices were achieved marked the degree to which schools were successful.
- Regardless of country, culture and context, these principals demonstrated a 'can do' attitude in their approach to education. They were hardworking, committed, respected and trusted by their communities and remained hopeful despite the challenges they faced.
- The quality of relationships was a vital component. Working with and through others was a feature of the way the principals worked, even in those cases where principals adopted a very strong, almost authoritarian leadership style.

Factors Affecting Successful Leadership

Two categories of factors, identified in the studies which influenced successful school leadership were those factors that were concerned with the leader themselves such as their personal characteristics, traits, qualities, and skills, and those factors that were largely contextual or environment-specific.

Personal factors

Apart from the kind of interventions that successful principals made to improve their schools, personal factors were crucial in determining the success or otherwise of those interventions. The character and quality of the person, the way they behaved, the skill set they drew upon to influence others, and the values that they stood for formed an important prerequisite to success. Who the principal was, their nature and personality, was just as important as what they did. Day (2005) notes in the English case studies that 'it seemed that moral purposes, emotional and intellectual commitment and ethical and social bonds were far more powerful levers of leadership than extrinsic agendas'. This aspect is also exemplified by Höög, Johansson and Olofsson (2005), who quote a teacher describing a Swedish principal thus, 'The principal contributes to the successful result by being the person she is.'

The Australian case studies add weight to the importance of personal qualities by identifying common traits such as passion, enthusiasm, persistence, determination and assertiveness. School principals were optimistic; they saw the glass as half full rather than half empty, and they saw barriers as challenges rather than impediments. In many case studies, principals were described by others as 'visionary' or 'inspirational', with creativity and lateral thinking that inspired the same qualities in others.

Personal values and beliefs were identified as important contributors to success in the case studies in all the participating countries. In the Scandinavian countries democratic values

were important, along with honesty, trust, and cooperation. In the United States the 'caring principle' was emphasised. In Australia, principals' values were seen to be strongly child-centred, based on the belief that 'all children can learn.' Day (2005) notes that successful heads in England were driven primarily by individual value systems that included moral purpose and social justice.

A common element that influenced success was the way in which the principals faced and dealt with dilemmas, defined by Møller et al. (2005) as 'a concept which captures the contradictory orientations they experience, and where there are no right answers.' Balancing actions with tensions and dilemmas was a feature of the three Scandinavian countries. Describing the need to deal with dilemmas in the Norwegian schools, Møller et al. (2005) write that 'school leaders must balance the demands of being in a middle management position; they must balance between attempts to implement school change while taking into account the established culture of the institution.' Findings in the English case studies also noted that managing personal tensions, choices and dilemmas sustained their success.

The style of leadership used by the principals was seen to be an important factor to success, yet there was no one best style identified in any of the case studies. The strong leader was mentioned in several case studies, but also mentioned was the humble leader who led from behind. Most common was the collaborative team-oriented style.

Successful principals in all countries demonstrated sound communication skills. They were able to effectively influence people and were flexible, active listeners who could read events and understand the context in which they were operating. They thought and acted strategically, having the capacity to solve problems and find creative solutions.

Environment-specific Factors

Less important but still significant was the environment in which the leaders worked, but precisely how much the context matters was not totally clear from the studies. The context can be classified broadly into three distinct environments (Pfeffer & Salancik, 1978): the internal environment of the school including culture, ethos, staffing, and structure; the task environment that consists of the local community, district or region in which the leader interacts; and the general environment which is made up of the national characteristics, policies and other influences. An additional (fourth) macro environment, which involves factors commonly referred to as globalisation, post-industrial society, and the information revolution, is not discussed.

Both the internal environment and the task environment influenced successful leadership to the extent that the leaders had to take these factors into account in determining their particular strategy. In many cases the schools were in challenging circumstances that required the principal to take a longer-term strategy of capacity building and a series of interventions that were implemented and embedded over time. The challenging circumstances ranged from internal difficulties such as student behaviour, staff conflict, and inadequate resources, to more external forces such as changing demographics and high poverty, and low social capital. Evidence in Australia indicated that many successful principals had taken a long-term commitment to the school and had made continuous improvements over time. Examples elsewhere, such as the USA and the three Scandinavian countries, showed improvement over a shorter time framework largely because of shortened employment contracts and higher staff turnover. Not all schools were in challenging circumstances, but the impact of the environ-

ment on these principals was less clear, except for high community expectations for improved performance.

Most of the case studies were conducted in elementary schools. It seems from the experience of the researchers in each country that it was easier to find examples of so called 'turn-around' schools in an elementary setting. The complexity and size of secondary schools may be more influential and inhibiting on successful leadership than in smaller, less complex elementary schools.

Despite differing contexts and cultural norms, beliefs and attitudes, each of the participating countries was experiencing significant change in the general environment in respect to education agendas. Trends toward greater accountability, marketisation, and decentralisation were the most common changes. The degree and intensity of these changes varied between countries, but successful principals were able to understand, accommodate and adapt to the changes. Successful principals understood that they could not necessarily influence the changes, but they could modify and alter how these changes were interpreted and implemented. For example, in England, successful principals made judgements about how to implement changes from the external environment within their own improvement agendas. Similar approaches were identified in Australia, the USA, Sweden, Norway and Denmark.

Finally, what is significant is the interaction of the principal within the various environments. What kind of person the principal was, including their personal qualities, values, beliefs, attitudes, skills, and what they did within a particular environment, influenced their success. This reinforces the view that principals operate within a social system and success is influenced by a complex set of factors that includes personal and environmental factors.

Interventions Affecting Successful Leadership

Whilst the social, political and educational histories of schools differ from country to country, all principals are experiencing change that emanates from social movements (i.e. changes in families, expectations of schools, attitudes of students) and the ever-increasing interests of central and municipal governments in 'performance' and 'performativity'. Such changes are testing the values, resolve and resilience of principals in all schools in all countries. These successful principals acted purposefully and strategically in creating a positive school climate, building productive relationships, garnering resources, and facilitating teacher leadership. They engaged in a series of interventions that reflected the contexts and the needs of their schools. These interventions were sometimes focussed on specific areas, while others had a whole-school focus. Interventions are described in the following areas.

External Pressures and Accountability

Principals demonstrated an ability to 'not be confined by the contexts in which they work. They do not comply, subvert, or overtly oppose. Rather they actively mediate and moderate within a set of core values and practices which transcend narrowly conceived improvement agendas' (Day, 2005). Similarly, in the USA study, 'rather than viewing this external pressure as an obstacle to improvement, the principals instead saw it as a way to focus teachers, parents and students on raising expectations for improved student achievement, the direction they were intending to go anyway... accountability helped the principal's direction-setting to

move beyond being just a necessary condition for success, to become an enabling condition' (Jacobson et al., 2005). The Swedish study describes attempts by principals to 'integrate state and municipal goals as part of the school vision'. Accountability was also an issue in Norway where a potential tension between market orientation with new emphasis on ranking, especially in English and Mathematics, and the traditional democratic leadership practices, had emerged. The successful principals in this study had also been able to respond to external pressures proactively. While the national curriculum guidelines clearly influenced the schools' teaching practices, they were but one component of the student-centred approach. Denmark's entry into the European Community had impacted on the education system with a move from processes to outcomes, accountability and merit pay for teachers. However one of the principals in this research project maintained that he did not see examination marks as a sign of excellence, but rather excellence should define the working conditions for both adults and students.

Building Capacity

Building capacity was a common theme in all studies. School capacity was nurtured and developed through collegiality, collaboration, trust and support. Such a culture emanates from structures that promote shared decision making, and distributed leadership, as described in the Australian studies. Distributed leadership and a new culture of professionalism impacted positively, in terms of building capacity in schools in the USA study. Again, in the Swedish study, a concerted effort had been seen to change the climate of a 'failing' school by introducing structures which encouraged participatory decision making and by enabling community capacity to be harnessed by linking school culture with community culture. This capacity building was shown to have spin offs into other areas; for example, building the capacity of teachers by empowering them, and building their confidence, ego and self esteem. The Swedish study found successful principals developed a learning-centred approach with a focus on the leadership team, not just the principal. Leadership in their context was not synonymous with a position and quality relationships within the school community were an important construct of success.

One principal in the Danish study stated categorically that you have 'to get every teacher with you', if you as a school leader want to make changes; he saw his job as supporter and listener, one who encourages teacher enthusiasm but does not steamroll it.

Norwegian schools in the study underlined the importance of the social learning environment in order to obtain academic as well as social goals. The quality of the relationships between teacher and students was seen as crucial. Student learning was the focal point for the school philosophy as well as for their practice, as indicated in the grouping of students, evaluation procedures used, and the organisation of curriculum units.

High Expectations and Raising Student Achievement

Principals had high expectations of both students and teachers. In regard to student learning, the creation of a 'can do' culture was obvious in the English study. Encouraging student responsibility for their learning and promoting change in teaching and learning practices to support this culture was a feature in the striving of these principals to raise student achieve-

ment. In Sweden, this academic success was linked with the social goals of a school as a fundamental belief in the need to educate students to be contributing members of a democratic society. In the learning-centred approach of the Norwegian study, the overarching idea was that each student has a right to learn and develop on their own terms. Similarly, the Danish study provided an example of a principal who demanded that teaching was individualised and student-centred, with high professional standards.

In one of the USA schools, the principal clearly set and modelled her expectations and used a combination of pressure and support to bring about the changes she saw as necessary to transform a failing school. So too, one of the principals in the Victorian study who was credited with establishing a 'high expectation' culture where continuous improvement was emphasised, as was developing a school-wide pedagogy, and raising student achievement levels.

It was a principal in the Chinese study who used the term 'interventions', recognising that in a failing school into which he had moved, 'repeated failure was the cause of all the problems' (Wong, 2005). His intervention was simple: create repeated successful experiences, both academic and non-academic, for all students. His four-stage model (low starting point, small step progression, varied activities and quick feedback) was one of high expectations, a focus on student success and for teachers to accept responsibility. He believed in influencing, but at the same time showed compassion and sensitivity.

Conditions Enhancing or Diminishing Leadership Effects

The practice and behaviour of a principal clearly has an effect on students and the school organisation as a whole, although this is typically an indirect effect with certain conditions within a school having the potential to diminish or improve the connection between leadership practices and their impacts on the school. Six such conditions were identified in the country reports: student background, school location, school size, school level, designation of the school as government or non-government, and lastly, extent of trust/respect between leaders and teachers and/or teachers and students. For the first five (described above in the section 'Contextual differences between countries') there is little in the reports that link the conditions with principal leadership and student outcomes. Rather these conditions are simply described for each country and are really more a reflection of each country's methodology in terms of having a rich sample, rather than an exploration of the impact of these variables. The exception was the USA paper which tentatively suggested that small school size and higher level of education for principals may be related to school performance (Jacobson et al., 2005). However, for the sixth condition, mutual trust and respect, there is evidence of impact on the relationships between principals and teachers and/or teachers and students. This evidence is now described.

The English study (Day, 2005) reported that trust, a hallmark that runs throughout the research, is 'drawing upon and constructing social capital within the school and between the school and its local community'. One teacher, speaking about a secondary principal, reported 'she trusts you implicitly --- you don't feel as if you're being infringed upon in any way', whilst another spoke of the cascading of trust 'all the way through, from parents, senior management, governing bodies'. Successful head teachers 'were driven primarily by individual value systems' and 'moral purposes, emotional and intellectual commitment and ethical and

social bonds' eclipsed the still-important socio, political, economic and professional contexts. These were resilient, not merely compliant, leaders.

In the Danish North School, following an emphasis by the principal on team building and the development of new physical infrastructure, teachers reported 'happier children and more opportunity to care for the individual child'. Teachers also have a feeling of having been a part of something exciting and creative and this has led to increased trust in the school. The teachers at the Islet school saw the principal as a splendid listener and as reflective, calm and trusted.

Mutual trust and respect is reflected in the USA report under the heading of 'caring', where all seven principals were seen to create positive school cultures. One principal asked teachers to view students through the eyes of parents who wanted a safe, productive school and a chance at a real education. Another highlighted the importance of family-focused community by telling staff, 'your family comes first; this job does not come first'. Others meet and greet parents and students on a daily basis and 'lead by walking around', and by themselves doing the hard work of teaching.

The Norwegian study showed that the strategies adopted by school leaders with regard to power and trust differed between schools and depended upon local context. Students at one upper secondary school had great influence in decision-making processes, but that was only possible with the trust given to them by the principal. Most secondary teachers in the broader Norwegian study involved students in both planning and establishing criteria for evaluation. Power and leadership were negotiated and shared within classrooms and students in upper secondary schools were well aware of their own contribution to a successful school. Leadership teams were crucial in building conditions for mutual trust and respect.

In the Chinese study principals used words such as discipline (basic routine) and responsibility, rather than trust or empowerment, as used in Western schools – and those words were referring to teachers, rather than students and teachers. Both schools involved top-down management and the consultative process was in response to principal-driven initiatives. Deputy principals and middle management teachers then had responsibility to implement decisions made. But Wong (2005) concludes that this does not mean there is no trust or empowerment in Chinese schools. Trust can be implicit and empowerment can be done formally through the hierarchical system.

The Swedish Mountain School was reported as successful because of the trust between the principal and teachers, students and parents. School objectives and the vision of the principal were clarified by open discussion and the principal was seen as being present and visible by teachers and students. At the Multicultural School, the reciprocal trust between staff and their principal was evident in his comment that 'there is great confidence in the school – they do not perceive that I need to have control'.

Within the Australian study, the Tasmanian section reported successful school leaders as promoting 'a culture of collegiality, collaboration, support and trust and that this culture was firmly rooted in their democratic and social justice values and beliefs.' Principals displayed 'honesty and openness, flexibility, commitment, empathy with others and ... innate goodness.' Innovation and risk-taking were encouraged and supported. Shared decision-making and distributed leadership promoted a culture of trust. In the Victorian section of the report, principals demonstrating integrity, care and respect were seen as being able to build mutual trust. Staff felt empowered within 'a structured yet supportive environment.'

Conclusion

Drawing on the findings from countries involved in the International Successful School Principalship Project, this paper has given an overview of the findings of the first phase of the project – multiple perspective case studies – covering 63 schools located in Australia, China, Denmark, England, Norway, Sweden and the USA. It is a unique study in that it records the views of not only principals, but of teachers, parents, students and others in the school communities across these diverse country contexts.

Many differences exist in the case study sites, both within and between countries, with quite different educational systems and government policies represented. Despite these differences, all countries have in common, increases in levels of self-management, change, marketisation, accountability and expectations of higher student performance. Other commonalities include: the importance of moral and ethical concerns and the individual principal's value system; student learning and development as paramount; genuine community contribution to visions and strategies; and hardworking, 'can do' principals who engendered trust and respect.

Personal factors (traits, qualities, skills) were crucial in determining principal success as was, to a lesser extent, environment-specific factors. What became clear from the case studies was the complexity of the social system in which the interaction between personal and environmental factors occurred. High expectations, shared decision-making, distributed leadership and collegiality all had a role in principal interventions that built capacity, took external pressures into account and resulted in raising student achievement. In addition, trust and respect between principals and teachers and/or between teachers and students was crucial.

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“How sad, too bad”: Patterns of resilience among aspirant principals

Kathryn Lacey and Peter Gronn

*“... in order to stand up to competition and to succeed
in the labour market, people have to display health and fitness.”*

(Beck-Gersheim, 2000, p. 124)

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 focus here is on the losers, on those who have been unsuccessful and have experienced disappointment with school-based selection. Our immediate research interest is in how unsuccessful principal aspirants cope with initial and subsequent experiences of failure, and the implications of these experiences for a better understanding of occupational resilience. The findings discussed below have arisen out of an investigation of the factors which influence prospective principal recruitment. Our wider research interest lies in identifying (with a view to remedying) those factors (“blockers”) that forestall the realisation of teachers’ leadership aspirations. Our aspirant informants are fully aware that engagement with principal selection systems sets them up for potential failure. Indeed, our title “How sad, too bad” (from an informant’s e-journal entry) is a characterisation of the official notification that an aspirant has been unsuccessful in her/his application for an advertised vacancy. This choice of “How sad, too bad” (or, “too bad so sad”, as another aspirant put it) is intended to convey a deliberately pejorative and dismissive tone that, in itself, is indicative of a resilient response to loss.

In the following discussion, we briefly summarise previous research, outline our methodology, and discuss a range of aspirant coping strategies indicative of resilience. We conclude with the significance of the research, in particular our hypothesised summary of the relationship between emotional vulnerability, resilience and occupational risk-taking.

Background to the Research

In this paper we report on some of the findings of two projects: *Identifying and Tracking Principal Aspirants* (ITPA)¹ and *Principal Aspirations and Recruitment amidst Leadership Dis-*

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engagement (PRALD)². Specifically, we utilise data from 21 principal aspirants in the ITPA project who completed weekly e-journals, participated in a focus group, and undertook a before and after one-to-one interview, and Phase 1 of the PRALD project, in which 58 principal aspirants from Victoria, Tasmania and Queensland participated in focus group interviews.

Both studies have been conducted in light of an ongoing debate in the government school systems of a number of countries (in North America, parts of Europe and Australasia) about shortages of principals (for a global survey see Gronn, 2003). Data on principal supply and demand, and on the actual and anticipated incidence of recruitment shortfalls, have proven very difficult to obtain. The emerging international conventional wisdom is that application numbers for advertised vacancies have declined, and that candidate quality has also diminished. On the other hand, Roza et al.'s (2003) comprehensive analysis of principal supply in the USA confounds this picture. On the quantitative side, Roza et al. (2003, p. 14) suggest that “there are far more people ‘qualified’ for a principalship in the United States than there are jobs for them to fill” and that a national average of 17 people applies for every vacancy (a slight decline of 10% over a seven-year period). Supply problems exist in pockets, so that one Californian school district received 40 applicants for every vacancy in 2002, while another “just 12 miles down the road” received an average of four” (Roza et al., 2003, p. 23). Qualitatively, school districts have created their own difficulties by “searching for characteristics beyond minimal state certification requirements”. Then, “by defining an idealized 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” (Roza et al., 2003, p. 31).

Some indicative quantitative Australian data is provided in Table 1. In Victoria, for the period 1999-2001, the average number of applications for each advertised principal vacancy was about seven, with (although this is not included 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 means that some schools selected candidates from very restricted shortlists and, 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. (Indeed, in 1999, in one rural region a mere 27 candidates applied for eight secondary schools between them, an average about 3 per school.) It is also evident that females mostly comprised less than 40% of all applicants. Commencing with Lacey (2003, p. 139), who surveyed about 1350 Victorian teachers and principal class members and found that a mere 12% wanted to become principals (with such aspirations stronger among males than females), most recent Australian research (including the present investigations) has concentrated on the intentions of principal aspirants, and the factors which might support or impede their intentions.

Research Findings

Occupational career movement observes different timetables, and proceeds along a range of institutional, systemic and personal pathways. The mobility of individuals and cohorts is rarely smooth and trouble-free, as various gateways and transition points have to be negotiated. During individual career passage, personal conceptions of career and identity provide

2. For which funding has been received for 2004-5 from the Australian Research Council (Discovery Project: DP 0453405) and for which the authors are grateful.

