Helene Ärlestig
Christopher Day
Olof Johansson *Editors*

A Decade of Research on School Principals

Cases from 24 Countries

Springer

Studies in Educational Leadership

Volume 21

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Leadership we know makes all the difference in success or failures of organizations. This series will bring together in a highly readable way the most recent insights in successful leadership. Emphasis will be placed on research focused on pre-collegiate educational organizations. Volumes should address issues related to leadership at all levels of the educational system and be written in a style accessible to scholars, educational practitioners and policy makers throughout the world.

The volumes – monographs and edited volumes – should represent work from different parts in the world.

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Olof Johansson

Editors

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Introduction

At the University Council for Educational Administration (UCEA) conference in Washington D.C. in November 2014, I had the pleasure to serve as a discussant for a session entitled, "International Research on Principal's Work," organized by Helene Arlestig (University of Umea), one of the editors of this volume. The session reported analyses of research on school leadership, especially the role and work of the principal, conducted across five continents (Africa, Asia, Australia, Europe and North America), which included contributions from 8 of the 24 countries represented in this text. Specifically the reports presented were from Australia, Canada, India, Israel, Saudi Arabia, South Africa, Sweden and the United States of America. Using only research references from their own national context, presenters were asked to examine, among other things, policy changes, social configurations, norms and expectations from their respective countries over the last 15 years. Borrowing from the title of the 1873 Jules Verne novel, "Around the World in 80 Days," the audience at this session had the opportunity to go around the world of school leadership in 80 min, considering similarities and differences in the focus, quantity and quality of research on principal's work across the globe.

I think the key insight most in attendance gained from this experience was that while leadership matters, it is best understood in context. Successful school leaders, particularly principals and head teachers, are shaped by and, in turn, shape the context within which their schools operate. Most often they themselves are products of the schools they will come to lead and therefore they have internalized the system "as it is". Yet if the school they are leading is not already functioning effectively, these leaders have a professional responsibility to help shape the school into what "it might be". So where does one acquire the knowledge and skills to make such a transition? An in-depth understanding of the social milieu and governance structures that define the national context in which an educational system exists is an important starting place, as it is essential to understanding how a system operates and the normative role of school leaders within it. This book takes on the task of doing just that by reporting the most important leadership research conducted in each country over the past decade and a half. To my knowledge, this is perhaps the most comprehensive, global examination of school leadership research assembled

in one place. One sees very quickly sharp delineations in systems and leadership practices that result from such indigenous factors as population, in terms of size, density and diversity; wealth and relative disparities in resources that exist across members within a society; centralized versus decentralized control of the educational system, particularly with regard to setting curriculum and allocating human resources; the ways in which gender, ethnicity and religion determine who is privileged within a system and who is held back; how school leaders are prepared and selected, to name just a few. Moreover, we see how language and proximity, as well as past and present cultural ties and relationships between nations, can link systems and create common understandings of school leadership that diverge from those in countries without such bonds.

For educational researchers, local policymakers and practitioners interested in gaining a comprehensive and comparative perspective of school leadership situated in context, this book is an essential read. Having worked in this area of research for almost three decades, I can promise the reader that not only will you learn about leadership policy, practice and preparation in many diverse contexts, you will also come to a far deeper understanding and appreciation of these issues in school leadership in your own context as well, because by looking outward you inevitably have to look inward.

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Chapter 1
International School Principal Research

Helene Ärlestig, Christopher Day, and Olof Johansson

Introduction

This book aims to provide a map of the nature, purposes, directions and contexts in which school leadership research has taken place since 2000 in a number of culturally and educationally diverse contexts. The selection is deliberately cross-national, in different geographical regions and in jurisdictions which are illustrative of different political and social histories, stages of educational provision, policy development and priorities. This is important because, as readers will quickly observe, it is these broader political policy, provision and social contexts which are associated with both the orientations of researchers themselves, the volume and kinds of research which have been conducted in recent years (e.g. empirical/ideological/conceptual) and the in-country development of leadership research itself.

Research reported in this book confirms that principals are important and can make a difference, even where, as in China, local decision-making authority is given to school principals and teachers, or, as in France and in some cantons in Switzerland, where schools do not have principals at the primary level. Yet, the mosaic of research practices that emerge illustrates not only a variety of but also, in some cases, enormous gaps between countries in terms of research knowledge production about school leadership. The book provides a unique collection of analyses of research publications on school leadership, carried out in 24 countries in the context of individual policy histories and social configurations, norms and expectations over the last 15 years. It is not intended to represent a 'comparative' research perspective.

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Each author was invited to write about contemporary leadership research in their own country. Collectively, however, the chapters reveal differences in the focus, quantity and quality of the research reported. They provide a rich, if sometimes fragmented, collage of what is known and what is not known, empirically, about who the leaders are and what they do in schools that contributes to the improvement of learning and achievement of students and to equity and social justice.

The chapters also show significant variation in what knowledge that is seen as important and in the pace of development and change at national and local levels. Local context and prerequisites are shown to influence what schools look like and what kind of learning takes place. Changing teaching practices within countries newly dedicated to 'democratic' schools, for example, Latvia, is difficult:

> Nevertheless, everybody's active participation and responsibility to promote the change process in developing democratic education and school is much more difficult than writing new laws, providing necessary materials, technical basis and funding.

Researching Educational Leadership: Different Starting Points

Research on educational leadership and management in many of the countries is a relatively new and a growing area, and some authors found it hard to find enough high-quality empirical data. In Brazil[1], for example, the term 'leadership' is seldom used among researchers.

All the chapters report research found in published articles and books. Some authors include doctoral theses as important basic research in their contexts. China, for example, has a tradition of using discursive. In that country, knowledge of school leadership is largely based on commentaries, prescriptions and experience-based texts that do not always provide the same empirically based knowledge as much of the research conducted in Western countries. So in China, we can say that empirical research is in its infancy. India also reports a dearth of empirical studies. Traditionally, studies have focused on the school leader as an individual (e.g. Estonia). The chapters show, also, that the relation to theory is weak and that in many countries, it is hard to find funding to study educational leadership. Research can also be commissioned by, and in that way connected to, government initiatives (e.g. England). In some countries, there are relatively few researchers who are interested in and have published studies on educational leadership. Many of the studies reported are qualitative; most are small case studies. We observe a small but growing amount of mixed method research in some countries. Besides the in-country studies, we see a growing amount of international collaboration through the EU, OECD, ISSPP and

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[1] We will in the introduction chapter highlight some examples by mentioning the country chapter where it is more to read in relation to the mentioned perspective.

various research networks and projects. This is most dominant in the European- and English-speaking countries. In some countries, they have more impact than domestic research (e.g. Austria). Still, there is an identified need for more cross-national and comparative studies (e.g. Norway).

English-speaking countries with a long tradition in the field have an important impact in almost all countries. The English-speaking countries with a commonwealth connection have a long tradition of empirical and conceptual research about educational leadership. They have the most influential journals, and they also have English as a common language. In several of the other countries, the first studies took place during the 1990s. The international English literature is used as inspiration and reference. Countries with the same language often impact each other. Germany has an impact on Austria and Switzerland and Canada on France and vice versa. The Nordic countries are recognised both as being welfare states and because of their democratic ideals, and this close cultural connection makes research across these countries easier to access and understand. There are many concepts, so-called isomorphs, which travel well and are used, even when they are hard to translate and researchers do not always agree on the concepts' definitions.

> Theory and practice in educational leadership and management are socially constructed and more contextually bound than some are prepared to admit (Austria).

This also means that researchers from countries with languages other than English and who do not have a history of publishing in English are not well known outside of their own countries.

Similarities and Differences in Educational Systems

A common theme throughout is that school principals in all countries are subject to more and more public scrutiny and held to be more closely accountable by governments for the academic attainment and equity of learning opportunities for all their students. All have been affected in some way not only by a higher focus on students' measurable results and accountability but also demographic shifts and increased turbulence in these societies. One important research context, then, for researching school principalship is the inclusion of low-income students (Brazil), immigrants, ethnic minorities and students with low socio-economic status. The authors from the Nordic countries describe the importance to schools of working for inclusion, equity and social justice (Denmark) and also becoming more multicultural (e.g. Norway, Iceland). Their ambition is not only to educate students but also to foster their ability to play a constructive role in a democratic society. Many countries do not have any streaming in relation to ability. Saudi Arabia, on the other hand, has gender-separated schools.

Governance

All chapters, either explicitly or implicitly, identify the challenges faced by principals in responding to the local and relational governance with the national interest in order to contribute to the development of a 'good' society. In some parts of Germany, as well as in Sweden, for example, there are four governing levels above the principal. In large countries like Canada and the United States, governing structures differ depending upon where you live. One important aspect of mixing federal, national state, municipality and local governance for principals in many countries is to ensure democracy (Brazil). In some countries, school 'boards' have an impact on what a principal is allowed to do. School boards, which have an oversight of several schools, can also be seen as a sign of democracy. In India, for example, at least 50 % of board members are from the community. In Estonia, principals are governed by several school boards. The principals' actual powers are formed through the relationship between responsibility and accountability that comes from the level above. In England, each school has its own board. Some countries report a high degree of bureaucratic and centralised control (France). South Africa has two systems, and 70–80 % of the schools are underperforming schools, which mostly are reported as being not safe places for the students. Unions are sometimes described as strong and even disruptive. In France, the schools' leadership is divided between administration, pastoral care (discipline) and teachers. There are countries where principals are supervised through government dictate (Saudi Arabia). There are several school forms, and sometimes the responsibility varies in relation to school form. If we take Iceland as an example, its pre-schools, which are compulsory, are governed by municipalities, while its secondary schools and universities are governed by the national state.

   Although schools and their governance are complex, and almost all agree that principals' leadership matters, the authors report on how principals have to consider and sometimes take strong notice of boards and districts. In many contexts, teachers have a strong pedagogical freedom. Principals have to use many abilities to succeed. 'A judicious balancing act must be performed by the principals today in order to overcome systemic limitations' (India). Authors of all chapters report a movement by governments towards decentralisation, with increased expectations for stronger leadership, self-evaluation and participatory decision-making (Iceland). National quality assessment and inspections have been introduced in many countries. As an example, in 2006, external inspectorates were introduced in Norway and Sweden. Globalisation has contributed to more external assessment and an increased focus on teaching, sometimes at the expense of the broader educational agendas (e.g. Israel, Saudi Arabia). Some countries have external inspectors who assess schools and sometimes oversee teaching (England, France). If schools in New Zealand do not meet expectations and criteria, the board can be replaced with a commissioner.

Principals' Roles

Almost all of the chapters report research that describes the importance that principals play in schools' everyday work. The functions included in the principal's role are often the same. These are usually administration, instruction, operation, community, inclusion and school improvement and effectiveness. Principals' work and roles nationally, even within the same school district, are not, however, always the same. In national contexts, there can be large discrepancies in schools and school systems' size, aims and assessment of 'effectiveness'. Mexico, India, the United States and Germany have large school systems involving several levels and students with diverse needs from communities in widely differing geographical and socioeconomic environments. India, for example, has 1.3 million schools, many situated in remote rural areas, whereas Latvia, Estonia, Denmark and Iceland have relatively few schools. In Iceland, there are 171 basic (compulsory) schools. Finland is known to have the same standards across their schools, while other countries have large differences between the local schools. Moreover, schools mirror and need to respond to tensions in societies and their changes in, for example, issues of poverty, religion, welfare, individualism, free choice and marketisation (e.g. Nordic countries, England). One example comes in the chapter on Denmark:

> It is a mixed story about relations between politics and school practices, between policymakers, school leaders, teachers and students, in an era of profound societal and political transitions.

These changes can have an effect on both research and practice agendas, as in the former east European countries where the Russian influence still affects the society and schools. In the chapters from these countries, issues of participatory democracy dominate the research agenda, for example, in Poland, where there has been a change from education as vocational training towards an academic base. On the other hand, research in French schools, which have no tradition of entrepreneurship, is focused on the leadership of the academic curriculum. Several authors, especially those in the commonwealth group, report the effects of PISA and other international comparisons on principals' leadership. In some other countries, religion is an important context for understanding leadership. Religious schools have their own school system (Australia, Israel). In Saudi Arabia, religion is a living part of the society:

> Islam is not only the religion of Saudi Arabia, but it is also the source of political legitimacy, the basis of the judicial system, and the moral code of society.

In countries with a clear nationally centralised administrative control and command structure, principals' attention to instructional leadership is restricted because of too much administration and bureaucracy. Principals are responsible for implementing government regulations in relation to unions and agencies (e.g. Mexico). In South Africa, principals' leadership is mostly related to management and control. This is often due to a lack of knowledge. In Saudi Arabia, the situation is different;

their principals lack autonomy and are supervised externally. In some countries, where principals teach as a part of their work, their authority is reported as being limited in a different way due to their lack of effect on staffing and recruitment (e.g. Germany). In other countries, principals have full responsibilities and can also decide teachers' salaries in relation to their performance (e.g. England, Sweden). In the Nordic welfare countries (e.g. Iceland, Sweden), fundamental values are legislated and clearly expressed as a part of the school curriculum. Democracy and equality are among the most important of these values. In Brazil, principals are appointed in different ways, some by 'indication' (political), others by 'elections' (in the school) and some others by a more equitable, rigorous selection process. Principals in Brazilian schools seldom stay longer than 3 years. In Canada, they often change position within 4 years. In Latvia, on the other hand, many principals have been in the same position for 15–30 years. In some countries, it is a male occupation, while it is a female occupation in other countries (e.g. Latvia, Poland and Sweden). Principals may be seen as site managers (Denmark). There are also reports that principals sometimes get stuck with managing 'of the moment' mundane administrative issues. Their service to students, teachers and parents becomes more important than working to increase learning opportunities among the students. Many principals also teach, and in some countries, their work is combined with other tasks. In South Africa, as in other countries, this can result in control by management rather than leadership support. Researchers in Israel describe the profession with a high degree of responsibility and little authority. In France, principals are seen as mediators, 'searching for a compromise between several principles of justice more than a leader taking initiatives and showing the path to follow' (France).

Countries also differ in relation to requirements and in-service training. Some do not have any national education or standards. In many countries, there is a requirement to have completed a teacher education programme and/or acquired teaching experience. In Denmark, a principal also needs a basic education diploma in public leadership. Sweden has a 3-year, part-time, mandatory national education at an advanced level. In Canada, a master's degree is becoming mandatory in many provinces. There are also countries that report on no or insufficient principal training (Brazil, South Africa, Saudi Arabia, India, Australia). Researchers in Finland report that there is no career path for principals. There is fear of a principal shortage, which requires succession planning (Canada, England and Sweden).

The Organisation of the Chapters

As editors, we were cognizant, from the beginning, that in-country research would likely be influenced by the broader educational contexts in which individual researchers were located such that the reader would be able to be presented with portraits of differences in research purposes, pre-directions and practices. So we do not pretend that the book provides a comprehensive world picture of the state of leadership research. Indeed, we did not set out to show the dominance of any one

corpus of research knowledge, but rather we wanted to begin to present a map of differences as well as similarities. So, for example, readers will find that in countries that are at early stages in their political, social and educational system developments, leadership research is concerned more with understanding and critiquing ideologies than practices and that empirical research is less prevalent, while the opposite may be the case in so-called developed systems. We hope that for these reasons, readers will find the culturally, educationally and geographically diverse accounts interesting precisely because of the evidence of diversity which they contain. We have, however, classified the chapters into five groups that relate to the stage of development of their educational systems:

Social Democratic Welfare Countries
This part of the book consists of research from five small countries in the north of Europe: Sweden, Norway, Denmark, Iceland and Finland. From an outside perspective, these countries are often seen as social democratic welfare states with high taxes and a stable political situation. All of them have a decentralised governing system with often well-functioning schools. At the same time when researchers within these countries compare their culture and schools, they often find more variation than similarities. Finland has, for example, been accorded a lot of attention around the world related to its PISA results. All countries have small research communities related to educational administration. Their researchers are internationally active and have a history of participating and publishing in international projects.

Former East European Countries with a Fast Transition to Democratic Societies
Only a few decades ago, Estonia, Latvia and Poland were closely connected to Russia and had governments that decided centrally all details related to schools and schooling. Since then, these three countries have gone through a fast development towards democracy. This has had an impact on how schools are led and governed. Schools and education have always been important in these countries, but the aims and priorities for learning have changed since the breakdown of the Soviet Union. Research about principals and school leadership has not been a priority in the universities in these countries, a situation that only now is slowly changing.

English-Speaking Countries with a Commonwealth Connection
The five English-speaking countries in our selection, Australia, England, Canada, New Zealand and the United States, are interesting as a group because they have produced the most published research of our five groups of countries. With the exception of the United States, all are commonwealth countries which have over time developed their school systems in different ways. In all we still can trace elements of the Old English system built up during colonial times.

School Systems with a Clear National Administrative and Control Structure
Austria, Switzerland, France, Israel and China are examples of countries with strong national governing structures where the nation state still decides and controls the local education providers with limited opportunities for decentralised decision-taking. The most centrally controlled systems of the five are in France and China.

We see a similar structure in Germany. In this case, however, the federal state (the so-called Länder) exercise the central control.

Countries with Challenges to Develop Their School System

This group of nations are all geographically large countries – Brazil, India, Mexico, South Africa and Saudi Arabia – whose histories include rich and ancient cultures where schooling was regarded as important but that now face particular challenges in modernising and upgrading their school systems. These relate to teacher and principal qualification structures and standards, resource provision, distribution and equity. For example, state schools in these countries generally do not have the high standard of the best private schools. There is at present limited research, conducted by native researchers, on school leadership in these countries.

Discussion: Research Present and Future

Taken together, the chapters reveal both similarities and differences in principal research focus and coverage. It would be surprising if this were not so. One important challenge for researchers in the field of educational leadership is to conduct more studies that result in findings that can be generalised while also ensuring that the results should have practical implications in a specific and unique local context. To understand the complexity in educational administration, it is necessary to use both quantitative and qualitative methods. Qualitative methods can provide rich, nuanced understandings about principals; their work and their work contexts, for example, relationships between principals' values, behaviours and tasks; teacher motivation, emotions, efficacy and classroom practices; school culture, identity, organisational trust; and the distribution of leadership. Within existing political environments, quantitative studies are likely to be seen by policymakers to enhance the legitimacy of this emerging field of study and to provide useful data for system development. Quantitative designs and methods also provide frameworks for addressing questions regarding the measurable effects of principal leadership on their schools and the student outcomes. Ideally they will complement to the qualitative case studies that dominate the field. Studies on school principals would also benefit from cross-/multidisciplinary perspectives. The inclusion of academic disciplines, such as political science, history, sociology, psychology and the learning sciences, would have the potential of opening up new and fruitful areas of research on and understandings of school principals and their work.

The design and conduct of large-scale, multidisciplinary, mixed methods studies, especially those with longitudinal designs, however, would require greater in-country and between-country funding. In most countries, our authors have reported a lack of sufficient resources to support research on principals. It is likely that the greatest percentage of financial support will come from special research councils, but commissioned research grants from government and municipal agencies also

should be made available. Thus, making a compelling case to policymakers at all levels is crucial to garnering additional funding to support research on principals.

Finally, we are convinced that a wider distribution of research from all over the world would benefit our understanding of principals and their work. While we realise a general hesitance to fully embrace decades of scholarship on school leadership in North America, Australia and England for fear of being overly influenced by its content, methods and contexts, we believe that ignoring this extensive body of research is short-sighted and likely to result in efforts to reinvent the proverbial wheel in scholarship on school principals. Researchers can be sensitive and attentive to history, culture and current contexts for educational policy in their own countries and simultaneously learn from rich bodies of earlier and present research.

This book is only a beginning. In the future it is necessary to take steps to enhance research with the intention to stimulate further thinking and rigorous research of all kinds from many countries from which robust, informative knowledge of principals' lives, work and contexts can be generated, research that goes beyond the boundaries of nation states and that ultimately will benefit the quality of school leadership, through this, the quality of teachers and teaching and, through them, the learning and achievement of all students.

Part I
Social Democratic Welfare Countries

Chapter 2
Denmark: Danish School Leadership Between Welfare and Competition

Lejf Moos

Danish research on school leadership in the first decade of the second millennium is a mixed story about relations between politics and school practices, between policymakers, school leaders, teachers and students, in an era of profound societal and political transitions. On the basis of a short account of the divided educational system, we review a number of empirical studies from the secondary and basic sectors. Some of them are Danish only and many are part of international projects, and this situation leads us to discuss Danish school leadership and research on school leadership in an international light; what is gained and what is lost in international comparisons?

The Educational System

6.5 million hard-working inhabitants live in Denmark. The Danish society used to be characterised by *democracy* and *equality* (a little power-distance) and *inclusive* to other cultures (a little uncertainty-avoidance) (Hofstede 1980). Over the past decade, this may have changed as Denmark has experience some influx of people whose mother tongue was not Danish. The main sources of incomes shifted from agriculture to industry 50 years ago, and it is now changing to information and knowledge production.

Nursery, *kindergarten and day care* (*age 0–6*): The general starting point for most Danish children's educational career is attending the kindergarten from age 3 to 6. Approximately 80 % of children of that age attend a private day care or a daycare institution because the number of parents who are active on the labour market

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is very high: 90 % of the fathers and mothers of children attending day care are labour market active (Samspil 2010).

Folkeskole (*basic school*, *primary and lower secondary*, *age 6–16*): The Folkeskole (basic school) consists of 1 year of preschool class (0), 9 years of primary and lower secondary education and a 1-year 10th form. Education is compulsory in Denmark for everyone between the ages of 6 and 16. Whether the education is received in a publicly provided school (85 % of students), in a free-standing/private school (15 % of students) or at home is a matter of individual, parental choice, as long as accepted standards are met. It is education itself that is compulsory, not school. The Folkeskole has for 20 years been a full comprehensive school with no streaming.

Upper secondary education (*age 17–19*): School leavers from the Folkeskole can apply for entrance in the upper secondary schools: the general or vocational gymnasium. Both types of school have since 2007 had a quasi-autonomous status in that they are free-standing enterprises with independent boards answering directly to the Minister of Education.

Educational Governance

The Danish educational system is part of and thus influenced by transnational tendencies, but it is based on Danish structures and culture and thus also unique.

In 2007, a structural reform reduced the number of Danish municipalities from 271 to 98 (Interiour 2005). This has brought about new relations and positions as well as chains of governance. Also in 2007, Danish *gymnasiums* were restructured. They used to be governed by regional councils; today, they are self-governed quasi-autonomous institutions with direct links to the ministry.

Relations between the central level and the local and school levels have in this way changed rather profoundly over the past decade, as demands for national standards and accountability have moved from political discussions and discourses into administrative practices. This tendency is accompanied by the move to describe and prescribe the subject content of education in greater detail than previously. This is the case at all levels, from day-care centres to university.

From welfare state to competitive state: Denmark changed from welfare states primarily to competitive states (Pedersen 2010b) over the past 30–40 years because global and transnational influences are becoming more extensive. In the post-war years, we saw the emergence of welfare states, where parts of civil society were taken over by the state in order to protect its citizens and thus further social justice, political and economic equality. Full employment was a main goal, and the public sector was seen primarily as serving citizens, e.g. citizens were supported in case of unemployment or illness.

Transnational agencies[1] were driving forces behind the opening of national economies towards a global competition from the 1970s and onwards, picking up more speed from the mid-1990s. Economic aims shifted from growth through full employment and increased productivity (of the labour force and technology) towards growth through international trade and investment. In the 1970s, governments began to turn national economies in a neoliberal direction that built on rational choice, increasing market influence and minimal state influence (e.g. deregulation, privatisation and outsourcing).

Changes of educational aims: The values underpinning the two kinds of societies are different: equality and participatory democracy are core values in the welfare state, and competition and job readiness are central to the competitive state. The Folkeskole Act of 1993 (Education 1993, June 30) states that the purpose of schooling is enlightenment and participation in a democracy. Therefore, it has been argued that students should be included in the 'normal' community and the classes in the basic, comprehensive and non-streamed school.

The Folkeskole Act of 2006 turned the purpose of schooling away from participatory democracy and education for all towards education for an excellent, talented workforce. Participation in the international comparison systems for schooling results – PIRL (Progress in International Reading Literacy Study), TIMMS (Trends in International Mathematics and Science Study) and PISA (Programme for International Student Assessment) – has been important levers for the development.

A Traditional Divide Between Folkeschool and Gymnasium

The split between those two school forms can be illustrated with a number of structural and cultural aspects:

- Ownership: The *gymnasium* and vocational education are self-governing organisations that report directly to the Ministry, while day-care centres and primary and lower secondary schools are *owned* by the municipalities or are autonomous and run by *private actors*.
- Legal aims: The *gymnasium* is very subject-oriented, aiming at further education. Vocational schools are aiming at the given professions, and the *Folkeskole* has broad, comprehensive aims, whereas day-care centres only recently began to develop specific goals for their work.

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[1] E.g. WTO, World Trade Organization; OECD, Organisation for Economic Cooperation and Development; GATT, General Agreement on Tariff and Trade; IMF, International Monetary Fund; EU, European Union (especially 'the Inner Market' and the 'Europe 2020' statement); and the World Bank.

- Governance has changed: Finances, management and internal direction were decentralised from ministry to municipality to *Folkeskole* in 1992. Vocational schools became self-governing in 1991, and in 2007 *gymnasiums* followed in their footsteps. The municipalities are still in charge of day-care services.
- Teacher education: *Gymnasium* teachers must have a master's degree from a university. Vocational school teachers are trained in the professions they specialise in and receive professional postgraduate teacher training. Teachers in *Folkeskole* and day-care centres are educated in university colleges.
- Education of school leaders has also been diverse. From 2009, *Folkeskole* headmasters have to have a diploma in public leadership. Heads of vocational schools and *gymnasiums* are not required to have a formal leadership degree (Moos et al. 2013).

Principals' Situation

In this section, the focus will be on principals. Major trends in Danish school leaders' situation can be adequately described under the headings of the OECD report on 'Improving School Leadership' (Pont et al. 2008): School autonomy, accountability for outcomes and learning-centred leadership. The headings are taken from (OECD 2008).

School autonomy: Over the past two decades, legislation has gradually been changed, so coupling between state and Folkeschools has in some areas been loosened: managing human and financial resources and day-to-day operations has been decentralised to schools, while curriculum, standards and tests have been recentralised to the state. Those couplings have been tightened. Until 10 years ago, school districts (municipalities) were divided into a number of catchment areas for individual schools. Now parents have a free choice of which school they wanted for their children, both within the municipality and across municipalities. Until 2013, teachers' wages and working conditions were subject to negotiations and agreements between employer (Local Government Denmark) and employees (Danish Teacher Union) at state, municipal and school level. Now school leaders have been given the full power of leadership. There is a long tradition for free-standing or private schools in Denmark. They are managed directly, but loosely, from the ministry to the schools' school board and school leader. The same model was introduced to the secondary schools (academic and vocational gymnasia) in 2007 and to universities in 2005.

This leaves school leader to 'run a small business' in the educational marketplace. The educational system is increasingly being seen and governed as a New Public Management marketplace based on competition, service-delivery to costumers, outcomes, economical incentives and top-down leadership. Educational institutions are increasingly seen as self-steering service providers in a system of delegated self-governance, and educational leaders are seen as site managers and Chief Executive Officers (CEO).

Accountability for outcomes: Many decisions are decentralised to schools while Parliament is still holding Ministries accountable, and local authorities, Municipal Councils, are holding schools accountable, so new forms of accountability have been introduced. Schools are asked to produce strategic planning, assessments and monitoring, like short- and medium-term budgets, quality reports and reports on many operational details and data. National and local forms of accountability on the outcomes of student learning are mostly being introduced as test-based assessments that can produce results, comparable within school, across schools and municipalities and also countries in international testing like the 'Progress in International Reading Literacy Study' (PIRLS), the 'Trends in International Mathematics and Science Study' (TIMSS) and the 'Programme for International Student Assessment' (PISA).

School leaders are supposed to introduce those and other means of accountability, to report data to authorities and to make use of them to improve teaching and learning. This encompasses to lead restructuring and re-culturing of the organisation: developing a new 'culture of evaluation' and making sure that managing of human and financial resources are done as effective and efficiently as possible.

Learning-centred leadership: On a broader front, we see that the Danish society is being restructured ('modernised' is the official rhetoric) in order for us to move from a welfare state towards a competitive state that is fit to take part in the global competition on a neoliberal marketplace. The restructuring of the educational system and institutions, as drafted in the beginning of this section, produces new challenges on teaching and learning. New approaches to teaching, like data-based or evidence-based teaching, are expected. The restructuring of schools is not stopping at the front door, and also the inner organising of schools is being restructured and thereby furthering a move towards more self-governance of teachers in teacher teams' collaborative teaching practice. Furthermore, we see other effects of globalisation: migration and demographic developments, taken together with increased and changing expectations to newcomers to the labour force, and a general shift in psychical pressure on a population in contemporary society are contributing to more social divides in society and in schools. Therefore, schools are expected to be able to include all students in 'normal' education.

School leaders experience new and very diverse demands on teaching to be data and outcomes oriented, to be collaborative and self-governed and to be inclusive.

Taken together with the former paragraphs, we get the impression of very many new demands on school leaders. They shall be all embracing 'super principals' while they are at the same time expected to act as CEOs and reporting bureaucrats. Furthermore, leaders need to be aware of the expectations of the local community that is often more resistant to national legislation and change of expectation. Many parents still expect schools to educate their children to be creative, critical, collaborative and 'whole persons' with good knowledge of themselves, the outer world and their relations to other people and the community. This tendency is often labelled the 'Democratic Bildung'. School leaders are also guided by their values and norms as well as by their education as teachers and their teaching practice.

Gaps Between Educations and Research

In order to understand the Danish research on school leaders, we need to understand how they are educated: In 1996, we established a diploma education for Folkeschool leaders, the Danish School of Advanced Educational Studies (DLH), the 'teachers' university'. In 2000, academic studies and research were restructured, so universities were given master and Ph.D. studies, but not diploma education. Teacher, pedagogue, etc. education were merged into Centres of Continuous Education (CVU). Those centres were allowed to give diploma education but not masters' education. Most CVUs – later on, they were merged into University Colleges – established a broad, generic diploma in public sector leadership, encompassing leaders of 'welfare'/service in public institutions like schools, child- and elderly care institutions, social work and healthcare. Government made this diploma mandatory for all newly appointed school leaders from 2009.

The politically motivated gap – and competition – between universities and university colleges has had serious repercussions on research. There are clear indications that researchers research in subjects that their institutions teach. Therefore, most of the research on leadership, done by the university colleges' researchers, is on generic, public leadership, while only a few researchers from universities investigate on specific school leadership, principals' work, values and reflections.

As mentioned before, teachers for the gymnasium are educated in universities. There is no compulsory education for leadership in gymnasia, but many leaders have a Master of Public Administration (MPA) education from a business school or from business and management departments in universities. Only in one university (SDU) can they have a masters' education in education with a few leadership modules. Here, we also find a group of leadership researchers who focus on gymnasium leaders.

Partly because of the history of schools, we see that research on leadership is also divided. We see three forms of school leadership research: one is based on the understanding that leadership is a generic feature that functions all over. Another approach finds that leadership in all public institutions is alike. Those two forms are mostly to be found in business and management schools and university colleges and are not included in this review unless there has been collected data in schools and/or principals as part of the study (one study is being reviewed here). The third approach to leadership studies is based on data on leadership in youth education (mostly gymnasium, only scarcely in vocational schools) or data on principalship in the 'Folkeschool'.

These distinctions do not imply that we – who are doing research on school leadership and principals – cannot learn or be inspired from research on generic or broader fields or professions. On the contrary, they often produce fundamental analyses and theories on which we can build, and they often produce concepts, discourses and arguments that are eye-opening like Kofod and Staunæs (2007). We are often inspired and informed by theories and research on power and relations; society and governance; organisations and organising; education, teaching and learning;

or on Bildung and subjectification and of course on research methods and practices. In this chapter, however, there is no room for those kinds of research because we try to focus on the specific field of principals' work.

Because realities of the Danish educational system are as they are, I have chosen to structure the review according to this: In part one is research on youth education. In part two is research on leadership in 'Folkeschools'. In this part, there will be references to international research projects, so the chapter will end up with a discussion on making international research and comparison.

Selection of Research for This Chapter

Only publications (article, books or reports published from around 2000 to 2011) that report on primary empirical studies from Danish (basic and youth) schools were included in this review. The author(s) has gathered and analysed data herself/himself. The reason for this choice was to make sure that the publications be reported on research and that it was carried out on Danish school principals. Some of the publications report on comparisons of Danish research with research from other countries.

I wrote a number of the publications in the review as I was leading or participating in research projects. I could not avoid including this material because the total mass of school principalship and principal research in Denmark is very small, and I did a substantial part of it. This means that my review cannot be neutral. But it can be fair to all of us, and I shall try to be that.

The first section, on research on leadership in youth education, contains only studies from the gymnasium as no studies of leadership in vocational schools were found. In this section, there is one interview-based general investigation on a case story-based Ph.D. thesis and three interview-based case studies. The general scientific level of studies is fine, deep and nuanced, as they stretch over a pre-, mid- and post phase of the public reform period. They have limited generality, built as they are on a limited number of case studies only.

In the second section, on research on leadership in the basic school sector, we found one survey, one Ph.D. thesis, five interview-based case stories, one action research project report and three mix method studies, built on surveys, interviews and observations. One of these studies (ISSPP) produced several publications as it developed into a long-term study over 5 years. Most of the studies (those authored by the author of this review) were part of international research projects. We find relatively many publications in English and from international research projects, showing the interests of a small group of researchers. Ph.D. theses are very scarce over this period, and only one was found.

Leadership in Youth Education

As mentioned above, there has been a governance reform of the vocational school in 1991 and a reform of vocational education curriculum in 2000: 'The Vocational School Reform'. The reforms of the gymnasium have been implemented within a very short 2-year period: 'The Gymnasium Reform' in 2005 and the 'Self-steering reform of the Gymnasium' in 2007.

It has not been possible for me to find research publications on the reforms and the leadership situation in the vocational schools, while the gymnasium has been investigated in several studies covering the pre- and post years of the gymnasium reforms: prereform (Klausen and Abrahamsen), post-curriculum reform and pre-self-steering reform (Raae and Abrahamsen) and post both reforms (Raae and Pedersen).

Kurt Klaudi Klausen's study (Klausen 2004) of the gymnasium was built on interviews with rectors and inspector rectors from five academic upper secondary schools and two commercial upper secondary schools 1 year prior to the curriculum reform in 2005. All of the rectors and inspectors of course knew that the reform was coming, but have not been practising according to it until now. (This study is also publicised in (Klausen and Nielsen 2004).)

Klausen is interested in analysing the strategic leadership on a series of arenas of public organisations, among them the gymnasium and vocational school. Klausen's general impression from the academic gymnasium interviews was that, although the leaders performed strategic leadership to some extent, none of them were aware that this was what they did. In Klausen's view, this would create problems in the light of the upcoming reforms that would produce uncertainty and turbulence.