Table 1: Victoria, principal vacancy applications 1999-2001

Year	Vacancies (prim & sec)	Applications (prim & sec)	Average applications per vacancy	Females as % of total applications
1999	390	2846	7.3	38%
2000	296	1989	6.7	37%
2001	217	1607	7.4	40%

important points of reference. An important developmental challenge for career mobile individuals is their experience of possible disappointment due to the obstruction of their professional goals (Zaleznik, 1967).

Flawed Selection

A, perhaps *the*, major source of frustration for the career goals of principal aspirants is school-based selection for principal and assistant principal vacancies. Generally, this process is intended to operate according to principles of merit and equity. Normally this means that applicants forward documentary material about themselves (including referees' names) for advertised vacancies in their schools of choice, undertake site visits and, if shortlisted, make a presentation to and are interviewed by a small selection panel, following which they may or may not be made an offer of appointment. If this is accepted, it has provisional status until confirmation by the department or ministry. The apparent straightforwardness of these arrangements is deceptive. It can be experienced as gruelling, as one aspirant reflected: "So much emotion goes in that process [of selection] you have to become so resilient to pick up and keep going".

Aspirants' criticisms of selection are manifold. These boil down to the claim that the process does not do what it purports to do (i.e., deliver outcomes based on merit) and that it is inequitable because it is biased in favour of internal applicants. There is some factual basis to this allegation. For Victoria, we checked the primary and secondary assistant principal appointments listed in the *Education Times* and found that of 133 appointments for 2004, 71 (or 53%) were internal and 62 (or 47%) external. As this disparity is not gross, aspirants' perceptions of bias probably reflect the options they have set themselves rather than their awareness of vacancies across the entire state. Here, our remarks concern applicants' experiences of the application process, the interview experience and negative outcomes.

Playing the Selection Game

Aspirants regard selection as a game akin to a lottery, in which chance and luck largely determine whether one wins or loses:

I have 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 you talk to. And one day it will work in your favour.

In some gambling games, the dice may be loaded and the results pre-determined. Likewise, in selection, panels may be biased in their appraisals:

If they have already got in their minds something that they want in a candidate but they are not saying what that is, well they are excluding candidates because they also have in their mind information about those candidates which is not anywhere else on paper.

In the absence of clear rules for playing the selection game, candidates learn to devise their own, such as ascertaining whether a vacancy is genuine:

And when the job was advertised, I said: “I am interested in the position”. And he [principal] said: “Great”. I said: “Before you send me the stuff [information package] I have 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”. And I said: “Do you expect that person to apply for the job?” And he said: “I most certainly do expect that person will apply for the job. We are very happy with the way she is working”. And I said: “Thank you very much. Don’t send me the information”.

Setbacks are frequent: “Because to go for a job you risk a lot of yourself, your internal self, and then to miss out is very disappointing”. In particular, aspirants are frustrated by the short-time frames permitted for application writing (itself a time-consuming exercise), they often experience the interviews as stressful, there is inconsistency in the judgments of panels, they are offered post-selection feedback that lacks candour and they have to cope with a number of rejections.

Surviving the Selection Game

Resilience has been defined as “the skill and capacity to be robust under conditions of enormous stress and change” (Coutu, 2002, p. 52). Moreover, individuals cannot be resilient without exposure to significant hazards or (to anticipate the next section of our discussion) “demonstrable risk” (Masten, 2001, p. 228).

Aspirants’ responses by no means exhaust the universe of possibilities, but they can be grouped according to where they turn for answers. While the following examples are grouped into discrete categories, they each express impulses that may have been experienced to some degree and at different times by every aspirant.

Looking backwards

First, one may cope with a negative outcome by discrediting or discounting the position:

I guess I was a bit sad that I didn’t get the job. But then two days later I found out my 18-year-old daughter was moving to [place] and I have got an 11-year-old son still at home and she was quite helpful with after-school things and I thought: “No, that’s all right. I don’t need to be driving that far every day”.

Next, an aspirant may displace any personal pain by blaming the system:

I was hurt a couple of times but I went on. Because I felt that: “I can do this”. And now I am developing quite a resilience to the whole process. And the ability to sit back and go: “See, it’s all the system. It’s not my fault, it’s the system”.

Another response may be to emphasise the superior quality of one’s rivals:

So that’s how I have responded to my disappointment. I have tried to bounce back as quickly as I can and be a[s] professional as I can. And that’s, I think, what has kept me going because

even in our aspiring principals course I met 20 or 30 people. Now if I saw their schools advertised there is no way I would bother to apply because they are good people and they have got CVs a mile long and look great and I think that is what sort of keeps you going.

Looking inwards

Lack of success may be a trigger for self-questioning and doubts as to personal capacity:

But after you have applied for several positions and you get: "Thank you but no thank you". You start to think: "Well maybe I can't do the role". So it depends on time frame and where you are at and other things that are impinging on you. I guess for me in times of calmness yes, I can see myself in the role. But it is just a matter of getting there.

An inward response may help reinforce one's self-belief in the face of lack of success:

I have also had some principals who have discouraged me and they have actually made me a lot stronger. The knockbacks I received made me strong to actually go out and do something about it.

Realisation of the need to lift one's game may also result from introspection:

But a week later [after an embarrassing interview] you sit down and you go through and say: "I should have said this and done that". You have got to self-assess. So once again [after unhelpful feedback] you are submitting another application, and [you ask yourself] "Have I made any improvements on it?".

Looking forwards

Here, there are two typical responses. The first is to commit to moving on and up:

Last week I could have said I have been out of the school for two days, it is too hard now [to complete an application]. Make excuses. And I must admit I did think it's a bit hard. And then something inside me was saying: "No, have a go". So I thought: "I won't be happy until someone in here stops talking at me", so I had a go. I didn't dither around. I stayed up at night, I got up early in the morning, I took my playtime out and my recess and lunchtime I spent typing. And I met the deadline.

The second is to consider moving out altogether to see alternative options:

I taught overseas and I am tossing up now whether to go back overseas, and that's a timetable to me. Because if I go overseas and teach internationally I need to resign. So ... in the back of my mind I am thinking in another year or two and if something doesn't happen then I will go overseas again ...this pressure of applying I know I can't stand it for much longer. Because my work and my family are affected by it. I think I have to give myself a time limit.

Discussion and Conclusion

According to Coutu (2002, p. 48), resilient individuals accept reality, believe life to be meaningful and are able to improvise. If so, then the coping responses of our principal aspirants as evidenced by their war stories raise the question: What counts as resilience? What, for example, does it mean to possess "a staunch acceptance of reality" (Coutu, 2002, p. 48)?

This aspirant’s response to disappointment is, on the face of it, the quintessence of reality acceptance:

But I am not the sort of person to get overly despondent over setbacks. I might have another ten before I get there. And I am a big believer in if a school likes what you say, likes what you do and believes you would fit into their culture then, they will employ you. And if they don’t they won’t.

This person will soldier on, but this next aspirant will opt out. Having acted as a principal, this previously keen person, unsuccessful in securing an appointment, is now uncertain:

“Okay, that wasn’t successful”. There are so many other things to do with my life I would rather be a useful and hardworking AP and not spend time writing useless applications. I don’t need the aggravation and I know I can do a useful job in my current field if that is what the department judges is my highest level of performance. That’s fine. But I don’t feel I have been properly debriefed on that if that is their judgement.

The response here is to opt out. But does such disengagement count as resilience?

Resilience is in the eye of the beholder. It suffers from both definitional clarity and conceptual overlap (e.g., with hardiness, on which see Maddi, 2002). The causes of resilience are unclear, as are the reasons why some people appear to “bounce back” from failure, and then in such diverse ways. Resilience is also risky. Coutu’s (2002, p. 46) exploration of resilience resulted from her awareness that it had become a buzzword. In one sense, as an adaptive response to pressures, resilience signals one’s capacity to cope. In another sense, in increasingly intensified, stressful workplaces, employees deemed by their superiors to be resilient may be considered morally superior and less risky investments compared to colleagues unable to cut it. Ironically, however, resilience here carries with it the possibility of increased potential vulnerability as such preferred individuals become exposed to the heightened pressures of added responsibilities. Quite apart from that, as the two preceding extracts indicate, resilience works both ways. This is because in an era which emphasises a sense of increased autonomy and the need for responsible personhood, the encouragement of employee self-identification and calculation of the burden of risks (Beck-Gersheim, 2000) also works both ways. Thus, organisations may be risk adverse, as part of a survival strategy in competitive and uncertain environments, and this might account for the aspirants’ belief that schools are using the selection process to “clone” more of their own. But equally, employees may also adopt risk aversion strategies, so that confronted by the possibility of high demanding principal work, aspirants can be expected increasingly to consider their options carefully. For this reason, if factors related to the maintenance of personal well-being loom highly in the minds of aspirants, their lack of engagement with a possible future role makes rational sense and even represents a highly resilient response to potential risk.

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The Principal within the Concept of Parallel Leadership: An emerging challenge to orthodoxy

Allan Morgan

On one hand, much of the school effectiveness and school improvement literature propagates an image of leadership centred on strong individuals with a clear, instrumental vision of the school - 'the hero paradigm' (Gronn, 2003) - and as Gurr (2001) notes; schools are typically constructed in a way that emphasises leadership vested in individuals. On the other hand, over the last decade, there have been persistent calls for a re-conceptualisation of school leadership (Elmore, 2000; Fullan, 1998; Harris, 2003; Lambert, 2002). To some extent these calls are in concert with moves from technical-rational approaches to school reform which emphasise externally generated curriculum change and/or accountability strategies to conceptual, school-wide processes of school improvement; models founded on the precept that improving student achievement is best sought through building the necessary pre-conditions for powerful teaching and learning (Newmann & Wehlage, 1995). More recently this shift has been influenced by research that shows reforms driven by technical-rational approaches, in the absence of professional and moral dimensions, have not resulted in sustainable improvement (Day et al., 2001; Leithwood et al. 2002).

Contemporary thinking around leadership for school improvement has been energised by the views of various social and organisational theorists (Argyris & Schon, 1974; Drucker, 1994; Senge, 1997). These views, together with the inclusive ideology of the learning organisation (Senge, 1997) and the work of many educational researchers (Duignan & Macpherson, 1992; Durrant, 2002; Lambert, 2002; Lytle, 2002; Newmann & Wehlage, 1995; Stoll, 1999), have been influential in promoting a more diffused view of school leadership - one that connotes a democratic, rather than transformational view. In this regard Sergiovanni (1994) names followership in shared contexts as a new skill for leaders of collaborative organisations and suggests the substitution of professional and moral authority casts principals and teachers together into roles as followers of shared values. More latterly Andrews and Lewis (2003) concur, and further assert that a view of the transformational leader setting goals and inspiring others to join in working towards those goals is becoming outmoded as the professional community matures.

Introduction

The current literature on school leadership recognises post-industrial notions to do with empowerment and emphasises the concept of distributed leadership. However distributed leadership plays in different ways across schools and systems. Challenges to leadership orthodoxy (Grace, 1995; Starratt, 2001) suggest current descriptions of distributed leadership simply posit another way to engender compliance with dominant goals where the emphasis is on solving problems rather than problematising them (Harris, 2003; Woods, 2004). In support of this challenge to orthodoxy in school leadership the IDEAS process of school revitalisation (an Australian development born out of a partnership between the University of Southern Queensland and The Queensland Department of Education and the Arts) emphasises a distinctive form of distributed leadership – namely parallel leadership. Recent research in a sample of IDEAS schools bolsters the contention that teachers and principals engaging with the concept of parallel leadership develop strong affiliation with the broader democratic intentions embodied in the ideas of empowerment and emancipation.

The Concept of Parallel Leadership

Parallel leadership is an idea embedded in the schoolwide approach to school reform called IDEAS. IDEAS is a process in which the professional community of the school, in concert with the wider school community, engages in collaborative learning to both enhance the school's approach to teaching and learning, and to heighten the integration of teaching and learning with the school's vision, values and structures.

The concept has been explained as a process that encourages a particular relatedness between teacher-leaders and administrator-leaders that enables the knowledge-generating capacity of schools to be activated and sustained. While relevant to a wide range of organisations striving to function in a post-industrial world, parallel leadership is most naturally located in the school where the creation of meaning out of processes of learning and teaching constitutes the core activity (Crowther et al, 2001).

Studies show that parallel leadership successfully facilitates school reform through three interacting processes: school-wide professional learning, school-wide pedagogy, and school-wide culture building. Its attributes are defined as “mutualism, a shared sense of purpose, and allowance for individual expression” (Crowther, Hann, & McMaster, 2000, p. 27) – attributes which emphasise a revised view of relationships in the post-industrial organisation.

Background to the Research

The following discussion arises from a current PhD research project. The overall objective of the research is to understand how a sample of principals who engaged with the concept of parallel leadership through the IDEAS process conceptualise principal leadership. The chosen cases self-identified through their demonstrated reflexive leadership practice and their embrace of a basic belief system consistent with the attributes of ‘parallel leadership’: mutualism; a shared sense of purpose; and allowance for individual expression. Their suitability was furthered bolstered by reports from others in their professional communities that describe the transformative practices of which the principals have been a part. The claim was made that the relationship between principal and teachers has been a major contributor to outcomes and

that this relationship has grown through the IDEAS process.

The researcher employed a dialogical process where researcher and participant jointly constructed meaning and knowledge through iterative cycles of information-gathering and interpretation. A progressive analysis built on understanding of the previous data and sought to, as fully as possible, account for subjects' experiences and understanding to do with the phenomenon of leadership in formulating meaning in terms of conceptions of principal leadership. Reflective and reflexive activity developed deep self-understanding among informants in regard to their leadership. Professional and personal biographies were recalled, key episodes were surfaced, personal leadership frameworks were established and principal leadership within the IDEAS process explored. This paper takes from one aspect of the research - descriptions of one principal's leadership within the IDEAS process - and uses these to surface some emerging findings about the principal's democratic orientations consistent with parallel leadership theory.

A Democratic Orientation Realised – A Discussion

This following discussion attempts to illuminate how one principal works synergistically with teacher leaders in a process of school revitalisation and improvement. Some of the key features of this principal's leadership are:

1. Promotes teacher leadership and extends leadership to the broader school community

- Positions self as part of a representative management team
- Sponsors teacher leaders irrespective of their allegiance or persuasion
- Steps back in favour of teachers' heralding innovation
- Balances induction into a particular culture with appreciation of the views that others bring
- Supports open and frank discussion about school innovation and the school's achievements
- Makes explicit ideas about organisation-wide leadership

2. Encourages a particular relatedness between teacher-leaders and administrator-leaders which enables the knowledge-generating capacity of schools to be activated and sustained

- Recognises a shared sense of purpose is engendered through the collaborative creation of a vision
- Sponsors and promotes a visioning process that articulates the shared values, beliefs and aspirations of school and community members.
- Sponsors and promotes a process that develops a school wide pedagogy
- Aligns personal thinking with the emerging collective vision
- Emphasises an abiding focus on the classroom

3. Makes alignments (or otherwise) explicit, and co-ordinates alignment in relation to the organisation

- Develops a view of the current status of teaching and learning in the school
- Seeks to understand how the school is viewed from both inside and outside the school
- Reconceptualises external requirements in relation to school priorities

- Makes obvious the connection between school innovation and external proposals
- Highlights school successes in relation to external requirements
- Co-ordinates and aligns the school-wide interests of various school community stakeholders

The key features above are clarified by integrating selected comment (in italics) from interviews and conversations concerning one principal informant with observations on the concept of parallel leadership and other literature on distributed school leadership. It is not intended to capture a full treatment of the metastrategic principal in this paper, but rather, to explore one person's mindset around principal leadership with a view to emphasising a key distinctive of parallel leadership – namely its democratic orientation.

The actions of leaders at the outset of the IDEAS process can influence the level of engagement with the innovation, particularly by teachers. The principal's moves send strong messages about ownership and the locus of the innovation within the school. *[principal]...as far as I'm concerned - in terms of representation - to try and not just select the 'in' group but to tap the potential of [wider] influences... I was part of the IDEAS Management Team. I made it a priority to attend all of the meetings...the group comprised volunteers.* When a principal is personally predisposed to a particular innovation, invitations to provide comment and critique can easily fall prey to what is essentially a foregone conclusion. The case in question demonstrates a great respect for persons, and boundaries around 'voice' are lifted with the intent of establishing an authentic professional learning community. When asked to explain a view of their workplace, teachers in this school used descriptions like *...acceptance; belonging; not a cog; valued and respected; promotes interaction; confidence; supportive; and...we are not afraid to show vulnerability. One teacher describes their view of decision making like this: The management structure for decision-making is not only broadly representative but also open..... staff, ancillary staff, parent power, student power...we have these different bodies who have been given control of their future, of what happens in their school...they feel empowered.*

Parallel leadership is to be understood as an organisation-wide phenomenon (Ogawa & Bossert, 1995) but goes further than current distributed leadership descriptions and makes explicit the equivalence of teacher leadership and principal leadership. When the IDEAS innovation was explained to the school community, the principal stepped back in favour of providing another staff member with the opportunity to herald the initiative across school-wide forums. There appears to be great sympathy with Jackson's comment (2000, p.76) that "school leaders as well as other staff have to learn that collaboration requires that they allow position to be determined by the tasks at hand" observing that "it is not always easy to accept that following appropriately is better than leading habitually".

Research shows the principal to be a key agent in the development of a professional learning community. Scribner et al. (1999) are unequivocal when they describe the role of the principal as the most important facilitating or impeding factor in developing professional learning communities. They cite leadership style, involvement verses hands-off, re-enforcement of shared norms, and the openness to and encouragement of double loop learning, as critical mediators in the successful establishment of professional learning communities. *She [teacher leader] had agreed to be the facilitator and in my head I didn't want people to be coming into it because they thought this is what the principal wanted. People are more willing to speak up against what's being proposed if it is not the principal who is proposing it publicly.*

As well as actions like this that encourage open and frank discussion strong messages about the importance of the individual's voice pervade the process. Our staff are changing and while new staff have to be inducted into what we are on about they have to bring with them their views about teaching and learning, and perhaps ultimately...the prevailing view will be we won't continue with it and we'll do something different. Further to this, the principal's appreciation of the importance of opening up issues is evidenced in the way the principal promotes and facilitates a school culture of self examination and organisational inquiry. *This is my piece of research and I'll be feeding back through the management team...because we have to continue to discuss: what does this mean - this teaching and learning culture? Should we be continuing to make it more explicit or have we got to a stage where it is part of the culture...continuing to check where we are going, evaluating, revisiting and trying to move people forward in terms of what the original objective was...and perhaps even modifying the original objective?*

The case illustrates that in this process, an epistemology of organisational learning (Argyris & Schon, 1984) that emphasises error correction rather than prevention is preferred to hierarchical and infallible views of knowledge (Evers & Lakomski, 1996). This epistemology is re-enforced in other ways – such as making explicit links to leadership. *I don't use the term parallel leadership at all though I talk about leadership and encourage - I say to students and to staff, everybody has an opportunity to be a leader and I say to students that the principal of the school is a learner – I learn a new thing every day - so [entwining] the idea of learning and leadership is something that's part of my language.* This invitation to learn and lead pervades structures. For example, student efficacy is enhanced through representation on every school decision-making committee, and students see this experience as setting patterns for an adulthood of active and informed citizenship. ... This school consistently presents a positive, dynamic 'vibe' in student learning and development. Students are privileged to have extensive opportunities for growth in leadership and teamwork and this tie with the school vision. Students encounter roles carrying real responsibilities, allowing us to develop and enhance our life skills – priceless in the broader community (student comment).

The consistency between how leadership plays out within the organisation and the idea that '*we are all learners*' pervades the specific processes of knowledge generation: That is, the development of a collective vision and school wide pedagogy through which mutualism grows.

The visioning process in IDEAS is an important testing ground for the espoused values of parallel leadership: mutual trust and mutual respect; a shared sense of purpose; and allowance for individual expression. As this principal noted, *there was a lot of talk about the need to have a very simple succinct vision where there is ownership. I knew that we needed to do further work. We embarked on discussion around that. Many people were very uncomfortable with having something like [this]. It was considered to be too unrealistic. For me – I was quite comfortable with that. The idea of peace was popular with some while others still searched for new meaning. In fact I can remember that the most emotional discussions we've had since I've been here were about the vision statement.* The development of a collaborative vision involves a process of 'give and take' and requires individuals to grow ways of working together which is less about personal compromise and more about value adding to others' ideas. As the following comment shows, it can also be about capitalising on unintended consequences and 'creating opportunities out of perceived difficulties' (Crowther et al., 2002 p.60). *The School Council were advised we were having these discussions among staff and got very upset that staff might*

be taking over developing the strategic view for the school and I had to reassure them that this was just part of a school-wide process and we would be reporting back to School Council on what had happened as a result of those discussions - and that was OK - but for a while there were a few parents, including the chair of the School Council, who thought the staff should be doing operational stuff not developing the vision for the school – as it turned out the ensuing conversations were quite healthy. He [the Council chair] was the one that came up with the words of the final vision statement. People agreed across the board – students, parents, staff - all had an opportunity to have an input there.

In spite of being torn between many competing priorities, this principal focuses energy on ‘the classroom’ – not in a personal instructional sense – but as expressed in the promotion, facilitation and support of processes that help the school community define and develop context specific pedagogy for improved student learning. *I observed very early in the piece - a hard core of experience and very committed teaching staff - though [staff] hadn’t done a lot in terms of sharing what their teaching involved - I mean talking. Sharing resources has been part of the tradition and has expanded quite rapidly but talking about what teachers do in classrooms has been something that has happened more lately and I believe that the IDEAS process has helped that along through being very specific about developing a school wide pedagogy.* The process of creating a school wide pedagogy generates an appreciation that any vision that is not translated into pedagogy, not only truncates the process of envisioning, but also fails to realise a focus on developing classroom practice. *I think IDEAS was adopted because people were quite excited about the dialogue that had been happening – after school at that – about what was happening in the classroom. We felt by formalising it and actually developing a school wide pedagogy - this would be useful and helpful for teachers and students.* The point here is that a successful focus on pedagogy schoolwide doesn’t occur in a vacuum. It does however find expression in relation to schoolwide processes that create and align vision and pedagogical practice.

The principal in this case understands that mutualistic relationships between administrators and teachers are developed and deepened through an experiential process that focuses on teaching and learning. As opposed to tactical attempts at improvement which operate on a short term and superficial level or even more strategic approaches which may lead to more substantive but ultimately limited improvement, there is an emphasis on an approach which operates on enhancing the school’s capacity for sustained development (Day et al., 2000). Added to this mixture is the important element of alignment.

The discovery phase of the process facilitates the mutual construction of a current image of the school which individuals and groups subsequently work with differentially, according to their particular orientation or role within the school. The principal said: *For me, I guess it reaffirmed what I suspected - that staff felt they were working quite well together... but students’ level of pride in their school, and level of self-esteem and so on was a real issue. The damage that [a certain] incident had - staff that had been here for a long time would shudder when you even mentioned [the word] - and I think the damage impact on people in the [wider] community had been significant...so, we had to do a lot of work in that area and we did. We set out to work in such a way that students would be proud of the school [and its place] in the community.* The principal developed a view on both the school strengths and challenges and used this knowledge in a process that developed synergy across key organisational elements within the school. The School Council Chair explains: *What’s happened in recent years is the whole*

school community has come together ...the excellent attributes of the school have been focused in a powerful way and I am delighted to note how many other parents share my view.....we don't see disasters on the horizon because everybody is pulling together.

The efficacy of the work done around vision and schoolwide pedagogy in fact extends beyond the 'classroom'. In this instance it is immediately evident that there is heightened internal authority upon which school members, including the principal, speak in relation to school priorities and external requirements. *I've also been very aware of the system priorities and requirements to do certain things as a principal of a state school. I mean Productive Pedagogies Training was something we were all required to implement. That was communicated to this staff but we were able to [reframe] it in a way which gave us feedback about what we had done already [the creation of a school-wide pedagogy] and that basically, were able to say we are leaders in this field [pedagogy]. So I inform people about what our systems priorities are. The School Council are quite familiar with Destination 2010...and what we're required to do but, [through our process], we are also quite proud of the fact that we initiated work in this area previous to it becoming education policy.* The process of developing a school-wide pedagogy has enabled broad leadership and created a rich context for any system initiated discussion about pedagogy. The creation of a powerful definition of context-appropriate pedagogical practice positions teachers to critique other pedagogies and the capacity developed through processes of visioning and school-wide pedagogy enables the school leadership to understand, reframe and integrate external agendas with school priorities.

Some conclusions about the Principal in Parallel Leadership

1. Principals demonstrate an overall orientation which suggests they wish to be part of what is essentially a moral endeavour (Duignan & Macpherson, 1992). There appears to be a particular regard for those involved in the process as ethical beings where 'a richer and fuller humanity is experienced and activated by people acting in communion' (Starratt, 2001 p. 338);
2. The principal promotes collaborative individualism through a recognition of not only individuals' potential contributions but moreover, their freedom to act. Diversity is appreciated and is harnessed to the construction of new meaning in processes of visioning and school wide pedagogy. In this respect, leadership is not distributed on the basis of people's skills, or even motivation, but through an open and ongoing invitation to all. Furthermore, 'neo trait theory' (Gronn, 2003) - explanations of leadership in terms of personal characteristics, expertise or motivation - is replaced by a conception that explains leadership as a process;
3. The principal contributes to knowledge generation through enabling new levels of mutualistic endeavour - what Gronn (2002) refers to as '*concertive action*', and what IDEAS describes as collective intelligence (1+1=3). This is done through modelling a predisposition to seeking ways to value add rather than laying blame or seeking to impose a singular view. Consequently, the principal is able to view comment objectively and put trust in collaborative processes.
4. The principal, in concert with teacher leaders (parallelism), creates a depth of mutualism which overcomes tendencies to narrow conceptions of democracy in which leadership serves an instrumentalist function, chiefly as a means of engendering compliance with

dominant goals and values by harnessing staff capabilities to realise these (Woods, 2004). In this case the principal supports the extension of leadership to school members beyond the professional community and parents and students are regarded as partners in the mutual construction of meaning.

5. The principal also plays a critical role in developing school cohesion and alignment through highlighting internal and external organisational linkages in a process which enhances the school's ability to prioritise and balance internal responsibilities and external pressures.

Summary

Parallel leadership challenges the orthodoxy that is still prevalent in many descriptions of distributed leadership. It is permeated with an educative focus which suggests leadership as 'a technology of control' (Bates, 1992 p. 46) is swapped for such values as, respect for persons and difference, tolerance, the value of criticism and critical feedback, and education and learning (Popper, 1945 cited in Evers & Lakomski, 1996). Engagement with the concept of parallel leadership grows an appreciation that "democracy needs to pervade the structures, relationships and learning...in ways that distributed leadership does not (Woods, 2004 p. 4)" and that furthermore, leadership is less about personal characteristics and more about process.

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Non-refereed Articles

The articles in this section – all based on conference presentations – provide interesting and informative perspectives on a range of practical topics relating to educational leadership. The articles have not, however, passed through DEST verification requirements for refereed ‘academic’ articles: rather, the authors have attempted to maintain the ‘flavour’ of their original conference presentations. For this reason, the reader is asked to focus on the practical rather than the academic strengths and contributions of each article.

A New Model of Transformational Leadership

*John Alban-Metcalf,
Beverly Alimo-Metcalf,
Nick Burnett*

This paper will briefly examine the background to, and development of, the public sector version of the *Transformational Leadership Questionnaire (TLQ)*. The *TLQ*, which is a 360-degree/multi-rater instrument, provides confidential diagnostic feedback in relation to fourteen dimensions, plus data on ten Leadership Impact Measures. The paper will also explore the research processes and outcomes identified by a random stratified sample ($n = 248$) of the National Professional Qualification for Headteachers (NPQH) graduates of the 2001 cohort, who participated in the 'Transformational Leadership in Schools (TLiS) project' which was undertaken to examine the applicability of *TLQ* to school leaders.

Leadership Competencies and Transformational Leadership

Whilst not being the major focus of this paper it is valuable to draw a distinction between leadership competencies (what might be described as the what of leadership) and transformational leadership (the how of leadership) (e.g., Kotter, 1990; Bass, 1998).

Leadership competencies are behaviours that are goal-directed, and geared to developing processes and systems. Such behaviours enable staff at all levels to plan effectively and efficiently, in order to achieve agreed goals. High levels of competency can lead to a degree of consistency within a team, department or organisation, thereby enabling staff to make day-to-day decisions and short-term predictions, with a measure of confidence. Leadership competencies are often closed-ended in nature. They are necessary in order that staff can undertake strategic planning, and in this way help to turn the vision of an organisation, department or team into a reality.

Transformational leadership is essentially open-ended in nature, enabling organisations not only to cope with change, but also to be proactive in shaping their future. A transformational organisation is one that is characterised by a culture based on integrity, openness and transparency, and genuine valuing of others. Such a climate shows itself in concern for the development and well being of others, in the ability to unite different groups of stakeholders in articulating a joint vision, and in delegation of a kind that empowers and develops potential, coupled with the encouragement of questioning and of thinking which is critical as well as strategic.

Leadership competencies and transformational leadership are both necessary for success; indeed they are complementary (Kotter, 1990; Bass, 1998). What managers and professionals are saying is that the most important prerequisite role for leaders to determine what they can do for their staff. This is clearly in a similar vein to the work of Greenleaf (1970, 1996) who proposed the model of ‘leader as servant’ – a model that has particular relevance to education. However, what is not being said is that leadership is simply about meeting staffs needs. The managers and professionals who participated in the research also articulated a view of leadership that is fundamentally about engaging others as partners in developing and achieving the vision, which in turn leads to achieving desired results. It is also about promoting a fertile, supportive environment for creative thinking, for challenging assumptions about how provision should be delivered. It is about much greater sensitivity to the needs of a range of internal and external stakeholders, and it is about ‘connectedness’ – joined-up thinking.

The *TLQ*

The *TLQ*® is based on a UK investigation where extensive research was undertaken with 3,500 public sector managers. The sample is the first of its kind to include women (ratio was 1:1 to men) and people from black and ethnic minority groups. For more information and papers on the development, background and use of *TLQ* please see the references section at the end of this paper.

Unlike several existing instruments, the *TLQ* is concerned with nearby, day-to-day leadership, at every level in the organisation, as opposed to simply distant leadership (e.g. ‘vision’, and ‘charisma’), or the characteristics of the most senior managers.

The *TLQ* comprises 14 dimensions of transformational leadership, under three clusters:

1. Leading and Developing Others

- *Showing Genuine Concern*. Genuine interest in staff as individuals; values their contributions; develops them.
- *Enabling*. Trusts staff to take decisions/initiatives on important matters; delegates effectively; develops staffs potential.
- *Being Accessible*. Approachable and not status-conscious; accessible and keeps in touch.
- *Encouraging Change*. Encourages questioning traditional approaches to the job; encourages new approaches/solutions to problems; encourages strategic thinking.

2. Personal Qualities

- *Being Honest & Consistent*. Honest and consistent in behaviour; more concerned with the good of the organisation than personal ambition.
- *Acting with Integrity*. Open to criticism and disagreement; regards values as integral to the organisation.
- *Being Decisive*. Decisive when required; prepared to make difficult decisions, and risks when appropriate.
- *Inspiring Others*. Charismatic; exceptional communicator; inspires others to join them.
- *Resolving Complex Problems*. Capacity to deal with a wide range of complex issues; creative in problem-solving

3. Leading and Developing the Organisation

- *Networking & Achieving*. Inspiring communicator of the vision of the organisation/service to a wide network of internal and external stakeholders; gains the confidence and support of various groups through sensitivity to needs, and by achieving organisational goals.
- *Focusing Team Effort*. Clarifies objectives and boundaries; team-orientated to problem-solving and decision-making, and to identifying values.
- *Building Shared Vision*. Has a clear vision, in which s/he engages various internal and external stakeholders in developing; draws others together in achieving the vision.
- *Supporting a Developmental Culture*. Supportive when mistakes are made; encourages critical feedback of him/herself and the service provided.
- *Facilitating Change Sensitively*. Sensitivity to the impact of change on individuals and different parts of the organisation; maintains a balance between change and stability.

The *TLQ* process is supported by substantial materials relating to each of the 14 scales, referred to as IRIAMs. IRIAM is an acronym that stands for: **I**dentify; **R**eflect; **I**nforn; **A**ct; and **M**onitor.

The importance of post 360-feedback is paramount, since without such support, expectations which are raised, may not be fulfilled, and colleagues who have contributed to a manager's ratings may become cynical if nothing changes as a result of the process. Best practice in leadership and 360 research, stresses the fact that 360 without development, can be virtually useless, whereas 360-feedback plus systematic tailored development, can help increase leadership effectiveness, organisational commitment, and performance, significantly.

The *TLQ* also includes 10 *Leadership Impact Measures* (dependent, or outcome, variables), which assess the impact of the 14 scales of transformational leadership behaviour, on the psychological well-being of the individuals staff. These impact measures include: stress; general motivation; motivation to achieve beyond expectations; job satisfaction; job commitment; organisational commitment; and self-confidence. These variables were selected because they assess different effects of leadership, because they relate to well-being at work, and because they have been found to be moderators of performance, turnover, etc. We are unaware of the existence of other instruments which include such measures.

Data can be gathered from a range of 'other' raters, including, bosses, peers, direct reports, and an 'other' group, such as 'partners' or other external stakeholders.

Three of the most important features of the *TLQ* are: (1) that each of the items comprises an observable or readily inferable behaviour or quality, written consistently with Facet Theory (Donald, 1995); (2) that embedded in the questionnaire are ten Leadership Impact Measures, which assess the effect on the 'target' individual's actions on direct reports; (3) that the report includes suggested actions that can form the basis of a personal development plan.

The *TLQ* is currently used extensively across the public sector within the UK, including by the National Health Services (NHS) (including Chairs of Primary Care Trusts (PCTs), Local Government top and senior management teams, the NHS Modernisation Agency, two large organisations in the Criminal Justice System, a Central Government Department, (which independently conducted a validity study of the *TLQ* and is now recommending its use for development), and the NCSL (National College for School Leadership), which will now be examined in more detail.

The Transformational Leadership in Schools Project

The key purposes of the *Transformational Leadership in Schools* (TLiS) Project, which was commissioned by NCSL in England, were six-fold:

1. To inform teachers who have recently obtained the National Professional Qualification for Headship (NPQH) (referred to as the “participants”) and other staff, about the nature of transformational leadership and its implications for schools;
2. To measure transformational leadership among the sample of NPQH graduates and to make comparisons between them and corresponding groups in other public and private sector organisations;
3. To provide the participants with detailed assessments of their own transformational leadership behaviour, qualities and attitudes, based on 360-degree feedback;
4. To identify strengths, to diagnose developmental needs, and to propose developmental activities to increase transformational leadership behaviour, qualities and attitudes;
5. To support the development of research capabilities and skills among NCSL Research Associates attached to the project;
6. To propose and/or to collaborate in associated research activities in the area of transformational leadership.

The process by which the *TLQ* can be used to maximal effect, as in the TLiS project, can be divided into three stages:

Stage 1 involves the following processes:

- an individual or organisation makes a decision to use the TLQ in order to gain developmental feedback;
- detailed consideration of the implications and of logistical issues;
- the signing of a contract;
- in the case of an organisation, identification of individuals who wish to volunteer to participate.

Once these matters have been agreed to, participants are introduced to transformational leadership and the TLQ for all those, including:

- the nature of transformational leadership, including the difference between leadership competencies (‘transactional leadership’) and transformational leadership;
- the significance of transformational leadership in helping to enable the personal and professional development of staff, in promoting a more efficient and a more caring organisational culture, and ultimately in increasing the effectiveness of an organisation, judged in terms of criteria that include both financial and other material rewards and quality of life for staff, clients and the community;
- the research that led to the development and validation of the TLQ; plus consideration of:
- the nature, implications and potential dangers of 360 feedback;
- the diagnostic process;
- completion of the TLQ, including the selection of appropriate raters.

In the case of TLiS project:

- completion of the TLQ by a 10% representative sample of the 2018 NPQH graduates of the year 2001, drawn from each of ten regions, was commissioned by NCSL;
- LRDL and NCSL undertook a selection exercise in order to recruit (a) ten current or recent-

ly retired headteachers, who act as Project Associates (PAs); (b) three current headteachers, who would act as Research Associates (RAs). In the event, one of the PAs was additionally recruited as a fourth RA.

- the NPQH graduates were contacted via NCSL and invited to participate in the TLiS project. Since a total of 750 requests to participate were received, NCSL increased the number of potential participants to $n = 350$. Participants were selected by LRDL so as to ensure a representative sample, with regard to female vs. male, primary vs. secondary vs. special school;
- in parallel, LRDL trained and accredited both the PAs and the RAs in the use of the *TLQ*, including how to present introductory and group feedback sessions, and how to conduct individual one-to-one feedback/discussion interviews.
- The PAs were trained, over two sessions, in how to establish action learning sets/peer support groups (PSGs).

Stage 2 involves the processing of *TLQ* data yields data at three levels of analysis:

- self scores vs. average of all other raters on each of the 14 scales
- self scores vs. average scores for direct reports; for boss, peers and others combined on each of the 14 scales
- self scores vs. average scores for direct reports; for boss, peers and others combined on each item within each of the 14 scales

Thus, the target individual receives detailed information about the way in which s/he is perceived in relation to each of the items that make up the *TLQ*. In addition, each report includes the two IRIAMs that correspond to the scales on which the individual was rated lowest by all raters.

Stage 3 involves expertise derived from three principal sources: (1) knowledge and understanding of the nature and significance of transformational leadership, coupled with a sound understanding of the *TLQ* process; (2) a clear understanding of the role of a headteacher and other school leaders in leading a school in a way that leads to the development of a transformational culture; and (3) the range of analytical and interpersonal skills that can enable participants in a 360 degree process both to interpret and to take ownership of the data contained in their report.

In the TLiS project, the expertise was identified and developed through the rigorous selection process and the training, to which reference has already been made. At the same time, however, it must always be recognised that the value of interpreting any such data lies in the *generation of hypotheses*; any conclusions that are drawn, however insightful and plausible they might seem, are only 'best guesses' – guesses that can be confirmed or disconfirmed.

Consistent with 'best practice' (Alimo-Metcalf, 1998), hypotheses of this kind can only be *tested* by gaining specific, behaviourally-based evidence from those individuals who provided the ratings. Hypothesis testing, which is the next stage in the *TLQ* process, is undertaken by asking the raters (and others) for actual examples, (a) of particular actions which they see as instances of what they regard as appropriate leadership behaviours, and (b) of particular actions which they regard as inappropriate.