The analyses of the interviews are reported and discussed within the eight strategic arenas, constructed by Klausen: the arena of production, social relations, market, politics and decisions, production of consciousness, vision, culture and aesthetics.

Generally, Klausen finds that the leadership in the gymnasium is very consensus-oriented and communicative. Teacher committees are making many decisions, and teachers are often 'alien to leadership'.

Klausen interviewed also leaders at two commercial upper secondary schools in order to contrast the findings from the academic gymnasium. The strategic leadership here is very different from that of the academic gymnasium: the commercial gymnasium is market oriented and very strategic and hierarchically managed.

One may remember that the commercial gymnasium is meant to be preparing students for a work-life in commerce and that they have been self-steering since 1991. This underscores that Klausen's point of view in this piece of research is the strategic leadership, which is in line with the intentions of the self-steering reforms. Those again are conceived within a New Public Management logic: public institutions should be looked at as if they were placed in a marketplace – while they are in fact centrally governed state institutions in many respects. But even so, they shall act as autonomous institutions and therefore work strategic with a strong leadership with real power over teachers' work.

Marianne Abrahamsen's case study of two universities (Abrahamsen 2008) took place prior to the curriculum reform in 2005 and was focusing on leadership and on leaders' options in relation to the implementation of information technologies. Abrahamsen interviewed many leaders, middle leaders and groups of teachers; she observed leadership for some time, and she carried through a survey on organisational culture.

The main conclusion of the work is that the pressure of complexity is increasing and that produces new demands on leadership. Leaders must be able to identify the trends and tendencies of their time, politics and culture. They must be able to identify the kind of cultures that can be found in their schools, the discourses that are dominant and the patterns those create.

The *Raae and Abrahamsen* study (Raae and Abrahamsen 2004) was commissioned by the Ministry of Education in preparation for the implementation of the Reform 2005. The study was based on interviews with stakeholders. The focus of the interviews was how stakeholders anticipate the role and functions of leaders in the gymnasium in implementing the curriculum reform.

The external stakeholders (consultants and superintendents) expect that rectors must focus on education: the teaching, learning and collaborations between teachers and on school development, developing the whole organisation.

The internal stakeholders (teachers and inspectors) agree that leadership is going to be even more complex as they must work with heavy traditions and cultures when moving schools into the reform thinking: teachers in gymnasium were never fond of leadership and change, so it will be a challenge to overcome the uncertainties of the change processes.

The rectors themselves find that the pressure of work has increased over the past decade and so has the pressure on leadership because of the decentralisation of some tasks and decisions. While the rector used to be a loyal civil servant, he/ she now will need to be both a manager and a leader of more autonomous institutions.

The 2005 reform will bring changes to the perception of teaching (from single curriculum subject towards cross-curriculum content), which will challenge the traditional teacher identity. It will also bring expectations of teacher collaboration in teacher teams that are responsible for teaching classes. This will also challenge the traditionally individualistic teacher identity. Both will post challenges on leadership and so will the expectations on gymnasia forming leadership teams bringing the inspectors more to the front of leadership.

Raae's study (Raae 2008) was carried through 2–3 years after the implementation of the self-steering reform. There have been two major reforms of the upper secondary academic school, the gymnasium: a curriculum reform, the gymnasium reform, and 2 years later the self-steering reform. The first intended to change the ways of thinking and practising teaching and thus learning from a traditionally subject-oriented towards a more cross-curricular project-oriented pedagogy. The latter intended to bring the gymnasium form being owned and governed by the counties to be self-steering. The logic behind this reform is clearly New Public Management.

Raae synthesises the findings from the interviews into a model with four diverse conceptions of the gymnasium: two traditional models which are the professionally governed gymnasium and the 'Bildung'-governed gymnasium and two more 'modern' models which are the gymnasium as enterprise and the politically governed gymnasium.

The four models indicate very clearly that rectors of gymnasia are left in new cross pressures and that they have not yet found clear ways of mastering them. One could also say that they find many ways of manoeuvring in the new landscape of external pressure and disturbances. In order to understand this, Raae discusses the new situation with the concepts of 'buffering' and 'bridging:' how organisations and leaders of them can protect the inner life of their organisations from external pressure. The 'buffering' trend belongs to the traditional gymnasium that is interested in preserving the traditional values and relations, while the 'bridging' trend seems to belong more to the new models of the gymnasium that are interested in finding ways of adapting or adjusting to new expectations. A small study by *Pedersen and Ryberg* (Pedersen 2010a; Pedersen and Ryberg 2009) is built on a short survey of 67 gymnasia to find out how the reform was implemented.

Three ideal types of leadership are synthesised from the material: the planning, collegial leadership; the dialogue-based leadership and the formalised, strategic leadership.

Summing Up on the Research in the Upper Secondary School: The Gymnasium

It is interesting to follow the processes of reforms from 2004 to 2008. But the research is also shaped by the fact that the early research was done in a field that knew full well that reforms were coming on them, and the later research was done at a stage where only parts of the reforms can have been brought the whole way from Parliament and Ministry to each and every gymnasium and every leader and teacher in those gymnasia.

Therefore, it is not surprising that the findings are overlapping and (may be) shaped by the preconceptions, interests or points of view of the researchers: when Klausen (2004) finds that rectors and inspectors are not well aware of strategic leadership, it could be due to the fact that his interest is strategic leadership. He also finds that although rectors do not use the concept of strategic leadership, they perform considerable parts of it in their daily leadership practice.

When Raae and Abrahamsen (Abrahamsen 2008; Raae 2008) find models of organisation and leadership in the rector stories and Pedersen and Ryberg (2009) find other kinds of pressure and other models of leadership, it could be because Raae comes from doing research in educational system and is both looking backwards and forward in history and because Pedersen and Ryberg come from mainly researching in public sector governance and leadership.

Nevertheless, we can see many similarities in the research on the gymnasium:

- There is a distinct move from discussing the leaders, their values and qualities towards discussing leadership: the relations, interactions and communication between agents in organisations.
- There is a clears recognition that gymnasia and leaders hereof cannot go on living in a secluded, eremitic position, unaffected by the surrounding society, but must adapt to the external marketplace expectations.
- There is an observation that leaders in gymnasia have to act both as strategic, pedagogic leaders and leaders of change at the same time must manage administration and finances.

Leadership in Basic Education: the Folkeschool

The overarching principle for this part of the review is again chronology, starting with a research project that was launched in 2000.

Most of the publications will show that this decade was turbulent for schools and school leadership. Some of the changes were made because of the public sector restructuring (modernisation) in line with New Public Management logics. A major change has been the restructuring of the public sector in 2007 where 271 municipalities were merged into 98. This had several effects: The distance between municipal institutions, like schools, to municipal leadership, superintendency, has been prolonged and thus made the relations between them much more formal.

Other changes were made because education, and in particular the basic schooling, is increasingly being used as a political battlefield for political parties. Since 2001 when a new liberal and conservative government took power with the permanent support from the right wing party, Danish Folk Party, there have been 28 changes of the 'Act on the Folkeskole' (primary and lower secondary school with students age 6–16). From the beginning of this era, there has been a focus on 'values-politics': for many years, this political wing has been stressing the dangers of immigration and often letting it develop into real xenophobia. The fights about education have gradually been brought into the same battlefield using the PISA results as an instrument to focus on outcomes of schooling.

The first study *Moos and MacBeath*: *Effective School Leadership*: *Responding to Change* (2000) is a Danish version of MacBeath's (1998), which was a report from the English, Danish and Australian research project, the Effective School Leadership, 1995–1998. The project was carried through as a series of case stories based on interviews with stakeholders from 30 schools altogether.

School leaders were asked what they should be able to do in order to be effective/good school leaders. In a summarised form, they answered: school leaders should be able to:

- Solve conflicts, create expectations and show their norms
- Be open to approaches and set up a vision for the future and not retreat from difficult questions

- Show interest in other people, be good personal relations and also be able to evaluate and make judgements
- Be well informed and distribute and find resources

The study showed similarities and differences between leaders from the three educational systems. This is also the case both with the expectations from stakeholders like students, parents, boards and teachers.

There were differences in the structural and political expectations as the English and Australian leaders were more accustomed to the New Public Management logics than the Danish leaders were.

The *Kreiner and Mehlbye survey on working environment* (Kreiner and Mehlbye 2000) in schools covered a random, national sample of 89 schools in 1997. It covers teachers and leaders' perception of their working environment.

The main results of the leaders' answers were that they found their work inspiring and with good opportunities for professional and personal development. Relations to teachers were described as good. Close to 80 % answered that they are very happy in their job and did not want to leave it. The leaders spend their working hours doing administrative work, meeting with teachers and students and with educational leadership and management.

The study shows that three aspects of school leadership are important for developing a good school and improving professional environment in schools:

- Leadership for pedagogic development: leaders contribute to the teaching and learning environment.
- Close relations between leaders and teachers produce good working environments for teachers.
- Active school development raises the experience of a good working environment.

A second survey on *working environment*, *Moos* (2001) covered a random, national sample of 511 schools (77 % of the schools chosen) in 2001. It covers school leaders' (68 % principals and 32 % deputies) description of leaders relations to the school district, parents, teachers and students. A parallel survey was distributed in Norway (Jorunn Møller) and in Sweden (Olof Johansson).

Some of the main results are:

- Administrative work is a heavy burden.
- Most schools have established leadership teams, but the distribution of tasks is similar to what it used to be: most principals still take care of relations to the surroundings and the educational relations to teachers and parents, while most deputies still take care of administrative tasks.
- Most school districts and municipalities have delegated financial tasks and decisions to schools.
- Leaders find the superintendencies helpful and supportive, but the local politicians are not well informed nor are they interested in schools.
- The 1999 'General Agreement on Teachers Working Conditions' between the National Association of Municipalities and the Teachers Union opened up for

more flexible relations inside schools and for 'self-steering teacher teams'. It is seen as a good instrument for collaboration and school development but also as an extra administrative burden to the leader.

- One third of the schools have established self-steering teacher teams.
- The major tasks internally in schools are described as developing the educational values by setting the agenda for the professional discourses and stimulating the subject matter and pedagogical discussions among and with teachers.
- Only very few leaders say that they observe teaching in class. They would like to do so, but cannot find the time, they say.

The *Educational leadership* (Moos 2003) is built on many sources, but one study penetrates all chapters: the study on school leaders' life histories, 'Passionate Principalship' (Sugrue 2004).

In all sites (Denmark, Norway, Ireland, England) 3–4 long, very open-ended life history interviews with 10–12 school leaders were conducted. They were summarised into life histories and also analysed thematically in order to find common trends of similarities and differences between national peers and between the countries involved in the study (Biott et al. 2001). All chapters in the book commence with a life history that hints at the theme of this chapter, and some of the thematic analyses are reported in journal articles (Moos 2004a, b, 2005b) (see review after the bullet points). The life histories illustrate as well as serve as the foundation for the analyses where many more studies and theories are taken in. A theoretical point of view as well as a summary of the findings of the 'educational leadership' would state that:

- Educational leadership is the goal-oriented and specialised communication and organisation of communication and the preconditions for communication that aim at stimulating learning and communication.
- Public organisations are established in order to pursue one or more purposes. The purpose of schools is contested and politically and educationally decided, so the foundation for leadership in schools is the purpose of schooling.
- Political, administrative and cultural expectations are meant to regulate schools in a political system, so leaders must translate external expectations' internal meaning and direction.
- The core activities in schools are student learning and teacher teaching, so leaders must have deep insights into learning and teaching.
- Leadership is only in small parts positional, because leadership takes place in relations.
- Relations between agents in school take place in an organisation or a community, and they are built on regulations and trust at the same time.
- The contemporary society is very fast moving and changing. and therefore school development is the everyday practice.
- Contemporary governance politics and collaboration concepts – like distribution of power and accountabilities – point to the need for teachers and leaders to collaborate in the everyday practice, so teams of leaders or of teachers are an important way of organising relations, communication and work.

- Demands from both marketplace interests and local community interests under-
  score the need for schools to be open and open minded to local communities and
  parents, and thus school leaders must collaborate with the local community and
  parents.

Thematic analyses of life histories are, as mentioned, reported in the article:
'How do schools bridge the gap between external demands for accountability and
the need for internal trust?' (Moos 2005b). The Danish school leaders were very
concerned and challenged with the demand for – new – accountabilities and the
need to reconcile them with the internal relations and the internal trust.

A model of accountabilities is introduced in order to structure the analyses:
managerial, market-oriented, public/political, professional and ethical account-
abilities (p. 323). Principals struggle most with the external demands for managerial
and marketplace accountabilities (those are demands for documentation and
evaluation and demands on parental choice and competition), because they seem to
be new and exotic to educational thinking and practice, so they report of ways in
which they try to translate them into internal meaning. In some cases, it can also be
seen that principals retract into a 'protective cocoon', shielding themselves and
teachers from realities and transforming their consciousness from this new and
threatening features.

Another thematic analysis is reported in 'Membership and relations in a chang-
ing context' (Moos 2004a). The principal, whose life story this chapter refers to,
tells a story of how he moved in and out of different communities of practice in
diverse roles as outsider or member.

The chapter 'Regulation and trust: negotiating relationship' (Moos 2004a) is a
story about principals from all four countries in the study struggling with their rela-
tions to teachers. The contemporary, neoliberal governance is difficult to combine
with much needed trust between leader and teachers. The new demands for 'strong
leaders' are difficult to reconcile with the (traditional) urge for trust in relation to the
Danish and Norwegian and partly Irish principals, while the English principals
seemed to have gotten used to it.

The book *Elements in good school practice* reports from a classical effective
school study (Ringsmose and Mehlbye 2004). This study builds on surveys and
qualitative cases from 15 schools and includes studies of teachers, school and
leadership.

Effective school leaders are characterised by the following:

- Leadership is distinctive, has clear structures and procedures for decision-making
  and has clear demands on staff. The demands on and procedures for teachers'
  annual plan are one way of making leadership clear, says one leader: 'The
  municipal goals govern our discussion and all of the municipal areas for initiatives
  must be elucidated in each annual plan'.
- Leadership follows up on decisions, e.g. in respect to the annual plan: leaders
  should give feedback and discuss them.
- Leadership is visible in the daily practice in classrooms, teacher room and school.

- Leadership supervises, advises and enters into dialogue with staff. Often this takes place in regular meetings/interviews with individual teachers and teacher teams.
- Leadership works hard in order to produce shared actions and goals, e.g. in schools' activity/strategy plans.
- Leadership involves staff in decisions, again with the strategy plan because it is only going to be an active feature in school life if it has been produced in collaboration between leaders and teachers (p. 94).

The article 'From still photo to animated images' (Moos 2005a) reports on a development of a research method, 'animated images', and on findings from the use of it in the 'Leadership 4 Learning' project. Researchers and school leaders from England, Denmark, Australia, Austria, Greece and Norway participated over a period of 3 years.

The researcher interviewed school leaders and teachers, observed school practices and wrote on the basis of case stories/images. The images were brought back to the schools and discussed with stakeholders. A year later, the same process was carried through, this time beginning with looking back on the image of the previous year. In some cases, this was done a third time. Every time stakeholders reflected on their practice and development and develop their shared understanding of themselves and their school.

The review is from a series of books and articles from the *International Successful School Principal Project* (*ISSPP*) with participation of researcher groups from New York State (USA), Canada, England, Victoria and Tasmania (Australia), China, Sweden, Norway and Denmark. The project falls in two phases: Phase 1 from 2002 to 2007 and Phase 2 from 2007 to 2009, when we revisited some of the schools from Phase 1.

The book *Meaning in Leadership – leadership – successful school leadership between visions and self-leadership* (Moos et al. 2007a) and several more books and articles report arguments, and findings from 'The International Successful School Principalship Project' Denmark joined the project in 2002, and it is still running and producing research.

The initial, English, criterion for selecting case principals was whether they were moving their school upwards on national league tables of skills and knowledge. A second criterion was if they were being assessed as successful by external inspections, and the third was if they were being recognised as successful by their peers. Those indicators were not directly applicable to the Danish situation because there were no national league table nor school inspections – and the selection of schools was therefore based on other methods, like the superintendents assessment of the schools along the same lines (superintendents' knowledge of student outcomes, school performance and peer recognition). The Danish group chose a more epistemological perspective to the first phase: they wanted to inquire stakeholders about their perception of success. The point of observation was their choice position on the purpose of schooling (Democratic Bildung) and the legitimacy of leadership that builds on communication.

In the first phase of the project, 11 schools were chosen, and stakeholder images of the schools were produced through interviews with school principal, middle leaders, groups of teachers, students and parents and the superintendent. In the next phase, three of those schools were chosen for deeper investigations: more interviews with stakeholders, observations and 'shadowing' of leader, teacher and student. At that stage a national, representative survey of school leaders was carried through and had a response rate of 69 %. In 2008, 5 years after the first round of visits, school leaders of the three schools were interviewed again in order to get account of how successful leadership was sustained over time.

In this summary, there will be arguments and findings from the first phase and from revisiting schools: 'The International Successful School Principal Project: success sustained?' (Moos and Johansson 2009), 'Successful school principals in Danish Schools' (Moos et al. 2005) and Sustained successful school leadership in Denmark (Moos and Kofod 2009).

The *changing context* of schools over time was described, building on the accountability categories introduced above. Here, they are compressed into three:

National *managerial* expectations and *marketplace* demands: Over the past 5 years, it has become more visible that the dominant political discourse is changing from traditional 'Democratic Bildung' towards effective, 'back-to-basic' schooling. There is more focus on national level goals and accountability and on contracts (tests, quality reports, student plans, etc.). The couplings between national, local and school levels have changed so that finances and day-to-day administrative business have been loosened and the setting of goals and evaluations of student outcomes have been tightened. It should be mentioned that a comparison across all involved educational systems show that in countries with high stake testing, there is a clear tendency towards leaders using more direct leadership forms than in countries with less strong accountability systems: 'Successful principals: telling or selling? On the importance of context for school leadership' (Moos et al. 2008a).

Local *community* and *parent's* expectations: Parents have become more of a focus for principals: in one school because of a temporary dive in student results and in the other because of threats of the school having to merge with another school.

Professional and *cultural-ethical* expectations: The traditional vision of the comprehensive 'Democratic Bildung', that encompasses both subject matter, personal and social competencies was very strong. The notion is still strong, but now this approach is being challenged and there is much more focus on basic literacy and numeracy. The principals are worrying whether they can keep the broad vision alive.

Successful principalship: The categories used to report results and arguments on successful leadership are found in a model of leadership functions, developed by (Leithwood et al. 2006; Leithwood and Riehl 2005).

First main function: *Leading school's direction*. This understanding is implied in the generic concept of leadership that is understood as: 'Lead the way…' and 'be at the head of….' It is also understood in this way in the research, where it is found that successful principals are setting the direction for their schools: '… successful leadership creates a compelling sense of purpose in the organizations by developing

a shared vision of the future, helping build consensus about relevant short-term goals and demonstrating high expectations for colleagues' work' (Leithwood et al. 2006).

Second main function: *Understanding and developing people.* This is another major task. As teachers are the most important persons for student learning in school, they need to be given and themselves construct optimal conditions for their relations to students. This means that structures and school cultures for education and teaching must be good and that support and capacity building must be in place: 'Communicative Strategies among Successful Danish School Principals' (Moos et al. 2007b).

Third main function: *Designing and managing communities.* Schools are organisations held together by structures, but if they are to be effective and successful, they must also be communities held together by a shared sense of identity and by sufficient common norms. Classrooms and schools are social fields, and education and learning take place in those social fields. Loyalty and commitment to the organisation are not by any means an automatic starting position for any institution, so building and deepening them are a leadership duty and mission. If staff and students are to behave loyally to their organisation, leaders should make an effort to transform the organisation that is characterised by all members as being sufficiently committed to the ethos of the community.

Fourth main function: *Managing the teaching and learning programme.* If the principal focuses her/his attention and that of the teachers around a given set of goals, standards and criteria – as those laid out in the teaching programme, there is a better change that students will acquire the competencies aimed at.

We shall add one more important practice to the four: *Leading the environments.* Schools are profoundly dependent on their environments, be they political, administrative, community, professional, cultural or the other. Therefore, it is a very important practice for the principal to manage and lead the relations to the outer world. They must be able to understand and interpret signals and expectations from many stakeholders, and they must be good at having the environments think that the school is doing a good job, be it through league tables, inspection reports or political negotiations with stakeholders.

The leadership functions as they were seen in Phase 2 in the Danish cases: Leading direction. At this time, there is a growing attention to the external demands following the growing national goal setting and accountability demands. The trend of governments tightening the couplings with schools through the use of more detailed and strict social technologies like testing, comparisons, rankings and benchmarking is showing results in that most of the principals are more focused on the effectiveness and 'back-to-basic' trends. At the same time, they are trying not to neglect or let teachers neglect the comprehensive, holistic goals. Leadership is more like translating the external expectations into internal direction, more reactive than proactive: 'Sustained successful school leadership in Denmark' (Moos and Kofod 2009).

Understanding and developing people: Principals often lead in indirect ways by setting the agenda or the scene. Most teachers are working in self-steering teacher teams with a high degree of responsibility and autonomy but also with new forms of

internal accountability. Principals recognise that teachers need to be self-leading, meaning that they are given room for manoeuvre followed by tight standards and demands for accountability. Principals are aware that teachers need to be given support and care in order for them to manage the choices given and they have a room for manoeuvre, thus creating a safe and secure working environment for them. This is often in a form of 'pastoral leadership' (Moos et al. 2007a).

Designing and managing communities, leadership, organisation and relations and communication: Leadership teams as well as teacher teams are pivotal features of schools. Principal's relations to individual teachers, teams and the whole staff are multilayered and often take place in an intricate mix of meetings. Contracts between principal and teacher teams and individual teachers are important tools for leading: 'What is Successful Leadership?' (Moos et al. 2008c) and 'How Distributed Leadership Emerges Within Danish Schools'(Moos et al. 2008b).

Managing the teaching and learning programme: The shift in external expectation has had impact on the inner life of schools. The need to measure outcomes and the more detailed, national goals, especially with respect to literacy and numeracy, have brought more attention to those areas of curriculum and less to cross-curricular activities. In order to support teachers, more specialists, like reading consultants, are brought into schools. Principals put more weight on new social technologies like teachers' and teams' annual plans and on student plans and thereby making expectations explicit. Teacher teams and networks are strengthened ('School Leadership for 'Democratic Bildung': fundamentalist beliefs or critical reflection?' (Moos 2008) and 'From Successful School Leadership Towards Distributed Leadership' (Moos 2010)).

Leading environments: At this point in time, 'five years later', most case schools have expanded their community work considerably, some in relations to parents and others in relation to and partnership with institutions and enterprises. There are clear indicators of a move towards systems leadership in most places: Schools are looking for support from parents; they are forming partnerships with social and cultural institutions that can support schools with challenges that are not easily, if at all, met within schools; some schools are forming partnerships with institutions and enterprises in order to facilitate a broader learning area for their students, and then some schools are networking with authorities and policymakers at several levels in order to try and influence the context and expectations of their school. There is more focus on collaboration with parents for two reasons (one, involving them in re-culturing the school and two, in the fight against merger with another school). The relations to local authorities have changed in some places from being based on dialogue to being based on written formal principles, procedures and contracts.

Summing up on sustainability in school leadership: Sustainability is, with reference to the United Nations Brundtland Commission (Nations 1987): 'the capacity of organizations to self-renew and, if applied to schools, underlines the importance of ordering institutions in ways that are sustainable in the long term'. This means that we have to shift the understanding of school development – and thus of successful school principals – from the work of individuals towards a more organisational, collaborative understanding and from leader towards leadership. This is not news to

the principals in our case schools, but it has been underscored in most schools over the past 5 years.

Again building on the Brundtland Commission: 'Meeting the needs of the present generation without compromising the ability of future generations to meet their own needs'. One can focus on the interdependencies between schools and their present and future contexts. The principals in the Danish cases know that their schools are placed in and are part of local communities in every respect: culture, social circumstances, economical, history, caring for past and future generations, etc.

Schools tell how they work on distributing leadership: leadership teams are widely used because no one person can reach the whole school and all the actors in it. Principals also experience that sharing knowledge, observations and thoughts with peers and teachers is an important feature in leading a school because no one person can observe everything, nor can they know everything, nor develop thinking on her/his own.

Case schools are developing their organisations into being team-based networks or webs. Leadership is parallel to being distributed from the principal to leadership team also being distributed to teacher teams. On the one hand, this trend seems to leave more room for manoeuvre to teachers focusing on colleague-based capacity building in teams, while at the same time principals develop new ways of influencing teachers. Sense-making is in many forms – like setting the scene, producing narratives of the school's future and focusing on important differences in the everyday life of schools – or through the use of new social technologies like annual plans, team meetings with the leadership and other regular meetings.

There are clear indications that many principals are turning their attention towards more direct interactions and communications with teachers on a practical everyday level: observing classroom teaching, consulting and supervising teachers individually and in team meetings and not relying too much on strategic plans and formal visions. Thus, there is more focus on reciprocal leadership than on strategic or direct leadership.

Leaving more room for teachers does not mean that principals abstain from leading teachers, but they develop new forms of influences (Moos 2009). Generally there seems to be a trend towards recognising that teachers need to be self-leading and given room for manoeuvre followed by tighter standards and more detailed demands for accountability.

Action research projects show similar images of contemporary school leadership: a Danish-Norwegian records an action research and action-learning project with 12 Danish and 12 Norwegian schools. The data was extensive participant observation, seminar material, preparation material and interviews. The findings demonstrated that school leaders learned when being exposed to a relatively new culture in a structured and well-prepared way (Moos et al. 2006a).

Another project followed a municipal school development project with a focus on inclusion. We interviewed leaders, teachers and students, and we observed lessons, meetings and conferences. On the school leadership level, it is reported that leaders focused on structural changes as well as cultural changes (Moos et al. 2006b).

In his thesis, Frode Boye Andersen (2008) describes a case study on *communication in a school*. An important observation is that the school is very dependent on the autonomy and participation of participants, and therefore it is not dirigible, which means that leadership must be indirect and 'leading of self-leaders' through leadership communication. One of the pivotal phases of this kind of leadership is the construction of premises for decision-making that takes into account the relations and communication in the whole organisation and the purpose of the school as it is formulated in visions: differences that make a difference.

This article on *psy-leadership* (Staunæs et al. 2009) builds on an unspecified database, produced by teachers and students in a masters' programme. It falls into three main parts: affectivity (emotions), virtuality (the possible and not yet existing) and materiality (architecture) and leadership. The main interest of all parts is to look into and discuss how the new types of governance (self-leadership, self-evaluation, contracting, etc.) in contemporary public institutions – could be schools – are affecting and influencing psychological aspects of leaders and relations.

In the first part, it is reported how contemporary governance and social technologies urge leaders to involve themselves deeply into building leadership relations to staff and other agents. Self-leadership depends on all parties accepting close relations, friendship-like connections and bonding with others. Leadership needs in this perspective to be transformed from influencing other people's behaviour towards influencing their consciousness and emotions.

The second part discusses new social technologies that anticipate future situations and relations and transfer/impose them on agents by making all kinds of contracts/agreements that describe expectations and roles. The relations and roles are being played out/negotiated (by leaders/teachers and students/parents) within asymmetrical but apparently creative and playful settings. Those situations produce possible futures or possible room for manoeuvre for teachers, parents and students.

In the third main part, it is discussed how important architecture is for leadership behaviour, actions and thinking in organisations.

The *strategic leadership* in the Folkeschool (Sløk and Ryberg 2010) study builds on qualitative interviews with 22 school leaders. The starting point for the study was the criticism in the Danish background report for the OECD 'Improving School Leadership' project that Danish school leaders do too little strategic leadership and too much pedagogic/professional leadership.

The study finds that school leaders see very close connections between strategic and pedagogic leadership. They describe strategic leadership in three ways: leadership happens through leading the communication in school; it happens through organising, e.g. by establishing committees and restructuring; and it happens through leading networking and positioning themselves in the networks/webs.

A model from military is introduced in order to distinguish between strategy and tactics. Strategy is here defined as 'the power to define the overarching structures', and tactics is about 'constantly to reformulate occurrences in order to create possibilities'. The study argues that tactic leadership is the order of the contemporary school, while strategy could be a good model of what school leadership needs to be.

The *Leadership in Folkeschools'* study (Pedersen et al. 2011) was commissioned by the 'Danish Agency for Higher Education and Educational Support'. On the basis of a mix of methods (national surveys and interviews and observations in six schools), the study sets out to find frames and conditions and prioritises tasks in school leadership.

School leaders have a significant level of autonomy in the national and local system but have to answer to a lot of bureaucracy. The study finds that management by objectives has been introduced in schools but it is surprising to learn that only 74 % of the school leaders report to do it in respect to subject matter goals while 91 % do it in respect to student wellbeing.

Most schools have formed teacher teams covering a grade, all classes of the same year or a subject matter. School leaders need to adjust their leadership according to these features. Also leadership teams are frequently formed, and administrative tasks are delegated to middle leaders.

A very important aspect of school leadership is of course staff management, as schools have a significant level of autonomy, so hiring teachers and other staff and managing the continuous development of all staff are pivotal aspects hereof but even more so are motivating staff to do their outmost. The preferred mode of motivation is praising staff.

Another important part of school leadership is educational leadership. Over the past decade or so, this has increasingly meant that school leaders are involving themselves in teachers' planning of teaching. This is a change of practice as the tradition said that teachers' work in classroom is teachers' domain and theirs only. The researchers have identified three ways of doing that: delegating, dialogue-based or directing educational leadership. The study indicates that many school leaders still leave teachers alone. An example on this is that only few school leaders monitor teachers' work on student plans, a social technology that is prescribed in the legislation.

An effect of the structural reform of municipalities is that schools get bigger, due to mergers and closing down of small schools. It is a surprising finding of this study that fewer school leaders of big schools show interest in the outcomes of schooling, like test result and level of students continuing further education. On the other hand, there is a clear tendency that the competition between schools has brought clearer visions on subject matter goals.

Summing Up on the Research in Primary and Lower Secondary School: The 'Folkeskole'

Research on 'Folkeschools' show, even more clearly than research on the youth education, that schools are embedded in dependent and active agencies in society. As the Danish society gets more complex and multicultural and less dependable on traditions and thus losing some of the shared, common, national culture and leaving

the production of meaning to smaller communities and individuals, this has also become a major task for schools and in particular for school leaders in relation to teachers.

This research also shows that the state is trying to cope with major changes because of globalisation and transnational collaboration like the EU, when the public sectors are being restructured and modernised. This causes big changes for the relations between state, local communities and institutions, like schools. At this stage, we see two major trends in this restructuring:

- A tightening of the couplings between state and schools: more detailed aims, standards and national tests and documentations are being implemented.
- A loosening of the couplings as some of the tasks and decisions are decentralised to schools followed by new contracts between state/local authorities and schools where self-evaluation and self-leading are pivotal aspects.

This combination has brought a very strong focus on leadership and leaders at all levels: someone is needed to translate the national goals into internal meaning and someone needs to be accountable 'at the end of the day'.

Research produces many new insights in the effects of these changes:

- Policymakers and their administrators want to be in command (because they are accountable to the press and the voters) and therefore make much more detailed goals and aims. At the same time, they demand that school leaders must lead strategically. This produces opaque and muddy understandings.
- School leaders are trying hard to balance the diverse demands on accountability and the global PISA competition on the one hand and on the comprehensive 'Democratic Bildung' and room for collaboration and creativity on the other hand.
- Schools and leaders are adapting to new means of governance and new social technologies like the contract, self-leading, etc. and trying to balance the total commitment and thus colonisation of the agents' minds and souls with their demand for room for trust, manoeuvre and leeway.
- Schools are opening up to their surroundings and establishing collaboration and partnerships with agencies and institutions on the outside. At the same time, they strive to establish sensible forms of collaboration with parents.
- Successful school leaders try not to forget the students.

Danish School Leadership Research in the International Landscape: Eye Openers or Blindfolded?

Research on school leadership in Denmark is rather meagre. It was mentioned in the beginning of this chapter and ascribed to the institutional situation (education with or without research). This leaves a lot to be done: we need more quantitative research that can uncover connections at large scales, and we need much more qualitative research that can unearth human actions, reflections and values in depths. We also need combinations of diverse kinds of research to expose hereto unseen contexts and meaning of practices and thinking in constantly changing contexts and expectations.

As the reviews demonstrate, some of us are trying to expand and sharpen research on school leadership by participating in Nordic and international projects. Examples are the ISSPP (Moos et al. 2011) and the NordNet (Moos 2013d). There are advantages in participating in international projects: by discussing and comparing findings across borders, we can get a clearer understanding of our own situation. Some of the taken-for-givens can appear to be not the obvious as we used to think, when they are observed from the outside.

Maybe the Danish research has brought more focus on similarities and at the same time on differences in school leadership from one country to the other. It has been a major intention to sharpen our eyes on local situations, arguments and reflections by comparing to other cultures and settings. One effect of this effort has been to describe and analyse local frames and sense-making in more detail before entering into overarching comparisons and synthesis.

Most of the Danish research in this review shows a high degree of external-awareness because it very often includes the analyses of local, national frames, politics and discourses in a more general picture, namely, the transnational and international influences. This is the case in the international projects, of course, but also in Danish projects. We have been conscious of the influences from the outside, but maybe not enough, because eye-opening is not an inevitable effect: often we conceive concepts, theories and discourses from other cultures or systems in a 'natural' way. We think without verifications that other people understand the same way we do. The trivial example is 'democracy', a concept that we always agree on, not acknowledging the fact that probably we understand diverse systems. Only one example: when a Dane talks about democracy, he/she will probably understand a social democratic welfare state democracy with a strong state. When an American talks about democracy, he/she will most probable think of a liberal democracy with a weak state and a strong market. So instead of eye-opening, we are actually blinded in our preconception. We need to be much more aware of differences in culture, discourses and concepts, when entering into international collaboration (Carney 2008; Moos 2013a, b, c; Steiner-Khamsi 2009).

One feature of the Danish part of international research has to be distinguished between political, practical and research interests. All of them are legitimate, but cannot be met in the same move or with the same kind of results. It has also been to insist on a solid and robust theoretical foundation for the choices in our data collections, in the analyses and in the conclusions. This is often not found in school leadership research, and it weakens the insights and the impact of it.

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Chapter 3
Iceland: Research on Principals in Iceland

Börkur Hansen

The Education System in Iceland: Some Features

The historical foundation of the educational system in Iceland is usually traced back to the enactment of the *Law on Educating Children* in 1907 (Lög um fræðslu barna, 59/1907). This law stipulated compulsory education of children and that schools should be operated in all education districts in the country. The current organization of the educational system dates back to 1974 when the *Law on the Structure of the Educational System* (Lög um skólakerfi, 55/1974) and the *Basic School Law* (Lög um grunnskóla, 63/1974) were enacted. The creation of basic schools was based on the reorganization of elementary and lower secondary schools into a unified whole. In Icelandic, the term basic school is *grunnskóli*, meaning foundational school. The basic school is compulsory for students the age of 6–16, organized in 10 respective grade levels. With the laws in 1974, the educational system was structured in three major levels: the compulsory level, the upper secondary level, and the university level. In 1994 a *Preschool Law* was enacted, stating that the preschool level was the first level in the educational system (Lög um leikskóla, 78/1994). Before 1994, the preschool level was not defined as a formal part of the educational system.