At a practical level, it is recommended that the rater be given an indication of the area in which feedback is sought, but be asked to give the answer some time later, so that a considered, rather than spur of the moment, response is given. There is no suggestion that the target

individual should reveal any of their ratings.

Information gained in this way serves three important functions:

- to confirm or disconfirm hypotheses that were generated;
- to inform the target individual about the reasons (causes) why s/he was rated the way they were;
- to guide the formulation of an appropriate course of action.

In devising such action, in the form of a personal development plan, the target individual is advised:

- to limit any action to not more than two or three goals;
- to propose actions that answer the following questions:
 - What can I do to ensure my own personal and professional development?
 - What can I do to ensure the development of the team with which I work most closely?
 - What can I do to ensure the development of the organisation (school) as a whole?

Recommendations for Future Action from the TLiS Project

Overall, the evaluation of the TLiS project can be seen to be extremely positive, with the *TLQ* being seen as relevant to school leaders as to leaders in other public and private sector organisations. Some of the specific recommendations relate to the *TLQ* process as such, others to its use among different groups of school leaders. Thus, there were recommendations that some of the items be re-phrased in such a way that they are more relevant to the school context, while others made the suggestion that as wider a range of other raters as possible should be involved, particularly in larger schools.

Apart from the quality of the data given in *TLQ* Reports, which was recognised as being precise and, because items are written in behavioural terms, in a form that enables the participant to propose specific courses of action, the crucial role of Project Associates was recognised. The success of their contribution to the process of diagnosis and the formulation of personal development plans was fully recognised. There was the almost unanimous recommendation from the NPQH graduates that the *TLQ* be offered for use by other NPQH graduates and by head teachers who are not NPQH graduates. Two-thirds were also in favour in recommending its use among deputy heads and middle managers who are not NPQH graduates. Concomitant with this is the need for a greater number of suitably qualified individuals to be trained and accredited both to give one-to-one feedback, and also to offer support for professional development, for example, through action learning sets/peer support groups.

While recognising that there is one aspect of leadership – instructional leadership – that uniquely finds its place in educational institutions, schools can no longer ignore, nor indeed fail to profit from, developments already well-established in other parts of the public sector. The implications of these findings are four-fold. One, is that the leadership qualities and behaviours identified by direct reports are those that a leader at any level should strive to develop, and toward which leadership programmes should be aimed. A second, is that if schools are to develop in ways that suit them to the needs of the 21st century, then programmes of leadership development at all levels, must have the development of transformational behaviours, attitudes and qualities at their core. This is not only important for ensuring that headteachers can do their job effectively, but that such effectiveness is a hallmark of leadership at all levels in schools. Thirdly, if schools do become more transformationally-orientated, they can ensure

that the quality of life in schools is such that teachers not only want to remain within the profession, but also seek promotion to middle and senior management positions. Fourthly, for a transformational culture truly to be embedded in the school, the most senior teachers must adopt such a model in their own day-to-day behaviour – a model based on feedback from others, leading to appropriately targeted personal development plans.

At a practical level, just as much attention should be devoted to developing a transformational leadership as leadership competencies. Indeed, the key to success might best be thought of as through performing leadership competencies in a transformational way.

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What Is *Dare To Lead*?

Andrea Harms

Dare to Lead is a Commonwealth-funded project dedicated to improving educational outcomes for Aboriginal and Torres Strait Islander students, as well as committing schools to work towards making Reconciliation a reality.

From April 2003 to April 2005, *Dare to Lead* was in the 'taking it on' phase. This phase focused on building a coalition of like-minded educators and their schools which could work together to create a measurable positive impact in Indigenous education. The *Dare to Lead* Coalition currently has 3143 school members. This means that more than 30% of all Australian schools (excluding special schools) have joined the *Dare to Lead* Coalition – a group of schools from all systems and sectors, and from every part of Australia, which has dedicated itself to leading the way in Aboriginal and Torres Strait Islander education.

The project is predicated on two beliefs, both borne out by research: firstly, that the key agents of change in education are principals and other school leaders; and secondly, that improvements must be made in Indigenous education outcomes. These two tenets have provided the foundation for *Dare to Lead* since the project commenced in 2000. School leaders were targeted as the critical people who could drive the project forward.

The latest phase of *Dare to Lead*, 'making the difference', commenced in May 2005. Now that awareness has been raised and the Coalition is large enough to have critical mass, the focus is on achieving measurable outcomes. This will be done by implementing effective strategies within geographically-defined Action Areas, and analysing aggregated data to track changes in key indicators.

Dare to Lead's ongoing targets are: the improvement of Indigenous students' literacy rates at Year 5 by 10% over the course of the project; and increasing the retention of Indigenous students from Year 10 to Year 12 completion by 10% in the same timeframe. Statistical information will be collected over the course of the project to verify the extent of improvement. All Coalition schools, irrespective of whether or not they have Aboriginal or Torres Strait Islander students enrolled, also commit to review and where possible improve the quality of teaching about Australia's Indigenous peoples as a practical step towards reconciliation.

Australia's four peak principals' bodies – Australian Primary Principals' Association, Association of Heads of Independent Schools of Australia, Association of Principals of Catholic

Secondary Schools of Australia, Australian Secondary Principals' Association – provide great support and leadership for this project. The joint work on *Dare to Lead* by the peak principals' associations is a model of collaborative effort. It mirrors another belief of the project: that the most effective way forward is to work in a truly collegial manner, with the Catholic, government and independent sectors, the primary and secondary systems, and schools in urban, regional and remote contexts all striving for the same goals. The support of the principals' associations was spelled out by the associations' presidents at the launch of the 'making the difference' phase by Dr Brendan Nelson, Minister for Education, Science and Training, at Parliament House in Canberra in late May 2005. "We need a deep belief that every child can learn," Dr Nelson said at the launch. "What you have achieved already through *Dare to Lead* is extraordinary. We need to keep working towards a situation where Indigenous students can find and achieve their full potential. I think that our progress as a country will be measured in part by the extent to which we can lift outcomes for Indigenous people, and education is the fundamental building block in achieving this. *The Dare to Lead* project has performed well above expectations in recruiting schools (to the Dare to Lead Coalition). We have an ambition however to move from 2880 schools to 5000 schools. I come from Planet Commonsense, and I find it very hard to believe that any Australian school would not want to be part of this project."

"The 'taking it on' phase of the *Dare to Lead* initiative has now been completed with nearly double the anticipated number of schools and organisations signing up for this most laudable effort," Ted Brierley, Chair of the Australian Principals' Association's Professional Development Council (APAPDC) and President of the Australian Secondary Principals' Association said. "Now comes the 'making the difference' phase, the time when schools put into place programs that will improve the life success options of Indigenous students across Australia. The state and territory school leader professional associations will play the vital role in coordinating the resources provided by the DEST through APAPDC which are aimed at assisting schools to utilise the resources being provided to teachers in performing their professional duties. There is perhaps no greater challenge facing Australian educators today than that of improving Indigenous outcomes across the nation, but it is a challenge that we, as Australians for Australians, must overcome. We have agreed to 'take it on'. Now it is time to 'make the difference'."

"The fact that the sign up figure during Stage 2 has far exceeded expectations speaks volumes about everyone's commitment and passion to improve the learning outcomes of our Indigenous students," Leonie Trimper, President of the Australian Primary Principals' Association said. "Signing an agreement though is the easy part, and only the beginning of the journey. Making a genuine difference is the hard part, and it is only by all of us working together that we will achieve this."

"Making a difference is what actually matters!" Malcolm Lamb, President of the Association of Heads of Independent Schools of Australia said. "Results are what we are judged by. The resources of DEST, the coordination, leadership and professional development of APAPDC, and the willingness and work of those in schools is required for this great challenge. Galvanising local communities into action with quality leadership will lead to results."

"A significant number of Catholic schools have joined the *Dare to Lead* Coalition, a trend replicated across a variety of states and territories and across different education sectors," John Aldous, Chairperson of the Association of Principals of Catholic Secondary Schools

of Australia said. “APCSSA continues to acknowledge the need to improve educational outcomes for indigenous students – to do so is in keeping with principles of justice, equity and reconciliation. For many of us in school leadership the vital first step has been to ‘take it on’ and to join the Coalition. The very real challenge remaining for us all is to ‘make the difference’ for our students as we continue to support the *Dare to Lead* project.”

Dare to Lead supports project participants by providing leadership development and professional development opportunities, regional networking opportunities, access to cultural tours, networking through buddy school partnerships, access to the What Works tool, electronic newsletters and mail-outs, a website with practical links and information, subsidised resources, and an opportunity to participate in the annual Excellence in Leadership awards. Data collected from school reviews show that between 2002-04, *Dare to Lead* schools made strong advancements in implementing a variety of practical strategies including: events encouraging interaction between Indigenous and non-Indigenous people, auditing school resources for appropriateness and comprehensiveness, flying Aboriginal and Torres Strait Islander flags regularly, acknowledging traditional custodians of the land at special school events, and engaging Aboriginal and Torres Strait Islander artists.

During the ‘making the difference’ phase of *Dare to Lead* there will be a much stronger focus on local activity. Cornerstones of the project such as modelling best practice and sharing information about effective initiatives will still occur across the Coalition through newsletters, mail-outs, the website and visitation programs. However the primary place where this sharing of successful strategies will occur is through local and regional networks called Action Areas.

It is anticipated that these local area networks will help all Coalition school leaders embed effective Indigenous education strategies into their school practice. There will also be a role for Action Area leaders in approaching colleagues in local non-*Dare to Lead* member schools and encouraging them to join. School leaders will have the opportunity to network and engage in professional development activities within their

If your school is not yet involved, we urge you to join your colleagues in the *Dare to Lead* initiative. If your school is already a *Dare to Lead* Coalition member, we look forward to working with you closely in the future as we strive to ‘make the difference’.

Leading with Humanity: The key focus of new leadership paradigms

Tricia Mason-Smith

We live in a new highly complex and demanding world. The mechanistic, industrial, predictable certainty of the modern period has undergone fundamental changes which have ushered in a new and often confusing and contradictory, way of viewing the world. This new world climate within which we all now exist, is characterised by dramatically altered economic, social, psychological, conceptual and cultural patterns, which bring with them fundamental changes in the deepest and most comprehensive patterns of previous human existence. The ways of thinking, knowing and understanding of the past, no longer match the reality of the 21st century.

The implications of these changes for all aspects of western society have been dramatic. Some aspects of society have embraced the new era with relative ease, and in an astoundingly short period of time, have bought about profound multi level and systems change. Schools have however, been unable to mobilise the systemic change required for them to realign themselves with the new social, cultural, economic and political patterns. They remain fundamentally unaltered since compulsory education over 100 hundred years ago. They are left in many ways standing anomalously outside the current paradigm. The resultant tensions are huge and place the profession and education itself in a situation of intense pressure and scrutiny and some would suggest 'crises'.

There is significant research on how education could and should respond to these demands. The body of research in 'transformative education' is extensive and suggests dramatic changes are not only desirable but inevitable. The work of 'school renewal' and the focus on 'effective schooling', whilst far less dramatic in its response, still recognises that a significant mind shift is necessary if schools are to meet the needs of the new world in which they exist. Whether educators support the dramatic realignment suggested by advocates of transformation or a more 'reformist' approach, there is consistent agreement that the role of the educational leader is pivotal in this change in schools. Where the confusion falls is that the definition of leadership itself is also undergoing the same dramatic changes forces which are leading every aspect of our knowing and thinking. What it means to be a leader is in many ways a statement directly linked to the dominant way of thinking of the time. So not only is education reinventing itself, it is also reinventing its perceptions and expectation of leadership.

We have undoubtedly seen the emergence of a new theology or paradigm of leadership

in direct response to new ways of thinking about our world. We have clearly begun to ask what are the capabilities of effective leaders in the 21st century. We are asking: “what sort of leaders does the new era need?” We have also begun to analyse leadership in a very specific educational context.

Most leaders in schools today will have considered these new ideas in some form or another as this shift in thinking has been happening quietly in the background for several decades. It probably began with the work of McClland and Spencer in the late 70s. They began a discussion on values, culture and beliefs in educational leadership. In those times their ideas were quite challenging and contrary to the focus on organisational and managerial aspects of leadership which dominated thinking in the field.

This new paradigm comes under many titles, Authentic Leadership, Principal-Centered Leadership or New Leadership. Whilst there is a different emphasis in each of these, and many divergent strands, each stands philosophically apart from most mainstream thinking on leadership from previous decades. The major emphasis has changed and the focus has clearly shifted.

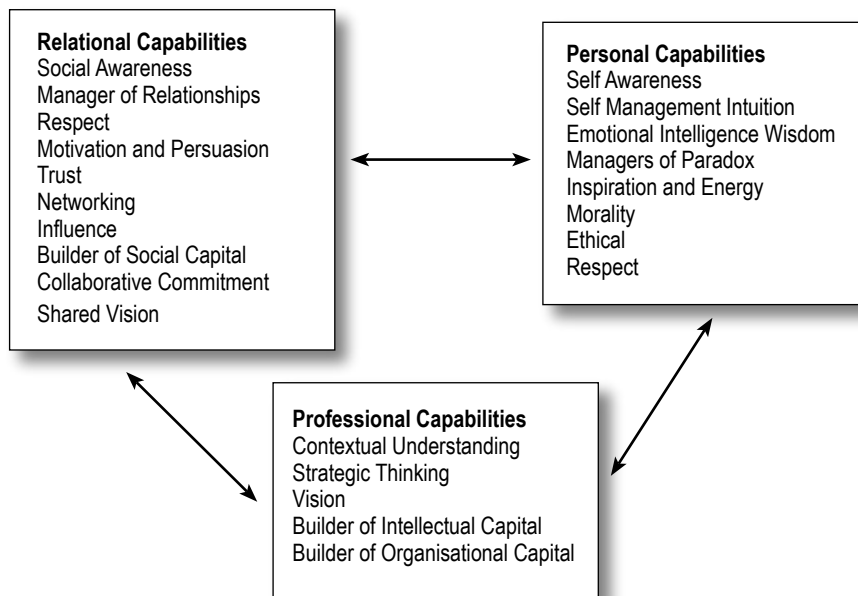
These ideas are partly rooted in a reaction or backlash to the excesses of the leadership models of the 1980s. The focus in these decades had been on economic rationalism and the world as a scientific, technological and logical organism. The focus was power and competition, strength and dominance. This was the era of the rise and fall of companies, of cut throat deals and intense negotiations. The leadership model in this period had grown up, as all leadership models, around the philosophical view points that dominated economics and politics. The focus was on economic success and on leadership as a rational science. The focus was on competencies, checklists and looking at leaders in the same economic rationalist stance that was ruling many business and political decisions.

The new view of leadership would suggest that this approach has a fundamental flaw in that it presumes that leadership can be defined and analysed logically. The suggestion in new leadership is the absolute opposite, as it is an art, not a science and that it defies scientific analysis. It is about human interactions and about the heart and soul of relationships, paradox, personal integrity and value judgments.

These views do not negate the importance of organisational, managerial or professional capabilities, but would suggest that they are just a part of a triad of capabilities that make effective educational leadership. This triad, Figure 1, adds the two components of relational capabilities and personal capabilities as being of equal value.

You will notice that the term capability is used to replace what may have previously been called competency. This change or terminology is not just about semantics but cuts to the core of the difference between the new leadership paradigm and past ways of thinking. Competency as a term corresponds much more closely to the scientific approach to leadership and brings with it by definition limitations and inflexibility. Capability adds a significantly new dimension. The difference is the introduction of the human and relational element. Capability is beyond knowledge, skills and competence. Capability encompasses emotional intelligence in a way that competencies cannot. It is an all round human quality, an integration of knowledge, skills and personal qualities and understandings used appropriately and effectively, not just in familiar and highly-focused contexts but in response to new and changing circumstances (Stephenson, 2000, p. 2)

This input of the non-logical, unpredictable almost chaotic component of human nature

**Figure 1: The Leadership Triad**

is the key dimension of work in the new leadership area. This is the focus on leadership as a human experience. This is the essence of the discussion of leadership with humanity.

If we look at how each of the aspects of the triad, we can see how each contributes to an understanding of leadership.

Personal Capabilities

Because schools are human places they are full of the tensions and paradoxes that are features of humanity. Leaders have the personal capabilities to manage these tensions. This is all about self awareness and self management. It is about valuing intuition and an ability to recognise and use one's emotions to manage situations. It is about empathy which allows one to see oneself through the eyes of others. It is about conventional wisdom and the ability to use this wisdom to live with uncertainty and manage paradox. Authentic leaders live by core values of honesty, truthfulness, trust, respect and integrity, and usually see themselves as providing a service to their communities (Duignan).

If we do not accept and value ourselves, basing our decisions and actions upon the cornerstones of our beliefs, we cannot hope to lead others. For many leaders this requires a personal transformation, leading to a deeper understanding of personal values and a passionate conviction about one's capability to make a difference in the lives of all connected with them (Duignan, 2004). It is all about personally playing a part in humanity, engaging with human values and developing a critical awareness of self and others (Burnham, 2003). The tensions that exist in schools are not to do with management but with value decisions which have been ill-defined (McBeath, 2003). In society as a whole there is a growing awareness of the consequences of neglecting these values and beliefs.

If we do not have the ability to face despair and failure and move forward, we cannot hope to lead others. This ability to embrace failure is stark contrast to the HRO (High Reliability Organisation) model of leadership that fits the old paradigm of leadership. Their favourite metaphor is the aircraft control tower analogy, by which mistakes are equivalent to a series of jumbo jets crashing down. The positive celebration of error and the concept of mistakes as ‘the bridge between experience and wisdom’ is a key difference. There is the moment when you ask yourself if you are the right person for the job. All leaders have moments of despair. Shakespeare calls these the “dark night of the soul”. Henry V faced his dark night of despair as his troops faced massive defeat on the French battle fields. Mandela faced his in prison. Every leader’s legacy is based upon how they respond to the inevitable failures that they encounter. Leadership is about accepting limitations, taking responsibility and taking the failures with the glory. Leaders are remembered more for how they accept defeat than how they celebrate victory. Leadership is not about personal gain or glory. It is about accepting the highs and lows and taking from each of these experiences that which make you stronger. Leaders with spirit “Don’t wait for the world to make them happy”. They find the happiness within.

Relational Capabilities

“Seek first to understand than to be understood” Covey.

This is all about social awareness and the management of relationships. This is about the ability to develop relationships based on respect care and compassion which in turn create environments which encourage and sustain creativity, commitment and elevate human interaction to new and higher levels of motivation and morality (Duignan, 2004). Leadership with humanity recognises that we are no-body by ourselves; only as a part of something do we have meaning. Authentic leaders develop relationships based on respect, care and compassion in order to create organisational work environments that encourage and sustain creativity and commitment and elevate human interactions to new and higher levels of motivation and morality. Only when we understand ourselves as beings within humanity, can we establish relationships that are credible and real.

New leadership models suggest that it is the quality of the relationships one develops that determines the effectiveness of the leadership. Anything that interferes with relationships interferes with leadership. The quality of the relationships within an organisation impacts upon the entire organisations functioning capacity. Sometimes in ‘heartless’ and ‘spiritless contemporary organisations we need imaginations fired up, we need souls set free, we need hearts aroused. We need to connect to the heart, spirit and soul in order to give meaning to our existence and place life and work in proper meaningful perspective and balance (Duignan, 2004).

Leadership with humanity assumes an investment in social networks and the building of social capital. These networks are the external social fabric and the internal social fabric, and how the two exist together. They are about the reinforcement of collegiality, tolerance and respect amongst staff and students and the wider community. The whole has to be greater than the sum of the part. Social capital also means the willingness and ability to challenge social norms and expectations. Leaders must challenge inequity and poverty. They must build social capital in students and develop a localized and globalised perspective for students to exist within.

Leaders are re-examining the relational aspects of their leadership in the movement from

the old paradigm to the new, as outlined in the table below.

From	To
Charisma	Humility
Authoritative certainty	Confident uncertainty
Consensus	Paradox
Logic	Institution
Strategic planning	Living planning
High reliability	Fallibility
Heroic leadership	Shared leadership

Table 1: From Competency to Capability

Professional Capabilities

This area is the one most closely aligned to the traditional concept of organisational competencies. To view professional capabilities only in this way would miss the point: that humanity pervades every level of practice. Even organisational and managerial tasks can and should be conducted with humanity. This is about understanding the times in which they are leading in whilst preparing for the future. This is about strategic, visionary management with creativity and specialist knowledge. This is the demonstration of exemplary managerial skills and the building of intellectual capacity in others and within oneself.

It is the successful almost magical combination of these three areas or capabilities that makes an exceptional leader. From the discussion above it is possible to make three clear statements about the definition of leadership, based upon an understanding of the link between leadership and humanity.

Leaders possess by definition the ability to influence others to be more than they had thought they could be. You cannot change behaviours if you cannot influence people. You cannot influence people if you have no relationship with them. Influence comes when leaders:

- Display an ability to consider others above themselves
- Reflect and seek feedback. “The most difficult thing we find in life is to think and reflect” Henry Ford.
- Understand other people’s perceptions of them as leaders
- Possess emotional intelligence
- Are never complacent and always question assumptions
- Influence others to feel valued
- Offer small acts of kindness
- Are dependable
- Speak truthfully
- Recognise that courage is called for

Leadership is granted to you in the minds of others when they allow you to influence them. Leadership does not come from position. Position only gives the opportunity to prove yourself. Position and institutionalised power guarantee nothing. They often make people move, but not motivate and inspire, and they stop moving as soon as you stop pushing (Maccoby, 2001). *Leadership is about ethics and morality and with deciding what is significant, right and worthwhile.*

From these definitions it is all about mobilising and influencing others. If we were to be asked to identify the top 10 leaders of our time who would they be? Why would we select them? We would see that they have 'raised the bar' and that the world is a better place because they lived. Maybe we aspire to be a little more like them and we are challenged us to ask what we would have done had we had the opportunity to walk in their shoes.

I will conclude with a reflection. Much emphasis is placed on this focus on humanity in leadership, as being new. The question is if this paradigm really new? Are Authentic Leadership and Principle-Centered Leadership models really a mind shift?

I think that in reality our changing ideas on leadership are not a new theology at all. Throughout history we have instinctively followed leaders who have demonstrated what we may have called 'natural' leadership. The difference is that today we are unpacking that term 'natural leadership' so that we can really start to look at what it involves. Successful leaders often do not see their capability. They say "I'm just being me" (Stephenson, 2000). The 'new leadership' is really just one re-discovered after being buried under layers imposed upon leaders by the pressures of the last decades of the 20th century. It is just that the loud aggressive leadership of the economic rationalists may have drowned its voice and made it for a period of time, live in the shadows. These new leaders do not hog the limelight but share the credit around. They do not exalt their own glory but have a 'softer' approach than the systems-oriented, risk-taking and rule-breaking managers we have been exposed to in the last decades.

New leadership is in essence humanity re discovered. It is the recognition that organisations are human places and that they flourish when lead with integrity and humanity. This spirit or soul of leadership is something that has been around as long as one human has sought to lead another. There are indeed some fundamental leadership capabilities that are timeless.

The discussion in schools today is about how we as a profession can produce the best possible leaders for the challenges that lay ahead. Those challenges are significant. We are leading in demanding times. The key to meeting these challenges is in discovering the humanity of leadership.

Inspired authentic leaders with humanity change the world. Leaders without a soul change only the moment.

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Confucius, Hans Christian Andersen, MacBeath, and the REAL Thing: Reflections on study leave 2005

Norm Hunter

Early in 2005, I was fortunate to undertake study leave in Hong Kong and Europe. This study leave was based on the theme of schools as communities, and built on some work I had been doing over several years. I completed a Master's Degree in educational leadership and management a few years ago, and the idea of distributed leadership – many leaders rather than few – kept coming through. It was already very much in keeping with our approach to leadership at Hillbrook, and it was exciting to see a growing research base attesting to its effectiveness, and relating it to the quality of student learning.

Also during my Master's studies, I delved into the work of Newmann, Wehlage, Lee, Smith and others at the University of Wisconsin, under the auspices of the Centre on Organisation & Restructuring of Schools. This is important research, suggesting that irrespective of racial, geographic, cultural or socio-economic background, students are likely to achieve well when schools can generate their own creative combination of a number of elements:

- An organic rather than bureaucratic culture;
- Collective responsibility by all staff for the learning and welfare of all students in the school;
- High levels of respect and trust: from teachers to students, students to teachers, teachers to other teachers, parents to teachers, and teachers to parents;
- A common academic curriculum with restricted rather than wide choice;
- An 'academic press' with high expectations for all students; and
- 'Authentic instruction', where teachers develop shared theories and practice about teaching and learning through collaboration.

This is broadly in keeping with much of the work we have been doing together at Hillbrook over many years, trying to create and nurture a special school culture, so again it was gratifying to see this being endorsed by research. I visited Hong Kong, Copenhagen, Cambridge and Glasgow, exploring the concept of schools as communities and how this might link with student learning and welfare. My quest was to combine research and experience, in order to bring back greater depth of understanding on how we can build on Hillbrook's community culture. Ultimately, I hope it can enrich the ways our students are able to learn

and grow as human beings, so they can participate in and contribute to the local, national and global communities of the 21st century.

Hong Kong

I visited Hong Kong in order to follow up with Professor Kerry Kennedy – previously at the University of Canberra, now with the Hong Kong Institute of Education – on the concept of schools as ‘social anchors’ for their students. Kerry has also worked with OECD on their Future Scenarios Project, and has continued to develop the ‘social anchor’ metaphor for schools during that time. Beneath its modern surface, Hong Kong remains strongly Confucian, placing great value on tradition, on rote learning by young people at school and from their elders, on stability rather than change, and on order rather than ambiguity. Enmeshed with that is the British influence of hierarchical structures, external public exams, (also Confucian artifacts), and a rigid culture of ‘pass’ or ‘fail’ which is embedded from primary school. If you ‘fail’, it is assumed it is because you’re not working hard enough, hence cramming schools are a long standing and major industry in Hong Kong.

Copenhagen

The main reason for visiting Denmark was its long-standing tradition of democracy and community. I felt that this must have something to offer us, and I wanted to see what it was that made these elements so strong in Danish society: to see if they were mirrored in the education system, and if so, to see how they were acted out in schools. I had read some work by Professor Lejf Moos of the Danish University of Education, and contacted him to ask if he would meet me, and if he could help with some visits to schools. He was very generous, agreeing to meet, and setting up three school visits to a primary school, a middle school, and a gymnasium (upper secondary school). It was a vibrant time to be in Copenhagen: it was early spring, so the weather was cold but bright. Also, the 200th anniversary of the birth of Hans Christian Andersen was celebrated while we were there. He is Denmark’s most loved folk hero, and the Danes made clear that they regard him as a writer for adults, not just for children, and that he is greatly under-rated in other countries because they do not realise this. In my discussions and school visits I constantly encountered the concept of *dannelse*: broadly translating into English as ‘the not-yet person’. *Dannelse* is a Danish concept that assumes that young people have to grow to become fully developed human beings; so their education should lead them to function independently both in their own context and in wider society. It is a vision that sees society as enlightened and democratic, with citizens who are willing and capable to be contributors to the community, and to their wider society. I am sure it is also the inspiration for Andersen’s most famous story, *The Ugly Duckling*. The concept of ‘dannelse’ is also picked up in the *Danish Folkskole Act of 1991* which states: “The school shall prepare the students for participation, sharing of responsibilities, rights and duties in a society with freedom and democracy. The education in the school as well as the daily life of the school therefore must build on intellectual liberty, equality and democracy”.

Cambridge

John MacBeath. I met John MacBeath in 1999 through Dr Neil Dempster of Griffith Univer-

sity, and was particularly impressed with his book *Effective School Leadership*, which had just been published. MacBeath visited Brisbane that year, and engaged in discussion with school leaders at a seminar which I attended and found very impressive. With his international network of researchers he was then drawing themes together to suggest that an inclusive, school-wide approach to leadership, in which schools had significant discretionary power over their destinies, was probably the most effective model for secondary schooling: both for academic achievement and human development. In some of his more recent work he tips his hat to Michael Moore, and draws on the metaphor of 'bowling' to warn of the danger of 'bowling alone', and asks the question I had been asking since reading the Wisconsin research mentioned earlier: Could 'bowling together' be correlated with students' success at school? Could measured student achievement be associated with communities in which there are social networks bringing people together across age groups? David Berliner (2001) argues that there is a direct correlation between student achievement and social capital (defined by inclusive measures such as belonging to formal and informal organisations – churches, associations, unions, clubs – communities of common interest). John MacBeath spent a morning with me, discussing the Leadership for Learning project, which is based on the premises leadership for learning: develops values, understandings and practices through dialogue; has the courage to stand by values and think differently about outcomes; has the confidence and skill to challenge and reframe mandated policy when it conflicts with core values and practices; is international in outlook, and evaluates practice critically in response to comparative evidence; takes into account political realities; and is concerned with sustainability, succession and leaving a legacy.

Glasgow

The main reason for visiting Glasgow was to meet with Professor Stephanie Young, who is taking the lead in Scottish Enterprise Glasgow's project to make Glasgow the 'Learning City'. The on-going success of the 'Learning City' project in Glasgow - and more importantly the assumptions about learning which underpin it - seem to me to have a lot to offer us in Australia, if we can draw wisdom from what the Scots are attempting in Glasgow. When the 'Learning City' was launched in 1998, of Glasgow's population of 600,000, about 100,000 people of working age were unemployed. Glasgow's heavy industry economy – so powerful in the 19th and early to mid 20th century – had been decimated by the full force of globalisation, and the city was still struggling to recover as the 21st century approached. Within the statistics was the fact that 25% to 27% of young people were not completing high school, at a time when higher level skills are now necessary for people to find their place in the modern economy. That statistic mirrors recent Queensland statistics on young people and their school completion rates, which has prompted the Queensland Government's ETRF (Education & Training Reforms for the Future) project, including the 'learning or earning' requirement for young people until they turn 17. The flagship for leading the 'Learning City' project in Glasgow is *REAL*, launched in 2000. Stephanie explained that Glasgow has had to reinvent itself and take account of the new economy, not the economy of the past, and the education system has to be an integral part of that. I find the ideas behind *REAL* to be insightful, uplifting, and very courageous, because at a time when the focus is on the economy, *REAL* focuses on what is essentially a human development model of learning: it assumes an indirect link rather than a

direct link between education and the economy, so its energy is directed at attracting people – young and old – into the process of learning, rather than focusing on what they are learning.

Conclusion

Having the opportunity to take some time out of school to explore a theme in other countries is a wonderful experience. There was even the opportunity in the Lakes District of north-western England to ‘detach’ a little from the material world, just as Wordsworth and the romantic poets did there in the late 18th and early 19th centuries. It’s refreshing and uplifting, and a unique experience.

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Facilitating Support for New Leaders through Online Collaboration

Pauline Audley

The Catholic Education Office Melbourne (CEOM) recognises that leadership is one of the key factors in determining school effectiveness, and it has a strong commitment to excellence and continuous improvement. It also places high priority on the development of leadership in schools, and recognises that the early stages of principalship are a crucial and formative time for professional educators. The Catholic school, as well, is both a sign and an instrument of the evangelising mission of the Catholic Church and through the critical dialogue with culture, Catholic schools aim to provide an education in life and faith to all in the school community. The CEOM, in recognising the increasing complexities of the principal's role, also understands that for Catholic school leaders, issues such as the general secularisation of society and the changing face of the Church, bring additional challenges.

The Induction Program places particular emphasis on the following:

- *excellence in leadership* – leaders with well-developed skills and knowledge;
- *continual school improvement* - through the provision of quality educational outcomes for all students;
- *a concern for the health of the organisation* – an understanding of the link between the wellbeing of its leaders, staff and students, and efficient and productive performance; and
- *responsible school management* - with consistent policies and procedures for leading and managing a school within a system.

The Goals of the Program

In essence the program:

- is grounded in Catholic tradition and seeks to explain the mission of the Catholic Church as it relates to schools as communities of faith, learning and evangelisation;
- recognises the increasing pressures of leadership in Catholic schools in light of the changing face of the Catholic Church and the secularisation of society;
- emphasises the importance of reflection (individual and shared), review and continual improvement;

- supports leaders in striving for excellence in the provision of outcomes appropriate for the needs of all students;
- introduces principals to CEO services and personnel, and provides opportunities for engaging in professional dialogue and initiating networks of support;
- values prior experience and the knowledge which the participants themselves bring, as well as the new knowledge which is collaboratively constructed;
- has a flexible and collaborative approach so that the professional and personal needs of individual leaders can be addressed;
- focuses on collegial support and interaction with peers and more experienced mentors;
- aims to cater for different adult learning styles;
- is timed to meet system, local and personal requirements;
- has a strong practical base supported by leadership theory; and
- has the expectation that all new principals will attend.

Outline of the Program

During the first year of the program, participants are required to attend four modules spaced over eight days, related to the following areas of leadership: the faith community; a vision for the whole school; teaching and learning; people and resources; and community. An important feature of the program is the emphasis it places on the development of relationships of trust. Time is provided for reflection and discussion within each of the four modules, and participants are encouraged to share ideas, express concerns and pose questions. The program has several spaced open forums and allows opportunities for ‘round table’ conversations. Participants are invited to raise issues pertinent to their particular needs, and ongoing evaluation from the feedback received, allows for input into module planning. A close collegial bond develops within each group over the period of the year.

During the second year, participants are invited to participate in a Mentor program, spaced over three days. The mentors are chosen by the new principals (mentees) from the pool of more experienced principals. This second stage of the program is designed to assist new principals in developing a professional relationship with an experienced mentor who will impact positively on their role as educational leaders. Protocols for the relationship are developed and training is provided in the skills of giving and receiving feedback and reflective questioning. Participants are given the opportunity to critically analyse their performance as school leaders, and to plan and implement an action plan that will develop strengths and address concerns.

Building Relationships

The program is grounded in an understanding of learning, as both an individual and social process, in which learners work collaboratively in a climate of high trust and challenge. The planning and style of facilitation ensures that the members of the group are active participants in determining the content of the program to meet the specific needs each year. This is supported by the inclusion of a principal from the previous year’s cohort, as part of the planning committee. A valued feature is the regular contact by the program’s leaders with participants.

The philosophy underpinning the program is supported by the work of others in this field,

such as Bruce Barnett, who identifies one of the key challenges facing school principals - the sense of isolation (Barnett, 2001). By learning in a group context over a period of time, using the protocols and processes to develop an effective community of practice, these new school leaders gain the opportunity to develop their skills as educational leaders in a safe, but challenging context.

Elmore (2002) notes that it has become very clear that communities do not just happen by putting a group of professionals together on a regular basis. Group learning contributes to the development of a sense community, and vice versa, and provides: a range of protocols which strengthen accountability; opportunities to relate theory and practice, and opportunities to deepen self reflection and enhance the processes of listening and questioning in a safe but challenging environment. It has become very clear that newly-appointed leaders value the opportunities to discuss their new role with trusted colleagues, to gain: reassurance from others in similar situations; exposure to strategies that have been successful for others; coaching from facilitators or more experienced principals, and specific feedback on their particular leadership style.

The Introduction of Online Support

Prior to 2005 list serves, which have been in operation since 2000, were used for the purposes of peer support and information sharing. They were facilitated by CEOM Staff.

In 2005, the Induction intakes of 2003, 2004 and 2005, were introduced to online networks for the purposes of communication and to develop further the skills of effective collaboration. This was made possible by the roll out of infrastructure by the CEOM, which involved:

- improved bandwidth for internet access;
- a Wide Area Network for all Catholic schools in Victoria;
- myinternet software for internet and email and web management monitoring (SINA tools);
- school intranet (mydesktop); and
- a learning management system (myclasses).

This was supported by the findings of the British Educational Communication and Technology Agency (BECTA), in particular the experiences with the entry to headship program, "Talking Heads".

At the same time a review of the services provided by the CEOM to all schools was conducted, and Professor Brian Caldwell of The University of Melbourne made the recommendation that priority be placed on creating and sustaining networks of support for schools.

The obvious advantages of the support that was offered through the list serves would continue, but with the introduction of the elearning portals there was now the opportunity to move more fully into collaboration, with the emphasis shifting to improved student outcomes and overall school improvement.

It is now possible to:

- centre the face to face sessions on the established focus and to extend the learning through collaboration in an online way;
- introduce the practice of synchronous conferences so that all participants can come together at a later specified time with an 'expert', for further discussion on the focus; and
- further develop the learning beyond the formal sessions, so that each group can have own-

ership of, and direct, their own professional learning.

The introduction of online communities strengthens the concept of leadership learning as an ongoing process, and develops the skills that leaders need for engagement with their peers. It has become apparent that from the modeling done in this way with the new principal groups, these skills are being transferred to the staff and students in each of their school settings.

Case Studies: The 2003, 2004 and 2005 Cohorts of New Principals

(1) In 2003, eight new principals were appointed. This group developed a strong identity early in the year and formed a close professional and social bond. Communication between one another and the CEOM facilitator was originally by list serve, so at first, the introduction of the myclasses portal was resisted because of the ease of using email. Over time the group has begun to self manage the portal and the communication and collaboration is now occurring regularly. All members of the group recently participated in an asynchronous discussion related to the introduction of the *Victorian Essential Learning Standards* facilitated by an 'expert' in this field.

(2) The 2004 cohort had 13 new principals. This group had more ICT competent members, and commenced using the portal from the beginning of their Induction year, but it was originally used for communication purposes only and was managed centrally. Some members of the group were keen to co-manage and this is now possible with the rollout of further infrastructure to enable decentralised management.

(3) During 2005, 18 new principals and six acting principals have been supported through the Induction Program. The group was introduced to the myclasses portal as the tool for communication at the beginning of the year. This was originally managed by the CEOM facilitator. It is now self managed. The group has allocated tasks and responsibilities to each of the members, agreed to commit to using the portal and has decided on the properties to be included on their desktop. This group has participated in forum discussions over time, and has used the portal for both communication (information, agendas, meeting times etc) and collaboration (shared professional reading, shared learnings etc) purposes.

Findings

For the online communities to achieve success in becoming communities of learners, the following are essential:

- the provision of adequate infrastructure and technical support;
- the need for a 'real' community of trust to exist before a virtual community will succeed;
- participants need to 'learn to use' the technology, before they will 'use it to learn';
- there needs to be a purpose for using the online community before there will be a commitment to using it.