The governance of schools at these four levels varies somewhat; preschools and basic schools are operated by the municipalities and most upper secondary schools and universities by the state. Independent and private schools are primarily funded by the municipalities at the preschool and basic school level, while by the state at the upper secondary school level and the university level. At the present, some municipalities are requesting that upper secondary schools should be transferred from state to municipal control and operation.

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Table 3.1 Number of schools by level and type in 2011

	Types	Number Public	Number Independent	Number Total
Level 1	Preschools (age 1–6)	228	37	265
Level 2	Basic schools (age 6–16)	161	10	171
Level 3	Upper secondary schools (age 16–20)[a]	28	4	32
Level 4	Universities (age 20–)	4	3	7

[a] Upper secondary schools offer academic or technical programs towards student matriculation and/or programs in apprenticeship training. There are 22 additional specialized schools that belong to level 3 that are not included in the table, i.e., music schools, dancing schools, aviation schools, and so forth.

The following table lists the number and type of schools at each level in 2011. These figures are obtained from Hagstofan (2012), the center for official statistics in Iceland (Table 3.1).

During 2011–2012, 19,159 students were enrolled in preschools, 42,539 in basic schools, and 29,389 in upper secondary schools (Hagstofan 2012). The number of staff (teachers and other staff) in 2011 in preschools was 5515, basic schools 7337 and upper secondary schools 2513 (Hagstofan 2012). For efficiency reasons, escalated by the economic crisis that began in 2008, there has been a pressure in many municipalities that their preschools and basic schools reorganized their practices to enhance efficiency and collaborated more closely with one another. In some instances schools have been merged, in some cases schools at the same level and sometimes between levels.

The upper secondary system in Iceland is organized as a collective whole with various program routes leading to different types of academic and vocational certificates. A full-time study in most routes is organized as a 4-year program. This arrangement means that students in Iceland entering higher education institutions are older than in most neighbor countries. Also, dropout at upper secondary schools is relatively high (OECD 2012). Accordingly, discussions among politicians and the general public to reorganize the upper secondary school curriculum into a 3-year program prevail quite often in the media. These discussions have been exhilarated by the current minister of education in a newly established government, with little support from teacher unions.

The Ministry of Education, Science and Culture stipulates curriculum guides for all school levels except the university level. Curriculum guides have the status of regulations outlining the official educational policy for the school levels. The purpose of the curriculum guides is to inform principals, teachers, students, parents, and other stakeholders about educational goals and operation of schools. The main curriculum guides are to be adapted by the schools, based on their priorities. In 2011, new curriculum guides were launched by the Ministry of Education, Science and Culture for the preschool level, basic school level, and the upper secondary school level. These guides emphasize critical literacy, sustainability, democracy,

equity, creativity, and welfare. The new main curriculum guides require schools to modify or restructure their practices to meet these policy ends.

The Educational Testing Institute of Iceland, *Námsmatsstofnun*, is an independent institute established by the Ministry of Education, Science and Culture. Its main task is to create and administer national tests in the basic schools in grades 4, 7, and 10 in selected subjects. The test scores for individual basic schools are listed by the institute on their home page. Another task of the institute is to engage in various research projects, national and international. Reports produced by the institute often generate public discussions about quality and accountability of basic schools, but it engages in very limited testing or research in schools at other school levels.

There are seven university institutions in Iceland. Two of them offer teacher education programs, i.e., the University of Iceland and the University of Akureyri. The School of Education at the University of Iceland is by far the largest with approximately 2300 undergraduate and graduate students in three faculties. The faculty of teacher education offers a number of different routes in order to become a preschool, primary, or upper secondary school teacher. Teacher education is now being reorganized into a 5-year M.Ed. program for teaching at all school levels except at the university level. Attendance to teacher education programs has been declining during the last few years that may create problems of renewal of academic staff within the educational system in the near future.

Policy Environment: The Role of Principals

A specific law is enacted for each school level to govern and outline the purpose of schools, how they are governed, duties of staff, rights of students, the role of principals, and so forth. Their role is outlined in a similar manner in the laws concerning preschools, basic schools, and upper secondary schools. Their role as directors of their schools is stressed as well as their role as educational leaders. The laws do not however articulate their role in any detail; they just stipulate this major emphasis. Nevertheless, several tasks that principals must conduct are listed in the various sections of the laws. The *Basic School Law* (Lög um grunnskóla, 91/2008) states, for example, that principals must administer staff meetings in their schools; propose to municipal authorities middle management arrangements based on needs within their schools; make operation plans for their schools; establish an administrative council for their schools by involving teachers, support staff, parent, and student representatives; establish parent associations for their schools; involve parent representatives in the management of their schools; establish student associations in their schools; administer student affairs concerning specific problems; implement induction programs for students who do not have Icelandic as their mother tongue; administer the development of school curriculum guides, school rules, and evaluation schemes; organize professional development schemes for teachers and other staff; and so forth. In addition to what is emphasized in the laws, some municipalities establish further guidelines for principals in job contracts or formal role descriptions.

Research

The policy development in Iceland during the last few decades has emphasized decentralization and the empowerment of schools, participative decision-making, self-evaluation, and strong professional leadership. This emphasis was stipulated in the policy document *Skýrsla nefndar um mótun menntastefnu* (1994) (e. Report on Educational Policy Formation). This document can be seen as the foundation for the main changes in laws and regulations that followed, both at the basic school level (age 6–16) and the upper secondary school level (age 16–20). Educational leadership and school development are, for example, emphasized in this document. This policy emphasis has influenced research in relation to principals during the last 10 years. This research varies in scope and size, depending on the interest of the researchers and the political context of schooling at any given time.

The research described in the following section is empirical in nature and with only a few exceptions published in peer-reviewed journals or books. All relevant publications on school principals during the last decade are included in this review. First is a description of the role of principals and how it has changed. Then there is a description of studies concerning the views of principals, parents, and teachers concerning the transfer of basic schools in 1995 from state to municipal control. A study on the influence of middle managers in the management of basic schools is outlined, as well as studies on the implementation of self-evaluation activities in basic schools and upper secondary schools. Studies on gender, governance, multicultural issues, and relations between features of school cultures and student achievement are also outlined. Moreover, findings of four Ph.D. studies are presented at the end of this section, but they relate to principals and management of schools. It must be noted in this context that there is a limited number of people in Iceland with research obligations concerning school principals. The chapter concludes with reflections on the findings and discussions on some challenging issues in the Icelandic context in the near future.

Role of Principals

The policy environment of schools is constantly changing, affecting the role of school principals in one way or another (Fowler 2009). The transfer of basic schools from state to municipal control in 1995 changed the working environment of basic school principals considerably. The 1995 *Basic School Law* (Lög um grunnskóla, 66/1995) stipulates considerable powers to principals both as directors and as educational leaders of their schools. The role of principals was also discussed in the teacher contracts that followed the law, stressing their role as leaders and directors of their schools. In an extensive survey from 2001 among basic school principals, Hansen et al. (2002a, b) examined their views concerning the transfer to municipal control and how the working environment that followed affected their role. They

were asked about issues in their "new" working environment as well as the task areas they spent time on. The majority of principals were very positive towards their new environment. As an example, 86 % of the principals said that municipal support had increased considerably during the last few years, 77 % said that funding allocations had increased, and 80 % said that they had more influence on the operation and management of schools than in the previous state-run system. When asked about empowerment, 73 % of the principals said that they had increased authority in making budgetary decisions, 68 % said that they had more influence in the management of special education, and 60 % said that they had more professional independence in the new system.

This study also revealed that the task areas they spent most of their time on had changed considerably since 1991, but at that time a study on their role was conducted by the same research team (Hansen et al. 1997). The conceptualization of the tasks in these studies was based on McCleary and Thompson (1979) who did an extensive study on management emphasis of principals in the United States in collaboration with the *National Association of Secondary School*. The task areas were:

- *Program development* (curriculum, instructional leadership, etc.)
- *Personnel* (evaluation, advising, conferencing, recruiting, etc.)
- *Student activities* (meetings, supervision, planning, etc.)
- *Student behavior* (discipline, attendance, meetings, etc.)
- *Community* (PTA, advisory groups, parent conferences, etc.)
- *District office* (meetings, task forces, reports, etc.)
- *Professional development* (reading, conferences, etc.)
- *Planning* (annual, long range, etc.)

The findings of the 1991 and 2001 studies show that the ideal ranking of these task areas are similar. The actual ranking, on the other hand, had changed considerably during this period. Also, the gap between the actual and the ideal ranking of these tasks widened. Hansen et al. (2002a, b) concluded that the principals were drifting away from their ideal rank emphasis on various tasks by engaging in more and more managerial tasks and duties at the expense of pedagogical tasks.

A third study was conducted in 2006 by the same research team (Hansen et al. 2008), examining the development of the role of basic school principals. The same framework was used concerning the tasks areas as in the previous studies in 1991 and 2001. The findings suggested that the principals role has stabilized somewhat, the gap between their actual and preferred rank ordering of tasks had narrowed again from the 2001 study, and they did not seem as overwhelmed by managerial duties as in 2001. However, the study showed an increase in the time the principals were spending on issues concerning their personnel. The study concluded with discussions of the linkage between educational leadership and teacher development.

It is of importance to enhance understanding of the role of principals as instructional leaders. Hansen and Lárusdóttir (2013, forthcoming) conducted a study in 20 basic schools in Iceland on the role of principals as supervisors of instruction. Their findings indicate that in most of the schools the principals provide teachers with very limited supervision in the form of direct guidance. However, they generally

provide considerable indirect supervision by creating conditions for professional development, group development, curriculum development, and evaluation activities. The role of the principals was described as ranging from being indifferent, monitoring, facilitating, and coaching. Also, considerable collaboration seems to take place among all staff concerning teaching and learning. Hansen and Lárusdóttir conclude there is a need for more proactive leadership on the behalf of principals concerning the development of instructional practices.

The development of a newly established school is a challenge and a complex process. A research project was conducted by Svanbjörnsdóttir et al. (2010) concerning the preparation, establishment, and selection of staff in a newly established school in Iceland. The study describes the policy emphasis on the behalf of the municipality, the building of the school, the selection of staff, and the development of structures and processes within the school. The findings indicate that the development of the school during its first year was to a large extent in line with the policy emphasis of the municipality and the vision of the principal. The study revealed some problems in the operation of the school due to delays in construction of the school building. The study also revealed some problems and challenges in building a culture within the school that harmonized with the vision of the municipality and the principal.

Teachers and Principals

In order to examine if teachers and parents were as pleased as principals with the transfer of basic schools from the state to the municipalities, a study was conducted in 2004 by Hansen, Jóhannsson, and Lárusdóttir. Principals, middle managers, parent representatives, and groups of teachers were interviewed in four basic schools. This study reinforced the positive views of principals found in the study from 2001 and suggested that parent representatives were also very pleased with this new environment. On the other hand, the study showed that teachers were not as pleased in their new working environment as the principals and the parents. They saw the principals becoming increasingly distant from the world of teaching, and felt as though the school boards were trying to increase their influence in the schools, and have more control over the work of the teacher. This interference was however limited to the schools that belonged to large municipalities with well-resourced central offices (Hansen et al. 2004).

On these premises, a study of the views of teachers was conducted in 2005 by Björnsdóttir et al. (2006, 2008), based on a larger random sample of all practicing basic school teachers in Iceland. The study focused on the views of teachers regarding their independence as teachers, the independence of their schools, their participation in decision-making in their schools, the level of cooperation within their schools, and external pressures and expectations concerning their duties. This study revealed that teachers wanted to be more involved in decision-making in key areas of schooling and perceived that their influence was very limited in a number of areas. The narrowest gap between interest in decision-making and the perceived influence of the teachers was in the area of teaching methods, while the gap was relatively wider in other

key areas, such as the professional plans for teachers, self-evaluation practices, development projects, student groupings, and resource allocation.

When asked about cooperation, 49 % of the teachers said that they did not cooperate much with principals, 63 % said that they cooperated somewhat with middle managers in schools, and the same ratio, or 63 %, said that cooperation between teachers in general was considerable. Eighty-three percent stated that cooperation between those who teach the same year group was considerable. Eighty-six percent said that cooperation with the central office was very limited. This last point is strongly related to location, the teachers in the greater Reykjavík area cooperate considerably less with central offices than teachers beyond the greater Reykjavík area. On the other hand, 71 % of the teachers found cooperation between principals and the central office to be considerable.

When the teachers were asked about external pressure, about 50 % of them claimed that they had experienced a general increase in pressure regarding what was expected of them during the last 5 years. Sixty-nine percent claimed that they experienced increased pressure from parents, 64 % claimed increased pressure from the central offices, and 50 % claimed that principals were putting increased pressures on them. Pressure from the central offices is strongly based on location, but about 80 % of teachers in the greater capital area perceived considerable pressure from their central offices, while 46 % of teachers from other areas experienced considerable pressure from their central offices.

In sum, these findings suggest that teachers were not as pleased with their working environment as the principals. They saw the principals as managers of their schools who did not involve teachers in decision-making to the degree they would like. Teachers saw principals and central offices working closely together, at the expense of their influence on the management and operation of their own schools. Teachers in the greater capital area experienced greater control by their central offices than teachers in the rural areas.

Differentiation and inclusion have been emphasized in the Icelandic ever since enactment of the *Basic School Law* in 1974 (Lög um grunnskóla, 63/1974). An action research project was conducted by Svanbjörnsdóttir et al. (2013) in one basic school in order to build up a professional learning community where the leadership of principals, teachers, and parents supported the learning of "all" students. The project seemed to have an impact on the teachers by facilitating increased self-assurance regarding their work. They experimented with various means of working together in order to learn from one another. The project also revealed that there is a need for strategic support of leaders in order to enhance and sustain the process of adapting the practice of teaching to the different needs of students.

Middle Management

An emphasis on middle management was emphasized within basic schools in various policy documents as well as the 1995 *Basic School Law*. Accordingly, a number of middle management positions were established in larger basic schools. In 2005,

a study on middle managers was conducted by Guðjónsdóttir et al. (2007) using the survey method. The sample included 785 teachers in 22 basic schools. The sample of principals was based on all the 78 basic schools that came with middle managers, but there were 175 basic schools in operation at the time.

The results showed that both principals and teachers viewed the work of middle managers positively, especially the principals. Both the principals and the teachers believed that the role of middle managers was important and vital for enhancing the quality of schooling. They also believed that the creation of a middle management position within basic schools resulted in better management practices. The study also showed that the interaction between principals and middle managers was more frequent than between the teachers and the middle managers. Furthermore, the study showed that a relatively large proportion of the teachers were not fully aware of the nature of work done by the middle managers. The study concludes by highlighting the importance of strategic cooperation between middle managers and teachers as well as middle managers and principals.

Self-Evaluation

Self-evaluation practices were stipulated in the 1995 *Basic School Law*. The act also states that the Ministry of Education should oversee how the schools implement this policy. During the period of 2001–2003, the ministry conducted evaluations of self-evaluation practices in all basic schools in the country. The ministry's 2004 report states that there was a great difference between schools but does not provide information on why there is such a difference or of what nature. A study was conducted by Hansen et al. (2005) to examine the views of principals and teachers in six basic schools towards the implementation of self-evaluation practices. Principals in all the schools were interviewed individually, but middle managers and regular teachers were interviewed in groups.

The findings showed a considerable difference among the schools regarding self-evaluation activities. The schools were classified into three groups. In the first group of schools, very little work had been done in self-evaluation. Considerable work had been done in three of the schools. Finally, extensive work had been undertaken in one of the schools. The findings indicate that the critical factors are the knowledge and skills of principals and teachers of self-evaluation methods, clear leadership within schools, and the attitudes of principals and teachers towards self-evaluation as a means for change and development.

Other studies on self-evaluation in Icelandic schools have been conducted by Davidsdottir and Lisi (2006, 2007, 2009) and Lisi and Davidsdottir (2008). Their concern was also the problem of implementation of self-evaluation practices. They organized a project in four schools during 2001–2002, two basic schools and two upper secondary schools. The project was aimed at enhancing empowerment processes within these schools concerning self-evaluation. The researchers coached school evaluation teams in their self-evaluation efforts in all the schools and assessed

its effect. The researchers taught the staff to evaluate school work and take responsibility for development in order to empower the schools in their self-evaluation practices. This was supported with data from longitudinal data collection from the schools. The findings indicate that the four schools need to continue their work on building a collaborative learning community and engage more teachers and other staff in that process. The findings also indicate that the schools made progress in this direction based on the support they received. Results indicate that evaluation worked best when schools took a democratic stance. Program fidelity was an indication of improvement within the schools. In order to implement important changes in the school work, it seems advisable to allow some time for them to take root. In this study, the main changes did not happen until 4 years after its initiation. The project continues in the two upper secondary schools, and the scope has been broadened to include three more upper secondary schools.

Gender

Guðbjörnsdóttir (2007) outlines her research on why there are not more women that hold management position in schools in Iceland in her book *Menntun*, *forysta og kynferði* (e. Education, leadership and gender). The section in this book describing this research was previously published as an article in 1997. Guðbjörnsdóttir gathered her data in 1992 when effective school management was a big issue in educational discourse in Iceland. Her main concern was to develop an understanding of the view of female school managers concerning this development. She interviewed and surveyed all female principals at the basic school level, a large number of female managers at the upper secondary school level and the university level, and other female managers within the educational system. She also collected data from an equivalent number of male managers for comparative purposes. She found a significant difference between male and female school managers but not as many differences than in comparable studies from elsewhere. She concludes that the female managers show many characteristics of facilitative leadership styles which emphasize good working relations, distribution of power, collective decision-making, and active involvement of staff. The male managers show many similar characteristics.

Guðbjörnsdóttir (2007) continued this research with a study on how female school managers understood dominant discourse on power, performance management, and gender. She interviewed 11 female managers from all school levels in Iceland around the millennium. The findings were first published in an article in 2001. The findings show that discourse on the above issues is prevalent at all school levels. The discourse on performance and competition seemed more acceptable at higher levels within the system where they seemed to associate themselves more with such a discourse than, for example, managers in preschools. The study concludes with discussion on the necessity of continuing this research in an environment that increasingly favors competition and performance-based management.

Governance

Charter Schools

The public school has been criticized extensively during the last decades (see, e.g., Berliner and Biddle 1995). Various reforms have been proposed suggesting changes in governance and operation of public schools (see, e.g., Chubb and Moe 1990). Hansen (2002) critically discusses the establishment of a charter school in Iceland in Hafnarfjörður, a town of 25,000 people in the greater Reykjavík area. In order to assess the value of this experiment, Hansen reviewed the theoretical basis of charter schools and explored empirical research on their effects.

The charter school idea has many strong advocates who argue that their existence increases choice in education and facilitates competition between schools in teaching and learning. These advocates also claim that the charter school idea does not involve a total restructuring of the public educational system, rather it makes it possible to establish public schools that are much more independent and flexible than traditional schools. The effects of this will enhance improvement in teaching and learning and create better schools.

The comprehensive review of empirical research on charter schools, conducted by Gill and associates (2001) for the *Rand Institute*, is used by Hansen to assess the Icelandic experiment. Their review indicates that parents are pleased with the option of being able to send their children to charter schools. They also point out that charter schools have not facilitated improvement in academic achievement. On that basis, Hansen (2002) concludes that charter schools will not revolutionize schooling regarding academic success of students. Expansion and popularity of charter schools must rather be explained with reference to the ideology of choice and competition.

Site-Based Management

The philosophy of self-management is strongly emphasized in the report *Skýrsla nefndar um mótun menntastefnu* (1994), the ideological foundation of the 1995 *Basic School Law*. Hansen (2004) reviewed the literature on site-based management in order to analyze the school management emphasis of the report. He claims that site-based management is a prominent part of the decentralization emphasis put forth in the report as well as in the teachers' contracts that followed the enactment of the act. He also outlines that the major emphasis in the Icelandic context was to empower principals in order to enhance the professional development of schools, but previously the management power within basic schools was to a large extent nested in teacher councils. The principals must, however, cooperate with teachers, parents, and local authorities. The paper concludes with a discussion about the importance of researching the practices of decentralization and site-based emphasis in basic schools.

School Boards

Ásmundsson et al. (2008) conducted a study on the ideas that school boards of basic schools have about their role, influence, and impact. In order to situate the governance structure of basic schools in Iceland, the composition and role of school boards in the United States, New Zealand, the United Kingdom, Norway, and Denmark was reviewed. The study was limited to interviewing four district superintendents and six principals in the same districts. The findings indicate that the formal power of school boards was mainly restricted to monitoring the adherence of schools to policy ends in the *Basic School Law*. In practice, however, school boards were extending their role by making policies concerning issues that the *Basic School Law* defines as the task of individual schools. The main conclusion of this study was that the law and regulations concerning the role and jurisdiction of principals and school boards were not explicit and clear enough, causing uncertainties for both parties.

Hansen et al. (2010) did a study on how municipal policies have affected the professional independence of basic schools, but many school boards have developed municipal education policy documents during the last few years. These municipal policy documents state various policy ends concerning the operation, management, and curriculum of basic schools. In a survey among all basic school principals in 2006, two main themes were addressed: their views on the operation and professional autonomy of schools and their views concerning the influence of school boards on their schools. The findings show that 60 % of Icelandic basic school principals said that the professional independence of basic schools was considerable, and 72 % claimed that their schools were professionally independent. Seventy-five percent also said that it was important to further increase the professional independence of basic schools. Forty-three percent of the principals claimed that municipal education policies increased their independence as principals. The findings also indicated that principals took an active part in educational policy development at the municipal level, i.e., 77 %. A majority, or 89 % of the principals, were supportive of municipal policy-making concerning school affairs and believed it would enhance school improvement and performance. However, 71 % of the principals claimed that school board involvement in school affairs should remain as it was, neither to be increased nor decreased. The study concludes with discussions about the functional governance structure of basic schools as collaborative in nature, in practice somewhat similar to the system in Norway, where a council of stakeholders governs their basic schools.

Superintendents and Regional Support

Iceland was divided into eight educational regions with the enactment of the 1974 *Basic School Law*. Each region was managed by a superintendent who was an employee of the Ministry of Education. In every region, a regional council was

established by municipal authorities, to assist the superintendents in their functions. This structure was in operation until 1995, when the governance of basic schools was handed over from state to municipal control.

Hansen and Jóhannsson (2010) conducted a study on the role of superintendents during this period. They interviewed 11 of the superintendents who were in office during the time period 1974–1995 regarding their experiences. They were inquired about the establishment and operation of central offices in their regions, their main task areas, development projects they initiated, and their relations with ministers of education, local politicians, principals, teachers, and parents.

The interviews were analyzed according to their role as instructional leaders, administrators, politicians, communicators, and social scientists. Laws and regulations defined the general role of superintendents that included a variety of tasks. A major task was to administer and develop a fiscal system for the management of basic schools, to monitor their operation, and to provide them with professional support. Due to the geographical size of the country and differences between the regions, the superintendents defined their roles differently by locality. Issues, like the number and size of schools, distances between schools, availability of certified teachers, and access to specialized support staff, affected their role considerably.

The study concludes with discussions about the system that replaced the 1974–1995 structure. Instead of eight regions with regional superintendents, now each municipality has a school board that governs its schools. At the present there are 77 municipal authorities with school boards. Due to the size and financial capacity of these municipalities, their central office services vary considerably. The analysis of the superintendents' roles and activities during 1974–1995 suggests that the existing system does not provide for the same equality for schools and students as in the previous system.

Multicultural Issues

Multicultural issues have become an important dimension in the operation and development of public schooling in Iceland (Hansen and Ragnarsdóttir 2010; Ragnarsdóttir 2007). Sigurjónsson and Hansen (2010) conducted a study in 2009 concerning the link between schools and parents with culturally diverse backgrounds in two schools in eastern Iceland. The schools belong to separate municipalities. The study focused on who initiated communication regarding the children in these schools and what the communications involved. School principals, teachers, and a sample of parents with culturally diverse backgrounds in these two schools were interviewed. The interview scheme was built on Epstein's (2001) *school, family, and community partnership* model with six elements of communications between schools and parents.

The findings suggest that parents with culturally diverse backgrounds were very pleased with most factors about their communications with the schools. Furthermore, they showed that the parents seldom initiated communication. In general, their role

was very passive regarding their relationship to their school. The interviews with the principals and the teachers showed that there is no big difference in the interaction between Icelandic parents and parents with culturally diverse backgrounds. Primarily, the interaction had to do with the homework of students. The study concludes with discussions about the importance of establishing strong home-school relations with the active involvement of parents, particularly parents of culturally diverse backgrounds.

Ólafsdóttir et al. (2012) conducted a study on successful multicultural teaching practices in three compulsory schools. The focus was on identifying significant values, teaching emphasis, and structures. Data was collected from two schools in the capital Reykjavik, Iceland, and one in London, England. The ratio of the immigrant students was 20 %, 40 %, and 80 % in the schools. The findings show that all the schools have developed a specific strategy for working with immigrant students. All the schools have developed clear visions and structures concerning teaching and learning, with the values of respect, equity, and democracy as the guiding elements. Teaching strategies were based on collaboration and pedagogical conversations in all the schools. The immigrant students in all the schools got preparation in a variety of subjects resulting in active participation with their school peers. In all the schools, key administrators showed great ambitions for multicultural education.

Achievement and School Culture

Achievement of basic school students is assessed in grades 4, 7, and 9 on a regular basis by *Námsmatsstofnun*. The literature suggests that student achievement is strongly related to two interrelated factors, school leadership and school culture (Deal and Peterson 1999; Hoy and Miskel 1996, 2008; Fullan 2001). The concept school culture refers to the values and norms that shape traditions and interactions. Accordingly, the teachers' views towards student learning are a significant part of the culture of schools. Maehr and Midgley (1996) emphasize that the values and norms towards teaching and learning are of utmost importance for academic success in schools.

Björnsdóttir et al. (2011) conducted a study on aspects of school culture in eight basic schools (ages 6–16) in Iceland and explored its relations to student achievement. Data was gathered with a questionnaire from the 318 teachers in these eight schools. The response rate was 75 %. Scores on standardized tests in Icelandic and mathematics in grades 4, 7, and 10 were obtained from *Námsmatsstofnun* for the year 2008 when the data was collected, as well as for the two following years.

Factor analysis was carried out on the data collected from teachers. Two separate factor analyses were done, one for statements that describe in general terms the school culture and the other on statements describing the culture in relation to teaching. The relationship between the factors from the two different factor analyses was examined as well as the relationship between the factors and the scores on the standardized tests.

The factor analyses generated three major factors from the general questions and statements of the school culture: (a) *power and influence*, (b) *innovation*, and (c) *strategic leadership*. The factor analysis of questions and statements describing the teaching dimension produced the factors of (d) *comparison* and (e) *task*. This is equivalent to the dimensions of an ability-oriented teaching culture (emphasis on ability, comparison, and competition of students) and task-oriented teaching culture (emphasis on completion of task according to student's capacity level) as observed by Maehr and Midgley (1996).

A positive relationship was found between the factors (d) *comparison* and (a) *power and influence*. A positive relationship was also found between (e) *task* and the factors (b) *innovation* and (c) *strategic leadership*. Furthermore, a positive relationship was found between achievement in grades 4 and 7 and the teaching emphasis on (e) *task*. There was a positive correlation between achievement in all the grades and emphasis on (c) *strategic leadership*.

This study reinforces the idea that school culture has an influence on student achievement, particularly a task-oriented teaching culture and strategic leadership.

Ph.D. Research

Research in relation to principals during 2000–2013 is limited to four Ph.D. research projects, by Lárusdóttir (2008), Einarsson (2008), Sigurðardóttir (2006), and Marinósson (2002).

Leadership Values and Gender

Lárusdóttir (2008) conducted a study on leadership, values, and gender among female and male principals in Iceland for her Ph.D. thesis – ten principals and nine assistant principals. She contextualizes the study in the policy environment for principals in Iceland and more widely in a context which is being more and more driven by market force values. The study's methodology is located within the interpretive framework and informed by the perspectives of social constructivism and feminism. The study is situated in the theoretical context of values in leadership and gender. The purpose of her study is to shed a light on the interface between values, gender, and leadership behavior. This is conducted by "seeking answers to questions on the impact of head teachers' values on their actions, in particular when facing value related dilemmas (p. iii)."

Lárusdóttir describes and discusses the unstable working environment of principals, the dilemmas they encounter, and the conflicting demands made upon them. The findings reveal that while male and female principals have similar values, the position of men and women leaders is unequal. The major factors that influence this inequality are "discriminatory behavior towards women, and new competencies, such as computer literacy where more men than women are proficient." Lárusdóttir

discusses her findings concerning the positioning of male and female principals with reference to new task areas. The study provides information about the impact of recent changes in the working environment of Icelandic schools, on the role of head teachers, and the gendered nature of these changes. Regarding the position of women leaders, she says (p. 233): "Women have faced gendered discriminatory behavior by school stakeholders, they have less administrative experience, they are entering headship at a time when stereotypical masculine values permeate educational policy and they are less likely than men to have been encouraged to lead."

Time Management

Einarsson (2008) studied the use of a computerized diary for school principals in his doctoral work. The purpose of his study was to "assess the usefulness of the diary as a research instrument, and also to evaluate how well the computerized diary worked as an aid for a time management strategy and for prioritizing in a school setting" (p. 1). The purpose of his study was also to collect information through the diary on how four newly appointed basic school principals in Iceland used their time during a 4-week period and to capture the nature of their work, i.e., their major task areas. The principals registered the content of their activities in the diary. The registrations provided a basis for semi-structured interviews with the principals.

His main findings are that the computerized diary is "suitable as a research instrument in education and is an improvement on the traditional diary method, particularly concerning graphical feedback showing how time was spent and in terms of motivating the participants to record" (p. 1). He says that the computerized diary can be used as an aid for individuals as well as for the whole school in terms of more effective prioritizing and time management strategies, i.e., prioritizing tasks, setting clear goals, not using time on unnecessary tasks, having a structured program to follow, delegating work, spotting time wasters, and consolidating time. The study concludes with discussions about value of the design of this computerized diary as a management tool and a contribution to the diary method.

Professional Learning Communities

Sigurðardóttir (2006) conducted a study on professional learning communities within three schools in Iceland. The purpose of the study was to explore the relationship between learning communities and their effectiveness defined as value-added scores on national standardized tests. In one of the schools, an intervention was administered specifically aimed at strengthening its learning community features. The following variables were used in the study as learning community components: shared values and vision with a focus on student learning, teacher expectations concerning student learning, shared and democratic leadership, mutual

support of all staff, collaborative learning of academic staff, organizational arrangement of the collaboration, working habits that support collaboration, social climate that supports collaboration, and satisfaction and the commitment of staff.

The findings show that professional learning affects student outcomes. The schools with more mature professional learning components scored higher on the standardized tests. Shared leadership and shared values and vision had the strongest relationship with the level of effectiveness, and the values were affected by the principal's interest, and what issues he or she chooses to focus on. The study also showed that the learning community within schools can be changed in order to affect student outcomes. Furthermore, the findings showed little collaboration of teachers in their daily work, i.e., limited discussions, challenges, and sharing of ideas concerning teaching and learning. The study concludes with discussions about ways to strengthen learning communities within schools in order to enhance student outcomes.

Schools and Diversity

Marinósson (2002) did an intensive long-term case study in a mainstream basic school in Iceland. The purpose of the study was to examine how the school responded to the diverse learning needs of its students, and why it responded as it did. The research processes are defined as ethnographic where the data was collected during a 4-year period by observations, interviews, and collection of relevant documents. The themes that emerged from the data "include the school as an organization, the management of behavior, pedagogic practices, construction of special educational needs, parental influence and expert services" (p. 2).

One of the factors that influenced the schools' response to pupils' diversity was the management of the school. This is defined as being rational-technical with an emphasis on effectiveness as well as being evolutionary concerning unpredictable issues. As stated regarding the principal: "Thus, despite his ambition to make Mossy Mount a model school as quickly as possible, he chose a course of incremental changes, where the results of each step were studied and learnt from before the next actions were taken." This is contrasted with viewing the school as a learning organization where teamwork, diversity, conflicting ideas, and mistakes were valued. The study also revealed that diversity was seen as a nuisance rather than strength. The study concludes with discussions about inclusive education in relation to the control and care functions of schools.

Concluding Remarks

The practice of schooling is complicated, and leadership is an essential element in enhancing the quality of teaching and learning (Louis et al. 2010; Day et al. 2011). This means that the management of teaching and learning is an ongoing challenge,

increasingly serious, in our attempt to create a stimulating learning environment and meet the needs of all children. Each context is different, creating different challenges. Insights from different contexts are accordingly valuable for a better understanding of the management and operation of schools. Most of the studies conducted in Iceland are however based on contextual needs with the intention of better understanding the operations of schools. In many cases frameworks are developed from the international literature to conceptualize the studies. The emphasis is accordingly not to test some relevant concepts or theories, rather to use available research to conceptualize and better understand the practice of school management.

As this review shows, the major emphasis of the research in Iceland has been on principals in basic schools and their policy environment. A relatively large section of the research has focused on the principals' role and how it has changed over time. Another relatively large section of the research has focused on issues concerning the governance of basic schools. The transfer of basic schools from the state to municipal control influences the research in both these areas very clearly. The other studies reported in this review focus on important issues concerning the operation and management of schools, issues like the role of middle managers, time management, self-evaluation, gender, multiculture, diversity, values, achievement, teaching cultures, and learning communities. This research varies in scope and size. All these studies are focused on the practice and reality within education in Iceland with implications for that same context. Studies of this nature need to be continued, but an understanding of the role development of school principals and the governance and operation of schools has variable implications for practice. The emphasis these studies represent is similar to that of other northern European countries, but as observed by Johansson and Bredeson (2011) research on principals can be seen as an emerging field of studies in that part of the world.

Information from research in different cultural contexts can provide valuable information for theory development. It is generally acknowledged that the literature on educational leadership and management is dominated by studies situated in English-speaking settings. With the enhancement of research from other parts of the world, our understanding will be by no doubt being richer. Information from different cultural contexts can also provide for an understanding that is outside the mainstream of thought. Ideally, such information might create new paradigms in the way scholars think about their operation and management of schools. Research led by Moos (2013) on transnational values and practice in Nordic cultures rely more on flat hierarchies and the notion of equality, in comparison with the Anglo-American way of thinking.