Challenges

Ongoing support from the system is essential if these networked learning communities are to be developed, sustained and dynamic; and is dependant on:

- encouragement and support for the different groups to continue self management;

- using what has been learned so that new principals become self-sustaining lifelong learners, tapping into a range of communities;
- ensuring that the online communities have as their prime focus the direct relationship between what the leader does and the core purpose of the organisation – improved learning outcomes for all;
- encouraging leaders to engage in collaborative enquiry both for themselves and for their schools;
- the provision of facilitation skills for the two or three facilitators per group; and
- the belief that lifelong professional learning for leaders is essential and that this can occur in a variety of ways.

In conclusion, supporting and developing the skills and knowledge of newly-appointed principals requires an understanding of the nature, demands and complexities of their role. To perform effectively and efficiently new principals require the resources and networks that will assist them in dealing with the distinctive and often complex challenges that the role brings. The support and guidance that has been offered by the CEOM through the Induction Program, not only imports specific knowledge, but also aims to create networking opportunities within a self reflective framework, that is designed to enable, empower and encourage beginning principals in their vital work as school leaders.

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Classroom Teacher to Principal: Educational change through quality relationships

Beverley Theobald

Through the experience of my thirty-year history in education, it has become obvious to me that the key to leading educational change is the quality of the relationships within the organisation. Successes at achieving change as a classroom teacher, a head teacher and as a Principal demonstrate clearly that leadership is not about positional power but, rather, the quality of the relationships.

Research

Throughout the years many educational writers and practitioners have influenced me; however, over the past ten years, four papers have been significant in my thinking and underpin the thoughts in this paper:

1. *Schools as Learning Communities* (NSW DET, 1995)

This discussion paper can be used for reflection, at meetings with staff, at parent meetings, and as a framework for building a quality learning environment. The Key Features of Learning Communities on page 14 is an invaluable tool.

2. *Leadership Capability Framework* (Scott, 2003)

Professor Geoff Scott was commissioned by the NSW Department of Education and Training to undertake research involving 322 practising principals. This work led to the publication of the Leadership Capability Framework identifying the following domains of highly effective leaders: personal, interpersonal, educational, strategic and organisational.

3. *Values Underpinning Effective Principals* (Parkes, 2001)

My colleague, Dr. Sharon Parkes, now Principal of Warners Bay High School in NSW, undertook an observational study for her doctorate. The values of effective principals clustered around those relating to personal qualities, interpersonal qualities and operational style.

4. *Quality Teaching in NSW Public Schools* (NSW Department of Education and Training, 2003)

This excellent document is built on the pedagogical dimensions of intellectual quality, quality learning environment and significance. Some examples of sections related to relationships

include: substantive conversation, engagement and connectedness.

Relationships as Types of Conversations

How do we establish our working relationships? I believe that quality relationships are established through the types of conversations we have in our working lives.

Adventurous conversations:

As a young first year out teacher, I was privileged to be appointed to an almost new high school. This school had a purpose-built drama space – quite revolutionary in NSW in 1975, even more so because there were no trained drama teachers then, nor was the subject included in the curriculum! However, I didn't let that stop me from taking hold of this enormous opportunity. With another enthusiastic young colleague, we started a lunchtime drama club and started putting on shows with rehearsals at lunchtimes and after school and weekends. However, this wasn't enough for me. I wanted to see the subject included in the curriculum, so I approached the principal. He could have been the Lord Kelvin type, "Heavier-than-air flying machines are impossible" (Royal Society, 1895). But, he was not. He was prepared to engage with me in my adventurous conversation. The result was drama as an "extra" elective in Year 8 (students had to understand that they would have to "drop" the subject at the end of the year), and enough students to run a class (about twenty including a number of boys). Also, drama was established as an "interest elective" in Year 10. Somehow, this was accommodated in the timetable structure. As a young teacher I did not know how this was done, but I know it would not have happened if both the principal and I had not been having the types of conversations that we were.

Trusting conversations:

Why was this Principal prepared to take the risk with my idea? The answer lies in the trusting conversations we had established through working together. I trusted that he would listen to me and my ideas. In retrospect, I understand that he knew I was pursuing this for the best interests of my students. My principal knew "the simple fact is that people – a worker – would rather have a good day than a crummy day" (Peters, 1994).

Ethical Conversations:

As a head teacher, I found that some of the most important ethical conversations were those I had with myself. It is crucial that a leader has her own set of values to which she is prepared to adhere with maximum effort. Then if she sees something in the workplace which is 'not right' she must do something. This is the 'moral imperative' of leadership described by Fullan. "Conflict avoidance in the face of poor performance is an act of moral neglect" (Fullan, 2003:32). The school I came to was what might be described as a 'tough' one. The student behaviour was poor, many students had been on the wrong side of the law and they had no interest in education. I believed that a contributing factor was the way that they were being taught: teacher directed, chalk and talk, desks in rows, and so on. I knew that this had to change, but I knew, too, that it was not sensible to pressurise my staff to change. I needed

to let them move themselves. Because my staff could hear from my conversations with them that I was acting with integrity and taking responsibility for my values, they were prepared to respect my ethical stance.

Personal Conversations:

Personal conversations are important in building quality relationships. The people with whom you work are more likely to want to work with you if they know something about you. Both revealing yourself to others and taking an interest in another's self are very important. So, in the midst of working in a difficult environment, as we all were, I made sure that there was time to take an interest in my staff as people as well as to share some of the personal side of me as well. It is where this crosses over that the relationship occurs.

One-legged Conversations:

Both personal and professional conversations take time and the question is how do we find this time? If we ponder the question: with how many people have we interacted, really interacted, in our workplace in the last week?, we are often shocked to find how few real interactions there have been in our frenetic workplaces. One of the most valuable ways to interact is through those one-legged conversations we have every day in the corridors, near the sign on book, next to the sink in the common room. Make the most of these. I did when I was trying to create a culture change in my staff. Make a plan to talk to more people when you return to your workplace. Talk to people in this informal way.

Facilitating Conversations:

I have always said that I will stand on my head or turn a cartwheel if necessary to help my students learn. This is so with staff, too. Basically this includes modelling what you believe, then doing it again, and again. In the school where I was working, I started with my own classroom. I rearranged the room with student input, taught using different methodologies, and invited staff to my classroom. (At first, I had to rearrange the room every day after the cleaners or another staff member had returned it to its traditional arrangement!) Also, I provided opportunities for facilitating conversations. At faculty meetings, for example, I introduced a routine of sharing best practice. One of my greatest joys was when a very traditional teacher told the rest of the group about how he had watched what I had been doing in my classroom. At first he thought it rather strange. Then he had decided to have a go at it himself and, lo and behold, it had worked! The time and effort taken to build the relationships with the staff had paid off.

Inner Conversations:

By the time I became a principal I had come to understand that change and school improvement do not just happen, nor can they be made to happen unless time is taken to build quality relationships. This has been evident in the three schools at which I have been Principal. However, for now, I intend to focus on Kurri Kurri High School, which is in a low socio economic area in the Hunter Valley of NSW. When I was appointed, the school management

practices were hierarchical, student retention rates were poor, and welfare and discipline were major issues.

Clearly, there was a need for change. However, I did not become subsumed by the overwhelming nature of the work to be done. Over the years I have developed my own resilience through inner conversations. Principals must develop a healthy life balance by acknowledging the importance of family and friends, finding relaxing hobbies, and knowing when to stop work for the day, week, term! This will set up a vitalising balance where you can make deposits (doing something for me) which will allow for withdrawals when work sometimes by necessity impacts more than it should.

The other inner conversation that is important is asking yourself what you stand for. There will be some things that you will decide are non negotiable and this will be reflected in your actions. At other times, you will decide that this is not “the hill to die on”. You need to have these conversations with yourself from time to time.

Engaging Conversations:

At Kurri Kurri, we developed Exit Outcomes for our students. These were the skills, competencies and attributes that we wanted them to have when they left school. Then we conducted a Climate Survey around a number of different aspects of school life. The survey looked at the balance between belief and practice. It was a wake up call for us to find that the biggest discrepancy was in ‘atmosphere conducive to learning’. Obviously, we were not reaching our students. Based on the thoughts of Ted Sizer, “You cannot teach a child you do not know” (Sizer, 1994), we set about establishing engaging conversations with our students. As principal, I interviewed all Year 7 students in small groups to ascertain their views of the school and the learning. The results were enlightening to say the least. Eventually, we came up with our own model of middle schooling with teacher teaming, a cross curricula approach, with student participation in developing their learning. All staff members were interviewed one-to-one to ascertain their thoughts on the proposal, to seek modifications and to find volunteers to teach in the project. Without these engaging conversations, we would not have had the success which followed. We were awarded a NSW Director General’s Award for this program.

Inviting Conversations:

At Kurri Kurri, we established a School Improvement Team which operated by inviting conversations with all stakeholders. Members included teaching and non-teaching staff, parents and students. All members were representatives of a constituency and had responsibilities of two-way communication. It was crucial to value what people had to say. Other members were co-opted for related tasks, and University associates were invited for their expertise or to act as critical friends. Experts were sought, for example, on aspects related to curriculum as well as training the team in concepts of action research, quality principles and data collection.

Collaborative Conversations:

The teacher teams were treated with high regard in the school. Once they had been trained in the processes, they programmed the units of work they were teaching via collaborative conversations. “Joint work is the strongest form of collaboration” (Fullan and Hargreaves,

1991). The work relationships were crucial to the success of the project. The Middle School Group became a sub group of the School Improvement Team.

Investigative Conversations:

The School Improvement Team embarked on fundamental investigative conversations. As mentioned previously, the group was trained in the processes of generative action research. We developed relationships with university consultants. We visited lots of other schools and we became recognised as a school whose work was based on research. We joined the National Schools Network and we welcomed researchers into our school. Our school was enriched by this approach.

Authentic/Substantive Conversations:

At all times we were learning how to learn together. Authentic/substantive conversations were the substance of our work. As principal, I am proud to say that this process led to leadership in many others in the school and, therefore, was sustained when I left. Specifically, there was alignment between culture, school context, research, educational dialogue and strategies for change. Staff development occurred, school improvement was integral and there was a correlation with improved student outcomes.

Enabling Conversations:

An important aspect of this vehicle for change was the development of partnerships. Parents and students were members of the team, right beside the staff. It reminds of the Zulu concept of Ubuntu, "I am what I am because of all who we all are". In our case relationships were built through enabling conversations. "Successful leaders ... empower others by creating an exciting, stimulating environment in which others feel motivated to contribute" (Quong et al, 1998). Important, too, were the partnerships we developed with the local business community who sponsored the school project. In fact, one year the school was runner up in the local Business Excellence Awards.

The relationships established with parents were crucial to the success of the project. We held numerous meetings with the parents and engaged them in conversations about the directions that the school was taking. By keeping them informed, they became our best spokespersons in the community. As Fullan and Hargreaves state most aptly, "It's hard for people to eat something they've had a relationship with!" (Fullan & Hargreaves, 1998).

Reflective Conversations:

The School Improvement Team and the Middle School Group were both provided with time for reflective conversations. For the School Improvement Team, we bought time by employing relief for them to meet, conduct research and to plan. The Middle School Group had meeting time built into the timetable. This became part of the culture. There was an expectation that the members would meet to reflect on their work, to share ideas and to focus on conversations about their work. The spin off was that staff became engaged in educational dialogue at other times as well.

Liberating Conversations:

The true test of the success of the processes and change through which I led the staff was whether I had allowed them the power of liberating conversations. In other words, were they independent? Had capacity been built in the school? Was the change sustainable? I am pleased to say that the answer to these questions is “Yes”. I was able to see this towards the end of my tenure in the school when a submission arrived for participation in a project. Listed among the names of the project team were teachers, students and parents and my name, as the principal, was half way down the list rather than at the top. This demonstrated my position as one of the team where the work was built on a basis of conversations and quality relationships.

Some Lessons I Have Learned

- Values must underpin leadership
- Model what you believe
- Leadership is not about positional power, but rather the quality of the relationships within the organisation
- Research and reflection should inform practice
- You do not have to be “out the front” to lead change
- Use the talents of key people; empower them to assist you lead change
- Have the courage of your convictions
- Relationships, relationships, relationships

Conclusion

Experience has shown that staff, students and community need to be led through any paradigm shift in such a way that they wish to change. In many cases, “restructuring ... has been preoccupied with demanding that reluctant teacher travellers go to seemingly unattractive destinations. Instead of policy demands on teachers’ destiny such policy needs to focus instead on fostering stronger desire for departure: not by cajoling or persuading teachers to make the journey, but by giving them the tools to perceive this need themselves” (Hargreaves & Earl, 1994/9). In the environments in which I have worked, the stakeholders have been empowered through quality relationships. Leadership is the “art of the possible” (Duignan, 1989/88) when practices are established promoting collaboration, collegiality and critical reflection. This leads to effective change and the concept of a learning community in its broadest sense.

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Effective Succession Planning and Sustainable Leadership in Schools: A principal-driven solution

Warren Marks

This paper examines the research, design and implementation plan for an innovative school leadership preparation and development strategy which is currently being implemented in The Illawarra and South Coast Region of the NSW Department of Education and Training (NSWDET).

In this paper, the author argues that there was a need to shift the emphasis from the previous focus on employer-delivered competencies training to profession-delivered leadership capability enhancement. If, as is generally accepted, leadership is an influencing process built on relationships, then it is proposed in this paper that leaders require more than leadership knowledge and competencies to engage in developmental and empowering ways with colleagues in order to create purposeful, meaningful and capable individuals, groups and organisations. The author will also suggest that by focusing on leadership capabilities enhancement facilitated by practicing principals operating as “developmental leaders” (Fullan, 2004) in leadership preparation and development programs, it is more likely that the generic problems confronting all major school jurisdictions (succession planning and leadership sustainability) can be effectively resolved .

Leadership as an Influencing Process

Many current researchers and writers on leadership contend that effective leadership is, essentially, an influencing process (Hargreaves, 1995; Hargreaves & Fullan, 1991; Johnson & Scull, 1999). Duignan (2002) argues that authentic leaders have the capability to influence self, others and each other to: attain worthwhile and agreed goals; engage in meaningful relationships to generate and live a shared vision; use scarce resources responsibly; and elevate the human spirit through actions and interactions that are ethical moral and compassionate.

Duignan (2002) also argues that leaders, first and foremost must influence ‘self’ through the habit of reflective practice and the desire for self improvement, both personally and professionally. He points out that while leaders are expected to influence others, the mutuality of the influencing process – influencing each other - is often forgotten. True leadership develop-

ment cannot occur without this mutuality of influencing. Principals are the “true believers” who can most effectively develop and prepare future leaders. It is the practicing principal who is the huge untapped resource as the “developmental leader”.

In the ‘principal-driven’ model outlined below, principals act as group facilitators, group mentors, individual mentors, cognitive coaches and shadows for aspiring and developing leaders. The principals not only build vertical capacity within their own schools (the traditional model of influence), but through this ‘principal-driven’ model are building lateral capacity by facilitating the growth and development of aspiring and current leaders across many schools within the local district. This is a very different model of leadership preparation and development. A crucial point in this argument is that for leaders to influence others, they have to be capable and credible as professionals and as individuals. They should not alone be good managers (as previous employer-sponsored training programs have concentrated on), but also *capable* human beings. As Kelly (2000/19) so eloquently states, “In this respect it is not a matter of knowing something, but becoming someone, not just a matter of knowing relevant things, but of becoming a relevant person . . .”,

The author believes that competency-dominated training is actually counter-productive to true leadership enhancement as it makes the recipient a dependent receiver of knowledge and never a creative collegial co-learner and facilitator of new ‘just-in-time’ and ‘just-for-me’ learning. Adult learning principles must be the core of effective leadership development. Scott (2003) believes this leadership development process must be a journey, not a destination! It’s a journey facilitated by ‘fellow travellers’ who are a little further down the track. “Fellow travellers” who act as mentor, coach, model and guide.

From Management Competence to Leadership Capability

Stephenson (2000) argues for a clear distinction between ‘competency’ and ‘capability’ in leadership training and development. Competency is about delivering the present based on past performance; capability is about imaging the future and bringing it about. Competency is about control; capability is about learning and development. Competency is about fitness for purpose; capability is about judging fitness of the purpose itself.

Stevenson (1992, p.1) asserts that, “capability depends much more on our confidence that we can effectively use and develop our skills in complex and changing circumstances than on our mere possession of those skills”, and that capable people have confidence in their ability to “take effective and appropriate action within unfamiliar and changing circumstances”.

Capability, then, is not a set of competencies, prepackaged to be used by a leader to solve problems. Rather it denotes a dynamic capacity to respond to changing circumstances from a developmental perspective. In other words, leadership capacity or capability is not just about having the potential to act but actually taking action to generate positive change and the development of people and contexts. Leadership capability constitutes social action at the organisational level aimed at building the groups or organization’s capacity to learn, grow and change in positive, developmental way.

What then are some of the implications of the discussion on capabilities for educational leaders, such as principals? I propose that many principals, who seem to have skills in, for example the management areas, do not, necessarily, perform well in personal and interpersonal areas, or in the development of future leaders. They often seem to lack the confidence,

courage, commitment, emotional intelligence and wise judgment to apply these skills in unfamiliar and changing circumstances.

An important implication of the perspective presented in this paper is that leaders need to develop their own capabilities and those of others in order to enhance the capability of their organisation to flourish in an uncertain environment. An underlying assumption of this argument is that the development of personal and organisational capabilities in an uncertain and complex organisational context, requires a leadership artistry that is unlikely to emerge from the acquisition of a generic set of management competencies gained through training or apprenticeship models. Recent informal research amongst school principals in NSW (Marks: 2002-03) indicates that across the 90's, competency training on skills and knowledge accounted for 87% of all professional development activities for principals. Such an approach, it would seem, prepares principals for conditions of stability and certainty that no longer exist in most schools.

Leadership Capabilities: The reality in NSWDET

Despite the universally accepted need for school leaders to demonstrate 'educational leadership' (ethical, authentic, pedagogical, strategic, visionary and people-centred leadership), principals in New South Wales report that during the 1990s *competencies* relating to legal and regulatory compliance issues (e.g. Occupational Health and Safety; Child Protection; Cleaning Contracts; Maintenance Contracts) dominated their day-to-day practices (Marks, 2002). Because of the increasingly diverse and seemingly endless compliance-style expectations for the role associated with the devolution-agenda of the 1990s, principals are reacting by focusing on the 'management of compliance issues' at the expense of 'shared educational leadership' (Marks, 2002). This then becomes the *role model* which principals present to aspiring leaders. What younger teachers and middle executive have been observing is the principal acting as the 'site manager'.