The economic crisis that began in Iceland in 2008 has changed the landscape in preschools and basic schools in many municipalities. In some instances schools have been merged and in other instances persuaded to cooperate, either with nearby schools of the same type or between levels, i.e., preschools and basic schools. This change in environment has created unusual conditions that require investigation. Accordingly a team of researchers within the School of Education at the University of Iceland are conducting a study in three municipalities about the effects of the economic crisis on schools. Data has been collected in a sample of schools in two

municipalities and is in process at the third municipality. Preliminary findings suggest that the effects differ based on municipality, i.e., how they prioritize and guard the operation and management of their schools, irrespective of their fiscal capacity (Davíðsdóttir et al. 2012).

The data collected by the institute *Námsmatsstofnun* can be seen as a very valuable resource for various types of research, but it administers national tests in basic schools in grades 4, 7, and 10 in selected subjects. The institute also engages in various national and international research projects including Pisa and Talis. The study by Björnsdóttir et al. (2011) on achievement and culture is an example, but many other interesting studies can be developed on the basis of data accumulated by that institute. The Pisa and Talis studies can also be seen as valuable departures for interesting comparative studies on leadership and effectiveness. Moreover, these studies and along with test data can also be used for scrutiny purposes, i.e., to assess transnational influence on schools in a comparative context (Hansen 2013; Moss 2013).

The implementation of new curriculum policies is a major challenge for schools in all countries. Moreover, reorganizing the upper secondary system in Iceland into a 3-year program can also be seen as a major administrative challenge. Very limited empirical research is available on the issue of curriculum reorganization and implementation in Iceland, i.e., about administrative process at all school levels. Curriculum policies can be seen as a major instrument of governments to manage and control their schools, making all types of research in the area critically important. The new curriculum that was launched in 2011 can be seen as very ambitious, highlighting the importance of rich research at all school levels.

The reorganization of teacher education into a 5-year M.Ed. program became effective in 2011 at higher education institutions in Iceland. This change in requirements has implications for practice in various ways that require research of all kinds. The overall question is how it enhances the quality of teachers and the conduct of schooling. The environment of schools is rapidly changing, putting a renewed emphasis on issues like students with special needs of various kinds, i.e., learning disorders, behavioral problems, multicultural backgrounds, high abilities, and so forth. Furthermore, it raises questions about changes in leadership practices where the challenge is to further empower teachers in areas of teaching and learning.

In addition to the above, there are many important issues that need to be researched at all school levels. There is a large research project in Iceland worth mentioning in this context called *Teaching and learning* in basic schools. This project is divided into six subprojects where one focuses on educational leadership. Data was collected in 20 schools by means of questionnaires, interviews, and classroom observations. The findings are being analyzed and will likely reveal issues of several kinds for further research. Preliminary findings suggest that principals need to be much more proactive in their schools as instructional leaders. It is of central interest in the Icelandic context, however, to further enhance the understanding of the leadership role of principals concerning teaching and learning – the central task of schools.

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Chapter 4
Finland: Finnish Principal

Mika Risku and Seppo Pulkkinen

This book chapter begins by giving an overall description of the Finnish education system and of the formal position of the principals in Finland. The more detailed examination of the Finnish principal comprises two main sources. Both sources are reviews on research on principals in Finland in 2000–2010. The first one was conducted for the Swedish Academy by Risku and Kanervio (2011). The second one is a report by Alava et al. (2012) for the Finnish National Board of Education.

The results describe the Finnish principals' changing operational environments, reformed school organisations, roles, work and leadership. The whole Finnish society is presently facing major demographic and economic challenges. In addition, as a result of the challenges, also the societal values are changing. There seems to be a general agreement in Finland that the role of the principal has changed radically during the last 30 years. The principal is no longer a head teacher implementing orders and reporting actions in the system-based, centralised and state-led administration. They are general managers of autonomous profit units which no longer merely provide instruction but are inclusive service centres.

Finnish Education System

The Finnish education system has been appraised for its learning outcomes in international evaluations throughout the 2000s. Finland had the best total results in the three first PISA (Programme for International Student Assessment) surveys (OECD 2001, 2003, 2004, 2006) and the third best in the latest, 2009, PISA survey (OECD 2010a, b). Finland has also excelled in other international studies like PIRLS

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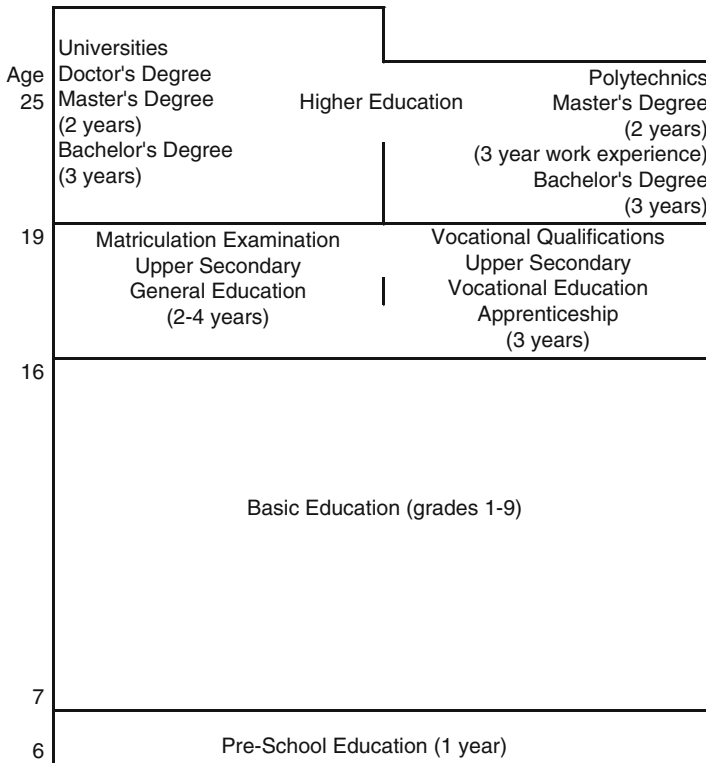
Fig. 4.1 Finnish education system (Risku 2011)

(Progress in International Reading Literacy Study; Mullis et al. 2012b) and TIMMS (Trends in International Mathematics and Science Study; Martin et al. 2012; Mullis et al. 2012a). In addition, international comparisons indicate that Finland has the smallest variation between the outcomes of the schools and that the Finnish education system is very economical concerning both money and time spent on instruction (Sahlberg 2011). However, the challenges that are facing the Finnish society today have begun to affect also the learning incomes as, for example, PISA 2012 (OECD 2013) shows. Although Finland in that survey still had the best total results among European countries, many Asian participants had surpassed it, and it only ranked seventh. This has further increased pressure on the Finnish education system and schools and thus on principals too.

The Finnish education system comprises three main tiers, as illustrated in Fig. 4.1 (Risku 2011). The main tiers are basic education, upper secondary general or vocational education, and higher education.

Basically all education in Finland is free of charge. The main education providers of basic (96 % in 2012 according to Statistics Finland 2013) and general upper secondary education (92 % in 2009 according to National Board of Education 2013a) are municipalities. The statutory government transfer system covers 34 % of the

operating costs of basic education and 42 % of those of upper secondary education. The rest have to be covered by municipalities themselves. State subsidies are paid to the education providers and are not earmarked for any specific purposes (Ministry of Education and Culture 2013; National Board of Education 2013a).

The Finnish education system was governed with a statist norm-based, system-oriented and centralised steering apparatus till the 1990s. Then a radical delegation from the State to municipalities took place (Laitila 1999; Niemelä 2008; Pihlajanniemi 2006; Rinne et al. 2002; Risku 2011; Ryynänen 2004; Varjo 2007).

As Hargreaves and Shirley (2009) write, the present education system in Finland is led from the top, built from the bottom and both motivated and supported from the sides. Leadership from the top includes the State determining the overall national goals, the allocation of time for the various subjects and the goals and core contents of the subjects. Building from the bottom comprises education providers' responsibility to compile and approve the local curricula and yearly work plans according to the national guidelines. Motivation and support from the sides do no longer contain inspections or other meticulous controls. Instead there are extensive programmes for national evaluations, the purpose of which is not to rank but support education providers to develop their operations. In addition, education providers are obligated to conduct self-evaluation (Kuusela 2008; Ministry of Education and Culture 2013; National Board of Education 2013a).

Since the 1980s the Finnish society has been trying to meet remarkable economic and demographic challenges (Aho et al. 2006). It is exactly those challenges that the education system is trying to meet as well (Risku 2011). Municipalities have major problems to cover the costs of providing education, and demographic changes are altering both general municipal structures and school networks at an accelerating pace. Furthermore, municipalities do not seem to get the support they would need from the State which is criticised for not taking into consideration societal changes and everyday challenges of schools but base its decisions on an ideal status which does not exist (Hannus et al. 2010).

Principal's Formal Position

As municipalities are the main providers of education, most principals work in municipal schools. Municipalities in Finland have a constitutional autonomy (Kuntalaki 1995/365; Pihlajaniemi 2006). They have to meet the obligations decreed for them in legislation, but they have much freedom how to arrange their organisations and services.

Legislation does not determine the municipality-level governance of the local provision of education. According to Kanervio and Risku (2009), most municipalities, however, seem to have a superintendent (89 %) and a separate school board (99.5 %). Only the largest cities (5.7 %) appear to have more than ten people working in their municipal school offices. Most municipal school offices are very small, with no (4.8 %), one (21.9 %) or two (26.7 %) staff members. As a result, principals do not most often obtain much support from their municipal school offices.

Legislation concerning the school level includes some decrees for the staff. Both the Basic Education Act (628/1998) and the General Upper Secondary Education Act (Lukiolaki 629/1998) obligate every school to have a principal and a sufficient number of teachers and other personnel. In 2010 there were altogether 2013 principals in Finland. More than half (1307) worked in basic education. In addition, there were 373 principals in general upper secondary education, 163 in vocational education and 213 in liberal adult education. The percentile of qualified principals varies somewhat between the different school forms but is over 90 % in all and close to 99 % in most. There is some variation concerning gender, too, but in general the distribution between male and female principals is fairly even, with a slight domination of men. More than half of principals are over 50 years old and only very few are under 30 years (Honkanen 2012; Kumpulainen 2011).

Legislation does not specify principals' duties explicitly. It merely states that the principal is responsible for the operations of the school. According to Souri (2009) principals' formal status is today determined more by general legislation than by special legislation governing education, which corresponds well to Finland's present legislative trend.

It is noteworthy that legislation in Finland does not primarily obligate the principal but the education provider. It is the education provider's responsibility to establish conditions for and to evaluate enactment of statutory operations, rather than that of principals (Souri 2009). Due to the legislative allocation of responsibility, Finnish principals do not serve the State but education providers. As most education providers are municipalities, principals in an overriding manner serve municipalities. Municipalities also determine principals' duties in more detail in their standing orders, administrative regulations and rules of procedure (Local Government Act 365/1995).

Principals' qualifications comprise a higher university degree, the teaching qualifications in the relevant form of education, sufficient work experience in teaching assignments and a Certificate in Educational Administration or completion of a university programme in educational leadership (25 credits), which includes the Certificate in Educational Administration (Asetus opetustoimen henkilöstön kelpoisuusvaatimuksista 986/1998). There are no specific criteria for work experience, but applicants are as a general rule required having prior experience from supervisory duties. Most often principals are recruited from among teachers with quite a lot of experience (Taipale 2012).

According to the report by the National Board of Education (2013b), the university programme in educational leadership is regarded as sufficient education for principalship, but the Certificate of Educational Administration not. The in-service education of principals is evaluated to be fragmented and not supporting sustainable professional development.

The actor selecting the principal in the municipality is usually the municipal school board (77.1 %). Very few municipalities seem to have systematic training and career paths for principalship but search for principals through open application procedures (83.8 %). Selectors particularly seem to emphasise applicants' formal

qualifications, education, leadership qualities, experience and personality in the selection process (Kanervio and Risku 2009).

The detailed job description of the principal is determined by the education provider, most often in the municipal ordinance. According to the report by the National Board of Education (2013a, b), the job description varies significantly from school to school in accordance with the school size and form, education provider and employment relationship. Today also the profile of the school, multiculturalism and multi-professional collaboration affect principals' job descriptions. The basic task of the principal is, however, quite similar in all schools and comprise of pedagogical leadership and general management.

Research Methodology

The present study is a meta-analysis of research on principals in Finland in the 2000s. The core of the meta-analysis is the review by Risku and Kanervio (2011) for the Swedish Academy (see Johansson 2011). That review attempted to cover all that had been studied concerning principals in Finland through doctoral and regular studies in 2000–2010. The review by Risku and Kanervio (2011) could identify and study almost 30 doctoral and 20 regular studies on principalship. On the basis of the studies, an attempt to describe the formal position, context, work and identity of principals was made. It was also those topics that were raised in the examined studies.

Another essential source for the present meta-analysis is the report by Alava et al. (2012) for the Finnish National Board of Education. It used the data collected for the review by Risku and Kanervio (2011) as a starting point and connected the data with other domestic and international studies. The focus of the report became to be on change, which on the basis of the examined studies seemed to characterise principalship in Finland. The report could also end up with a theory construction. It turned out that both Finnish schools and the whole Finnish education system would be in great demand of a novel form of pedagogical leadership to meet the challenges facing it. The authors named the new approach as the broad pedagogical leadership theory. It emphasises leading organisational learning as a new form of pedagogical leadership.

Furthermore, four other studies for the Finnish National Board of Education proved to be worthwhile for the present meta-analysis. The first one is an international survey on school leader's work and continuing education by Taipale (2012). It examined the qualifications, work and education of principals in 15 countries all over the world, including Finland. The second one is Honkanen's (2012) memorandum which attempted to supplement the report by Alava et al. (2012). The memorandum includes among others essential statistical information on principals and interesting findings of Finnish school leadership in PISA surveys. The third study is a survey by Fountain Park (Valtari and Lähdetniemi 2013) on the challenges in the educational leadership of local provisions of education and schools. The survey

collected the perceptions of 621 teachers, assistant principals, principals, superintendents and trustees. The fourth and last one is a report by a working group reforming the job description, education and qualifications of principals for the National Board of Education (2013b). It is also essential to note the report by Souri (2009) for the Finnish Principals' Association. It provided invaluable information for the examination of the role of the Finnish principal.

Principal's Role

As stated in the previous section, change in the principal's role seems to have been a common theme for several studies on principalship in Finland in the 2000s. Few studies have, however, focused on examining the change as such. In most cases, the examination has been embedded in the introductory or concluding parts of the studies. These examinations appear to have a very uniform perception: the Finnish principal's role has altered radically during the last two decades. As Aho et al. (2006, p. 119) describe:

> The role of school principals also has dramatically changed since 1990. Principals are not only the educational leaders of their schools but managers who are responsible for financing, personnel, and the results of their institutions. Previously, a school principal was an experienced, senior teacher who was promoted for good service to education. Today's school principal must be a qualified leader who understands education development and has solid management skills to lead a school. Selection of new school principals is often based on procedures more typical of the private sector, with interviews and psychological tests to confirm the suitability of the candidate. The top requirement for the position of principal is teacher-education and experience.

The reason for the radical change in the principal's role fundamentally seems to derive from the societal changes that took place in Finland in the 1990s. Prior to the 1990s, the Finnish society was led by the State's system-oriented and centralised governance. In that governance, principals were mainly expected to be administrators implementing decisions and instructions and reporting on the implementation. In the 1990s, administration was extensively decentralised, and municipalities obtained constitutional autonomy. That process also affected the role of the principal dramatically. Principals are no longer merely head teachers but both general and pedagogical leaders of their schools. Principalship must today be regarded as a profession of its own (Alava et al. 2012; Johnson 2005; Mustonen 2003; Pesonen 2009; Pulkkinen 2011; Risku 2011; Risku and Kanervio 2011; Taipale 2005, 2012).

In 1998 the Finnish education system was streamlined through an extensive aggregation of legislation. In the aggregation the separate 23 acts were compiled into six, one for each school form. The new acts no longer include decrees to arrange municipal provisions of education or task lists to determine principals' role more precisely. Concerning principals, legislation merely states that every school must have a principal who is responsible for the operations of the school. Some more exact guidelines are provided by collective bargaining contracts, but mainly it is up

to the education provider, most often to the municipality, to determine the role of the principal in more detail (Souri 2009).

As a result of the decentralisation and the lack of detailed determinations of the principal's role, the job descriptions of the Finnish principal seem to be both extensive and vary a lot. In international surveys Finnish principals appear as relatively independent actors (Taipale 2012). Being the ones responsible for all the operations of the school, they answer among others for the management of operations, human resources, quality and development of their schools.

Both the sizes of municipalities and schools vary a lot in Finland. In addition, because there are no national guidelines how to arrange local provisions of education, municipal organisations around schools are very different. What seems to be common is that most municipalities are small and without much staff thus providing principals only a little administrative and managerial support. It is noteworthy that about one fifth of superintendents work also as principals (Kanervio and Risku 2009). Besides, also most schools are small. There is not a lot of administrative or managerial personnel in schools either to support the work of the principal (Risku et al. 2015).

According to the recommendations of the National Board of Education (2013b), the role of the principal in Finland should be focused on broad pedagogical leadership (see Alava et al. 2012) emphasising distributed leadership and the communal learning of the school. Principals' job descriptions should include the leadership and management of the schools' upbringing and teaching, development and change, administration, finance and personnel.

Principal's Work

As noted in the previous sections, the role of the principal has changed radically during the last two decades. Furthermore, the change includes a significant expansion of the principal's job description and that, both in the municipal and school level, there is little administrative and managerial personnel to support principals' work.

The change in the principal's role and the expansion of the job description seem to have had significant effects on principals' work in Finland. Johnson (2005) reports that 98 % of the 587 comprehensive and upper secondary principals that participated in the research arranged by the Finnish Principals' Association informed a major increase in their workloads. The principals also complained that it had become more and more difficult for them to outline their work.

What further seems to burden principals is the incongruence of demands and resources that has been growing since the 1990s. During the recession of the 1990s, the government transfer system was totally revised (Souri 2009). At the time when the comprehensive education system was implemented in the 1970s, the State covered for 70 % of the costs of basic education (Aho et al. 2006). At present,

government subsidies are estimated to cover 34 % of the costs of basic education; the rest is for the municipalities to pay (National Board of Education 2013a).

Research on the use of principals' time clearly shows that managerial tasks tend to fill Finnish principals' working time. According to Pesonen (2009), Finnish principals spend much more time managing issues (70 %) than leading people (30 %). Results by Karikoski (2009) support Pesonen's findings. According to Karikoski, principals spend more than half of their time conducting office chores, going through post and emails, signing papers, reading and writing, planning and checking things and dealing with miscellaneous everyday issues on the phone. Mäkelä (2007) identified four main task areas for Finnish principals. In his study, too, the most time-consuming task area was administration, which reserved 33 % of the working time. Almost as much time was spent on leading various kinds of networks (31 %). This was a new finding in the Finnish research on principals. About one fifth (22 %) of the time was used for human resources management. Only 14 % of the time could be spent on the pedagogical leadership of the school.

Besides the expansion of job descriptions and increase in workload, also the expectations towards principals seem to have grown (Honkanen 2012). In addition, the expectations seem to be very contradictory (Ahonen 2008; Vuohijoki 2006). The examinations of principals' use of time indicate that most of their time is spent on other issues than pedagogical leadership which is considered to be principals' main task area (see, e.g., National Board of Education 2013b).

As a result of the growing and contradictory pressures, decreasing resources and obscurity of principals' role, principals' occupational welfare seems to be at risk. According to Johnson (2005), principals' working days have become longer and can be over 50 h. Principals are of the opinion that their salaries do not correspond to their workload. In Vuohijoki's (2006) study 80 % of principals reported that they were over-stressed and almost half were ready to switch to another profession.

To be able to succeed in their work, Finnish principals need more time to concentrate on the development of their school and on the welfare of the people in their schools. In the Finnish context, distributed leadership and sharing of the workload inside schools have become more and more significant solutions for school leadership. This approach also allows the broader involvement in schools which the study by Alava et al. (2012) demands for schools to develop as learning communities.

The report by the National Board of Education (2013b) states that the job description of the principal should be determined in accordance to the leadership resources that support him/her in his/her work. Large schools should have leadership structures that enable delegation of leadership tasks, and also in small schools principals should have enough time for taking care of their leadership tasks. In all, school leadership and management should be based on distributed leadership. In order to achieve that goal, teachers' pre-service education should include leadership training, and there should be leadership training modules available for teachers to support them as their leadership roles expand during their careers. In addition, the employment relationships of personnel should be revised to correspond to the enactment of school leadership and management on the basis of distributed leadership.

Principal's Leadership

Many studies on principalship in Finland deal with the change of focus in Finnish principals' leadership (e.g., Ahonen 2008; Alava et al. 2012; Mäkelä 2007; Mustonen 2003; Pesonen 2009; Pulkkinen 2011; Raasumaa 2010; Risku and Kanervio 2011). The studies comprise at least two main sets of contradictory pressures for principals' leadership in Finland.

The first set concerns ethical leadership (Ahonen 2008; Alava et al. 2012; Pesonen 2009; Risku and Kanervio 2011; Souri 2009; Vuohijoki 2006). It basically deals with whom principals serve. Legislation obligates education providers to provide education according to legislation. Principals, on the other hand, are expected to serve education providers in their efforts to provide the required education. It does not seem to be rare that education providers expect principals to enact policies and actions which contradict or at least endanger providing education according to legislation. For example, will the principal implement the order to lay off teachers to save salary costs or refuse to do so to ensure that pupils get the education legislation guarantees them?

The second set of contradictory pressures deals with management and leadership, particularly pedagogical and distributed leadership (Alava et al. 2012). On one hand, schools are increasingly becoming autonomous profit centres responsible for managing and administrating their operations, and the principal has become the general manager of the school (Aho et al. 2006). On the other hand, the changing operational development requires learning and thus teaching to change radically in schools (Alava et al. 2012). The principal should be able to increasingly act as the pedagogical leader of the school and lead the learning of the school as an organisation (Alava et al. 2012; Mäkelä 2007; Pulkkinen 2011; Raasumaa 2010; see also Taipale 2004).

Research (Karikoski 2009; Mäkelä 2007; Pesonen 2009) shows that most of Finnish principals' time is spent on administration and management. According to Valtari and Lähdetniemi (2013), administration and management are also the areas where principals in Finland today evaluate themselves to require in-service training most. What schools seem to need more and more from their principals, however, is pedagogical and distributed leadership (Alava et al. 2012).

According to Raasumaa (2010), school today is conceived as a community where both adults and children are active learners and where everybody has the responsibility to learn. School must be seen as a community of learners. The trend of schools developing into learning organisations could be identified in Finland already in the 1990s (Pulkkinen 2011; Raasumaa 2010; Stålhammar 1996; Berg 1996).

The demand of change does not leave teachers intact. It is no longer enough that teachers master the contents of the subjects they teach. Teachers' role increasingly also has to include conscious future creation and leadership. It is the responsibility of principals to act as pedagogical leaders and support teachers in their professional development. The broadening and intensification of the principals' role as pedagogical leaders for teachers' professional development are not easy to accept to

Finnish teachers who have been used to a very autonomous status. In addition, leadership has not been part of teacher training in Finland. Teachers have to learn new kind of knowledge and skills and start acting in new ways. Neither is the new task easy for Finnish principals who always have a teacher's training and experience and who teach as principals, too. According to Hargreaves et al. (2008) the relationship between the principals and teachers in Finland seldom is hierarchical, and it is often difficult to recognise principals and teachers from each other in schools. It is not easy for principals to start acting as strong pedagogical leaders to their teachers.

Principalship has to be more and more understood as a profession of its own in Finland. The report by the National Board of Education (2013b) calls for personal development plans in leadership and management. The plans should have their start already in teacher education and continue as the leadership roles expand during the teacher career. Principals should have a sufficient pre-service education to principalship, and also they should have consistent and comprehensive in-service training which supports them in all the phases of their principal career.

Research on Principalship in Finland Compared to Corresponding Research in Other Countries

Finland is often seen as an outlier. It seems to be developing its society and education system very differently from most other countries. In addition, international surveys indicate that Finland has been very successful in developing its society and education system. Being an outlier and providing good results make Finland interesting in general and also considering school leadership. Thus, we hope that the present chapter will add to the international knowledge of leadership.

In the same way as in many other countries, domestic research on principals in Finland has been scarce. The meta-analysis by Risku and Kanervio (2011) could categorise only 4 % (28/661) of the doctoral studies in the field of education in Finland in the 2000s to deal with principalship. Alava et al. (2012) claim that educational leadership in Finland has been developed relying on international and mainly Anglo-American research due to the lack of the domestic one. The report calls for more research which would be constructed in accordance to the Finnish setting. When considering how Finland appears to be an outlier, the call can be regarded highly justified.

According to Alava et al. (2012) several universities in Finland seem to be conducting research on principalship, although some loci could be found as well. As a whole, the studies quite well represent the various geographical areas and school forms of Finland. Their methodological approaches are diverse but quite seldom solely quantitative. As a result, the number of participants is most often rather small. Despite the small numbers, the participants in most cases include besides principals also other members of the examined communities.

In practice all research on Finnish principals in one way or another seems to include change and development, which does not seem to depict research in many other countries as strongly. Because most schools in Finland are municipal, also the studies conducted in Finland tend to examine principalship in the municipal setting. This focus, too, may differ from that of international research. The third typical approach for Finnish principal research is the emphasis on distributed leadership. There one can find more correspondence with research in other countries as distributed leadership appears to gain more and more interest also internationally at the moment (Alava et al. 2012).

What Alava et al. (2012) suggest for future research themes in Finland, no surprise, include broad pedagogical leadership. They also argue for a fundamental change of scope and demand research to more deliberately take a future orientation. In addition, they claim that more emphasis should be given to the perceptions of pupils, students and parents.

Summary

According to research the most fundamental issue concerning Finnish principals during the last two decades is the change in the role of the principal. Today principalship is a profession of its own in Finland. The principal has become a real leader. The new role is much more demanding than that of the previous head teacher.

The standards of principalship are further increased by the growing needs and expectations of the operational environment. In addition, the decreasing resources and the contradictions of expectations make it more demanding to act as a principal. Also, both in the municipal and school level, there are often little personnel to support principals' work. Finally, because legislation does not determine the tasks of principals explicitly, it seems that principals' job descriptions have been and are expanding significantly.

The challenges that fall upon principals provide them also with much larger opportunities than before. The growing needs and expectations of the operational environment both strengthen and direct the work of schools. Schools are increasingly becoming future creators, building society. The mission of school as a future creator allows principals to lead and develop their schools to have a real impact on their pupils' and students' lives. The need to develop schools as learning communities offers principals an opportunity to collaborate more closely with teachers, pupils and students, having the focus on learning. Principals can be real pedagogical leaders.

The scarce resources and little administrative and managerial personnel force principals to make efficient use of all the resources they have available in their schools. Principals can no longer lead their schools alone. They have to distribute leadership. Distributing leadership provides principals with powerful leadership tools. Distributing leadership also allows the whole school community to possess involvement, ownership and empowerment, which further creates communality in the school.

Lack of detailed legislation may have expanded and obscured principals' role, but at the same time legislation allows education providers and schools more autonomy than before. This autonomy can be used to construct and develop local provisions and schools as organisations in ways that earlier were not possible. Principals thus have more opportunities to build and develop their schools as organisations than before. The autonomy allows distributing leadership and the construction of schools as communities of learners.

The radical change in the role of the Finnish principal can be seen both as a huge challenge and a promising opportunity. The challenge and opportunity also seem to be closely interrelated. What is evident is that principals' education in Finland must be developed so that all principals have the necessary knowledge and skills their new role requires. There has to be systematic pre- and in-service training that includes besides the traditional administration also management and leadership. Also teachers have to be given the opportunity to leadership training.

Besides principal education, principals have to be supported, so that their role is more explicitly outlined and so that their working conditions and resources better correspond to their expanding job descriptions. How well we succeed in supporting principals seems to be a key lever to develop school into the future creator we consider it to be in today's Finland.

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Chapter 5
Norway: Researching Norwegian Principals

Jorunn Møller

The purpose of this paper is to provide a review of research on principals' roles, work, and leadership conducted in a Norwegian context and how these studies may offer insight into the work of school principals more broadly.

Research on school leadership is recent in Norway, with the first studies on educational leadership taking place in the 1990s. However, the research interest intensified after the new millennium when new governance structures affected the roles and responsibilities of school principals.

Among the unique contributions of the many studies included in this review is a greater sensitivity to variations in organizational context and a greater focus on the identity and role of leadership. Most studies have qualitative designs that add to the knowledge base, but the studies are often guided by perspectives that are not revisited in subsequent studies, and as such, to some degree the research tends to be less cumulative. The international literature is, however, used to inform the research on school leadership in Norway, to create the warrant for the study in question, and to identify the contribution that the study will make.

So far, the empirical evidence of different forms of leadership remains limited, and a few studies have explored the effects of leadership on school and student outcomes and applied a quantitative approach. In addition, relatively few case studies are part of a bigger international research design or include mixed methods approaches.

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Introduction

School leadership became a key issue in the public debate when Norway was listed among the "lower-performing" countries according to "Programme for International Student Assessment" (PISA) and other international tests at the beginning of the new millennium. It was argued that each school needed ambitious and professional principals with positive attitudes toward change. Leadership was the vehicle for the modernization project in education, and leadership became the new panacea for school improvement (Møller 2009; Møller and Skedsmo 2013).

Although a distributed perspective on leadership is gaining ground in research (Spillane 2006), the international leadership literature has to a large degree been centered on the principal and may be criticized for focusing too much on personal capacities and, hence, obscuring the reality that a principal's work is embedded in wider social structures of power. The position as a school principal is a formal role, and that role is learned and fits into a larger social order with its own constructions (Møller 2012).

Research on school leadership in Norway dates from the 1990s but since 2000, there has been increasing interest and investment in research on educational leadership and management. Although small in number compared to the international community, and in particular compared to Anglo-Saxon research, Norwegian research studies on leadership may make a distinctive contribution. Norway has, for instance, during the last 10–15 years, invested in quite a few doctoral projects on school leadership. In these doctoral projects, the researchers define their own agenda, so the approach tends to be pluralistic and includes studies both for and about professional practice. Notably, this provides conditions that allow for drawing upon multiple theoretical frameworks, receiving inspiration from sociology, political sciences, critical theories, anthropology, and cross-disciplinary approaches to research on leadership. This is in contrast to England, where a research agenda for rather than about policy making seems dominant.

The purpose of this chapter is to provide a review of research about principals' roles, work, and leadership conducted in the Norwegian context during the twenty-first century. Attention is paid to what we know and do not know about leadership in Norwegian schools and how these studies may offer insight into the work of school principals more broadly. The individual leader is seldom the only unit of analysis in these studies; instead, the schools are conceptualized as interconnected organizations. To familiarize the readers with the Norwegian context, the paper starts by describing the country's school system and current challenges, as well as the role of the principal in the present school system. The next section outlines the parameters for the review and gives a sense of the volume of the research included in the review. Then, a thematic analysis of the research is provided, and I conclude the paper with recommendations for future research.

The Norwegian School System and Current Challenges

The Norwegian education system is predominantly public, which means that state authorities run most schools and universities. Education is free at all levels. There is no streaming according to ability, gender, or other factors, and more than 95 % of Norwegian students are enrolled in regular classes. This is based on the ideology that all children, irrespective of physical or mental disabilities or learning difficulties, should be integrated as much as possible into the ordinary school system. The population is dispersed, and many of the schools are quite small. In 2011, almost half of the students in compulsory education (46 %) went to schools with fewer than 300 students, but that percentage is decreasing every year, and many small schools have been closed during the last 5 years (The Norwegian Directorate of Education and Training 2011).

The structure of the school system entails 10 years of compulsory primary and lower secondary education and 3 years of optional upper secondary education. Children start attending school at age 6, and 90 % of all students stay in school until at least age 18. Findings based on a national representative survey, which included Norwegian headmasters' perceptions of student background and attainment, showed that the principals rated 78.1 % of their students' socioeconomic backgrounds as medium (middle class) and noted that 69.5 % had a supportive home educational environment. Only 9.1 % of the students were characterized as having a low socioeconomic background (Møller et al. 2006).

Due to recent migration, the student population in Norwegian schools is changing and becoming more multicultural and multilingual. The immigrant population is a heterogeneous group, including immigration from 208 different nations. Almost half of all immigrants come from Asia, Africa, or Latin America. The primary reasons for immigration are work, family reunion, or seeking refuge. In primary and lower secondary education, the term *students from language minorities* is used. This term refers to students who, for the short or the long term, need personalized instruction in Norwegian to participate in regular classes.

Equity has been recognized as one of the distinguishing features of the Norwegian education model. This ideology gave rise to the comprehensive education system, as well as to a public welfare system designed to guarantee help in difficult phases of life (e.g., illness, disablement, or temporary unemployment). There has also been a strong ideological tradition in Norway of emphasizing the role of educational institutions in creating civic society. In addition to preparing children to become able employees, schools should prepare children to play constructive roles in a democratic society. This implies that one of the main responsibilities of the school principal, the teachers, and all who work in schools is to focus on promoting equity and social justice in school as well as in the wider community (Møller 2006; Møller and Skedsmo 2013).

Since the end of the 1980s, the Norwegian education system has gone through a major reform, influenced largely by new managerialist ideas. Strategies to renew the public sector were promoted as new public management (NPM). The national quality assessment system (NQAS), which was introduced in 2006 in concert with the latest national curriculum reform, the knowledge promotion (K06), implies increased central regulation since it enables national authorities to retain some control over the output through measuring and evaluating educational outcomes. This can be described as a shift in the Norwegian education policy from the use of input-oriented policy instruments toward a more output-oriented policy. Information provided by NQAS offers a foundation for central policy development, coordination, and management (Skedsmo 2009).

> However, in most municipalities, teachers still enjoy considerable trust and autonomy, and the relationships between leaders and teachers are not very hierarchical in practice. Resilient unions have played important roles in negotiating work conditions for teachers. Recently, new constructions of teacher professionalism have been produced by both the government and the teachers' union, indicating contested ideas in a context of increasing technical accountability. Policy documents emphasize the need to control teachers' competence and results. In contrast, the teacher union highlights teachers' adoption of responsibility for the quality of education in schools. Although the union addresses aspects of teacher professionalism, it is not specific concerning alternatives to external control mechanisms. (Mausethagen and Granlund 2012)

The Principal and His/Her Role in Relation to Current National Policy

Norway has a long history of framing school leadership as *first among equals*. The term has been used to refer to the most senior member of a group of equals (peers). For many years, there was no specific training for principals, but only sporadic courses offered for in-service education. Therefore, school leadership was interpreted as dependent upon the inherent organizational talent of each individual person.

Since the early 1970s, national and regional authorities have encouraged in-service training for principals. From 1980 to 2000, broad national in-service programs supported such efforts. During that period, the dominant teacher unions strongly contested the need for formal, university-based preparation programs for school leaders. According to the unions, earlier experience as a teacher was a sufficient and substantial qualification for a position as principal. Furthermore, the unions argued for keeping this as a career path option for teachers. At the start of the new millennium, however, the situation changed completely, and the unions began to argue for formal education programs in leadership and management. In addition, several universities and colleges began to offer master's degree programs incorporating educational leadership (Møller and Ottesen 2011). This change is closely related to the debates following the launch of the first PISA reports. In policy docu-

ments, it was argued that teachers and school leaders needed to do better than before and be more able and willing (Møller 2007). Leadership and accountability became the dominant themes in Norwegian education. This trend intersects noticeably with policy agendas put forward by the OECD through the international *Improving School Leadership* project which highlighted the significance of school leadership in improving students' learning.

In 2009, the Norwegian Minister of Education and Research, influenced by the OECD project, launched a national education program for newly appointed principals. However, the program is not a mandatory requirement, and the local municipalities still play a key role in providing in-service training for teachers and school leaders.[1] Leadership responsibility at the municipal and county levels is shared between professional administrators and elected politicians. Through this bond, education is connected to broader community affairs. Today, municipalities are portrayed as the *owners* of the majority of schools; they finance schools and employ teachers.

Parameters for the Review of the Research

The studies for the review come from the following key sources. First, I have collected information on all Ph.D. dissertations on school leadership during the twenty-first century in Norway. I have identified 11 approved dissertations that illustrate school leadership as a phenomenon in different ways. The dissertations are concerned with the understanding of school leaders' experiences and practices, multicultural issues, middle management in upper secondary education, teachers' perceptions of leadership and accountability, and implications of new governance on leadership at the local school. One study was designed as an intervention study that aimed to investigate what happens when experts/researchers support schools and their school leaders in developing their practice. The majority of these studies have a qualitative approach, only one has a quantitative approach, and eight are written in Norwegian.[2]

Second, I searched the Norwegian research and publication links on the websites of organizations at the forefront of work with school leadership in Norway. Six universities and a couple of university colleges have profiled research on school

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[1] The 430 municipalities in Norway are responsible for the 10 years of compulsory education at the primary and lower secondary school levels. The municipalities vary in size as well as in the level of welfare.

[2] Currently, there are 15 ongoing Ph.D. projects that will be finalized within the next couple of years, all written in English. They are all within the format of an article-based dissertation, a format that has become more common during the last 5 years. It is argued that Ph.D. students should be encouraged to publish their findings in peer-reviewed journals as a strategy for increased internationalization of research conducted in the Norwegian context. An extended abstract will summarize and create unity based on the articles in the thesis. Five published papers that are rooted in these projects are included in this review.

leadership on their websites. The third source of literature comes from searches on the University of Oslo Library's databases for academic articles and books on principals and school leadership published between 2000 and 2012. I also used a version of snowball sampling, following colleagues' suggestions and citations (cf. Neumerksi 2013).

The actual search was guided by keywords and possible combinations of these keywords in Norwegian and in English to retrieve as many relevant studies as required, starting with obvious keywords such as "leadership," "principals," "power," "leadership practice," and "leadership roles." Since research on school leadership is a fairly young tradition in Norway and often linked to research on school development and governing more broadly, the keywords also included "school improvement," "school culture," "school context," "professional development," "professionalization," "educational reform," "governance," "accountability," "school audit," and "educational policy." As such, it was possible also to include studies in which principals have been studied more indirectly. In particular, I searched for studies that addressed how leadership was conducted and considered only primary and secondary schools.

This search, although not exhaustive, produced, in addition to the 11 dissertations, six monographs, a number of academic articles published in eight edited collections, and one special issue of a peer-reviewed journal focusing on educational leadership. The majority of these sources were published in Norwegian. In selecting material for this literature review, I have limited the inclusion of sources to published academic articles, books, or book chapters that include *empirical studies* on school leadership. Reports based on commissioned research funded by the Norwegian Directorate for Education and Training[3] or by the Norwegian Association of Local and Regional Authorities (KS) have not been included unless the findings have been published in peer-reviewed books or journals. Research quality has been the main basis for selecting work for this review, and even though the volume of research is small, the contribution to the field is significant.

In total, the review in this chapter covers 26 sources, of which 11 are approved doctoral dissertations. The studies are mainly funded by the Research Council of Norway or by the universities. With the exception of the International Successful School Principals Project (ISSPP), Leadership for Learning, and the Life History of School Principals, few studies contain comparative elements or close collaboration with colleagues from other countries. However, the Achieving School Accountability in Practice (ASAP) research project, funded by the Research Council of Norway, was wide ranging in its multilevel approach to understanding accountability in the Norwegian context and included many researchers. Although it may be challenging

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[3] There are commissioned reports that are of importance to understanding how Norwegian principals perceive and frame their roles. The Nordic Institute for Studies in Innovation (NIFU) has, for example, been commissioned by the Norwegian Directorate for Education and Training during the last 4 years to map school leaders' opinions of specific themes where evidence can support the formulation and monitoring of policy (Vibe and Hovdhaugen 2012). However, even though these reports indicate some trends in principals' understanding of responsibilities and challenges, they are mainly descriptive statistics and do not include more theoretical analysis of the findings.

to compare the effect of a lone Ph.D. project to that of an international project, the Norwegian Ph.D. projects are well funded and very competitive, allow for longitudinal observation studies, and provide excellent conditions for independent and peer-reviewed contribution to the field, not least when it comes to theorizing in the field of educational leadership and administration.

The next task was to identify patterns and trends in the selected studies in terms of thematic focus, research design, data sources, and study sites. Thematic focus embraces (a) the social construction of the position of school principals; (b) leadership, teaching, and learning; (c) identifying successful leadership; and (d) governing, leadership, and accountability. Due to the increasing diversity of student enrolment in the larger cities, leadership in multicultural schools has emerged as a subtheme. The majority of the studies are based on qualitative data sources. Compared with the framework developed by Gunter and Ribbins for conceptualizing the field in relation of knowledge claims (Gunter and Ribbins 2002; Gunter 2005), the focus and research design emphasize research for understanding meaning and experiences. Although all studies have mentioned implications for policy making based on the findings, this has not been defined as the main aim and purpose of the studies included in this review. The next section will present the findings. The relationship between leadership practice and context has been elaborated on and discussed in most of the studies, but in this article, I have chosen to categorize according to the theme that was at the forefront in the selected studies.

Research on Principals' Role, Work and Leadership During the Twenty-First Century

Social Constructions of the Position of School Principal

Three qualitative studies have elaborated on the social constructions of school leadership in a Norwegian context. They cover historical analysis of the shaping of the elementary school over a period of 250 years, life histories of school principals at different stages of career (veteran, mid-career, and newly appointed), and teachers' expectations of their school principals.

Homme's (2008) dissertation makes an important contribution to developing a broader understanding of the interplay of factors shaping the local school over time in Norway. The historical analysis is mainly based on written secondary sources, but the richness of the material drawing on research from several disciplines on both the history of the Norwegian school and of local government allows her to provide a fairly nuanced picture of the different twists and turns in the development of the local school in the interplay between local and national interests. In addition, she interviewed 41 informants, school principals included, working in the educational sector in four different Norwegian municipalities. She demonstrates that the principals occupy a key position in balancing professional and political governing and

how they construct their role differently. A main argument is that both national and local actors have been essential in the shaping of the elementary school and that school leaders' identities are shaped both by their institutional belonging to the school and the local community, by their identities as teachers, and by their more formal instructions as school principals.

A comparative study that aimed to investigate how principals framed their professional identities within different local and national contexts in Norway, Denmark, the UK, and Ireland was carried out at the beginning of the new millennium (Sugrue 2005). In this study, a life history approach was chosen, and 12 principals (early, mid-, and late career) from each country were interviewed about their career history. The findings across all four countries demonstrated that identities as school leaders are multiple, subjectively constructed, and change with context. Both the male and female principals in the study indicated that leadership, as a social practice, is an emotional practice, not just an intellectual rehearsal. Purpose and commitment are vital. The Norwegian principals within this study find great latitude for pursuing their visions and ideas. Their core knowledge base is to some degree rooted in teacher education, but it is based mainly on their local experiences. Comparing different stages of career, the veterans, in contrast to newly appointed heads, appeared less influenced by external accountability. It looked like their basic beliefs drove their actions despite the turmoil of what was going on other places. It could be framed as "keeping in touch with the kids." The mid-career and early-career principals, on the other hand, told stories about establishing professional accountability, but they, too, wanted to retain the kind of psychological rewards they received as teachers. This study showed that the discourses of leadership and accountability at the municipal level have changed, guided by global trends, but at the school level, external accountability has more the status of "anticipated future" (Møller 2004).

The social construction of Norwegian leadership may also be illuminated by exploring the expectations of teachers for their school principal, the principals' responses to these expectations, and how these expectations are related to changing conditions around schools at the macro level. This is the theme of Myhre's (2010) Ph.D. project. The data in this project were gathered through case studies of three schools. Core methods include the observation of interaction between principals and teachers and interviews with principals and teachers. The study showed that the teachers' expectations first and foremost are rooted in a collective autonomy. As a result of the complex society surrounding schools today, the teachers seem less able to sort external pressures on their own. Therefore, they want leaders who are able to help them interpret the external demands placed upon the school and may help them prioritize. The teachers expect the principal to be both a link to the environment and a coordinator of a single school. A main argument is that the principal gains legitimacy if the teachers also get the opportunity to both discuss and transform the external impulses and demands in relation to their own context.

Leadership, Teaching, and Learning

Currently, there is great interest in the links between leadership, teaching, and student learning. It has been argued that the more leaders focus on their relationships and their learning on the core business of teaching and learning, the greater their influence is on student outcomes (Robinson et al. 2008). Twelve studies have been included in this category, and the majority includes elements of intervention or action research design. Three studies are positioned within cultural-historical activity theory (CHAT), and two studies are exclusively based on quantitative approaches.

An international action research project, Leadership for Learning, involved researchers from seven countries. The focus of the project was on the role of school leadership in creating a stimulating learning environment (MacBeath and Dempster 2009). Three schools in each country participated in the project, which was concerned with inquiring into and supporting the development of leadership and learning practices. In this sense, the project was an extended exercise in school development as well as a research undertaking. A centerpiece of the collaboration with the schools was mutual reflection on actions. The analysis across the three Norwegian schools that participated in the project revealed a close connection between the school culture, the understanding and manifestation of leadership, and the scope of actions for both principals and teachers (Møller 2008). The principals tried to balance the varying expectations of leadership held by the teachers, the students, and the families with whom they worked. Obviously, they had different social and cultural conditions to deal with in their local community, but they also had diverse ways of dealing with disagreement and conflict. As such, the study provides an example of how principals have the power to set the tone and the agenda for school development even though leadership practice is an interactive process involving many people. A main argument is that in constructing stories about leadership for learning, the principals are also negotiating who they are for others as well as for themselves. Their stories are embedded in a cultural notion of the school as a hierarchical organization in which leadership is thought of as crucial and associated with role and authority (Møller 2009).

Leadership for learning and the development of professional communities among school leaders and teachers were also themes of a Ph.D. project published in 2009 (Aas 2009). The study aimed to investigate what happened when reading experts/researchers supported seven schools and school leaders in developing reading education for students. The participants were introduced to new methods and ideas through seminars and school conversations. The theoretical framework was cultural-historical activity theory. By following the collective discourses from the seminars to schools, Aas examined how and why the talk established the foundation for action. The findings demonstrated how tensions and contradictions provided potential as well as obstacles in developmental processes and how "everything was connected to everything." It implied that developing reading education for students meant developing the entire school organization. Aas argued that leading for learning is a challenging mission for school principals. School leaders are expected to handle conflict and disagreement in such a way that expansive learning will be the

result. Mutual trust and respect seem to be at the core to establish legitimacy for improvement strategies; it creates the necessary conditions and mobilizes people to action and collaboration.

In a small-scale follow-up study of a research and development work project with school leaders and teachers in a lower secondary school, the purpose was to understand how the practitioners framed their learning during the project and how they experienced the situation with regard to development work about 2 years after the project had ended (Postholm 2011). The analysis was based on interviews with the principal, deputies, and a team of teachers. In addition, data were collected by asking the teachers to fill out a questionnaire. The study showed that teachers wanted to observe each other's practice directed by a common focus and to use the observed practice to reflect on and improve their teaching practice. Also, it was demonstrated that teachers preferred continuity with regard to the focus in development work.

The empirical setting for another intervention study was a medium-sized upper secondary school just outside Oslo. Helstad's Ph.D. study examined processes of knowledge creation among an interdisciplinary group of teachers who collaborated with university experts over 2 years to develop professional knowledge about writing in and across school subjects. Leadership as relational work is traced in interactions between a principal and the teachers operating within the context of the school improvement project (Helstad 2013). The analysis was mainly based on observations of meetings, and a sociocultural perspective was applied in the analysis. Special attention was paid to how the teachers and leaders made use of the resources and how the participants positioned themselves and others through negotiations of content and conditions in meetings. The study revealed the dynamic relations surrounding the division of labor and authority in schools and the various coping strategies of professionals as they handled emerging tensions related to leadership. The importance of dedicated and visible leadership that is both supportive and challenging of teachers' practice was well documented in the material. It has been argued that even though principals have the formal right to interfere in teachers' work and principals are vested with power that includes means of compulsion and reward, indirect strategies, such as building trust over time and searching for productive ways to collaborate, may turn out to be more effective in achieving goals in the long run (Helstad and Møller 2013).

Jensen's (2014) Ph.D. study sought to examine leadership development in an interprofessional school improvement team. The project was designed as a qualitative study stretched over 2 years where the empirical setting was a local school improvement project in a municipality that included collaboration between researchers and practitioners. It rested partly on ethnographic fieldwork, with a focus on the work of the project team, and partly on interaction analyses of specific events in these meetings. Cultural-historical activity theory (CHAT) framed the analysis. The overall findings suggested that collaboration between leaders in interprofessional settings did not necessarily foster work on shared objects. In contrast, the launch of such collaborative work was characterized as a struggle with ill-defined objects. However, the introduction and use of tools such as video clips of teaching practices

mediated and structured the processes of learning over time and influenced the boundary work in the team. It seems fair to assume that the result of the engagement is that the principals developed an increased collective awareness of questions related to pedagogical questions (Jensen and Møller 2013).

Schools and school leaders do not operate in a void, and leadership is embedded in organizational activities. This was a point of departure in a study (Vennebo and Ottesen 2012) that focused on the ways in which leadership works as a dynamic interplay between actors, the tools in use, and expectations and values embedded in the organizational setting. The study analyzed the proceedings of a team of school leaders in a lower secondary school as it strove to transform the school's assessment practices by implementing digital portfolios. Cultural-historical activity theory (CHAT) framed the analysis. The study demonstrated how leadership is an emergent property, played out as complex chains of actions. The principal cannot rely on formal position; it is the outcome of the interactions that determine the trajectory of an activity, even if the principal makes the final decision.

Talk is a key tool for leadership in schools, and this was the focus of a small-scale project which aimed to explore how ICT was used in the development of teaching and learning practices (Ottesen 2011). The empirical context for the article was school development projects in two schools. The analysis showed how the project, its aims, and work processes were redefined through the talk in the project team as initiatives and agency fluctuated among participants and how the group shaped and reshaped its understanding of the school's practices and the project's development. The different perspectives and contributions of the principals and teachers generated a dynamic project trajectory when resistance, power, and influence were at play. Ottesen argued that school leaders have a moral responsibility both to be responsive to the voices of others and to reformulate the "landscape" that constitutes and gives form and direction to development work.

The main purpose of Paulsen's (2008) Ph.D. thesis was to illuminate how adaptive learning was managed in an educational context characterized by strong dependency on external environments. Paulsen chose a case study-oriented research strategy, and the study built on the premise of school organizations as loosely coupled systems. Empirical cases were drawn from the field of vocational upper secondary schools in Norway. The findings show that vocational training institutions operate in fragmented external environments. Fragmentation means that school professionals depend on and must relate to several different domains in their environments: local working life, the state directorate, regional governance, and stakeholders of the teacher professions. The study demonstrates how middle managers play a crucial role as mediators between the schools' technical cores and external stakeholders. They also function as brokers between loosely coupled internal subunits.

Another Ph.D. study, based on an analysis of interview data and policy documents, aimed to explore leadership and multicultural issues in two upper secondary schools (Andersen and Ottesen 2011). Intercultural education and inclusive leadership provided theoretical lenses for investigating how certain values and presuppositions were normalized within the schools and how they manifested in visions, plans, and practice. The results from this study indicated a monocultural approach

to teaching and learning. Although the school leaders expressed concern for students from linguistic and ethnic minority groups, this did not translate into explicit strategies for inclusion. To a large extent, access depended on the students' proficiency in Norwegian. It was argued that the school and the senior management team seemed to lack the competence and experience that would enable them to recognize and address the specific challenges of students from linguistic and ethnic minority groups.

Many of the research projects financed through the PRAKSISFOU national research program have chosen action research as their research design. The Learning and Leading in Communities of Practice project explored how leaders within the educational sector may develop new knowledge through dialogue conferences and networks. A dialogue conference is a form of communicative space where people can hold structured discussions with the aim of understanding and developing their respective fields. In this project, more than 130 heads of schools and kindergartens participated in such dialogue conferences. The project showed that these types of conferences create a good structure for managing reform work in schools and kindergartens. Collective knowledge is developed when school leaders contribute with their individual interpretations of and approaches to reform work. The project also shows that these conferences may contribute to the development of schools and kindergartens through municipal and regional collaborations by providing structures for knowledge development across schools and institutions (Lund et al. 2010).

Research on how teachers view principals' roles, work, or leadership may also offer insight into principalship in a Norwegian context. Some studies have mapped teachers' perception of what their principal is doing, while others have focused on teachers' expectations or on the relationship between teachers' motivation and school leadership. Imsen (2004) explored the extent to which the principal intervenes in the schools' inner life. A survey of teachers and classroom observations were the basis for the analysis. The study showed a strong correlation between leadership and the schools' orientation toward development and change and concludes that the principal has a great influence on the school culture. The researcher also identified a significant correlation between the quality of leadership and the school's way of organizing teaching and learning activities. Traditional schedules divided by subject were the most common one in schools with weak leadership, whereas open forms of schedules were used more in schools with strong leadership. However, regarding the relation between the teachers' activities in the classroom and the leaders' role, the attitude may be described as accepted zones of influence (i.e., principals do not interfere with teaching and teachers do not interfere with administration).

Another approach to mapping teachers' perceptions of relationships in schools was adopted by Elstad et al. (2011) who used social exchange theory as a theoretical explanation for organizational citizenship behavior, defined as teachers' motivation to go above and beyond their formal responsibilities. The study was based on the assumption that the teachers' perception of social and economic exchange may mediate the relationship between the leaders and organizational citizenship behavior; hence, it was vital to examine the nature of exchanges in the organization. Two

hundred and thirty-four secondary teachers responded to a cross-sectional survey that tested a model rooted in a combination of Bryk and Schneider's theory on trust and literature on employee-organization relationships. A main argument is that this kind of behavior is a key factor in school improvement because there seems to be a strong relationship between teachers' motivation to work hard, smart, and responsibly on the one hand and higher learning outcomes for students on the other hand. Since relational trust between heads and teachers culminates in social exchanges within the principal-teacher role set, mapping teachers' perceptions in this way captured important dimension in principals' work. The study provided strong support for the importance of principal-teacher trust for social exchange and indirectly for organizational citizenship behaviors and concluded that the quality of human relationships between teachers and principals is an important resource in school improvement work.

During the last 10 years, there has been increased awareness of bullying in schools. A study that evaluated a school-based social competence program on the promotion of social skills and the prevention of bullying suggested that the principals are crucial to the success of the improvement program (Larsen 2005). The findings were based on interviews with four principals and 17 teachers at four primary schools. The results suggested that the principals needed to use leadership and management strategies, addressing teachers' predisposing factors, securing the alignment of their staff, articulating a direction for the future, and monitoring teachers' use of the program.

Identifying Successful Leadership

The International Successful School Principalship Project (ISSPP), which aimed at identifying the qualities and the characteristics of successful leadership practice in elementary and secondary schools (Day and Leithwood 2007) and in which 12 Norwegian schools participated, provided extensive data about principals' experiences and practices (Møller et al. 2007). Six researchers and two Ph.D. students collaborated in the Norwegian part of the study. The methodological approach was the multisite case study method. In addition, a survey, in which the themes were derived from the case studies, was conducted in 2005 (Møller et al. 2006; Skedsmo 2009). The Norwegian team selected schools that had received public recognition by the Ministry of Education and Research based on the schools' efforts to improve the learning environment.[4] The findings demonstrated that leadership in the Norwegian schools was almost entirely characterized by collaboration and team efforts. Second, the learning-centered approach was the focal point for the schools' philosophy as well as for their practice. The teacher-student relationship was characterized by mutual respect, and the fostering of a stimulating learning environment

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[4]The Norwegian team could not select schools based on their academic performance and had to use a different set of criteria for selecting the cases because there were no public test results or inspection reports to base choices of successful principals when this project started in 2003.

was a main concern in the schools. Respect for the individual student and colleague in building professional communities of practice seemed to be a basic value and a guiding norm of conduct. Both the leadership team and the teachers were working hard to fulfill a mission based on democratic values.

Two Ph.D. projects were part of the ISSPP in Norway (Presthus 2010; Vedøy 2008). This allowed for more extensive observation data and added a lot to the analyses of the Norwegian data, and these projects also made a significant contribution to the international project as a whole. Presthus (2010) chose to shadow three of these successful school principals over 5 weeks at each site to understand how they framed their experiences, how they negotiated the culture of schooling, and how they tried to meet institutional expectations. In addition to shadowing, interviews with these principals were conducted, asking them to comment on what had been observed. The Ph.D. thesis demonstrated that the daily work of the principals was characterized by busy activities and that the principals invested both their intellect and their emotions in their daily work. At first, their activities seemed very fragmented, ad hoc oriented, and characterized by brevity and discontinuity, but over time, it was possible to identify well-defined intentions behind their work. Overall, the analysis showed four main dimensions that constituted their leadership of educational activities: a structural dimension, a personal dimension, an ethical dimension, and a deliberative dimension.

Vedøy (2008) explored how leadership was practiced in multicultural schools and how this practice could be understood in light of a democratic perspective on leadership. In the first part of the study, formal leaders in eight compulsory schools, recognized as successful by authorities, were interviewed, both as teams and individually. The interviews were analyzed to explore which discourses formal leaders chose in discussions of minority pupils' education. The study indicated that three discourses were in play: a formal, a compensatory, and a participatory discourse. The principals also placed themselves within three different discourses concerning ethical rationality for leadership of education: an administrative discourse, a discourse of care, and a discourse of justice. In the second part, two of the schools from the interview sessions were chosen for a case study that in addition to group interviews with teachers, minority students, and their parents included observations in the classroom and shadowing of the leaders for 5 weeks. The interaction and management practices were analyzed from a critical theory angle. The dissertation pointed to which social dilemmas may appear in proportion to the leadership and values in a multicultural school. A main argument was that the principal seemed to play a pivotal role in including all stakeholders in work toward democratic schooling. A caring approach through a focus on possibilities and respect, not on deficits, is crucial (Vedøy and Møller 2007).

In revisiting three of these successful schools, of which one was multicultural (Møller et al. 2009), the main findings demonstrated, despite the new expectations raised for schools in society, a situation of continuity at the local school. Their work was characterized by a blend of human, professional, and civic concerns, and their intentions have been and still are to cultivate an environment for learning that is humanly fulfilling and socially responsible. In these schools, the learning-centered

approach we identified earlier was sustained during the 5 years, and all principals focused on multiple ways of influencing staff motivation, commitment, and working conditions. The continuity of success is reflected in the principals' capacity to promote good relationships among the staff members, and the moral imperative of developing the whole child was still at the forefront. A common characteristic was equity and social justice as a personal commitment, an ethic of care, and a concern for the common good. All three principals presented themselves as persistent, resilient, and optimistic. They were not dictated by the shifting political contexts in which they worked, but they demonstrated to some degree responsiveness to this context. However, they reported on their struggle to sustain and promote equity and social justice in an age of increasing competition and managerial accountability.

The Relationship Between Governing, Leadership, and Accountability

Recently, there has been increased awareness of the roles of municipalities as "school owners" and as political agents in education. There is also evidence that extended tasks and responsibilities at the municipal and county levels have been delegated to the principals and that leaders at the school level experience increased pressure to perform bureaucratic tasks, such as reporting (Engeland et al. 2008). Accountability has become an important concept, if not the most important concept of school policy in many places around the world. Less than 10 years ago, the supervision of Norwegian schools was based on extensive central planning (directing the input) and less focus on results (the output). This stands in clear contrast to the USA, which has a long tradition of measuring performance in schools. The Achieving School Accountability in Practice (ASAP) research project, funded by the Research Council of Norway, took a closer look at what happened in Norwegian schools when they had more freedom to supervise the input themselves, while school performance on the other hand was subject to rigorous control (Langfeldt et al. 2008). ASAP implied collaboration across four Norwegian universities and colleges, and many researchers have been involved. In addition, a number of different methodological approaches were used: textual analysis of policy documents, curricula, etc.; interviews with senior management at the national and municipal levels, as well as with school principals, teachers, and students; and observation, questionnaires, and mapping. Two of the subprojects are included in this review.

Since Norway introduced tests and other types of measurements, the press, with a negative bias, has placed the spotlight on those schools that have performed badly in attainment measurements. The press has reconstructed from public sources "league tables" of aggregated student achievement, but at present, the official position opposes the public ranking of schools. Elstad (2009) published a study showing that, with the exception of Oslo, there are almost no controls at present that have direct consequences for school leaders, and it is also difficult to identify tough consequences at the local level. It is the counties and municipalities that are legally responsible for quality, but the extent to which assessment systems are in place varies from one school governing body to another. However, the media continues to

blame poorly performing schools, and this spotlight brings with it heightened levels of stress inside the schools.

Roald's (2010) dissertation was connected to the ASAP project, and his study focused on how schools and school owners collaborated on questions of quality assurance in a national system based on management by objectives, performance management, and accountability. The main findings showed a marked division between unsystematic, systematic, and systemic features of quality work. Schools and municipalities that emphasized the systemic approach developed larger organizational learning capacities than those choosing an unsystematic or systematic approach to quality assessment. Additionally, the study showed that the assessment work seems to function productively when an assessment culture is created from below throughout the municipal school system. Roald pointed out that the assessment information in itself does not lead to new understanding or active development work. Unless data are presented in ways that provide collective insight and commitment, increased availability of information can actually be counterproductive.

Skedsmo's (2009) dissertation explored how national school authorities have developed new tools to regulate and renew comprehensive education and the linkage between the national evaluation policy and principals' perceptions of evaluation tools and new accountability forms. The approach applied in this thesis included text analysis of policy documents during the last 20 years and quantitative analysis of data from a national survey conducted among school principals in Norway. Structural equation modeling was used to analyze the survey data. One of the main elements in the new toolkit is NQAS which was introduced in 2006. This system consists of various evaluation tools, such as standardized tests, diagnostic tests, which create new expectations for schools and principals. The question is how and to what extent governing structures and processes have developed and transformed through the introduction of NQAS in Norwegian education. The increased focus on outcomes in education policies since 2006 was reflected to a certain degree in principals' perceptions. However, how the principals conceptualized the purposes of different tools and functions of evaluation showed a more nuanced picture. According to the principals' perceptions, certain tools introduced as part of NQAS represent an administrative-oriented evaluation system that is only loosely connected to tools used in classroom practices to improve student learning. A main argument is that advanced evaluation tools and techniques can never replace professional judgments. Professional perspectives are essential in the processes of analyzing and interpreting evaluation results as well as judgments related to implications for policy and practice.

Building on the findings of Skedsmo's doctoral thesis, a more recent study investigated how ideas connected to NPM reforms have been introduced and interpreted in the Norwegian education sector (Møller and Skedsmo 2013). Based on studies of selected policy documents from the last two decades, three areas of discursive struggle were identified. The first one was linked to ideologies and the national history of schooling, the second to contested issues of teacher professionalism, and the third with strategies for modernizing and improving education. While NPM reforms aim at reducing bureaucracy and making governing more effective and efficient, those

who work in the education sector, at both the school and the municipal levels, have experienced an increase in bureaucracy.

Another research project explored how accountability and transparency reforms affected teacher autonomy in Norway and Sweden (Helgøy and Homme 2007). The study was based on interviews with teachers and principals in two large municipalities in Norway and Sweden. Approximately 70 teachers and principals at seven schools were interviewed over a 1-year period from spring 2005 to spring 2006. While both Norway and Sweden have decentralized and devolved school governance to the local level, Sweden has done so to a larger degree than Norway. The authors argued that the strong central regulations in Norway have limited individual teacher autonomy. However, even with weakened individual autonomy, Norwegian teachers, in contrast to Swedish teachers, still have a strong influence on national policy processes. This means that Norwegian teachers still are quite autonomous at the collective level.

A dissertation on how teachers construct and negotiate professionalism under increasing accountability (Mausethagen 2013) is also relevant for understanding the work of school leaders, though in a more indirect way because it highlights how teacher professionalism is reconstructed in national policy and how teachers respond to accountability policies. Such responses will probably influence the principal's room to maneuver. The empirical data consists of white papers, policy documents from the union, participant observation of teacher meetings, focus group interviews, and individual interviews with teachers. The study documented shifts in the discourse of teacher professionalism among policy-makers and the teachers' union. Both the union and the teachers locally engage in forms of resistance toward external control, such as national testing. On the one hand, teachers have become more concerned with evidence and justifying practice. On the other hand, they are more resistant in terms of the tools that are implemented to enhance outcomes. The study suggested possible interpretations of why teachers resist external accountability.

Sivesind and Bachmann (2011) in their recent research examined national inspection in education and the relationship between rule governing and professional judgment. The analysis was based on official documents and interviews with eight people at a state agency who conducted inspection in Norway in 2008. The study contributed with new knowledge on the changing interrelationship between state authorities and schools as a result of school auditing systems introduced in Norway in 2006. It also showed how state inspection raises different expectations to school principals in Norway and Sweden in the late 2000s. The authors argue that principals in both cases are expected to know the law and regulations to pursue their role as civil servants but cannot handle their professional leadership tasks without educational knowledge.

A small-scale study explored experiences with a new policy on work-time agreement (Irgens 2010). His study was based on interviews with school administrators and shop stewards at six schools. The regulation of working hours became the responsibility of the local school, and the agreement emphasized that teachers' work not only includes individual work, teaching, and time spent with the students but should also include time set aside for cooperation with colleagues, development

of individual competency, and cooperation with parents and external authorities. The study showed that the individual practice and the day-to-day running of the school were prioritized by teachers as well as the school principals, even though the locally regulated working time arrangements were supposed to give room for development work and cooperation. Irgens suggested that individual autonomy among teachers has a very strong position in Norwegian schools.

How schools use their mandated school-based evaluations and the role of the principal in determining the degree and type of use was the theme of a Ph.D. thesis by Emstad (2012). The primary source of data for the study was in-depth interviews with principals, teachers, and students at six primary schools. The study found no evidence of conflict between the external accountability and improvement purposes of the evaluation process. Rather, the school leadership had considerable discretion to shape the evaluation to suit their own purposes. A main argument was that leadership priority and type of facilitation were important determinants of how evaluation findings were used (Emstad and Robinson 2011).

In a 5-year study on the role of administration and institutions in the implementation of the latest educational reform in Norway, the role of school leadership was analyzed in particular. A comprehensive set of sources and data provided the basis: content analysis of key policy documents, interviews with key actors at different levels in the education system, national surveys sent out to the same target groups, and ten schools were selected for qualitative in-depth studies (Møller et al. 2013).[5] The findings demonstrated many tensions and ambiguities in governing processes, and the data indicated the multi-layered character of autonomy and control in school leadership. It is not a simple either/or position. For instance, the intended empowerment of teachers seemed to be undermined by lack of opportunities for in-service training, and the principals contributed only to a small degree to organizational support for capacity building. Lack of time for systematic reflection was highlighted as a major problem. On the one hand, the schools have found that their role is defined to carry out strategies and solutions defined by central authorities. Particularly in areas such as outcome-based accountability, the coordinating principle was characterized by top-down governing. On the other hand, they experienced ambiguous and weak governing when it comes to implementing basic skills in all subject areas. As such, there is leeway for professional agency in certain areas. The findings also demonstrated that reflection on experiences is the principals' preference to leadership training, and "best practice" was held as a basic principle.

Discussion and Concluding Remarks

Interest in research about and for leaders, engaging in leading, and exercising leadership grew rapidly in Norway at the turn of the century, not least because new governance structures affected the roles and responsibilities of school leaders. In

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[5] The data was collected for two periods, from 2007 to 2008 and 2010–2011.

this process, the European Union (EU) and the Organization for Economic Co-operation and Development (OECD) have played powerful roles in driving the educational policy. Teachers and school principals have become subject to pressure from governments to improve national rankings in mathematics, science, and reading, and the Research Council of Norway has provided funding for research.

Mapping and labeling the research field is challenging and is essentially an act of interpretation. In addition, as a reviewer, I have selected which literature to include and which to exclude based upon the guiding parameters for the review, and those decisions have shaped the conclusions from the review. When looking across all studies included in the review, four major themes emerged:

– The social construction of the position as school principals
– Leadership, teaching, and learning
– Identifying successful leadership
– Governing, leadership, and accountability

The researchers position their studies mainly within a category that may be labeled research for understanding (cf. Gunter 2005) through which historical work can explain the past and ethnographic work can examine culture as a context for leadership and principals' experiences (cf. Homme 2008; Møller 2005; Presthus 2010). Some of these studies have focused explicitly on understanding leadership in multicultural environments (Andersen and Ottesen 2011; Vedøy 2008). Closely related and partly overlapping is research on structure and processes through which functions and roles can be understood, and Norwegian studies include studies on the engagement of the principal in school evaluation (Emstad 2012), leadership as relational and distributed work (Helstad and Møller 2013), and the importance of social exchanges within the principal-teacher role set (Elstad et al. 2011). Increasingly, CHAT has been applied as a perspective to capture the complexity of leadership in school (Jensen and Møller 2013; Jensen 2014; Vennebo and Ottesen 2012; Aas 2009).

Other studies may be categorized as more policy-related research, where evidence can support the formulation and monitoring of policy, even though this was not the main aim of the study (Elstad 2009; Helgøy and Homme 2007; Langfeldt et al. 2008; Roald 2010; Sivesind and Bachmann 2011; Skedsmo 2009; Møller et al. 2013), or evaluative research where researchers focus on measuring the impact of principals on outcomes and undertake comparative analyses (Imsen 2004; Larsen 2005).

A few studies have highlighted that, even though the municipal organization and governance of schools have become framed within the discourse of new public management (NPM), with a focus on managerial accountability, effectiveness, and competition, there has been and still is a strong norm of noninterference in the teacher's classroom activities. Trust in teachers' work has long been a tacit dimension in principals' approach to leadership, establishing accepted zones of influence. In addition, schools are not, perhaps with the exception of schools in Oslo (Elstad 2009), under threat of sanction if exams' scores are low (Møller and Skedsmo 2013;

Skedsmo 2009). However, accountability policies also influence principals and teachers' work in a low-stake context such as the Norwegian (Mausethagen 2013).