It would appear, therefore, that principals had not been able to focus on the development of their personal and professional *leadership capabilities*. Furthermore, aspiring principals similarly have not been focusing on the development of their *leadership capabilities* as these have not been: modelled by incumbent principals; part of leadership preparation programs; generally included in the criteria for merit selection; and perceived as being valued by employing authorities. Yet recent researchers (Goleman, 2003; Stephenson, 2000; Hargreaves, & Fullan, 1998; Begley & Johansson, 2002) would strongly suggest, and the author would strongly agree, that it is the personal, interpersonal and social leadership capabilities that make the difference in the effective leadership of schools. In fact, middle executives (the pool for future leaders) in a number of NSW schools make two very significant observations (Marks, 2002):

- The principal as the 'role model' for leadership, is seen as someone who is often preoccupied with policy, rules and regulation compliance and is, therefore, not perceived as the 'educational leader'. Consequently, personal and interpersonal capabilities: calmness, reliability, trust, confidence, wisdom, tolerance, self-awareness, social awareness, self-reflection, and empathy, are often overwhelmed by the managerial demands of the moment. The principal may then be presenting as being frustrated, harassed, stressed and with a low job-satisfaction level; and

- The training and development offered (often mandated) to principals or and/or middle-level school leaders, is dominated by regulation and legal-policy compliance issues. There have been few programs offered in the development of personal/interpersonal skills; understanding emotional intelligences; enhancing cultural and strategic leadership; change leadership; implementing mentoring/coaching; developing leadership density; growing leadership capacity; or enhancing distributed and shared leadership.

The message, as perceived by middle level leaders and younger teachers, had been that *leadership capabilities* are not valued. Simultaneously, a significantly lower number of suitably-qualified middle-level educational leaders are applying for the principalship (d'Arbon, Duignan & Duncan, 2003). However, more recent research among practicing principals who were recognised by the employing authority (NSW DET) and their professional colleagues as being 'effective principals' (Scott 2003, p. 35), has produced some important evidence of how principals are analysing their own roles. When asked to identify the leadership capabilities of highest importance, these 322 principals nominated:

- being able to remain calm under pressure;
- having a sense of humour;
- being able to keep work in perspective (work/life balance);
- having a clear, justified vision of where the school must head;
- being able to deal effectively with conflict situations;
- wanting to achieve the best outcomes possible for students;
- being able to bounce back from adversity;
- working and empathising with people from a wide variety of backgrounds;
- making 'hard' decisions;
- setting and justifying priorities; and
- listening to different points of view before coming to a decision.

When asked to identify the times when they felt most tested in their roles as principals, they nominated the following (Scott, 2003, p. 18):

- dealing with poorly performing or problematic staff;
- being confronted by threats or experiencing actual, physical violence;
- dealing with aggressive or litigious parents;
- having to decide on nominated transfers; and
- finding out that what appeared to be a minor issue has suddenly 'blown up' into a major problem.

When asked to comment on the importance of *leadership capabilities*, as opposed to relying on knowledge and skills *competencies*, the following comments were typical of the responses (Scott, 2003, p. 26):

- "The ability to stay in balance when times are tough is much more important than knowing what policy is current. You can always find out that information";
- "Interpersonal relationships can make or break the principal's effectiveness in a school. Without excellent interpersonal skills, and an understanding of one's own strengths and weaknesses, it is very difficult to achieve excellent outcomes for kids";
- "Emotional intelligence is the key theme: 'grace under pressure' is how Ernest Hemingway described one part of this";
- "Having emotional intelligences, handling oneself calmly and confidently in times of ex-

pected or unexpected crisis, is crucial to effectiveness”; and

- “Principals need to understand the importance of emotional intelligence. What matters most for competence and excellence . . . is based on effective inter- and intra-personal skills in forming productive relationships. We need leaders to have the skills of resilience, initiative, optimism, adaptability, empathy, patience, understanding and listening: [these] are all part of the tool kit”.

A proposition that is drawn from this research is that any future enhancement of the status, respect, efficiency and professionalisation of the principalship requires a movement away from the dominance of a ‘competencies-orientated mentality’ to a much more balanced position involving a *leadership capabilities philosophy and framework*. I propose that effective leadership formation programs need to include an authentic valuing of, and an operational commitment to, leadership capabilities. I believe that if the principal’s role continues to be dominated by management and compliance concerns, and if professional development support for principals continues to be dominated by competency training, then the current problems of leadership succession (d’Arbon, Duignan & Duncan, 2003) will not change.

Leadership Career Paths: A blind alley or the yellow brick road?

With the movement in NSW over the past 20 years to a more merit-based promotion system, a clearly defined linear career path is no longer viewed by aspiring leaders as being the norm. In general, aspiring leaders are eligible to apply for any advertised position. This has resulted in some highly effective aspirants moving quickly through the promotion system. However, it has also meant that it has become difficult both for a system and the individual to take sufficient time to *map out* a leadership preparation and development pathway; and also to make available appropriately aligned and targeted professional leadership preparation programs. This issue can impact negatively upon succession planning.

For many aspiring leaders, the concept of a predictable and reliable career-path has no longer been a reality (Marks, 2003; d’Arbon, Duignan & Duncan, 2001). Potential candidates for promotion have complained of being “stuck” or “trapped” in their current positions. This is especially so for the large number of assistant principals (primary) and Head Teachers (secondary), for whom the next logical step is the deputy principal (in the NSW DET): a position which is a scarce commodity. Similarly, ‘teaching principals’ in small schools complain that the very low number of staff they organise and supervise, causes doubt in the minds of selection panels as to their capacity to handle the demands of a large staff and a large school community. These teaching principals report feeling “trapped” and “being denied promotion”. These instances highlight how those who *do* in fact aspire to promotion do not perceive a clear, fair, predictable, consistent and respected career-path.

Recent research by Marks (2003) suggests that leadership preparation and development programs should be clearly located within the relevant phase of a leadership career continuum so that aspiring leaders can: clearly and confidently identify a leadership career-path; locate themselves on that path now and into the future; and identify which leadership programs best suit their own stage of leadership preparation and development along the framework continuum. For many, this approach may well prove to be that elusive *yellow brick road*.

Nevertheless, I believe that school leadership preparation needs a valued and respected career-path *framework*; a relevant and future-orientated leadership philosophy based on *lead-*

ership capabilities; and a high-status leadership *role image* which is valued by employers, government and the wider community.

Succession Planning: A critical shortfall or a great opportunity?

Many education systems world-wide have been struggling to attract suitable teachers and/or middle executives interested in, or even willing to apply for, the principalship. This scarcity of quality applicants is posing a major problem for system administrators. In 2002, NSW Department of Education & Training (DET) collected some major workforce planning data, which indicated that by 2008:

- 59% of current primary principals will have retired;
- 44% of current primary deputies will have retired;
- 34% of current primary assistant principals will have retired;
- 74 % of current secondary principals will have retired;
- 48% of current secondary deputies will have retired; and
- 44% of current secondary head teachers will have retired.

I believe that the current situation in fact creates a ‘window of opportunity’ that can lead to consideration of alternative models and approaches to leadership and a move away from the traditional models that are ‘frightening off’ aspiring leaders to the principalship. Emerging alternative models seem to have one major factor in common – that practising principals need to be valued as the development leaders, mentors and coaches of the next generation of school leaders. Research from Goleman, Duignan, Scott, Fullan and Hargreaves would strongly suggest that mentoring and coaching by those “fellow travellers” slightly further down the path is potentially the most effective system-wide succession planning and leadership preparation strategy.

Shared Leadership: Vertical and lateral capacity building

A major challenge for contemporary leaders is to develop and foster the growth of shared leadership in their schools. They need to facilitate people in learning how to learn together so as to develop collaborative and shared mental models and meanings that bind them together as a community. The key emphasis is on learning together, sharing and creating processes and conditions that encourage everyone in the school community to learn, grow, and be creative together. This is, in essence, what is meant by sharing leadership in a school community. And the school community is not restricted to an individual school; rather it is any combination of networked schools.

Sharing leadership, in the context of learning community, involves nurturing and supporting competent and capable individuals in order to build capable organisations. The central perspective of this paper is that the acceptance of such support presupposes that leadership constitutes an influencing process that helps build the capabilities of individuals, groups and organisations.

An emerging view is that the contemporary principal needs to be a confident, self-aware, compassionate, empathetic, and wise leader who influences self and others (both within the school and across the district, if not across the state) towards the development of genuine shared leadership and shared vision in a changing and uncertain environment. Part of the

challenge is to determine how key individual and organisational capabilities can be developed. What type of leadership preparation and development programs and strategies can best enhance individual and organisational capabilities? The author argues that competency-based training and development is insufficient. Instead, as Duignan proposes, a *formation approach to the development of leadership capabilities* is recommended: an approach which is based on principals as the key drivers. These principals are to function as developmental leaders: facilitating and mentoring the preparation and development of future leaders, according to a clearly articulated career-path continuum.

Developing Leadership Capabilities: Leadership formation

The findings of a recent research study (Duignan et al. 2003 SOLR Project) strongly indicate that leaders in contemporary organisations require frames of reference that can assist them manage situations of uncertainty, ambiguity and seeming contradictions or paradox. The challenges facing leaders, as identified in the SOLR project, are complex and multidimensional. Leaders, who have to make choices in such paradoxical situations, require more than management skills and competencies. They need creative, intuitive frameworks based on in-depth understanding of the nature of human nature and of the ethical, moral, even spiritual dimensions inherent in human interaction and choice (Duignan, 2002c). Above all, they need sound judgement and wisdom derived from critical reflection on the meaning of life and work. Such leaders tend to be people with ‘character’ shaped by a value-set fine tuned through the warp and weft of life’s experiences. They often have ‘spiritual scars and calluses on their characters’ from having battled with the complex perplexing dilemmas and tensions of life and work (Bogue, 1994). They are morally courageous, unafraid to question unfair and unjust processes and practices when conformity would be the easier path.

The formation of educational leaders is essentially an educative process which involves not only the mere acquisition of knowledge, the transmission of facts, or the development of skills or competencies, but also the creation of ethical and moral ‘horizons of significance’ (Taylor, 1991). Research by Scott (2003) identified that the most vital traits for an effective educational leader relate to emotional stance (personal and interpersonal relationships); ways of thinking (scenario planning from previous experiences); and diagnostic mapping (that set of mental road maps which the school of hard knocks provides). The results of this research by Scott led NSWDET to develop a *Leadership Capabilities Framework* which now underpins all state-wide leadership preparation programs as well as state-wide leadership development programs.

A Principal-driven Leadership Strategy: What does it really look like?

In 2003 the author undertook a national and international study tour as the recipient of an Educational Leadership Research Grant jointly funded by NSW Department of Education and Training and NSW Primary Principals Association. The purpose of the research was to investigate world best practice ‘educational leadership preparation and development programs’ with the aim of identifying the components of these successful programs which were common to each program.

The common elements identified were:

- A framework identifying career progress as a phased continuum;
- Programs philosophically based on mentoring and coaching; and
- Programs with a high level of involvement from local school principals and principals' associations.

In 2004 the author developed these findings into a Leadership Strategy for NSW DET's Illawarra and South Coast Region. The strategy is based on:

- clearly identified phases of career development on a leadership preparation and development continuum (Recruitment; Executive Induction; Executive Development; Aspiring Principals; Relieving Principals; Principal Induction; Principal Development; Consultant Principals);
- one-day launching conferences in local areas (for each phase) which initiate the formation of local collegial groups of 10-20 members; and
- each local collegial group (at each phase of the strategy) is facilitated by a pair of principal facilitator/mentors and is based on best practice adult and collaborative learning theory.

The strategy was launched in February 2005 and by March 2005, over 800 school-based personnel had applied to become part of this leadership preparation and development program. This represents over 10% of the total school-based work force in the Illawarra and South Coast Region. Over 90 principals have volunteered to be principal facilitator/mentors. This represents almost 50% of principals in the region. Approximately 45 local collegial groups spanning from Wollongong (in the north), to Eden (in the south), to Cooma/ Queanbeyan/ Goulburn/ Bowral (in the west), are now operating and developing a needs-based program for 2005-06.

More recently (August 2005), the Aspiring Principal Program (within The Executive Induction Phase of the continuum), has been launched. This program does not lead to the formation of collegial groups (as many of the 200 participants would already be a member of a local collegial group), but rather has a voluntary principal shadowing program. Over 100 principals have volunteered to be shadowed by aspiring principals over a twelve month period. Shadowing training was provided for principals before the process began. With over 200 aspiring principals shadowing over 100 principals, this initiative represents a most significant opportunity, as part of a leadership preparation.

In addition to addressing the system needs for effective succession planning and the individual career needs through a clear, accessible and needs-related leadership preparation and development framework, the strategy has also released an enormous professional energy amongst principals who are now taking a leading role in the ownership of and the responsibility for, the preparation of future leaders. This may well be the most significant outcome of this strategy. This unprecedented surge of interest by principals in their own professional leadership development, and the leadership development of others, has released a previously untapped source of leadership capacity. Principals report being genuinely enthused by being involved. It is a professional rejuvenation for many experienced principals as well as a time to reflect of one's own practice; and to sharpen the skills of facilitation; presentation; mentoring and coaching. This truly is a working example of what Michael Fullan (2004) calls: lateral capacity building through developmental leadership:

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Social and Emotional Learning: The missing piece of the learning puzzle A case study

Kathleen Park

The focus of this paper is to examine the development and implementation of *social and emotional learning* (SEL) programs within a school setting. Suggestions for developing and implementing a program are provided, along with a case study of a school that is in the process of introducing a program of SEL in the senior years.

Emotional Intelligence

Freedman (2002) has defined emotional intelligence as “the inner capacities that let us create optimal relationships with ourselves and others. The skills include using thoughts, feelings, and actions to build self-knowledge, self-management, and self direction.” The suggestion is made in a variety of literature that over 80% of adult success comes from the qualities that encompass Emotional Intelligence: trust, integrity, respect, authenticity, honesty, empathy, persistence and optimism.

Since the beginning of formal education, there has been a dialogue about the purpose of schooling. What really matters? In recent years, there has been a renewed emphasis on acquiring a knowledge of ourselves and others, as well as the capacity to use this knowledge to solve problems creatively. Hence, improving the social and emotional climate and character of a school can lead to enhanced achievement in academics, as well as contribute to a happy, productive attitude in all individuals. For a school to include a curriculum that encompasses emotional intelligence, as well as the modelling it by teachers on a daily basis, the following guidelines (adapted from Goleman, 1995) should be considered:

- Self-awareness – building a vocabulary for feelings; knowing the relationship between thoughts, feelings and actions; knowing if thought or feeling is ruling an action
- Decision making – examining actions and knowing their consequences; a self reflective view of what goes into decisions; applying this to issues such as sex and drugs
- Managing feelings – monitoring self-talk to catch negative messages such as internal put downs; realising what is behind a feeling (e.g. the hurt that underlies anger)
- Self concept – establishing a firm sense of identity and feeling esteem and acceptance of

oneself

- Optimism vs pessimism – recognising that life can have setbacks but that through adversity individual strengths and self reliance can triumph
- Handling stress – learning the value of exercise, guided imagery and relaxation methods
- Communications – sending “I” messages instead of blame; being a good listener
- Group dynamics – cooperation; knowing when and how to lead, when to follow
- Conflict resolution – how to fight fair with other kids; with parents and with teachers, a win-win model for negotiating compromise
- Empathy – learning how to recognise the feelings and needs of others

Development of a SEL Program

SEL is the process through which we learn to recognise and manage emotions, care about others, make good decisions, behave ethically and responsibly, develop positive relationships, and avoid negative behaviours. Social and emotional education involves teaching young people to be self-aware, socially cognisant, able to make responsible decisions, and competent in self-management and relationship-management skills so as to foster their academic success. The following guidelines (based on Elias, 1997) are proposed for social and emotional learning programs:

1. SEL programs engage students as active partners in creating a classroom atmosphere where caring, responsibility, trust and commitment to learning can thrive.
2. A comprehensive, theory-based framework that is developmentally appropriate unifies academic and SEL goals.
3. SEL instruction uses a variety of teaching methods to actively promote multiple domains of intelligence.
4. Repetition and practice are vital to the integration of cognition, emotion, and behaviour.
5. Educators can enhance the transfer of SEL from lesson-based or other formal instruction to everyday life by using prompting and cuing techniques throughout all aspects of school life.
6. The integration of SEL with traditional academics greatly enhances learning in both areas.
7. The SEL curriculum may have to be adapted for children with special needs.
8. Coordination between the SEL curriculum and other services creates an effective and integrated system of service delivery.
9. Staff development opportunities provide teachers with the theoretical knowledge essential to teaching social and emotional skills.
10. Staff development provides modelling and practice in experiential learning.
11. Staff development activities are visibly and regularly supported by feedback from colleagues, administrators and others.
12. SEL programs are most effective when teachers and administrators adopt a long-range perspective.

A number of SEL instructional approaches (Zin, 2004) can be used to promote school achievement:

- Specific SEL curricula that address content areas such as substance abuse or bullying
- Infusing social-emotional skills into the regular academic curriculum

- Developing a supportive learning environment so that student learning occurs within a safe, caring atmosphere in which high expectations are expressed and there are many opportunities for reinforcement
- Altering the instructional process to promote social-emotional skills and learning, e.g. cooperative learning
- Programming in which the informal curriculum, such as the learning that takes place in morning meetings, the lunchroom, on the playground, or in extracurricular activities, is used as a basis for improving behaviours
- Engaging students actively and experientially in the learning process, application of SEL competencies to real-life situations

There is a distinct need for pre-service teachers to gain knowledge and experience in this area, as well as providing professional development for experienced teachers. One can see impressive benefits to the individual teacher, as well as the students in the classroom. Personal growth as caring, open, and responsive teachers, spills over into their relationships with colleagues, families, and friends. It is possible that participation in a SEL program will enhance the opportunities to form positive teacher/student relationships. These strong relationships provide great scope for enhancing the motivation and academic resilience of students.

In the Position Paper *Guideposts to our Future* (2003), the Australian Secondary Principals' Association highlighted the following points:

- Schools occupy a central role in the life and well being of our community.
- Schools are sites where important relationships are formed and where networks of friendship and belonging are established.
- What happens at home comes to school in obvious and powerful ways. What happens at school also leaves its mark on home life. Partnerships with parents and caregivers are an essential underpinning of success of individual students.
- Schools are playing an ever-increasing role in supporting the development of interpersonal and social skills, in partnership with parents and other community agencies.

Essential SEL Skill Clusters and Composite Skills

The Collaborative for Academic, Social and Emotional Learning (CASEL) identifies the essential SEL skill clusters and composite skills as the following:

Self-Awareness: identifying emotions; recognising strengths

Social Awareness: perspective-taking; appreciating diversity

Self-Management: managing emotions; goal setting

Responsible Decision-Making: analysing situations; assuming personal responsibility; respecting others; problem solving

Relationship Skills: communication; building relationships; negotiation; refusal

Factors Associated with Implementing SEL Programs

The successful development of a SEL program for an educational setting is dependent on many factors. Keeping the above guidelines in mind when creating the sequential, cohesive curriculum throughout the year levels will be necessary. Front end time is needed when contemplating introducing a new, innovative program. The current state of conditions must

be examined and implementers must be prepared to act with knowledge, conviction, and coordination.

Elias (2003) summarised the factors supporting successful SEL implementation as:

- Presence of a program coordinator or committee to oversee implementation and resolution of day-to-day problems
- Involvement of individuals with high-shared morale, good communication, and a sense of ownership
- Ongoing processes of formal and informal training, including the involvement of acknowledged experts
- High inclusiveness of all school population
- High visibility in the school and the community
- Components that explicitly foster mutual respect and support among students
- Varied and engaging instructional approaches
- Linkage to stated goals of school
- Consistent support from school principal
- Balance of support from both new and seasoned administrators

A Case Study

This section will explore the development and implementation of SEL within a high school. I will explain the steps taken to interest, motivate and encourage the teachers of the school to adopt a positive attitude towards this innovative addition to the educational program.