Looking across the studies in this review, it is possible to identify some changes in how the work of school principals is portrayed. While principals 10 years ago had the option of paying little attention to managerial accountability (Møller 2005), the shift from the use of input-oriented policy instruments toward a more output-oriented policy is increasingly changing what may be referred to as dominant discourses around school leadership. The new constructions highlight the principal as a person with primary concern for pupil outcomes, excellence, and effectiveness, although the caring and democracy orientation is still part of the construction. Therefore, new elements have been added but also put at the forefront. At the same time, stable aspects of leadership, such as relational work and attending to the broader aims of education, are prominent in the findings across the different studies.

Research on leadership in the Norwegian context is very much influenced by leadership research undertaken in the English-speaking world. In particular, studies by Day, Fullan, Hallinger, Hargreaves, Leithwood, Robinson, Seashore Louis, Spillane, and Timperley have been frequently cited in the reported studies. The international literature is used to inform the research on school leadership in Norway and to create the warrant for the study in question and identify the contribution the study will make. Many international leadership studies in education focus on a single institutional role, and most often, there is a focus on the principals' role. This is also the case for some of the studies included in this review, but, in addition, the Norwegian studies also drew attention to how leadership evolves in school settings or how the dynamic between leadership and teaching plays out in context. A unique contribution of the many studies included in this review is greater sensitivity to variations in organizational context and a greater focus on leadership identity and leadership as the outcome of interactions. Quite a few studies have included extensive observation of leadership meetings, classroom practices, and the shadowing of principals. More often, there has been an awareness of the dynamics between district-level leadership and leadership provided by school leaders and the many sources of leadership in the education system. Thus, the studies have considered the web of interactions created by these sources and contributed to a more balanced understanding of the interplay between structure and agency. Emphasis on the enabling and constraining factors for enacting leadership in schools is crucial for pushing our understanding of school leadership influence further. As such, the reported studies have added to the international knowledge of leadership by putting such factors at the forefront. Increasingly, Norwegian studies on school leadership are also being published in recognized international journals, and some of them are connected to large international research projects (such as ISSPP).

So far, a few studies on school leadership conducted within a Norwegian context have added the element of student achievement data to their results. This implies that studies with a focus on the relationship between leadership and student outcomes have mainly been based on interview data about achievement. An exception might be a project at the Center for Economic Research at Norwegian University of

Science and Technology (NTNU), which has examined the relationship between governance, management, and performance in the Norwegian educational system. It started in 2009 and has utilized existing data to analyze whether governance systems are systematically related to local factors such as income, education, and political preferences. In addition, they have investigated whether and how governance systems have affected student performance using data from national tests and exams. The study draws upon principal-agent theory, and as such, it represents a different approach to understanding principalship compared to the studies included in this review. Up to now, the few publications based on this project have focused more broadly on the correlation between different forms of governance and student performance, not on the effect of principals' work.

In general, there is a need for more knowledge about the connections between school leadership, organization, resource use, and learning outcomes and about which administrative forms produce good results at the various levels within the educational system. In Norway, a few studies on school leadership have applied quantitative or mixed-method approaches to measure the correspondence between the work of school leaders and student outcomes. Further research should draw broadly from various methodologies to document both the construction of principalship and how principals, in collaboration with his or her leadership teams, can support and promote teaching and learning. At the same time, it is crucial to look for a diversity of learning outcomes rather than to focus only on achievement test scores in mathematics, science, and reading.

In addition, research on issues related to the legal aspects of education, i.e., the relationship between school leadership and the students' right to adequate learning conditions and the employees' rights to a safe and sound working environment, is limited. Welstad's (2011) study on how principals used school legislation to ensure the students' right to adequate learning is an exception.[6] This may also entail the legal aspects of the public administration of education and the consequences of international developments that Norway must take into account due to its membership of multinational organizations such as the EU.

Finally, I will underscore the need for more cross-national comparative research on principalship which is vital for extending the frontier of knowledge in the field of educational leadership and administration.

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[6] A project funded by the Research Council of Norway, focusing on legal standards and the professional judgment of school leaders (2012–2016), will add to this knowledge base in the future.

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Chapter 6
Sweden: Swedish School Leadership Research – An Important but Neglected Area

Helene Ärlestig, Olof Johansson, and Elisabet Nihlfors

Sweden is a democratic country with an established welfare system prioritizing education. The overall standard is good, and both preschool and adult education have a good reputation around the world. The education system is based on a broad mission with social and academic objectives and 16 different subjects in the compulsory school. Currently, 72 % of our 20-year-olds have an exam from upper secondary school. At the same time, we have during the last years faced declining results in international comparative studies.

Swedish researchers, politicians, school leaders, and teachers are interested in understanding education and its prerequisites and effects. In many of the studies as well as in political and public debate, actors frequently refer to Anglo-American research and perspectives. Sometimes decisions and reforms are based on research, and often the debates are strongly influenced by international trends and discussions. Recently, there has been an increased effort to make principals and teachers work more scientifically. The Swedish Research Council provides, as an example, research overviews on selected themes.

The Swedish School System: A Bird's-Eye View

Sweden has a centralized and decentralized school system. National decisions about education such as the Education Act, curricula, and subject syllabus apply to all schools. The municipality or independent school owner is responsible for resources

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and realization of the national mission as expressed in the abovementioned steering documents. The schools are well equipped and books as well as meals are free. Thirteen percent of students in compulsory schools and 26 % of students in secondary schools go to an independent school. There has been big change in governing of schools over time. Independent or what in Swedish are called free schools are run with state and municipal resources distributed via the municipality budget. The Swedish Schools Inspectorate handles the applications to run such schools and decides whether a school has the right to receive grants for its operation from the municipality.

Most children attend preschool. At the age of 6, children start preschool; after 1 year in preschool, they go through a 9-year compulsory school. Upper secondary schools have vocational and academic programs. Sweden has about 10,500 schools with 1.3 million students in compulsory and secondary school. The average school has about 195 students, so generally the schools are small. Even the secondary schools are small with an average number of 367 students. Variations between schools in size, processes, and results are increasing rapidly.

The parliament has legislative power, and the government implements the decisions of the parliament through national agencies and school owners, superintendents, principals, and teachers in the governing chain described in the steering documents. *The Education Act* defines which tasks school owners have and what demands are placed concerning the quality of their school operations, such as competence of staff and student learning. The law embraces the education of all children, young people, and adults. In Sweden, there are rules about compulsory school attendance and the right to education. The Education Act also covers regulations for independent schools.

The *curriculum* contains the objectives and guidelines for various operations. The curriculum also describes the fundamental values of each operation. There are three curricula, all determined by the government:

– Curriculum for preschool (1998/revised 2011)
– Curriculum for the compulsory school system, the preschool class, the leisure-time center, Sami school, and a school for physically impaired students and for students with intellectual disabilities (1994/revised 2008 and 2011)
– Curriculum for the non-compulsory school system, including upper secondary school, upper secondary school for students with intellectual disabilities, adult education, and adult education for people with intellectual disabilities (1994/revised 2008 and 2011)

The curriculum is complemented with the syllabus, which states the educational objectives and targets in various subjects.

Each year, all municipalities/public school owners, independent school owners, and county councils are required to assess the quality of their educational operations in a systematic manner. The *Swedish Schools Inspectorate* inspects a large number of schools every year. Over a 3-year period, all Swedish schools are inspected. The *National Agency for Education* carries out more general national follow-ups and evaluations.

During 1991–2012, several decisions have been taken in parliament regarding all parts of the school system, from preschool to adult education.

School Organizers

The organizer is the entity responsible for a certain educational program or operation, for example, preschool, leisure-time centers, compulsory school, upper secondary school, or adult education. The majority of schools is organized by the municipality with a school board and one or two superintendents. The Swedish school board consists of appointed politicians, and they represent the political parties in the municipal council in such a way that the school board has the same political majority as the municipal council. Schools operated by private persons, companies, or associations are called independent or free schools and also have a school board, but those boards consist of appointed private persons rather than elected persons.

Organizers' Responsibilities

Organizers shall run their operations based on objectives and frameworks established by the parliament and the government. Municipalities receive money from the parliament and from their own right to tax the inhabitants. The organizers have great freedom in determining how the operation is to be organized to achieve their objectives, for example, how resources shall be used, how the premises shall be designed, and how staff shall be employed. Regardless of how an organizer decides to run and organize the school, equivalent education for all children and students must be guaranteed.

Municipalities are to make sure that all children, students, and their parents are able to select their preschool or school regardless of the organizer and that everyone who requests a place and is entitled to it is offered one. School staff has great freedom to organize their work and to choose teaching methods as long as they correspond to national laws and policy. Education shall take place in cooperation with the children or students and their parents.

Principals' Role and Work

In Sweden there are about 8000 principals besides assistant principals and preschool managers. As mentioned earlier, many Swedish schools are small which means that sometimes a principal is responsible for more than one school or for one school and a preschool. The larger upper secondary schools can have several principals who are responsible for a number of the education programs as well as sharing responsibility for the whole school unit. It is seldom that principals also teach, even if most of them have an education and experience as teachers.

In Sweden, the Education Act specifically mentions principals' responsibility. The number of times when the principal is mentioned in the Education Act has

increased from 20 to 111 since the Education Act (2010:800) first passed. Even if the overall responsibility still rests on the municipality and the school owner, new regulations clarify the expectations for the individual principal.

The Education Act states principals need "pedagogical insight and experience." The school owner is responsible to employ principals, and the state contributes with their basic education. Since the 1960s, there has been a National Principal Training Program. Some principals have gone through voluntary recruitment training programs as teachers, but the national program starts when a person has acquired a position as a principal. The current national program is a 3-year mandatory program on advanced level, and every newly hired principal is expected to start the program during their first year in office. The program consists of three courses: school law and governance through authority, governing with objectives and results, and school leadership.

Swedish school leaders have by tradition worked closely with the teachers. Their work is to a high extent related to everyday issues and problem-solving (Brude Sundin 2007; Ludvigsson 2009). A long tradition of democracy and high-level teacher autonomy means that principals need to have good communications skills and the ability to build trust to govern their schools (Ärlestig 2008). During recent years, external evaluation of schools conducted by the Swedish School Inspection has increased. This has been appreciated by the principals as a free consultancy activity for quality control. They often recognize criticism, and the reports give them arguments to work for change toward the level above them and in relation to the teachers. But at the same time, high expectations for individual accountability have increased the pressure on principals from national political bodies, national agencies, and the municipality (Nihlfors and Johansson 2013). This increased quest for accountability can be traced to the decline of Swedish PISA ranking 2013. The declining results have especially been seen as a great problem at the national political level, while the local political and administrative level has a more relaxed view of the declining results and often claim that the municipality has good enough results in their schools.

According to the Education Act and the curricula, the principals' main task is to work as pedagogical leaders and head the administration of their school. That involves focus on the national objectives, to systematically follow and evaluate results and work toward improvement. One important part is to use and take responsibility for the school's inner organization which is stated in the Education Act that the principals are in charge of. Pedagogical leadership can be described as a mix of instructional leadership, democratic leadership, leadership for learning, and transformational leadership (Ärlestig and Törnsén 2014). Swedish principals have been criticized in inspections and evaluations for not doing enough classroom visits.

Even if reforms and a high degree of concrete demands from the national agencies affect the principals, there is still significant room in which to maneuver (Berg 2007, 2011). A challenge for many leaders is how to prioritize and use their time. Administrative tasks consist of meetings and engagement with individual students and their results. They are also responsible for resource allocation and personnel.

They set their teachers' salaries, and through individual conversations, they are involved in each teacher's competence development.

One of the new clarifications in the law is that education shall be based on research results and knowledge documented from experience. How principals' professionalism will be developed and balanced between a managerial role, which honors more economic perspectives, standards and accountability, and a research-based development pedagogical leadership role based on knowledge from theory, experience, and democratic values (Uljens et al. 2013), is an empirical question.

Selection, Method, and How We Have Structured the Chapter

Research about principals in the Swedish context has grown in recent decades. There are three research overviews of interest in this area; Ekholm and his colleagues (2000) focused on how principals' leadership changed in relation to societal changes. One of their conclusions in Swedish and international studies was that a strong principalship does not guarantee good student performance. The Nordic council also published a review (Johansson 2001) based on Swedish and international research. The conclusion was that the societal changes also had significant effects on how principals balanced between administration, effective resource management, and pedagogical goals; and many times the resource management was a too high priority. Johansson (ed. 2011) made an overview of Swedish research on principals between 2000 and 2010. The research overview also covers research about principals in another eight European countries. The second overview formed the basis for this chapter.

Even if research about principals is a minor topic compared to other research areas, we have here limited our overview to cover what was published between 2000 and 2013. This means that parts of what has been written about policy, political governance, and implementation will not be included unless *principal* is given as a keyword by the author. In our search, we have used the following keywords and titles: Sweden, principal, school leader, educational administration, school administration, *rektorer* (principals), *skolledare* (school leaders), and *skolledning* (school leadership). Further, our search is limited to Swedish authors in the Libris, Eric, Academic Search Elite, and SocINDEX databases.

The databases don't cover all journals, which means that articles published in lower-ranked academic journals are not included as well as reports appearing as part of various higher education institutions' own publications, governmental evaluations and research overviews, and books by foreign authors translated into Swedish.

In Sweden, work by doctoral students is an important part of basic research. Their theses are published as monographs or an aggregated thesis containing three–four peer-reviewed articles linked by a framework developing theory and method. To get a good view of what is studied about principals in a Swedish context, it is important to include dissertations besides books and peer-reviewed articles.

It is impossible to cover all published work in this chapter and where to draw the line has been a recurrent subject of discussion. Some articles and books lie on the borderline, making it difficult to determine what to exclude. We have more reports that build on statistics and are a mix between evaluation reports and research based on quantitative data that have been left out. It is impossible even if we limited the search to include all authors and publications written about principals. Based on our search, we have chosen authors, dissertations, and articles we know have received attention in Sweden, as well as pieces that show variation among the publications.

In this chapter, we have organized our findings under nine themes to give examples of the major findings and research design. The themes are policy, governance and inspection, principals' work and pedagogical leadership, gender and principalship, comparative studies, successful schools, values, communication, and ethics and social justice.

Research About Swedish Principals

Between 2000 and 2013, there were nearly 30 theses that focused on principals' work. The authors come from several disciplines, although education dominates. We have found around 100 articles published in scientific journals and a handful of textbooks. Most of the Swedish theses and articles are based on single cases and have a qualitative approach. The studies mainly cover leadership in compulsory school. Studies about leadership in preschools, secondary schools, and independent schools are lacking.

Policy, Governance, and Inspection

The governing of schools has undergone great change in the last two decades. Many educational reforms have been decided with student outcomes as one of the strongest driving forces. Some of the most frequent keywords in the political debate as well as in research include decentralization, recentralization, inspection and control, grading system and outcomes, legal rights, free choice of school, and independent schools, but in these studies, the keyword principal is seldom included. These changes affect relations between different levels in the governing chain. The government has changed from being primarily regulating in advance to emphasize evaluating. As a consequence of the shift in governance toward municipal responsibility and goal-outcome-related governance structures, principals have become more explicitly responsible for educational activities and school outcomes (Nihlfors and Johansson 2013).

The changes have taken place in a turbulent period of economic cuts (Nihlfors 2003; Wickström 2006), and it is obvious that one reason for recent decentralization was the need of cuts at the local level. Even if many decisions are decentralized, there is a strong national steering through ideology and control. The national level

addresses principals directly in the Education Act and the curricula (bypassing the municipality level) and gives them power to demand support from the municipality/local level (Nihlfors 2003). At the same time, this empowerment doesn't automatically mean enhanced local or school capacity. One example is the Educational Act of 2010, which emphasizes the pupil's legal rights but also has developed laws about principals' function and responsibilities. Rapp (2003, 2011) shows that there is no historical tradition of principals to work with legal issues; many principals have too little knowledge to guarantee the pupil's legal rights.

In Sweden student grades and inspection reports are public. International comparisions as PISA has increased the focus on quality and accountability and changed how schools are governed (Ozga et al. 2011). Changes in governance of schools, which is decentralized and highly centralized, have created a lack of trust between different school actors at all levels: politicians and professionals, school boards, superintendents, and principals (Nihlfors and Johansson 2013).

Principals' Work and Pedagogical Leadership

One of the first during this decade to write a dissertation about principals and thier work was Svedberg (2000). His dissertation adresses the role of the principal and sencemaking within the referential framework of social psychology. Since then changes in the governance of schools have affected the organizations at the local level (Wahlström 2002). Larger municipalities have more management levels and a higher variation in line formation. Organizational efficiency has, for the big cities and smaller municipalities far away from larger cities, become more important than educational motives (Styf 2012). Since 1998, the whole education system is regulated by different curricula, from preschools to adult education. Several municipalities therefore started in the late 1990s to create organizations covering the pupil's entire journey. One effect of that was that several principals became responsible for preschools and parts of primary schools. Only a decade later, the government decided to revise the curricula and to form a new Education Act, and the state determined that there had to be different management positions for preschool and elementary schools (Styf 2012). If and how this will affect the organization and the status of the principals for different school forms is an empirical question.

Berg (2007, 2011) identifies three governing forms due to societal changes in relation to political governance he called: core (rule governance), pulp (goal steering), and peel (result steering). Each has a distinct role for the principals: the chief executive official (core), the person responsible for operations (pulp), and a principal responsible for outcomes and operations (peel). All three have various degrees of freedom, where "pulp" provides the broadest scope for action. While Berg focuses on the importance of school culture, Svedberg (2000) argues for the importance of highlighting the emotional and relational aspect of the role of the principal. "The goal-directed discourse relates to a political will to effect change, the municipal discourse expresses a technologically rational and economic way of thinking, and the professional discourse reflects the need for everyday stability, all of which

creates a balance between and a compromise situation where vicarious changes constitute a 'solution'" (ibid, p. 202, our translation).

One task for principals is to create change and stability. Research indicated that the Swedish principals work with a bottom-up perspective. When principals want to influence teachers' interest in school development, they underpin teachers' suggestions and ideas so that the teachers perceive the proposals come from them rather than linking the proposals to implementing what is stipulated in the national governing documents. There is a risk that principals may be so familiar with the work and attitudes of their teachers they cannot dissociate themselves from the teacher's perspective sufficiently to be capable of leading and administer the organization (Hallerström 2006). Even though the principal is the formal leader, teachers also lead in various ways; leadership is coproduced (Ludvigsson 2009). In successful schools, the principals' view is more team based and activating than the views of principals of less successful schools (Björkman 2008). Interaction and cooperation are central when comparisons are made between what principals are expected to do due to policy documents and what they say they are doing (Leo 2010). Leo investigated whether there are specific professional norms for principals' leadership in terms of the democratic mission of schools. Lindberg (2011) focuses on the design of the role of the principal and how this impacts stress levels. When the principal's role includes significant economic responsibility and more space or less to maneuver, they experience role ambiguity, role conflict, and role overload differently.

Work as a principal is complex, and the prerequisites vary between different schools, school owners (municipalities or independent schools), and with the person's education and experience as well as with knowledge about the organization and governance.

Gender and Principalship

Gender marking at the organizational level is studied by Forsberg Kankkunen (2009). She finds that leaders in educational and caring administrations have poorer organizational preconditions for social interaction with superiors and politicians. They have more employees under them and less administrative support. The difference does not lie in men's and women's different ways of leading but rather in how the organization is set up. Brüde Sundin (2007) shows in her studies that the profession of school principal is gender coded as masculine, even though most principals today are women. The school leadership preferably takes place in interaction with others; relationships and meetings are a crucial part of a principal's everyday work and the emotional dimension is a significant aspect that affects how the principal acts. Everyday work is full of micro-political acts in which much of the principal's power is contingent on trust and confidence. In a study by Franzen (2006) building on interviews with teachers and principals, male principals who were viewed as sensitive to the views of others were seen as unclear, while female teachers identified female principals as supportive to a greater extent.

Söderberg Forslund (2009) identifies four gender discourses: the essential sexual difference discourse, the sameness discourse, the difference discourse, and a transgressive gender discourse where femininity and masculinity are available to female and male principals' identifications and materializations. She found that sexual difference discourse with limited gender perspectives still dominates. At the same time, we are heading toward the transgressive gender discourse where it does not seem to matter if the principal is male or female.

Comparative Studies

Several of the journal articles are comparative studies in which Swedish conditions are compared with those of other countries. One of the studies has a Scandinavian perspective (Moos et al. 2004). The authors discuss how theories about New Public Management affect principals' leadership. They mean that principals are the ones who end up in a cross fire between a changed national or local policy and the culture in the local school and the surrounding community. They argue for the Scandinavian vision with a democratic, reflective, and learning leadership. Rapp (2010) studied principals and their situations in decentralized schools in England and Sweden. He interviewed five principals in each country. Rapp has focused on how principals work as pedagogical leaders in a decentralized organization. He argues that English principals have a higher personal responsibility for the school's results and that they conduct a clearer leadership in relation to teaching and learning. In Swedish schools, the focus is on processes rather than outcomes. Swedish principals divided to a greater extent roles between administration and pedagogical leadership. They spend the most time on administration and left the responsibility for teaching and learning to the teachers (ibid, 2010).

Some of these publications are linked to an international study about successful principals, the International Successful School Principal Project (ISSPP). The ISSPP is an important project producing many books, articles, and thematic numbers in journals that describe principalship in different settings. Researchers in the project have cooperated for more than 10 years and will continue to work with new comparative studies. The aim of the project and the research is that they should inform principals, administrators, and political decision-makers about school leadership. The studies were carried out through a collaborative effort that started with 8 countries and has by now been expanded into more than 20 countries. The empirical material from the first stage of the ISSPP is based on case studies in various countries, which were followed up 5 years later (Höög et al. 2005, 2009; Moos and Johansson 2009).

As mentioned above, ethics and values were the point of departure for comparative studies between Canada and Sweden (Begley and Johansson 2003, 2008; Goddard et al. 2010). One of the studies focuses on school superintendents in Sweden and the United States (Bredeson et al. 2011). Two of the studies address training for principals. The first is a comparison between Sweden and Australia. The

findings indicate that there are more similarities than differences between the two countries and that the leaders' opinions to a great extent influence how education develops and changes (Gamage and Hanson 2006). The other article is based on an EU-funded study in which Cyprus, England, Greece, and Sweden participated. In those countries with a more centralized system (Cyprus and Greece), training for principals was arranged to a lesser extent than in the more decentralized countries (Sweden and England). The study shows that even though training always helps, it is the recruitment of the right individuals for positions that is crucial for the outcomes in the local school (Thody et al. 2007). Reading and comparing conditions and operations in various countries does not seem to be something principals devote much of their time to. Höög et al. (2006) studied extensive material and interviewing 32 principals. They were especially interested in the principals' views of what they mean by an effective school. The principals connected the concepts to their own practice and did not connect the concepts to a general discussion about a newly presented PISA report. In the interviews there are virtually no references to international collaboration or any global interest.

Successful Schools

This is a growing research area which includes effective schools and schools that in various ways work for improvement. Grosin (2002) claimed that a principal's pedagogical leadership is significant for the school's efficiency. He has developed a survey instrument to study schools' social and pedagogical climate in relation to effectiveness (Pesok). He shows that a schools' social and pedagogical climate is affected by principals' and teachers' expectations, as well as their norms and views about the school's mission, opportunities, and restrictions. The school's climate affects school efficiency to help all students despite their socioeconomic background.

One of the larger Swedish projects about leadership is a study of 24 schools in 12 municipalities deemed to have achieved varying degrees of success. The project has produced several articles and an anthology (Ahlström and Höög 2008; Bjorkman and Olofsson 2009; Höög and Johansson 2011). The definition of success is contingent upon how the schools have reached academic as well as social and civic objectives in the curriculum. The academic outcomes are measured by grades for students in year 9. It includes both how many students have passed and the merit rating for all subjects during a period of 3 years. For social and civic objectives, a questionnaire using the social and civic objective scale (SCOS) was constructed. The questionnaire was given to students in the ninth grade and contained questions about their own attitudes and work with social goals as well as those of their friends and teachers. The analysis discerned four types of schools (Table 6.1).

Five schools were categorized as successful. They had high scores in relation to academic objectives and social and civic objectives. Seven schools had high scores in relation to academic objectives, but the questionnaire about social and civic objectives showed that students were not content and that they had a greater amount

Table 6.1 Number of schools that focus on social and civic objectives related to focus on academic objectives

		Focus on academic objectives	
		Yes	No
Focus on social and civic objectives	Yes	5	8
	No	7	4

of bullying and a lower degree of student influence. In eight schools, the students were content. The questionnaire also showed that they had a higher degree of influence and collaboration, but they did not fulfill academic objectives. Four schools had low scores in relation to academic, social, and civic objectives.

The project producing four theses and one example is Björkman (2008), who found that principals' views in successful schools are more team based and activating than the views of principals at less successful schools. According to the principals, staff development was used in the more successful schools as a lever for improvement efforts, whereas staff development in the less successful schools was more temporary and individual. The views of external collaborative forms show that they are based on the efforts of individual enthusiasts rather than a shared approach in which everyone works to include the local school in what is happening outside the school.

Another example is Törnsén (2009). Her main purpose was to investigate how preconditions, processes, and results affect successful leadership. She establishes that what contributes to the success of a principal is knowledge, that the principal enjoys the trust of teachers, and interaction with and between teachers.

Communication

Another area multiple authors touch on is language and communication and how they relate to leadership and power. Säwe (2004) has studied principals' communication with parents to students with hearing impairment. Even though the context is special, her findings can contribute to learning in all situations. She found that principals in their conversations with parents choose a solution-directed perspective, whereas parents prefer a legitimizing perspective. One effect can be that the conversation stays on overarching problems and avoids addressing various underlying causes. Säwe shows that there is an ideal of mutual understanding where vagueness in conversation is accepted since it sometimes offers the only way to achieve unity.

Nordzell's (2006, 2007) studies elucidates the importance of language in categorizing and creating identity. Meetings of management groups contribute to the formulation and reformulation of school leadership and its identity. Concepts and categories formulated contribute to the description of individuals and processes. School leadership thus becomes mutually constructed instead of being conceptualized as the heroic work of an individual.

Ärlestig's (2008) thesis *Communication between Principals and Teachers in Successful Schools* deals with the everyday communication of principals and teachers. Her analysis shows there is an organizational blindness about how communication structure and culture affect the organization. Even though communication was described as important, there was a lack of awareness and a lack of knowledge regarding how to organize, use, and work with developing internal communication. In successful schools, differences in opinion were more of an asset, and the principal communicated more often about matters involving learning and instruction. The principal provided teachers with more individual feedback and visited classrooms more often. Ärlestig also has found at least three dimensions important in communication: information, confirmation and feedback, and interpretation. The combination of these three dimensions is more frequent in schools considered successful (Ärlestig 2011).

Sundberg and his colleagues (ed 2006) have studied different types of linguistic expression. They regard language and communication as something that constructs leadership and governing. "Schools and their leadership are not objective facts, existing in themselves, but subjective, linguistic, and socially borne constructions" (our translation; Sundberg 2006 p. 14). This entails that they see school leadership as something conditional and contingent that must have a broader perspective than traits and individual competence.

Values, Ethics, and Social Justice

There is no dissertation that solely focuses on principals' values, ethics, or social justice. Instead, ethical issues become a part of other themes such as school improvement, principals' work, and school culture. Hjelmer (2012) has in her dissertation studied how democracy was lectured about and lived in two programs in an upper secondary school. One program was an academic preparation program and the other a vocational program. She discovered that the difference between the programs was principally related to gender and class profiles and pupils' expected positions in society. These findings ought to be an issue of great concern for the principal, especially if the principal indirectly contributed to such values.

Rosvall (2012) has also studied democracy and student influence in one academic and one vocational program. His conclusions include the conversation about influence was more connected to the students' future lives and activities rather than what was happening in the classroom. There was also a lack of organization among the teachers to promote student influence.

The point of departure in articles related to values and social justice is often a democratic worldview, which includes the belief that everyone should be treated equally. In an article, Francia (2011) sheds light on the dilemma regarding children's rights and decentralization. By studying reforms such as decentralization and centralization, changed policy, and independent school reform conducted during

recent decades, she focuses on how responsibility is divided between various actors. She also discusses how school choice and manifoldness creates new dilemmas. Can further centralization of assessment and new standards in all subjects disadvantage some groups? Is it possible to guarantee students from underprivileged groups to not encounter low expectations if there isn't a high degree of centralization? Can we accept that ethnic and religious groups make free choices without the individual student's right to education is restricted? These are questions posed at the end of the article.

Norberg and Johansson (2007) have studied various ethical dilemmas in decision-making. By comparing the views of leaders about their ethical dilemmas, they show that a dilemma on one level in the system is not a dilemma at other levels. They argue that there is a risk for conflict between professional and personal values that can impact the rights of students. Ethical dilemmas at a lower level in the organization become rational decisions at a higher level in the system. At the higher level, professional decision-making in relation to school laws solves problems that at the lower level became ethical dilemmas because of individual relations.

Principals' opinions about special education are a topic in one study (Giota and Emanuelsson 2011). The researchers have used a questionnaire sent to a national sample of principals. They found that school problems and students' difficulties seem to be caused by student characteristics and disabilities rather than shortcomings of the school and teaching.

> … from the results showing increasing demands for assessments and diagnoses, we may conclude that they indicate a development pattern of increasing segregation of students in need of special education support, rather than of inclusive education within the mainstream education system (ibid, p. 105)

Other areas important in everyday life in schools, such as leadership in multicultural environments and leadership to combat harassment in everyday school life, are few (Ahlström 2009; Lahdenperä 2011). Even though there are studies about these topics in Swedish settings, the focus on principals or governance in relation to these topics is mostly missing.

Other Research

The Education Act states the schools' work shall be based on research and documented knowledge. Teacher education, an obligatory national principal training program, and support for teachers' career visualize the need for further research about Swedish schools and their leadership.

There has recently been increased research about preschool managers (e.g., Sheridan et al. 2010; Ivarsson-Alm 2013). This is an area that earlier lacked research even if the prerequisites and mission for preschool leaders differ from principals' context and role. Styf (2012) has studied how municipalities structure their preschool management, and it is obvious that it varies across the country. Her conclusion

is that the aim is to fit preschools into a larger structure which covers education from infants to adults rather than find a structure that benefits preschools.

One area not mentioned above is research about principal training (Johansson 2001, 2004; Svedberg 2004; Ärlestig 2013). All three are international publications and examples of research that probably hasn't reached a larger Swedish audience since they are published in English for an international audience.

With the new principal program, there has been increased interest in Swedish research about principals and especially research published in Swedish. This has encouraged Swedish researchers to write about their research in relation to the themes in the principal program (Höög and Johansson 2011; Blossing 2011; Johansson and Svedberg 2013). We know that during 2014, there will be at least two more books launched with principals attending the principal training program as their main readers.

Other ongoing projects are the second phase of ISSPP,[1] where new empirical material will be gathered during 2014. These materials are also used in a Nordic comparison to understand more about schools and policy from a welfare state perspective.

Even if Swedish schools in an international perspective are stable, the difference between individual schools is increasing. Ongoing comparative research to understand social justice and high needs schools is on its way, as well as research to understand internal factors in relation to successful schools.

A 5-year project named "National Policy Meets Local Implementation Structures" is about what happens when national reforms meet local implementation structures and will be reported in 2014 (see e.g. Nihlfors and Johansson 2013). It is a question about what happens when the national level makes decisions and supposes that the different levels below act as intended, how the knowledge on the "lower" level is taken into account when the government prepares new changes in the school system, and how motivated different actors are, in the governance system, to make a change. This project analyzes what is happening in the policy stream at different levels in the governing chain. It is difficult because the stream is global, national, and local. In these streams, local officials as superintendents together with principals and teachers are supposed to enact the political decisions into everyday working life.

How Swedish superintendents work in local school districts varies widely. Each function is completed differently in relation to local contexts, culture, and politics that in turn influence how they interpret and implement educational reform policies. Superintendents serving as mediators are expected to negotiate the common ground between political and municipal administrative managers on one hand and educational practitioners on the other. Findings from the 2009 nationwide study of Swedish superintendents indicated that the superintendent not only has a central role in the school district policymaking processes but also serves as a mediator, gatekeeper, and policy implementer. Understanding these several roles may contribute to a broader understanding of how local actors (politicians, superintendents,

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[1] http://www.uv.uio.no/ils/english/research/projects/isspp/

intermediate leaders, and principals and their staffs) influence the policy stream and provide new insights into the complex role superintendents play in educational reform in Sweden.

The same empirical studies of superintendents, school boards, and principals are done in the Nordic countries as well, and the research group has started to publish comparative articles (Johansson et.al. 2011; Holmgren et al. 2013; Johansson and Nihlfors 2014).

Concluding Thoughts and Next Steps

We know from Swedish studies that principals and their work make a difference. Principals stand between national and municipality governance. Principals enjoy their work and are mostly satisfied with their student's results. Principals claim that they influence their teachers but have limited influence on their schools' prerequisites in relation to superintendents and politicians. Principals' roles as strong pedagogical leaders are expected, but there is a debate about how such leadership should be executed in practice.

We have several studies about principal's statements and experience but fewer about what principals do and principals' roles in various processes. We know little about recruitment, principal training, and its effects. We also know little about whether principals' work differs in various settings (e.g., rural, urban, high schools, independent schools).

It is obvious that research on principals in Sweden is related to several themes. Many studies are single-case studies and often come from a few research environments. The studies start from a desire to use empirical data to understand leadership and schools rather than from a theoretical interest. This contributes to studies that are more descriptive than studies that develop theoretical and conceptual frameworks. It is competitive to take part in the limited research grants provided within the country. Most of these themes and prerequisites for research are the same as in other countries and are easy to connect to global trends. Other themes like gender and the last year's studies about preschool managers are more contextually bound.

There are not many articles about Swedish principals from an international perspective. The Swedish contribution to international knowledge can be viewed from two aspects. The first is the Swedish context. Sweden has a long tradition of being a democratic welfare state. Even if principals' positions are formal, they need to act as democratic leaders to gain mandates among their staff. The national context and values around social and civic objectives become interesting aspects in all research about how leadership is conducted in schools. This is an underlying perspective in most of the articles written by Swedish leadership researchers.

The other aspect is how Sweden has been influential in comparative studies. Johansson and his colleagues have been active in relation to research about values (Begley and Johansson 2003, 2008), successful schools (Moos and Johansson 2009; Moos et al. 2004; Höög et al. 2005, 2009), and superintendents (Nihlfors et al. 2013).

Sweden is a relative small country, and international research and trends have always been influential in research, policy, and practice. Starting with practice, policy, and the public debate, a few researchers are well known and often cited. Some examples are Michael Fullan, Kenneth Leathwood, Andy Hargreaves, and John Hattie. There is still a small amount of international research translated into Swedish, which limits a broader aspect of research to be explored.

One way to overcome the language barrier is to make research overviews. The Swedish Research Council has for over a decade made research overviews with the intention to spread research relevant for the education sectors, and the National Agency for Education has made popular editions out of these. Both the National Inspectorate and the National Agency often use research to strengthen the development they want to see in schools.

It is harder to see patterns about how research is influenced at a national level. The researchers mentioned above are examples of influential persons in Swedish research. At the same time, various researchers have various perspectives. Early research focused mainly about leadership in relation to school improvement and school effectiveness, some in favor of the international findings and some being critical. Learning organization is still a popular theme and a point of departure in discussions about leadership research. Recently, as in many other countries, we see more and more research critical about New Public Management, building on a social construction and from a postmodern perspective. We can also see that more research is based on mixed methods and a longitudinal approach, with a rising interest for theory about gender, curriculum theory, governing, and democracy.

There is a no natural forum where Swedish leadership researchers around the country meet and exchange ideas. On the other hand, many researchers have good international contacts encouraged by the university's demands to publish in internationally recognized journals. This means that they visit international conferences and are invited to contribute to edited books and handbooks as well as special issues of journals. Working actively with international colleagues and comparative research means that national research indirectly is not only influenced by but produced with research from other countries. One good example of such cooperation is the International Successful School Principal Project.

Even if there is a debate about schools, their prerequisites, results, and increasing interest in school leadership research, the last area is still relatively small. There are few larger studies about school leadership in Sweden, and even if we have recognized studies about policy, lesson studies, curriculum theory, ICT, and preschools that are important in leadership, such work often lacks a leadership and organization perspective.

Other challenges include the constant high tempo of changes in society and policy, which means that research in this area is not current. This becomes more evident in the leadership field, which is supposed to be ahead of what is currently taking place. This invites other actors and solutions to contribute to a better understanding about leadership and governance. In 2008, the Institute for Evaluation of Labor Market and Education Policy (IFAU) was established. It is a research institute under the Swedish Ministry of Employment and is situated in Uppsala. IFAU's

objective is to promote, support, and carry out scientific evaluations. Recently, they were given the responsibility to evaluate the effect of educational policies. As mentioned before, the national agencies produce their own research overviews as well as official statistics, and the government has also initiated an institute for compiling research relevant to the school sector. State investigations of the school area are regularly led by a professor. School owners develop projects together with researchers and/or consultants to assure development on scientific grounds. OECD and EU initiate projects involving politicians, practitioners, and researchers with a wider aim than understanding schools and leadership. Many of these projects have become more attractive to researchers as a way to finance research. These aspects raise questions about ethical issues as well as when the researcher will publish results. Publishing can be a question of being a part of the process or to wait and have a fuller picture of the past. It is also a sign that the researchers' domain needs development to participate and influence the constantly changing surroundings. It also evokes a discussion about how research should be financed to remain independent.

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Part II
Former East European Countries with a Fast Transition to Democratic Societies

Chapter 7
Estonia: School Leadership in Estonia 2001–2013

Hasso Kukemelk and Jüri Ginter

Estonian School System

Estonia is a small country (about the same size as Denmark) with a population of 1.2 million inhabitants. About 70 % of them are Estonians, and the remaining 30 % is composed of representatives of many different nationalities (mostly Slavonic nationalities). This means that the majority of students go to Estonian comprehensive schools, while a number attend Russian schools or the small number of schools that cater to other languages and ethnic groups. Comprehensive schools are generally the responsibility of the municipalities, which oversee planning and management for kindergartens and schools. School finances primarily come from the state budget, and the municipalities divide these between different schools (if there is more than one school in the municipality). Those finances are calculated on the basis of a "soft head money system" providing certain compensation mechanisms for smaller schools. Municipalities also add some minor funds for the improvement and upkeep of the schools' general physical environment.

The current Estonian school system was developed from the Soviet school system and has been reformed several times since 1992. This means that there are still many teachers (and school principals) working in schools that were educated under the Soviet system. That maintains a certain "Soviet shadow" on the teacher's profession and on the everyday behaviour and decision-making in schools.

There are 558 comprehensive schools (Eesti Hariduse 2013) in Estonia today. The birth rate in Estonia dropped from more than 20,000 babies per year (late 1980s) to 12,000 (late 1990s) and has only risen slightly in the last 5 years (to about 15,000), and this has resulted in an urgent need to merge schools and restructure the entire education system to provide good options for the education of every child.

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Additionally, there is a tendency for young adults to move to the larger county centres or abroad, and that presents a considerable challenge for rural municipalities to find enough students to keep schools alive.

Children start their schooling at the age of 6 or 7, and they are obliged to attend school up to the end of grade 9 or 17 years of age (Põhikooli ja Gümnaasiumi seadus). More than 95 % of children come to school from kindergartens (Haridus- ja teadusministeerium … 2013). Those coming from homes have to attend a preschool or 0-class (once a month) in the last year before compulsory schooling. The Estonian education system follows a traditional format – 6 years for primary education, plus 3 years for lower secondary education (compulsory for every child) and an additional 3 years for upper secondary education (optional). At the primary level, there are usually class teachers and at the secondary level subject teachers. It was normal in the Soviet period that schools in major settlements went from grade 1 to 12 (all levels together in the same institution). The most recent changes to the School Act (Põhikooli ja Gümnaasiumi seadus) created legislative reasons to separate the upper secondary part of the comprehensive school and establish separate upper secondary schools (often owned by the state). Therefore, several state upper secondary schools were established in the last 2 years, and more will follow in the coming years. This changes the proportion of school ownership – the number of state schools is rising and the number of municipal schools is decreasing.

Economic and demographic processes are taking families to major centres in the country, and this creates a situation where rural municipal populations are decreasing and the number of children in obligatory schooling is also decreasing there. As many as 20–30 schools have been closed down or reorganised annually in recent years. This has created a new type of educational institution – kindergarten and primary school together (or even kindergarten and lower secondary school together) in the same institution.

Several challenges in the current education system can be highlighted. For example, compulsory schools used to go through regular external inspections, which involved gaining an awareness of decision-making at the school level and how the learning community functioned. These schools now use a system of self-evaluation, the principles of which have been defined and established since 2006. The teaching profession has had to deal with the fact that since teachers were used as an ideological tool under the former Soviet regime, widespread suspicion of teachers has remained even after the Soviet regime collapsed. Therefore, teachers as educational shareholders do not have a strong professional position in society, and the number and quality of candidates applying to train as teachers are not the best. Furthermore, in the context of recent school reforms and reorganisations, schools in rural areas find it difficult to hire qualified teachers, to meet requirements set for the learning environment and to manage with their limited budget. This means that the quality of compulsory education in different schools, which should be equal, actually is not. In addition, new legislation was enacted in January 2013 to devolve responsibility for the teachers' workload and remuneration to school level. Now, 20 % of the school salary budget is meant for performance bonuses (decided by the school leadership). That is a completely new approach to organising the work of teachers in

schools. Still another challenge is posed by changes occurring at Russian schools. Since successful Slavonic families tend to enrol their children into Estonian schools, this raises a range of pedagogical, political and economic issues for the Russian schools. Finally, closing down small rural upper secondary schools (or merging different schools at the upper secondary level) creates a list of problems related to further education for teenagers (and families) in local municipalities, including school transportation, availability of student accommodation, local social issues and so on.

Principal Role in the School

The Basic Schools and Upper Secondary Schools Act (Põhikooli- ja Gümnaasiumi seadus) declares that a school is managed by its principal. According to the number of students in the school vice-principals (deputies) could also be hired, whose duties and responsibilities are defined by the principal in coordination with the school owner. Typical fields of responsibility for different vice-principals include study affairs, school development and outdoor activities, information communication technology in schooling, school economics and special needs in large schools. Those positions together form the school leadership team led by the principal. Small rural schools do not usually have vice-principals, and all of those duties are the principal's responsibility.

Open principal positions are usually filled through publicly announced vacancies. The formal requirements for successful candidates include master's level education and leadership competencies (Direktori, õppealajuhataja … 2013). Those competencies are specified in the national school principal qualification model (Projekt "Õppeasutuse juhi …" 2013) as follows:

- Higher education in pedagogy, at least 3 years experience in pedagogical work and having passed 240 h of school management training
- Other higher education, at least 5 years experience in pedagogical work, possessing the occupational grade of at least a teacher and having passed 240 h of school management training
- Higher education, at least 3 years management experience in an equivalent institution and having passed at least 240 h of pedagogical training and 160 h of school management training

The required 240 h of school management training can be replaced with a master's degree in school management from a university.

The procedure for filling vacant school principal positions is established by the school owner. The principal's contractual conditions of employment are decided, and the contract document signed by the school owner. The successful candidate will usually be appointed to the office by the school owner for an unlimited period. Employment contracts for principals are no longer time limited (previously, the contract was signed for 5 years). This change was as a result of a demand on the part

of school principals to become more independent from municipal politicians. The employment contract with the principal is concluded, suspended, amended or terminated by the school owner. The new act gave principals more decision-making power in fields they earlier had to seek agreement or a proposal from the school board or the teachers' board. The national school principal qualification model was developed recently (Projekt "Õppeasutuse juhi …" 2013), and according to that, a system of in-service training was started for principals.

The responsibilities and roles of the school leadership team are defined by the Basic Schools and Upper Secondary Schools Act, school by-laws, job descriptions and the employment contract. The principal is responsible for the teaching and learning process and other activities in school, the general state and development of the school and the legitimate and expedient use of financial resources. The principal represents the school and acts in the name of the school and has the right to enter into transactions within the limits of its budget to the extent necessary to perform the functions of the principal provided by law. He hires and fires teachers and other staff and negotiates employment contracts within the framework of the school budget.

The principal signs directives (e.g. school curriculum, school by-laws) within the jurisdiction and competencies provided by the law. There is a school board as an advisory body for the principal, but it is also the board the principal must report to. The principal is the chairman of the board of teachers at the school, which has some decision-making power (e.g. students' administering system, the work plan for teachers) and is an advisory body in several school (mostly educational) issues (including the school curriculum).

School principals focus primarily on financial and staff issues and then on better results by the school in state examinations and outstanding performance by students in different competitions and exhibitions. Less attention is paid to the involvement and satisfaction of students and teachers: "… school principals don't emphasize their management leadership styles; they have amongst the lowest average use of instructional leadership and administrative style in school leadership" (Loogma et al. 2009).

The professional development of school principals is supported by annual conferences/master classes where well-known and recognised leaders from different schools and fields of study share their experience. National School Principals Association takes care of some professional development activities for principals.

Current Trends in School Leadership

The Ministry of Education and Research paid attention to school leadership in the ESF programme "Raising the Qualifications of General Education Teachers 2008–2014", where one of the target groups was school principals. The Estonian government planned to develop and implement a model for evaluating school principals by 2013. The government has prepared a bill to increase the competency and

decision-making power of school principals, reduce the role of state regulations and involve more boards of teachers and school boards in school leadership as educational shareholders. More responsibility in different educational legislative acts (recently updated) has been given to school owners to select school principals and to let them lead the educational processes in schools. The school principal is considered nationally as a key player in achieving an education system that provides high-quality education that is accessible for every youngster.

Methods and Research Selection Criteria

The current chapter is designed on the basis of high-quality studies on educational leadership carried out in Estonia since 2000. There are both quantitative and qualitative studies in the sample. The most important criterion for including the results of the study is the importance of the study for the national education system, while the academic rank of the researcher or a team carrying out the study has also been considered as an important factor in the selection. All defended doctoral theses in the field have been included and some international developmental projects. The country has been involved in several international comparative research projects where school leadership is a part of the study (e.g. TALIS, PISA), and the results of those studies are also referred to.

Several researchers have published peer-reviewed articles in international journals and full papers for international conference proceedings on school leadership. There are a small number of studies and analyses of school leadership that have been commissioned by the Ministry of Education and Research from different research firms (e.g. Praxis) or scientific teams. Several items have been published nationally with high-quality analyses of school leadership.

The major source for the chapter is a study reported in 2011 (financed by European Social Foundation) on school leadership. The study itself was targeted at all of Estonia, and the results are representative of the country as a whole.

Study Results on School Leadership in Estonia 2000–2013

There were no high-quality studies on school leadership in Estonia before 2000. Therefore, the first studies mostly mapped the field and identified the issues to be studied. Salumaa (2007), in his doctoral thesis, studied school teachers (604 respondents), vice-principals (68 respondents) and principals (72 respondents) in respect to representations of school culture. The study based on a questionnaire developed from the organisational typology offered by Harrison (1972), Handy (1993, 1995) and Handy and Aitken (1990). His main findings were as follows:

- The prevalent organisational culture in the whole group is person oriented, followed by task-oriented and power-oriented.
- According to the perception of teachers, the person-oriented culture is the dominant organisational culture at school. In their opinion, role-oriented culture is the least dominant.
- According to the perception of vice-principals, the person-oriented culture is the dominant organisational culture at school. In their opinion, power-oriented culture is the least dominant.
- According to the perception of school principals, task-oriented culture is the dominant organisational culture at school. In their opinion, power-oriented culture is the least dominant.

He concluded by saying that the person-oriented organisational culture is dominant and task-oriented one is the second-most dominant in Estonian schools, and this means that schools are only halfway towards building up a learning organisation (Salumaa 2007).

Aidla (2009), in her doctoral study, focused on the impact of individual and organisational factors on academic performance in Estonian comprehensive schools based on national examination results. In addition to the students and teachers, 57 secondary school principals (data collected 2003–2005) also responded the questionnaire. That questionnaire consisted of 24 statements about school academic performance, school leadership, the school environment, student educational progress and teacher competence on a 10-point scale. Factor analyses and correlations were used.

She identified that the organisational culture of the school and the attitudes of the school administration (leadership team) are related to school academic performance, but this relationship depends on the size and location of schools. Additionally, the results indicate that the attitudes of the school administration and the personality of school members may indirectly contribute to academic performance in schools mediated through the organisational culture, but these relationships also depend on the size and location of schools. The attitudes of school administrations and the specifics of organisational culture may open up new perspectives for improving academic performance in schools (Aidla 2009).

Irs (2012) carried out her doctoral study on teacher performance appraisal and remuneration aspects of performance management in Estonian comprehensive schools. In addition to teachers (2165), she questioned 298 school principals on the theme using a 5-point Likert scale (data collected 2008–2009). She conducted case studies in three comprehensive schools to obtain proper interpretations for statistical data.

Her study provided evidence that in order to employ new management practices more smoothly, aspects of school management should be taken into consideration. For example, the study indicated that well-organised strategic management, resource management and organisational culture are important in performance appraisal and performance-related pay design, as these help develop awareness, positive opinions and intention to adopt. She stated that teacher performance management should be

aimed at a balanced development of the school, and therefore, teacher performance appraisal and performance-related pay should combine criteria related to the learning process, the learning environment and school management. Teacher performance-related pay improves teacher performance both as individuals and in teams and guarantees teacher development in accordance with school objectives (Irs 2012).

Kukemelk and Lillemaa (2010) studied Estonian school principals within the framework of the NordPlus Horizontal project "Development of school management in the Baltic region". They studied school principals in three key areas (according to the EFQM quality management model): the strategic management of school, resources (human, physical facilities and financial) management of school, and teaching and educational processes in school.

An electronic survey was carried out using a 5-point Likert scale questionnaire designed in the E-formular environment. The data were collected in November 2009, and 121 school principals responded. The aim of the study was to map the school leadership field in those three domains and according to the results to improve existing in-service training courses for school leaders.

The study indicated that schools had defined key results in their development plans in two thirds of the cases. Most schools (more than 80 %) define strategic directions and priorities, but only two thirds of those make efforts to achieve these strategic goals. Principals considered studies of school satisfaction amongst students and parents very often (86 %) and studies of the school climate for teachers even more (92 %) when designing their school action plan. School budgeting, according to the developmental plan, indicated certain contradictions in the school finance and material resources planning stage compared to everyday decision-making processes. Principals were more concerned about the school environment, teachers' opinions, etc. than student development.

Türk et al. (2011) carried out a major study on school leadership focusing on all nine domains of the EFQM Model of Excellence in comprehensive and vocational schools. Some of their results have been reported on conference presentations (Haldma and Ploom 2011; Kukemelk 2011, 2012, 2013, Kukemelk et al. 2010; Ploom and Haldma 2012a) or in published articles (Kukemelk et al. 2011; Ploom and Haldma 2012b, 2013). That study involved all important school stakeholders – principals, teachers, students, parents, school board members and school owners. The study developed an electronic questionnaire on a 5-point Likert scale specified for all six target groups (in some cases, printed versions for parents were used) in the eFormular survey environment. The data was collected through 2009–2010, and all together 327 school principals, 2294 teachers, 5685 students (aged 16 and 18 years), 1922 parents and 569 school board members or school owner representatives responded. In addition, more than 50 case studies were carried out to better understand the statistical results. The collected empirical data were correlated with statistical data provided by the national education information system (EHIS), but also factor analyses, regressions and ANOVA were used.

The main results of the study were:

• Strategic planning as a leadership tool is acknowledged by different school stakeholders and is in use, but in everyday school life, the development of the

school is considered an internal field of the school administration, and other school stakeholders are only informed about designed documents and policy papers.

- School self-evaluation processes (compulsory since 2006) have started better in bigger schools, but the remarkable additional workload from that process could cause fatigue and disappointment in teachers.
- According to the school principals, they are the main leaders in the school; however, other stakeholders do not often follow them.
- Information about the school is attachable for different stakeholders, but they have to ask for it (parent involvement rate, especially in vocational schools, is low).
- Students and parents are generally happy with the quality of education in the schools, but they are not so happy with the methods used.
- All fields of school activities are given a much higher assessment by the principals and then teachers, but remarkably lower by parents and especially by students.
- Almost half of the students (45 %) like to go to school.
- Estonian schools focus mainly on academic results and much less on the personal development of their students.
- Major schools can hire qualified teachers more successfully than smaller (mostly rural) ones, and that could be one of the reasons students repeat a year more often in smaller schools, and students in major schools achieve higher scores in national exams.
- Principals and teachers accept teacher performance assessment as a school leadership tool, but it is not often in use.
- Teacher performance-oriented pay indicators are often related to student academic achievement, and this is only used in every third school.
- School stakeholders are not involved enough in resource management by principals, and therefore, there is a lack of motivation to optimise the use of resources.

Data from a previous study were combined with the Estonian PISA 2009 results to identify connections between school leadership and principal and student performance (Kitsing et al. 2013). Data from those schools (from Türk et al. 2011 study) participating in PISA 2009 were picked up and analyses conducted using the school PISA results. The intersection of the two surveys consisted of 102 schools. In the survey conducted by the authors, school performance was evaluated using an ordinary least squares regression model as the "school effect" or value added based on school-level PISA data on student performance and student social background indices. Based on the estimated "school effect", the sample schools were divided into three groups: schools with high, moderate and low effect on student performance. An ANOVA was used in order to test whether there is any difference between teachers' opinions and the implementation of evaluation in determining performance-related pay in high- and low-performing schools.

The results of the analysis indicated that teachers in low-performing schools expect to receive pay for each individual work process. Teachers in high-performing

schools value high student results more or, in other words, aspects related to the school's overall performance.

The International TALIS study (23 OECD countries participated) gathered data in 2008 (Loogma et al. 2009) and included quite a reasonable questionnaire for participating school principals (37 different statements to assess different school leadership issues). As a mapping study, it involved 200 schools from Estonia, but the principal response rate is missing from the report. School leadership was analysed according to school and teacher performance appraisal, school autonomy, school climate and school and principal profile.

The principals stated that they are responsible for hiring and firing teachers, deciding the salary for teachers (at least nationally fixed minimum teacher's salary is required) and salary increases, school budgeting (included budget for personnel in-service training) and IT spending. The portrait of the Estonian school principal is well balanced: almost half females and half males and according to age, half are younger than 50 and the other half older than 50. Most principals have master level education (1.5 % even a doctoral degree), and 23 % have bachelor level education.

The study indicated that principals pay much attention and time completing different reports and other administrative tasks. Educational processes in the school are mostly led by the deputy principal of study affairs. Principals spend their working time mostly in school administration (43 %), school curriculum and teaching-related duties (21 %), representing the school (15 %) and other tasks (31 %).

Conclusions from Studies and Further Challenges

Estonia has paid much attention to school principals and their leadership in schools in recently updated or developed regulations and national policy papers. Different improvements to the legislative acts have increased the decision-making power at the principal level and overall school autonomy. Schools can adopt their own curriculum with their own priorities, and generally, there is no regular external inspection in the system. Therefore, the role of the principal is very important in the system. Studies carried out in the country focus mostly on mapping school leadership administration and touch upon school efficiency, but studies related to personal issues for school principals (e.g. levels of stress due to the high expectations and responsibility, reasons for burnout, personal characteristics supporting successful school leadership, etc.) are missing.

Estonian society expects school principals to be super administrators with a vision for an excellent school and always effective as fund raisers and capable of leading the educational processes in school. The studies indicate that in most cases school principals are administrators managing under fixed frameworks and paying most of attention to school economic and managerial issues. The main purpose of the school – to educate children – is often left to the deputies. That contradiction between the societal expectations and the real situation demands a revision of the school leadership system.

Another important issue relates to the involvement of different stakeholders in school leadership. Through training courses and published good practices, authorised bodies claim that distributed leadership and stakeholder involvement are the best practice. Teacher and parental involvement in decision-making processes is promoted and expected from schools. Studies indicate that there is still a long way to go before we can say that the different stakeholders have an important role in the Estonian school system.

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Chapter 8
Latvia: School Principals and Leadership Research in Latvia

Dainuvite Bluma and Ineta Daiktere

After gaining independence, the changes to education in Latvia over the years have been very dynamic, and at the same time, they include all-embracing developments: the creation of a new legislative basis for the functioning of a democratic educational system, new principles for the school system, development of a new state, regional and municipal institutions, different documents, and instructions for the functioning of schools. Nevertheless, everybody's active participation and responsibility to promote the change process in developing democratic education in general and schools in particular are much more difficult than writing new laws and providing the necessary materials, technical basis, and funding.

This can be explained by the phenomenon that changes in education, first of all, are changes in people's thinking and it is a slow, painful, and time-taking issue. A transformation of education, from an authoritarian and totalitarian regime to one that is democratically oriented, greatly depends on educators – teachers, school principals, and teacher educators – because they exercise their activities at schools, colleges, and universities daily, which are the basic institutions that promote change. In Latvia, this process was based on local initiatives, i.e., from the bottom-up, and it was largely influenced by several international education projects from 1992 to 2000: the TEMPUS projects, namely, "Updating Teacher Education and Educational Debate in Latvia" and "Updating of In-Service Education of Teachers in Universities of Latvia"; the bilateral Latvian-Danish project, namely, "School Development"; and the Nordic-Baltic projects, namely, "Curriculum Development and Teachers' Qualifications" and "School Management in a Democratic Society." In all of these projects, there were groups of school principals learning and updating their qualifications. During the period of work in the projects, a new approach developed also to research in general, and this was the beginning of research on school principals.

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This process was greatly influenced by researchers from Denmark, Sweden, Norway, Finland, and Great Britain partner universities. The researchers shared the latest theories on school development and leadership issues that were completely new to the education society and administration of education in Latvia. Strong influence was experienced when visiting and observing educational practices in Denmark, Sweden, and the United Kingdom. Rich experience in research on education management was especially gained by Latvian lecturers and students working together to create and implement a completely new master's degree program in education sciences and working on master degree research.

Thus, involvement of school principals in international projects in education intensified the change processes. The work in schools involved in the abovementioned projects changed as the principals had a direct impact on the development of education transformation themselves being enthusiastic and prepared to face new challenges (Celma and Zids 2003). The results of the research activities during the work life of the projects allowed the conclusion that the principals' role in the previous authoritarian system, when all responsibility was put on the principals, influenced their activities in the change process; the understanding of their responsibility acquired a different meaning: they learned new ways of initiating democratic approaches and activities in ways that greatly differed from their previous authoritarian administrative style. There appeared such new activities as school management team development, school development, and the involvement of teachers, pupils, and parents in the planning and implementation of these plans, in defining the aims of schools from the "bottom-up" and not waiting for instructions from above by no longer. Nevertheless, the change process was not very rapid as the teachers were not always ready to support these developments (Celma and Zids 2003). Thus, the school principals had to change at the same time, while provoking and managing changes in the staff, pupils, and parents within the institution as a whole.

As Latvia is considered a rather small country with a population of around two million and only 839 general education schools (school year 2011/2012) and with a tendency to decrease in an average of (−15) schools a year (http://www.csb.gov.lv/en/statistikas-temas/education-key-indicators.30637.html), school leaders, besides striving for excellence in education, also face challenges related to school merging and budget cuts due to a low birthrate and emigration.

Nevertheless, practical experiences, the beginnings of research in the education management, and leadership in Latvia may serve to describe a specific situation, which is the transition from an authoritarian Soviet regime to a democratic education society. Though Latvia is not the only post-Soviet and post-socialistic country, each country has a specific situation, even when the context seems similar. The description of research in this article could be considered as a start to create new theories about what is happening, what makes the transition process successful, and how transition is implemented in countries where development is not a planned and managed step-by-step process, but they are rather crucial changes in the whole system that are not always systemic and are often fragmentary due to subjective and objective reasons.

The School System and Current Challenges in Latvia

Education in Latvia is administered according to the Law on Education (1998), which is used as a frame to define the types and levels of education, the general principles, the organization and management of educational institutions, and the demands to the staff of educational institutions and the school principals included. According to the Law, there are the following levels of general education in schools (System of Education in Latvia. www.izm.gov.lv):

Preschool Education (ISCED Level 0) All 5–7-year-old children have to participate in preschool programs provided by general education establishments or kindergartens. The objective of the preschool education is to foster general development of children and their readiness to continue learning in the primary stage of the basic education. The number of children attending a preschool institution has a tendency to increase, reaching 90,859 in school year 2011/2012 (Central Statistical Bureau of Latvia 2012).

Basic Education (ISCED Levels 1 and 2) 9-year basic education (primary and lower secondary education according to ISCED) is compulsory for all children from the age of 7. The curriculum is determined by the national basic education standard. Pupils, who have received a positive evaluation in all subjects of the compulsory education curriculum, national tests, and examinations, are qualified for admission for further education in upper-secondary level, general, or vocational educational programs. In case a pupil has not received a positive evaluation in any of the subjects or centralized national tests and examinations, he/she has the right to continue education and training in basic vocational education school programs.

Secondary Education (ISCED Level 3) There are two types of upper-secondary education programs: general secondary and vocational secondary education programs. The compulsory curriculum of 3-year general upper-secondary schools (including gymnasiums) is determined by the National Standard in the following profiles:

1. General comprehensive
2. Humanitarian/social
3. Mathematics/natural science/technical
4. Vocational/professional (arts, music, business, sports). A certificate of the secondary education is awarded to all students who have received a positive assessment in all subjects according to the chosen profile. It provides the right to continue education in any higher-level education program.

Different vocational education and training programs are developed and offered for all branches of the national economy of Latvia in vocational schools. The majority of vocational education schools in Latvia provide 4- or 3-year vocational education programs.

4-year vocational secondary education programs are offered to those students who have successfully completed compulsory basic education in vocational

secondary schools. Graduates of these programs have an opportunity to combine acquisition of Level 3 vocational qualification with completion of their secondary education.

2–3 year vocational education and training programs are offered to students who have completed the basic education, and they provide the opportunity to acquire Level 2 vocational qualification. Education can be continued in **2-year programs** that lead to qualification Level 3 or **1–2 year programs** that lead to a certificate of the secondary education.

3-year vocational basic education and training programs are provided in vocational schools for students without a certificate of the basic education (after completion of at least seven grades of basic education, but not before the calendar year when they become 15 years old). Besides acquiring Level 1 or 2 of vocational qualification, students also have the opportunity to accomplish the basic education. Depending on the type of vocational education program, all students who have passed the final subject and qualification exams are awarded a diploma or certificate: a diploma of vocational secondary education, a certificate of vocational basic education, or a certificate of vocational initial education and training. Only holders of a diploma of the vocational secondary education are eligible for access to tertiary education.

Special Needs Education Special schools or special education classes within general education schools provide education for children with special needs that correspond to their individual health conditions. The structure of special education is very similar to that of the mainstream education, which provides opportunities for persons with special needs to attain knowledge in general education subjects as well as general skills with a strong emphasis on the applicability of the acquired knowledge and skills in order to facilitate social inclusion.

Vocation-Oriented Education Vocation-oriented education in arts and music is voluntary and provides for a person's individual educational needs and wishes.

Alongside public schools, there are also a number of private schools. The first *private schools* were opened in the 1990s. The private sector share is quite small – only 4.2 % of general education institutions and 16.5 % of vocational schools are private (EURYDICE 2011).

The system of education in Latvia is continuously developing and frequently faces new unexpected challenges. It is typical for Latvia that educational reforms are not based on research on education but rather inspired by politicians because ministers of education are strongly influenced by the pressure of the political parties they represent, e.g., when the minister of education was from a religious party, he tried to introduce religion as a school subject in all schools. Another typical feature of educational reform is a lack of systemic and systematic approaches. The reforms are rather chaotic and fragmentary and are usually unprepared, e.g., there was a suggestion to start schooling at the age of 6 without preliminary preparation of school premises, programs, books, and teachers and likewise, the idea to start learning English in Form 1 without having teachers, programs, and teaching aids prepared for this purpose. The latest innovation for schools is to strengthen the school

independence and democracy, thus providing schools the freedom to organize their own curricula with a free choice for the number of lessons in each subject and with the minimum of instructions from above. The ideas are usually quite good, but the school principals and teachers are unprepared to change the regular practices in a very short period of time. Since school principals are forced to cope with the changes and protests in schools, as well as the unwillingness and lack of the teachers' professional readiness to adapt to the new situations and demands, it is difficult for principals to pay attention to such issues as leadership, the mission of the school, the development of the school as an organization, the innovative approaches of teaching/learning, and many other important issues.

The Principal and His Role in Relation to Current National Policy

During the last 20 years, the work of school principals has undergone great changes – from complete obedience and control, from the expected implementation of the rules of the Soviet authorities to the fast increase of autonomy in all aspects of school life and education, and from strong centralization to decentralization of educational institutions. In the total majority of schools, the principals continued their work, and in very few cases, new ones were appointed. It meant that the same people had to change, learn, and develop new understandings, approaches, competencies, and even different personal qualifications to be able to change the school and schooling system. At the same time, the role of the school principal in the new situation requires strong leadership skills and diplomacy for the new situation (Peck 2000). Though a number of years have passed, the heritage of the previous regime is still felt. The situation in schools can be characterized by some formal data about school principals (Kalvans 2012). In Latvia, school principals are older than in other Baltic states, e.g., the number of principals who are of retirement age is 24 % or twice as big as in other Baltic states, and the female school principals make up 70 %. On average, male principals in Latvia are younger than their female colleagues, and about 88.6 % of principals have other job duties: subject teachers, subject methodologists, or teachers of extracurricular classes. Kalvans' findings show that an average school principal in Latvia is a 49-year-old woman who graduated from the university between 1989 and 1991, has a master's degree in education earned between 1997 and 2000, and is teaching natural sciences (Kalvans 2012: 68).

It finds reflection in school principals' passivity and disbelief that they can influence not only their schools but also the educational development of the country in general, and not all of them feel empowered to influence the decisions and activities in the "above," i.e., the higher levels of education administration in the country. It can be explained by the situation that school principals were used to understanding and exercising leadership and creativity within the frame allowed by the Soviet order and that it takes time to develop readiness to use the advantages of freedom in decisions and activities.

According to the Education Law of Latvia, the school principals, as heads of institutions, are responsible for:

– All aspects of operation of the educational institution
– Rational use of intellectual, financial, and material resources
– Ensuring the creation of a self-governing body for the school
– Ensuring the access to the library and information services
– Implementation of the curricula
– Selection and provision of staff
– The needs and interests of pupils with special needs
– Fulfillment of tasks set by the education authorities and the Law

There are also specific demands for the candidates to the post of a school principal:

– Relevant education (a higher pedagogical education, a higher and pedagogical education, or a person who has a higher education and is acquiring a pedagogical education)
– Necessary professional qualifications

Thus, any person having the abovementioned qualifications can become a school principal through a process of recruitment arranged by the founders of educational institutions. The staff of the educational institution and the parents are not invited to participate in the recruitment board or the decisions they make; however, the school boards often are. The school principals are certified together with the school accreditation.

There is no support system for school principals during the first years of their work. At the same time, there is no appropriate strategic policy for the development and realization of education and in-service training and support of the education system for school principals (Upenieks 2008a, b), i.e., there are no special programs for becoming a school principal or further professional education programs in relation to the new tasks set for education. Thus, the school principals are usually teachers by education and qualification. Yet, there is a demand that school principals must take an in-service training course of 36 h every 3 years and for as long as they occupy their posts. The principals of municipality and state schools are confirmed according to the regulations of the Cabinet of Ministers. However, in the process of school accreditation, the demands to the school principals' professional qualifications are rather high, especially the abilities to carry out such functions as planning, organizing, evaluating, innovation, and communication. At the same time, the situations of schools and school principals may differ from municipality to municipality depending on their financial situations. Thus, the Riga municipality ensures rich opportunities for school principals' professional development, growth, and creativity.

Nevertheless, school principals have founded the organization, Association of Latvian Education Managers. In the beginning, the organization, which includes school principals and education managers practically from all administrative levels,

was concerned with various aspects of school management and development: innovations, discussions of current issues, and offering suggestions to the Ministry of Education and Science. Now the organization is acting as a trade union institution, but its work is still aimed at also promoting the introduction of new innovations in schools, the professional development of school principals, and the participation in various projects and discussions on education reforms in Latvia. Unfortunately, research on education management and school principals' work and qualifications is not on the agenda of this comparatively influential institution to offer suggestions neither to the Ministry of Education and Science nor school principals.

It could be concluded that little attention is paid to research on school principals, the various aspects of their work, and such issues as leadership due to the official situation in relation to their status in the Education Law, the qualification standards, and the criteria for recruitment.

The Structure of the Chapter and Research Methods

Over the last 10 years, there has been an increasing interest in research on school leadership in Latvia. The purpose of this chapter is to provide a review of published research on principals and principalship within a Latvian context from 2000 to 2012. The main criteria for selecting the publications were:

- The keywords: *principal*, *school development*, and/or *school/education leadership*
- The publications had to be reviewed
- The publications had to include theoretical and/or empirical research data

     Thus, according to the format, the selection of publications was as follows:

- Doctoral dissertations that were fully devoted to various issues relating to school principals and their work
- Dissertations in which data about some aspects of the principals' work could be found
- Monographs that were written on the basis of the research thesis
- Published refereed articles

Seven doctoral studies are included in the review. All of them are written in Latvian (LUIS 2006–2013) and with summaries in English. The other sources of literature were acquired from searches on the University of Latvia library database for scientific papers and books on principals and school leadership published between 2000 and 2012.