The school is a faith-based, P-12, all girls' school located in an affluent area of Brisbane. The school has a fine tradition of providing a nurturing environment, conducive to optimal learning for its 800 students. The teaching staff is a mixture of recently appointed, and experienced teachers. The culture of the school embodies the history and ethos of the founding religious order, whose members are still actively involved with the community. The principal is an exceptional educational leader.

Pastoral Care is an established component of education at the school. It is an expression of the ethos of the school, especially endorsing the gospel values of justice, inclusion, reconciliation and respect. The Pastoral Care Team leads the staff by providing guidance and information for dealing with issues or concerns with student and staff welfare. This group of people consists of the Chaplain, Student Counsellor, Year Co-ordinators, Deputy Head of the Junior School and Head of the Senior School.

The Situation

As the school entered the new millennium, with a new Principal and changes in the Educational Leadership Team, the timing was ideal to consider what and how we were providing for our students. Our teachers have always been encouraged to engage in professional development and further study. Several teachers became very interested in Learning Styles. Training for the whole staff and a commitment of surveying all students to ascertain their preferred learning style created the means to improved curriculum, pedagogy, and assessment. This was an exciting development and many classrooms were centres of increased engagement and motivation through giving students knowledge and ownership of their own learning and considering lesson planning for all learning styles.

There was great interest in learning more about the way the brain works and many teachers attended seminars and courses intended to explain how we learn, the functioning of the brain and the 'gendered' brain. Being an all girls' school, we were specifically intrigued by the work of JoAnn Deak (2002), which draws from the latest brain research on girls to illustrate the exciting new ways in which we can help our students learn and thrive.

From these investigations, I was left with a deep conviction that the importance of emotional readiness for students was paramount for real learning to occur. In the classroom I had witnessed students with difficulties in their academic study due to their lack of self and social awareness and confidence in their ability.

I discovered the work of the Collaborative for Academic, Social and Emotional Learning and was convinced that social and emotional learning (SEL) was indeed the missing piece of the puzzle.

The Task

Firstly, I needed to involve the Year Co-ordinators in discussing the concept of SEL and enthuse them as to the benefits and importance of creating a program. We had initial discussions in May 2003, and a planning meeting in August 2003 which allowed for each member to voice opinions and ideas about the readiness of our school for such an approach. Secondly, I presented our proposal to the Educational Leadership Team and it was met with great enthusiasm and approval. The implications for the school included the allowance of three release days for the year co-ordinators to research, plan, write and prepare resources for the program. The necessity for collaboration was great as the goal was a sequential, comprehensive program that did not duplicate learning activities that occurred in Religion and Life Education. Thirdly, the year co-ordinators and I worked on the skeletal outline of the program and then each co-ordinator created the program for her year level.

The program takes place in extended form (pastoral) time and some negotiation was needed to ensure that the timetabling was sufficient. The form teachers had the opportunity to discuss the implementation of the program with their year co-ordinator in a planning session at the start of the year and there is on-going support for the form teachers.

The Result

SEL is now an accepted part of learning and every student from years 8-12 engage in weekly lessons. An appraisal committee has been established and it includes teachers, students and parents. The first meeting in March 2004 presented an opportunity to share ideas and initial reactions to the SEL lessons that had only been in operation since February. Feedback is sought from randomly selected students and the form teachers.

The Future

The committee will need to consider the further development of SEL and these issues need to be addressed:

- Introduction of SEL in the Junior years (P-7)
- Time allocation/timetabling constraints
- Appropriate professional development for teachers

- Developmentally sound themes and topics for year levels
- Promotion and recognition of the program

Conclusion

It is exciting to be involved in the development of a new and innovative way to address the social and emotional needs of students and teachers. The ultimate goal is that all interactions and experiences at the school display an awareness of the social and emotional competencies. I believe we are well on our way.

Equalising the Pressures: Ethical dilemmas, principals and consultants

Richard Waters

Educational leaders are public figures who are increasingly under scrutiny over their performance and the decisions they make; both over the general direction of their schools but also over individual decisions affecting specific situations and individuals. These could include decisions over whether or not to adopt sponsorship for a school sporting team, what information about school academic performance to release to the media, the discipline of students over misconduct, or the dismissal of staff over inappropriate behaviour towards students. Principals making such decisions will be judged not only by their own school community of students, teachers and parents, but also, beyond their immediate school community by local business people and government representatives and the general public. How these groups respond will affect the standing of the educational leader and their school. As Fullan (2003/3) states, “Everyone, ultimately, has a stake in the calibre of schools and education is everyone’s business”.

In society generally, there appears to be a greater concern over ethics and decision-making by public figures. Examples include questions about whether the Prime Minister was honest about the reasons behind the decision to commit Australian troops to Iraq when there was serious doubt about the existence of weapons of mass destruction and whether intelligence advice was reliable or altered to fit the government’s preferred interpretation. A further example is the treatment of senior public servants such as the head of the Federal Police, Mick Kelty, who was held in high regard by the public over his handling of the investigations of the Bali Bombings but who was chastised by the Prime Minister when he expressed the view that Australia’s participation in the war in Iraq had made it more of a target for terrorists. These issues are about ethically appropriate behaviour and public reaction indicates a high level of public interest about these issues.

Closer to the experience of non-government schools have been concerns about the handling of sexual abuse issues in church schools by church and school leaders to the point where the Governor-General, Peter Hollingworth, was forced to resign over his inaction when head of the Anglican Church in Queensland. This case highlighted the need for greater openness and transparency in the processes used to deal with such issues and the need for the decisions by leaders to be perceived as ethical. Not all issues faced by educational leaders will be so

problematic but ethical issues frequently occur and because the view of being ethical is not clear-cut, it is a difficult and contested area.

Being ethical can be defined as "...acting in accordance with generally agreed rules and/or standards for right conduct or practice" (Department of Education, Science and Training, 2003). These agreed rules or standards depend on our values which have been defined as "...the principles and fundamental convictions which act as general guides to behaviour, the standard by which particular actions are judged as good or desirable" (Halstead & Taylor, 2000, p. 169).

Values can also be a highly contested area because many values will vary according to the culture of one's society. Values may also vary within one culture, for example, within contemporary Australian culture, depending on whether one is old or young, male or female, indigenous or non-indigenous, rural or urban, liberal or conservative. However, there are also universal moral values which tend to cross many of these boundaries to be generally accepted in the Australian community. Educational leaders will be familiar with the Department of Education, Science and Training (DEST) recent formulation of values common to Australian schools: "Tolerance, understanding and respect; Responsibility – personal, social, civic, environmental; Social justice; Excellence; Care - for self and others; Inclusion and Trust; Honesty; Freedom; Peace; Being ethical" (DEST, 2003, p. 157).

It has been suggested that ethical dilemmas often arise in attempting to make the decision between 'right' and 'good' — you may have done the so-called 'right' thing but was it the 'good' thing to do? President Truman's decision to drop atomic bombs on Hiroshima and Nagasaki may have been the 'right' decision, from his viewpoint in order to save hundreds of thousands of American Servicemen and Japanese lives which would have been lost in an invasion of Japan to end the war in the Pacific, but was it the 'good' thing to do given the number of innocent civilians' lives that were lost in such an horrific way? This shows how problematic the area can be. Indeed the Penguin *Concise English Dictionary* (2002) suggests a dilemma is "a situation involving choice between two equally unsatisfactory alternatives" (p. 239).

However, to return to the centrality of decision-making in the leader's role and the problematic nature of issues involving ethical dilemmas, it is important to understand that it is not a clear-cut area. As Rudolph Giuliani, the Mayor of New York during and after the September 11 terrorist attacks which brought down the Twin Towers comments, "Decision-making would be easy if it were always a choice between good and evil or right and wrong. In the real world, leaders have to make decisions that are multi-dimensional, usually between two or more imperfect remedies, a criteria that encompasses long-term goals and plausibility" (Giuliani, 2002, p. 126).

Perhaps part of the answer may lie in the declaration of an institution's values and a clear definition of the expectations of the educational leader's role. This would then provide some criteria on which to judge his or her performance in this area. Otherwise, we are asking the impossible of leaders and then condemning them if they fail to achieve it.

A key question in all this seems to be, whether you can train leaders to acquire the capabilities to make decisions on ethical dilemmas, and, if so, what are the appropriate modalities to equip leaders with these capacities? Further to this is what supports do leaders need to meet the expectation that they will make right and good decisions on ethical dilemmas. This research project has these issues as its main rationale.

Research Process

In this research project, the methodology of in-depth interviewing selected subjects as case studies was used to investigate the issue of the decision-making of educational leaders in relation to ethical dilemmas. In particular, I was interested in how well-equipped leaders felt to deal with this particular aspect of their role, any training they had had which had helped them and to whom they looked for support on these issues.

Three principals of non-government schools were selected for interviews based on a series of questions about their work, their role, and their engagement with ethical dilemmas: Paul, Sister Carmel and Lindsay (pseudonyms). Principals were selected as key educational leaders, despite the fact that leadership may be to some extent dispersed through a school (the term educational leaders and principals are used interchangeably). Principals were asked to identify a critical incident that would illustrate the problem of ethical dilemmas. The principals were also asked about areas of support, personal ethical frameworks and any training they had experienced in relation to this part of their role. An ethical dilemma is a situation where, in this case, an educational leader is confronted with having to make a choice between competing alternatives and there is no clear option as to which is the right one. This is in part the expectation that an educational leader should be ethical in their behaviour and choices. Being ethical has been defined as "...acting in accordance with generally agreed rules and/or standards for right conduct or practice" (DEST, 2003, p. 7).

Three leadership consultants, Andrew, Olivia and James (pseudonyms), were also interviewed in order to investigate what methodology they used, or could recommend, in training existing or aspiring leaders in decision-making on ethical dilemmas. These interviews were subsequent to those with the educational leaders and so could build to some extent on the responses of the educational leaders.

The findings were reviewed and the data gained was analysed in relation to the research questions. This material was used along with the issues which emerged in the Literature Review to build an explanatory model which suggests the need to balance the multiple pressures which educational leaders experience in relation to ethical dilemmas with an equalising range of support measures and training dimensions to assist leaders to manage these pressures and to fulfill their roles.

Overall Findings

The interviews with educational leaders established that decision-making involving ethical dilemmas was indeed a central part of the role of these educational leaders and one of the most challenging aspects of that role. Educational leaders are called upon to make judgments on issues which are far from clear-cut and they are called upon to do this every day. The relevance of this issue was reinforced by the fact that there were two other research projects in Queensland examining ethical dilemmas faced by leaders. The first by Dempster et al. (2001) which involved government school principals, and the second by Cranston et al. (2003) who started their project looking at senior public servants and more recently extended it to involve educational leaders in government and non-government schools. The publication of Cranston's (2004) article in the Australian Council for Educational Leaders' magazine, *The Practising Administrator*, should give the issue a national airing.

The data which emerged from the interviews also highlighted the problematic nature of

ethical dilemmas for educational leaders and the issue of what was the right thing to do in these situations. It recalls the television series 'Yes Minister', where the hapless leader of the Department of Administrative Services, the Right Honourable Jim Hacker, MP, makes his judgment on a particular issue after some agonising only to be met with the damning reaction from his Permanent Head, Sir Humphrey Appleby, "A very 'courageous' decision Minister!" which always left you with the feeling it was the wrong decision, politically at least. Educational leaders, according to the data, regularly have to make 'courageous' decisions and despite the avenues of consultation and support, and even group leadership, the final decision is often down to the individual principal.

In relation to the question of whether educational leaders were appropriately prepared for this aspect of their work, it was clear from the interviews with the leaders themselves that there was very little training, and the training they had was often of limited practical use, faced with the sorts of issues with which they were confronted. This also raised the question of to what extent you could train aspiring leaders for the challenge presented by ethical dilemmas. To some extent. This was in part why the question of the existence of a personal ethical framework was so important to the leaders interviewed, because it provided a reference point when faced with the difficulties of a dilemma.

From the consultants came the idea that, for an organisation, the personal ethical framework of the leader was insufficient and there needed to be a shared set of values that had been discussed, agreed upon and articulated. This would give some predictability about the direction decisions would take. From the research literature came the issue of codes of ethics and organisational support for these. So this area was well canvassed and although the findings are focused on the educational leader, part of the support structure needs to be this sense of shared values in the organisation.

What emerged from the interviews with the leaders themselves was that although the sources of support varied, their existence and accessibility were most important. For the leaders to feel they were not alone, that they had confidential sources of counsel, that they had legal and technically accurate advice and that they had the trust of their board chair or someone in the system, could make all the difference to their confidence in handling a tricky situation. Interestingly, consultants did not show up much at all in this area as sources of support as I hypothesised they might.

The educational leaders were unsure of what kind of pre-role preparation would have been useful but they were clear that it needed to be non-academic, practically-based and had to be built on the life experience of the individual leader. This was supported by the literature and particularly by the Dempster (2001) study. The consultants had a varied approach but they tended to emphasise either an organisational learning approach or a reflective, interactive, participative approach which could potentially encourage educational leaders to really engage in their own personal development. What was clear was that consultants needed to have a convincing level of credibility to overcome the skepticism of educational leaders towards the value of training and professional development programs, and that collegiality was very important to leaders in the training process.

The Pressure to Spin

An important question which arose from the research was the problem as to whether the

ethical dilemmas were really an issue of deciding between two possible right decisions, or whether the dilemma, as one of the consultants Andrew put it, was really about whether to choose the right decision over the more convenient or expedient decision, in his words “the pressure to employ spin”.

As private institutions non-government schools are hybrids as they are partially publicly funded and regulated but they are also often non-profit companies which have to meet a bottom line. Non-government schools are seldom alone in their location and are therefore in competition with other fee-paying schools or with fully publicly funded government schools. One of the pressures on an educational leader then is to stay financially viable, maintain a positive public profile and include marketing and public relations considerations when making potentially controversial decisions on ethical dilemmas.

Although Andrew made a point of the ‘spin orientation’, the principals interviewed for the study didn’t emphasise the marketing considerations at all. It could be said that public relations might influence a decision to be taken so that it has a minimal impact on the school’s profile. However, it could be just as easily said that taking decisive and public action on an issue would, in the current climate, have been the best possible public relations decision because his current and potential parents see that the principal is acting decisively and clearly to protect the interests of his key stakeholders, the students.

In reality, both kinds of dilemmas (right/right and right/expedient) are faced by educational leaders on a regular basis and both require a clear head and a cool demeanour if they are to be resolved satisfactorily. It takes a certain moral courage to take the right decision over the expedient one but with the pressures on non-state school principals (which are of a somewhat different nature to those on state school principals) one could understand the temptation to take the easier option. However, if one is to actually lead an educational institution which involves a community of not only students, but also teachers and parents, it would seem that moral leadership is a part of this and moral leadership means choosing the right alternative over the expedient one. However, when it comes to ‘right versus right’ dilemmas, the issues are even less clear cut. Here, it really must be the leader’s best judgment which comes into play. After the consultations have been made and the issues have been weighed up, it is up to the educational leader to make a decision, and then to be able to defend it if necessary.

Equalising the Pressures on Educational Leaders

Drawing on the interview data and the material in the literature review, an explanatory model was developed that focused on educational leaders and their need to be equipped to effectively deal with the challenge of the ethical dilemmas with which they are confronted in the course of their work in schools. Educational leaders are faced with an increasingly intensified work environment which could be described as a series of pressures from both within and outside the school. If these are not handled well, it could lead to what was described by consultant Andrew above as a ‘spin orientation’. In order to assist leaders to avoid this, there need to be balancing factors that will ‘equalise the pressures’ on them.

The model involves the idea of equalising the pressures on educational leaders through the medium of a range of sources of support, training, and professional and personal development. The pressures include: marketing and public relations; legislative frameworks; school board or council; possibilities of litigation; and parent and alumni expectations. Support in-

cludes: skills training; ethical frameworks; personal development opportunities; health and fitness; and support from colleagues, friends and family.

What the explanatory model is suggesting is that, in the interests of the health and well-being of educational leaders and their schools in the non-government sector, these pressures need to be 'equalised' by a broad range of support mechanisms and a review of the approaches to the training and professional development of educational leaders so they are better equipped to make decisions involving ethical dilemmas with a degree of confidence. The model suggests a range of formal supports including the management team, the board chair and for many non-government schools, individuals in the church or systems which support the school. There are also a variety of informal supports and it is vital that educational leaders cultivate these, preferably well before they come to a crisis. This model also emphasises the importance of health and fitness in coping with the stress inherent in the pressures identified in the top half of the model. However, perhaps more important than health, or one could say important to health, particularly mental health, is that the personal development of the leader be cultivated and pursued. This is not a 'self-development fad' approach but a serious view of the importance of an educational leader being a person who not only has confidence in his or her ability to make decisions on ethical matters, but that those decisions will have emotional and spiritual intelligence behind them; what might be called wisdom. This personal development needs to be seen in conjunction with an ethical framework so that a leader is not making ad hoc decisions, but makes decisions in reference to a set of principles and values that are defensible and able to be articulated.

The final element in the model is that of training and professional development. Leaders, and potential leaders, will need training and professional development in a variety of skills so that they can feel equipped to deal with the ethical dilemmas that occur in their everyday experience in their roles in schools. In relation to modalities, the Dempster (2001) survey of state school principals showed clear preferences on modes of delivery of professional development programs. Among the most popular modes were: interactive workshops (66%), face-to-face delivery (53%), professional networking (51%) and mentoring (41%). Among the least popular were: multimedia packages (20%), work-based delivery (11%), on-line learning (7%) and studying a university subject (9%). The important point to make here is that this area requires new skills, new training and new professional development modalities, and most of all, experienced and inspiring educational leaders to interact with those seeking training and development in a meaningful way. The other major problem is that existing and aspiring leaders need to see the value of newer forms of training in these more subtle dimensions of educational leadership. Perhaps the problem of principal turnover will motivate both non-government educational leaders and boards to see this need. Those providing such programs, however, will also need to be able to offer something that is effective, long-term and meaningful.

Concluding Comments

In concluding this investigation on educational leaders and their decision-making on ethical dilemmas, I found myself returning to the problematic question of the development of wisdom in the educational leader. Without something of this intangible quality, all the training programs will have little meaning. This quality is illustrated in the famous story about King Solomon where he was confronted by two women both claiming to be the mother of a disputed

baby. His solution of the tug of war to see who would be the first to pull the baby out of a chalk circle established the true mother as the one who would sacrifice her attachment to prevent her child being harmed. The story illustrates the need for wisdom in a leader and while this may perhaps be seen as an old-fashioned concept, it would help educational leaders a great deal in dealing with ethical dilemmas.

My experience of educational leadership over a twenty year period is that one of the key features of the role is the ability to be able to make decisions, to make judgments, to make the best call you can on an issue or a situation. This requires a level of intuition as well as logic, which in turn requires a clear mind, detached and unencumbered but informed by universal human values that provide an on-going guide in changing conditions and circumstances. Further to this, unless ethics are based on values that are lived out in everyday life, they will inevitably be superficial and self-serving and a contradiction of their supposed goal. This is the challenge for educational leaders today faced with ethical dilemmas in an age of spin.

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