The research on school principals is of a different character:

1. Purely theoretical research by theoreticians – university professors and doctoral students (Zids 2002, 2003)

2. Integrated theoretical research combined with empirical research – by university professors and doctoral students (Upenieks 2008a, b; Celma 2006; Daiktere 2012; Lusena-Ezera 2011; Kalvans 2012; Lazdina 2013; Vebers 2012)
3. Empirical research – made usually by school principals describing their practice and experience (Jekabsons 2003; Spirge 2003; Gutmane 2003; Krucinina and Magdalenoka 2001; Neimane 2008)

Presentations in local national conferences were not included. There are cases when the same authors have presented their research results as a thesis and published articles in collections of scientific papers and/or a book. The sources used for the review included content elements in five areas, but, unfortunately, none of the sources were devoted to any of them individually:

– Historical and social construction of the position as school principal
– School leaders' experiences and practices
– Relationship between leadership and students' learning outcomes
– Action research on leadership experiences
– Impact of governing and accountability on school leadership

Research About Principal's Role, Work, and Leadership

Professor **O. Zids** is the first researcher into the issues of education management and the work of school principals in the new "era" in Latvia's education after Latvia gained independence in 1991. Though his doctoral dissertation was not connected with the abovementioned factors after being actively involved in various international projects in education, he devoted almost all of his research work to issues of the management of education, school principals, and the process of change. In his research, O. Zids is dealing with broad issues on educational policy changes and educational management, but he often touches upon school principals and leadership. In his publication, "Changes in Education in Latvia and Total Quality Management System" (2001), O. Zids describes the results of the research in which 39 university lecturers and students of the education management program were involved. The main conclusion is that these are the schools and school principals who carry out the real process of changes in education. This is especially true in those schools in which the various levels of administration are actively involved in educational development and education management projects that are offered by the EU as well as Nordic countries with strong democratic and development experiences: Sweden, Norway, Denmark, and Finland. O. Zids mentions the benefits gained in the projects that have helped school principals promote the process of educational change. These include the theory, methodology, and practical experience on how to work with projects at the school level, evaluate the results, work in teams, and use the results in the management of the process of change (Zids 2006b:8). In another paper, "Dialectics of Educational Changes in Latvia (in the context of education of school principals)" (2006a), O. Zids evaluates the existing system of education for school

principals and proposes two models for school principal development: module A that includes acquiring higher pedagogical education and further professional education and module B that emphasizes studies in a 5-year special professional study program for education managers.

The ideas about leadership and school principals in research on education management in Latvia appeared comparatively late. O. Zids is one of the few researchers who touched upon leadership issues. His research paper, "Paradigms of Changes and Leadership in Education" (2006), is a theoretical discussion about various understandings and interpretations of managers and leaders. Zids considers the appearance of the ideas of leadership as the shift of paradigm in education management. He points out the necessity for school principals to acquire the qualifications of a leader as an initiator of change and creator of humanistic and democratic traditions at their institutions. His main conclusion is that only a leader can ensure a sustainable development and management of changes in the school. Only a leader can make it possible to achieve good results in the work of the institution, implement changes, and favor the development of every individual and the institution as a whole (Zids 2006b: 13–14).

The greatest challenge in the change process for a school principal now is to become a leader of a learning institution. This is not an easy task as educators in Latvia grew up, studied, and worked in a totalitarian system, but now they have to promote democratic changes in educational institutions without having had relevant experiences, knowledge, and qualifications themselves. Zids is the one who stressed the specific features of development of education management and school principals in Latvia as a post-Soviet country where the context of crucial changes in all spheres of life and society influences the changes in education, its management, and the work of everybody involved in education, school principals included. Zids (2003: 212) underlined that during the period of high-speed changes, one should be aware of the changing mission of the institution, the role of the emotional dimension, the definition of the policy and its implementation, and the re-culturalization and restructuralization of the school into a learning organization to ensure lifelong continuous development and changes.

Structure and Management of a School

The first dissertation on education management was worked out by Z. Ozola (2002), called "The Development of the Structure and Management of Private Schools." Z. Ozola has been an owner of a private school for many years, which she founded. In this dissertation, the narrow meaning of education management, i.e., school management, is used, meaning school administration. Among other issues, I discuss the theory of the management of a school and also the characteristics of the school principal. The aim of the research was to reveal the development and content of school management in the context of a private school. Z. Ozola developed a theoretical discussion about the demands on the school principal and compared the

practices in various countries. Her conclusion was that the school principal is at the same time a pedagogical leader and an organizer of the work of the school. At the same time, Z. Ozola described the functions of the school administration rather than the school principal. The dissertation, in fact, can be called a case study on how a private general education school is organized and what the roles of the school principal and the staff are in this process. As the school under discussion is one of the first private schools, there are some conclusions that can be of importance for other newly founded schools, especially the developmental stages that were pointed out and described, the way to establish relations and attitudes among various levels of the staff at school, the roles of the team, and the quality evaluation of the process of work and development.

The four stages of the content development model of the school are an important innovation for the context of Latvia. Z. Ozola also points out that an optimal model of cooperation as a basis for successful development includes four qualities of the school managers: the competence of interpersonal relations, the competence of the open system, the competence of inner processes, and the competence of the defined goals. The competence of cooperation finds its reflection in the combination of the other three competences.

The Role of the School Principal in the Transition Process

The dissertation by D. Celma is called "The Managers' Responsibilities in the Transition Process of Latvia's Primary and Secondary Schools" (2004). Her thesis is the first dissertation dealing with the activities of the school principal and his/her role when managing the school as an organization in the processes of change from the previous authoritarian Soviet education system to creating a democratic school. This dissertation is an interdisciplinary research work that seeks to address questions about how to manage schools as educational institutions in the change process and what management style is most successful in the change processes. One of the research tasks was to find concepts and approaches that would help the school principals cope with changes in education. In the research, both qualitative and quantitative approaches were used, including case study, the use of questionnaires, and qualitative analysis of the research results and their interpretation.

The main theoretical conclusions are that the change process in the society created by economic, social, and political forces is chaotic, but in education changes can be managed and their influence can be directed toward positive or negative developments. The school principal in this process has a significant role, which demands certain qualifications such as the ability to evaluate the influences of the outer environment, to develop a new understanding of the school as a learning organization that is able to change, to develop a new structure and management model, and to concentrate attention on the needs of and relations among the staff. D. Celma argued that there must be a new management model based on people's behavior and that the manager's personal authority that finds reflection in his/her

management style is a factor that positively motivates the teaching staff, thus improving the overall teaching environment (Celma 2004: 27). The author's ideas about the staff understanding the changes in the aims of education, the shift from the vertical management structure to horizontal structures, and the involvement of the staff in decision-making and the whole management process are new and very important for changes at schools and in education in general toward starting democratization of education and society in Latvia. The great number of respondents (288 school principals and 1716 teachers) is a good basis for making more or less general conclusions about the situation in education in relation to schools, education management, and the role of school principals in the change process and about specific theoretical approaches in education management in post-Soviet countries. D. Celma's theoretical and empirical findings have raised a great number of issues that are important to manage the change process in education in a situation when crucial changes are taking place in the society and the state in general, i.e., when the social structures of the state have changed.

Celma's dissertation offers an insight into school principals' responsibilities and roles in a complex situation where changes are taking place not only in politics, economics, society, and culture but also in all aspects of education: education in general, laws, regulations, theories on education, responsibilities, roles, institutions, and the management of education. All of the changes are occurring very fast, and they often seem chaotic and take place simultaneously. D. Celma analyzes the results for the manager's personal influence, the management style, and the involvement of teachers in the process of change. She also describes the manager's personal influence on the development of the institution by involving all staff in undertaking a shared responsibility for the process of change and its result.

School Principals and Their Education

Another dissertation by A. Upenieks (2008a, b) focused on young principals: "The Training and Adaptation of New Principals of Education Institutions for Work in Education Institutions." In his early research, 2000, 2003 and 2004 A. Upenieks paid more attention to formal criteria of becoming a school principal, especially stages of beginning the work and the characteristics of these stages. The basic activities described were those dealing with formal tasks such as school documentation, law, technical and material issues, suitability of the staff, their responsibilities, education, and contacts with municipalities. The basic theoretical sources were the Ministry official documents, including various regulations, instructions, and informative letters. In the process of the development as a researcher, A. Upenieks started to pay more attention to the competences that are important to make principals' work successful.

The aim of A. Upenieks' research was to identify the problems of educating principals at the initial stage of their work, design a conceptual model for the education of school principals, and on the basis of the theoretical and empirical research work out recommendations for the procedure of recruiting principals and ensuring support and assistance during their induction period. The theoretical conclusions are

based on the comparative analysis of scientific literature, documents, and experiences of various countries, including Latvia. Case studies as well as opinion polls and expert evaluation were used to get empirical data involving a considerable number of respondents: 361 school principals (out of 993), 20 participants in an in-service training program, 8 experts, and 4 education managers at various education system levels. The significance of the research lies in designing the conceptual model for the education of principals, defining the competences of principals in the new economic era under the circumstances of sociopolitical and economic changes, and revealing the content of such concepts as "education of principals of educational institutions" and "learners with extra needs." A. Upenieks defined three stages in the novice principal's work: adaptation, individualization, and integration. He described induction as the most difficult period, as it includes socialization. In his research, A. Upenieks proposes that alongside competences for the management of resources and economic issues, the school principal needs competences in working with people, such as communicative, motivational, and psychological support. On the basis of the analysis of theoretical sources, various documents, and the experiences of school principals in Latvia, A. Upenieks concludes that in Latvia principals need the following competences: knowledge of jurisdiction of school matters, work with personnel, communication on all levels, team building, selection of personnel, quality management, pedagogy (values education, interactive teaching/learning, social and special pedagogy, the latest developments in theories and practice, and economics), labor market needs, economics, and budget issues. As a result of the empirical research, it was found that 60.8 % of principals knew little about the job when they agreed to take the posts. The main conclusions from the opinion poll on the principals' education were as follows:

– There must be an education program for all those who would apply for the job that is followed by systemic in-service training during the following years on the job.
– It is necessary to work out a handbook for principals.
– The laws and regulations of the education system should be aligned with the needed changes in education and the appointment of principals.

On the basis of theoretical and empirical research, A. Upenieks worked out a system of recommendations for the Ministry of Education and Science of the Republic of Latvia for the development of a module of education of principals, for regional education boards about the procedure for engaging principals, for the applicants to the post of principals, and for the new principals. Thus, the research may have a significant influence on various aspects in education management.

School Principals and Teamwork

The dissertation "Teamwork Principles in the Management of Comprehensive Educational Institutions in Latvia" is a research carried out by I. Ezera-Lusena (2011). In her doctoral thesis, she explores the development and change of general

education schools in Latvia where teamwork and school staff involvement in the management of general education schools is one of the main preconditions for the process of change to be successful. The author investigated how theoretical principles of teamwork, cooperation, communication, and trust can be turned into practice in daily work. For this it is necessary that the school management and all staff not only understand and identify it as the basis of their everyday work on a theoretical level but also feel a need for mutual cooperation, communication, and trust in each other in all activities. I. Ezera-Lusena explored how the teamwork principle is implemented in Latvian general education schools through the action of school principals directed toward creating an environment in which teamwork was possible. A total of 199 principals of various regions in Latvia and 460 school staff members from various groups in the Liepaja region (case study) were surveyed. The author describes the characteristic of a school principal as a leader and states that only with such a personality is the principal able to create an environment for teamwork development. It is important that the activities of the principal of the school are aimed at sustainable development and improvement of educational institutions as well as responsive to the demands created by changes I. Ezera-Lusena stated that in the process of rapid changes, there are some key preconditions for successful implementation and advancement to sustainable development of the school. Certain qualifications of the school principal are most important:

– Ability to organize teamwork
– Understanding of the need for mutual cooperation, communication, and trust
– Demonstration of attitudes and behaviors the principal anticipates from the staff of the school
– Understanding of the environment of the school where the employees feel valued and supported and are motivated to work better

The research shows a connection between teamwork principles that depend on the school principal, school staff involvement, the school culture and pupils' learning achievements, and their connection with the school type. The four major conclusions of her dissertation are as follows:

– A higher level of application of the teamwork principles can be achieved in an environment oriented toward building a positive atmosphere at school.
– Interrelations between the school culture, involvement of the staff in school management, use of the teamwork principles, and the personal relationships of the staff and their significance are determined by the school type.
– Comprehensive application of the teamwork principles, involvement of the staff in the management of the school, the school culture, and involvement of the entire personnel in culture building and staff relationships are conditions required to ensure a sustainable school development.
– Directing the activities of school principals toward the use of the teamwork principles (cooperation, trust, and communication) and improvement of the school culture as part of the management of the educational institution influence the pupils' learning achievements.

Though the focus in the dissertation is on development of teamwork at schools and not particularly on the school principals' qualifications and activities, this research reveals the role of the school principals in the change process as well as the demands of their qualifications, which is significant as these aspects have not been previously discussed in any research.

School Principals and Improvement of the School Culture

School leadership was the main focus of I. Daiktere's (2012) doctoral thesis, "The role of general education schools' heads in the school culture improvement process in Latvia." In her research, she explores the role and activities of Latvian general education school principals' daily work. The theoretical discussion of this research concentrates on exploring how leaders can influence the process of school culture formation and how to take part in it in a structured and purposeful way. On the one hand, school leaders can and even must take an active role in strategic planning of a school's future and its implementation. On the other hand, this approach has been criticized as manipulative and outdated as teamwork and participative leadership are claimed to be more modern and therefore more appropriate to school leadership. Principals affect students' learning indirectly by increasing teachers' motivation, creating a sense of support, improving working conditions, and working on school culture. School effectiveness research indicates that educators are expected to work purposefully to assess the existing values, beliefs, attitudes, and behavioral patterns of the staff that are linked to teacher performance and student learning or to improvement of the school and classroom culture. The empirical research was carried out in two stages: 357 general education school principals in Latvia took part in a survey along with a case study of five general education schools. Schools were selected to represent the "best practice." A total of 636 respondents (211 students, 152 teachers, 103 parents, 92 alumni, and 78 nonteaching staff members) represented different groups of a school community to ensure the data's triangulation.

All questions on the questionnaires were formulated in a way such that the answers from different groups could be compared. They covered seven scales: (1) general data about each respondent, (2) human resource management, (3) public relations and school image, (4) various aspects of communication, (5) school culture, (6) the process of change, and (7) roles and responsibilities of stakeholders. Multiple methods and perspectives were employed to achieve an in-depth understanding of school culture improvement and the principal's role in it. The five major conclusions of the empirical research are as follows:

– General education full-time school principals in Latvia perceive themselves as the key persons in the process of school culture management.
– General education full-time school principals in Latvia do not use human resource management techniques systematically as they have no skills and require special training for it.

– Communication in schools is still realized in more traditional ways, i.e., in oral forms of communication with different sizes of groups and in written form as leaflets distributed in the staff rooms. This study demonstrates that electronic communication was rarely used in a respondent group or at least was not used systematically in the assistant staff group. For communication with the social community groups of schools, school principals prefer informal communication, using internal and external communication equally often and rarely using electronic communication.
– School principals select teachers and pupils' parents for communication as the main target group about the goals of the desired policy, but communication with the pupils' audience, they delegate to teachers; therefore, the information can vary, and to limit it, development of the school handbook is highly recommended.
– Mainly regional advertising is used for schools' public relations with society and the creation of the school's image. Schools face the need to build public relations; however, the pedagogical background of school leaders limits skills and knowledge needed for professional performance.

I. Daiktere's theoretical and empirical findings raised issues regarding school principals' commitment to becoming leaders. All school principals in Latvia must have a diploma in education but not specifically in leadership and management. Therefore, principals feel comfortable in communication with the school's community and some aspects of public relations, at the same time showing no interest and competencies in human research management and induction. There is still an insufficient amount of literature on school culture in Latvia that could be used for individual studies.

School Principals and Education Quality

The aim of R. Kalvans (2012) thesis, "The Role of School Principal in Education Quality Assurance in Latvia," was to analyze school leadership practice and its evaluation based on a sample of 166 of the participating Latvian schools in the OECD *PISA 2006* main study and to find solutions and provide recommendations for the assessment of quality of the principals' work of a general education institution. The research question was: how does the principal influence the quality of the education process and the result? The quality of education was expressed by the results of Latvian schools in international comparative research. Kalvans tried to find several correlations, such as between aims and objectives of the institutions, management of human resources, the management of the teaching/learning process, decision-making strategies, and student success in the OECD *PISA 2006*. Kalvans is the first in Latvia to analyze the role of the principal in education quality indicator groups and quality assurance. The basic instrument used for measuring management in the research was the translated PIRLS. The empirical basis for the

measurement in this work is the European education quality indicators and the international instrument information. The data were taken mainly from various national statistical sources. Though the main keywords were "school principal," the bulk of the description of quality assurance was devoted to the correlation between the results of the comparative educational research and the national examination. The findings demonstrated that the principal's role is seen in his ability to facilitate professional development of teachers, motivation of teachers, monitoring students' achievement, and usage of new teaching/learning methods. The findings also proved that the school principal had direct and significant impact on the formation of the learning environment and school microclimate. Kalvans found correlations with the principals' qualitative work in such spheres as monitoring of the teaching/learning process, facilitating professional development of teachers, and motivating teachers' and students' achievements, as stated in international comparative education research. Among general conclusions, Kalvans mentions that the favorable atmosphere of an organization means the coexistence of values, norms, and attitudes in a certain physical environment that is ensured by the principals' ability to show good fellowship, solve problems, and take care that everyone is satisfied with his/her role in the institution. It was stated that most of the problems in schools depend on the principal. Up until 2012 in Latvia, there have not been any studies analyzing the role of the secondary (general or vocational) school leaders in education quality indicator groups and in school evaluation processes. In this study, a wide range of school-level data are summarized and analyzed, thereby obtaining comprehensive characteristics of the institution (school) in the context of the education process and its results. The data are compiled from a number of information systems and documents, selecting and combining them in order to create a complete picture of indicators of education quality, especially about school principals and their role in the overall quality evaluation system. Research provides a wide range of national data, which covers the four indicator groups used in Latvia: the international comparative studies, state examinations, school accreditation (evaluation), and the annual national statistical data in education.

Learning Culture and Improvement of Educational Institutions

The dissertation "Learning Culture and its Improvement in Comprehensive Educational Institutions in Latvia" is by S. Lazdina and is still scheduled for its defense. In her doctoral thesis, S. Lazdina explores various aspects influencing students' learning outcomes. Her aim is to highlight that leadership and management is overrated and socioeconomic background and instruction is much more important and needs more attention in Latvia.

For data collection, four different research methods were used, which on the one hand give a better understanding of practices and the existence of options and on the

other hand make it possible to implement a data reliability test. Observation was initially carried out to select the respondents in preparing other data-gathering tools, such as interviews. Later observation was used to obtain information on existing practices in the classroom and school. In total, 38 different kinds of situations were observed and recorded. The method chosen also indicates that the study included ethnographic research elements. Semi-structured and unstructured interviews were used with the aim to identify the school staff and student perceptions of learning and its influencing factors and barriers that limit opportunities to learn. Semi-structured interviews covered four themes that characterize the different agents' perceptions about the role of schools, teaching and learning, such concepts as "good" teacher, "good" student, "good" class and the opposite of "right" school administrators, parents, support staff, etc., and opportunities to promote student learning and assessment. Unstructured interviews or conversations were used to complement the interpretation of the observations, documents, interviews, and lesson materials. In total, 46 people were interviewed (administrative staff, teachers, students, and assistant staff).

During the research, different types of documents were analyzed, which can be divided as follows: school operation (plans, regulations, etc.) and statistical data and official documents on learning and access to education (public, individualized) such as Strategic Development Plan by The Cabinet of Ministers. In addition, official interviews and speeches published in newspapers or on the various webpages were collected and interpreted. A case study was carried out in three and a half months in 2009–2010. Despite the extensive empirical data, after a thorough data analysis, the researcher decided to organize in addition five semi-structured focus group discussions of 42 professionals (teachers and administrators) from 18 different schools (Latvian or Russian as to the language of instruction): public and private; elementary, secondary schools, and gymnasiums, and schools with special education programs.

The author concludes that various aspects of school life and students' background are important to establish healthy learning environments. The first group of factors can be described as mental models or dispositions of students about learning and their identity in particular. Nevertheless, teachers' identity and perceptions of his/her role are key factors in determining success in education. Although identity is perceived as a rather stable characteristic of a person, leadership style and school culture can shape it to the extent that teachers feel congruent with their assumptions and beliefs about teaching and the role of a teacher. It is also clear that relationships and collaboration between a school and a family are important to provide a strong basis for teaching and learning, resulting in students' achievement. Particular attention shall be paid to the allocation of financial resources and hiring tutors, as well as how it relates to formation of unequal chances for learners.

The author suggests that education policy and management in Latvia needs to be reassessed in order to give more freedom to teachers and to support their professional identity.

Other Research

The majority of researchers and lecturers in the field of education leadership and management are involved in individual research work, the results of which are published in scientific papers of universities, the most active of them being the University of Latvia, Riga Teacher Training and Management Academy, Liepaja University, and Rezekne University. At the same time, the number of publications remains small. The majority of authors have finished their dissertations, as there is a demand in Latvia that the author of the dissertation must have a minimum of 3–4 papers published on the main findings and conclusions in internationally refereed journals. Thus, the names and themes of the publications are already mentioned above in the description of dissertations. Besides them, the more visible authors are O. Zids, E. Vebers, and I. Muzis.

Some of researchers take part in various research projects. Among them, more visible findings have been presented by I. Daiktere and E. Vebers, who took part in a small-scale research project on the readiness to become school leaders of assistant principals of general education schools, funded by Riga Teacher Training and Management Academy in 2011 (Daiktere 2012; Vebers 2012).

The majority of school principals in Latvia have been leading a school for 15–30 or more years and will retire in the following decade. Both organizational contexts and administrative decisions are characterized as having routines, challenges, and dilemmas, requiring competences and a clear vision of what it means to be a leader. With a large number of principals retiring in the near future in Latvia, there is a concern as to whether the present assistant principals could take their posts and lead schools using professional knowledge, skills, and qualities. Experience shows that very few of them apply for a principal's post. A few educators in the field of public education are beginning to perceive a growing need for the effective professional development of assistant principals in the public schools. Little research, however, has been carried out to see what assistant principals think about the areas in which they believe they need training. In Latvia, it is widely accepted that school principals are recruited through the public sphere where the main criteria are as follows: a teacher's qualification and work practice for at least 3 years. In order to become a school leader, the assistant principal's psychological readiness is important as it provides motivation and self-confidence.

The data were collected from 256 general education school assistant principals in Latvia. They anonymously filled in a specially developed questionnaire in autumn 2011. Descriptive statistics and correlation analysis were applied. The results of the research show that the readiness of existing assistant principals of general education schools in Latvia to become school leaders is low. No more than 20 % of the respondents reported interest in becoming principals, arguing that their professional competences in various areas, especially human resource management, budgeting, and legal matters of leadership are not developed to a desirable level. In order to objectively assess their psychological readiness, the assistant principals need to lead

a school for a longer period of time, thus getting acquainted with the responsibilities and exercising them effectively. As the data show, only 7 % of respondents replaced the principal for 6 months or longer. The empirical data from the study show that very few assistant principals are interested in leadership, as only 12 % reported willingness to be assistant principals themselves. In this group, there is a high ($r = 0.8$, $p < 0.01$) correlation between the willingness to become an assistant principal and applying for a school leader's post. A total of 80 % of the assistant principals do not want to change their position as they consider the teaching profession more attractive and suitable to them.

As the major issues that new school leaders could face, respondents indicated knowledge in legal, psychological, and human resource management matters. The views expressed by respondents should be treated as their points of view or opinions, not necessarily based on their personal experience, as only 7 % of respondents had been a principal of a school for 6 months or longer.

The empirical research carried out by school principals' deals with the situations in their schools as case studies and, as a rule, includes theoretical studies and gathering and analysis of empirical data. The numbers of respondents are usually small, and mainly qualitative descriptions and interpretations are applied. Yet, this tendency of principals to carry out research shows that changes and improvement of education quality have better results in schools where the principals and/or the members of staff are able to carry out action research and are able to introduce research results in the improvement of school management and the school in general (Zids 2003).

When reviewing the articles reflecting research findings on various aspects of the work and professionalism of school principals, several domains can be distinguished:

– Educational ideas in school development (Zids 2001, 2003, 2006a; Celma 2004)
– Qualities and competences of school principals (Upenieks 2006; Daiktere and Golubeva 2008)
– Roles of school principals in school development (Neimane 2008; Daiktere and Golubeva 2008)
– Interrelations between the school as an organization, teachers, and the school principal in the learning process (Celma 2004)
– Terminology on school management and school principals (Zids 2006a; Daiktere and Golubeva 2008)
– Meaning of leadership in school development and school as a learning organization (Upenieks 2008a, b)
– How to become a leader (Upenieks 2008a, b)
– Distributed leadership (Lusena-Ezera 2011) and teamwork in school management (Lazdina 2013)
– Quality assurance in education in connection to leadership at school (Kalvans 2012)

Summary (Analysis of the Research and What Is Missing)

The period from 1991 to 2000 was not rich in research in education in general or in education management and school principals in particular. It was a period of crucial changes and very active learning of democratic experiences of the Western countries. This was even more so in the situation where the researchers themselves had to undergo changes and introduce quite different approaches, research methods, kinds of research, and the whole research process; more time was needed for researchers of all kinds to learn and acquire a totally new and different paradigm for research. Thus, in fact, the period from 2000 up to now can be considered as a starting point for gaining speed in activating research in education for which it is important for researchers to gain a certain amount of experience and develop mastery. On the other hand, the changes were so quick that often research could not be finished, and it ceased to be relevant because the situation was already different.

Though about 20 years have passed since gaining independence, developments in education and educational research in Latvia are still rather complicated. First of all, the background of previous experiences is still felt, and at the same time rapid changes in economic, social, and cultural life, and in education in particular, make it difficult to create a clear framework for research in education. Secondly, the shift from what was learned and demanded in the Soviet era to new ideas, structures, and cultures in education and research in education in particular is slow and gradual. In fact, a new paradigm had to be discovered in education research in a situation of transferring from a totally authoritarian administration of all aspects in education research to free, meaningful, and comparable research in the context of a democratic international community. The shift of paradigm finds reflection in several aspects:

The Choice of the Research Problems On the one hand, research topics are now inspired by new ideas, educational practices, and experiences of the researchers themselves (all researchers under discussion are working in the field of education/ education management); on the other hand, the research outcomes and recommendations worked out on the basis of findings can be implemented in practice. This is one of the features of present research on education in Latvia. The problems researched in dissertations under discussion are important for ensuring the shift of paradigm in education management in Latvia; the way to deal with them could be of value in all post-Soviet countries with a common background: school development, new school management models, and new roles of principals (D. Celma):

– Characteristics of the new paradigm in educational management (O. Zids)
– Development and work of school management teams (I. Lusena-Ezera)
– Qualifications of school principals and their professional development (A. Upenieks)
– School culture and environment (I. Daiktere)
– School principals' influence on the learning culture (S. Lazdina)
– School principals' influence on education quality assurance (R. Kalvans)

The Change of Concepts There continues to be confusion about the meaning of several concepts used to describe education management issues that finds reflection also in the research under discussion:

– In the Soviet era, traditional school management was understood merely as administration and school principals as administrators, including responsibility for everything that takes place at the school, representing the school, planning and using financial resources, and monitoring activities without getting involved in the professional pedagogical issues of the school. Even today, various meanings of "school director" are used interchangeably: manager, administrator, and director.
– At the same time, some previously used words have acquired different meanings: e.g., cooperation, management, and democratic school.
– Completely new phenomena connected with school life and school principals appeared, such as school development, shared responsibility, teams and team building, team management, school as organizations, learning environment, and leader and leadership.

– These concepts have come from Western theoretical sources and research and collaboration in international education projects to Latvian researchers and educators. The novelty in research in Latvia lies in the fact that they are introduced together with their meaning in the specific post-Soviet context.

Appearance of New and Different Kinds of Research First of all, now there is a tendency to carry out multi- and interdisciplinary research instead of the narrow, one-discipline research typical in the Soviet time research. Secondly, such kinds of research as action research, case studies, ethnographic research, and mixed-methods kinds of research are becoming used more often than traditional positivist ones that were based on various kinds of experiments including large numbers of respondents rather than action research. Gradually, researchers are getting used to open research projects rather than closed ones.

Research Methods and Methodology In the Soviet era, the only research that was recognized was pure quantitative research methods and methodology based on Marxist–Leninist and communist theories as background. The first researcher who started to use various research methods and approaches was O. Zids, namely, with observation, interviews (structured and semi-structured), case studies, and experience description. His strength is the ability of interpretation that was completely new for researchers as well as a critical analysis of events and behaviors, understanding of links and interplays of the society, and education in general and education management in particular. He introduced the shift toward qualitative aspects in research and mixed-method approaches, strengthening of the role of interpretation. At the same time, although there is a tendency to use more qualitative and mixed-method research in all areas of education (Daiktere, Celma, Lusena-Ezera, Lazdina), this approach often meets difficulties and criticism and is considered "not scientific."

At the same time, greater attention is still paid to quantitative data, descriptive statistics, linear regression models, correlation variance analysis, and factor analysis methods (Kalvans, Upenieks).

It can be concluded that the little attention that is paid to research on school principals, various aspects of their work, and such issues as leadership is due to the official situation in relation to their status in the Education Law, the qualification standards, and the criteria for recruitment. Research on school principals and education management and development is not an official priority of education authorities in the country. There are some research institutes dealing with research in education, but this has been the initiative of only some universities. The University of Latvia has two institutes: Institute of the Faculty of Education, Psychology and Art and Institute of Educational Research. In Liepaja University, there are also two institutes: Institute of Educational Sciences and Institute of Management Sciences (established in 2008). In Riga Teacher Training and Management Academy, there is the Management and Leadership Research Centre (est. in 2011).

There is no financial support from the state for these institutes; they exist from various projects that they have to develop and get approval for. The only institute with a more or less regular financial support is The Scientific Research Institute of Education Sciences at the Faculty of Education, Psychology and Art of the University of Latvia within the framework of OECD research. The research on school management issues and on the issues related to school principals is not the priority of these institutions either. There have not been special research projects in relation to schools as institutions nor educational management and school principals. Though there is a special doctoral program in education management at the University of Latvia, the research on school principals is the initiative of individual researchers and doctoral students. Their interest in doing the research in this area has been inspired by various factors:

– Participation in international projects in education, initial teacher education, teachers' in-service education, and school development
– Close and continuing cooperation with the Nordic countries and influence of the research directions in these countries
– Participation in international conferences, especially ICSE, ENIRDEM/ ENIRDELM, and finding partners and common interests
– Guest lecturers from various countries, especially Nordic countries, the United Kingdom, and Czech Republic

The researchers chose the issues for their research linked with their everyday professional experiences, and not all researchers continue the work after the defense of the doctoral degree.

The developments toward better quality and reforms in education could be faster if the research on education management and school development had a more strategic, coordinated, and systemic approach.

The main weakness in the research work in education in general, including research on school principals and leadership, is that it is rather fragmented and not systemic, as there are too many problems that need to be explored and too few

researchers. Cooperation and discussions among researchers and research institutions in the country and in international research communities could be significant factors of promoting a more serious approach, activity, and attention to research in education management, school principals, and leadership, the more so that the situation and developments in education in post-Soviet countries offer many challenges and opportunities for research.

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Chapter 9
Poland: Contemporary Research on School Principals and Leadership

Joanna Madalińska-Michalak

The Polish community and other former socialistic states which broke with the old regime and followed the path of democratization and decommunization have witnessed massive social, economic, and political changes.[1] These dramatic changes at the end of the twentieth century stimulated policy makers and citizens to examine more deeply the goals and purposes of the educational system in Poland and have led to the establishment of a new law for the educational system and introduction of a far-reaching reform program of the educational system. Emerging new demands have led to analyses of the governance of schools, principal roles, and responsibilities; the relations in schools and, beyond them, the work of school principals and teachers related to the quality of education are provided in their schools.

The presented research overview of the studies on school principals and leadership in Poland covers the period from 2000 to 2012, and it is preceded by the brief characteristics of the school system and its reforms, as well as school principals and their role in relation to current national policy and the school system in Poland. The

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[1] The year 1989 was a crucial year in the contemporary history of Poland. After the agreements of the so-called "round table" resulting from the negotiations between the representatives of the opposition and the representatives of the ruling government, the first partially free parliamentary elections took place in June 1989. The first totally free and democratic elections were held later, in 1991. A dynamic period of political, social, and economic transformation began in Poland. The rebirth of parliamentary democracy led to the creation of many political parties and the development of independent mass media. The decentralization of public authority continued along with the local reform. The introduction of the market economy limited the State intervention in the economy and initiated restructuring and privatization processes. In the 1990s, Poland entered the path leading to integration with Western European countries. In 1991, it became a member of the Council of Europe and concluded the Association Agreement with the European Community, which was ratified by the European Community in 1993. Poland became a member of the OECD in 1996 and the North Atlantic Treaty Organization (NATO) in 1999. On 1 May 2004, Poland became a member of the European Union.

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research overview is thematic and includes examples of major research findings. In summary of this chapter, the existing strengths in contemporary research on school principals and leadership and important areas currently not examined in Poland are highlighted. This could form the basis, as I assume, for giving direction to the future research efforts in the field.

The School System and Its Current Challenges

A comprehensive reform of the whole education system in Poland began as late as the 1990s, as the Polish education system moved from the emphasis on vocational education and training that prevailed under communism to an education system that aimed to equip its citizens with a more rounded education that would enable them to adapt to a rapidly changing world.

The main legal basis for the school education and higher education systems is provided by the Constitution of the Republic of Poland of 1997. Its provisions are referring to fundamental freedoms and citizens' rights state that every person has the right to education, and education is compulsory until the age of 18. Education in public schools is free of charge. Parents are free to choose schools other than the public schools for their children. Citizens and institutions have the right to establish primary, lower secondary, upper secondary, and post-secondary schools and higher education institutions, as well as childcare centers. The Polish school education system is based on the following legislation (parliamentary acts):

- *Ustawa o systemie oświaty z dnia 7 września 1991 roku z późniejszymi zmianami* (The School Education Act of 7 September 1991, with further amendment*s*)
- *Ustawa z dnia 8 stycznia 1999. Przepisy wprowadzające reformę ustroju szkolnego* (The Act of 8 January 1999 on the Implementation of the Education System Reform)
- *Ustawa Karta Nauczyciela z 26 stycznia 1982 z późniejszymi zmianami* (The Act of 26 January 1982 Teachers' Charter with further amendments)

The School Education Act of 7 September 1991 (with further amendments) regulates the division of competencies in the field of administration of each school (preschool institution) according to different state administration levels (central, regional, local). The reform of the state administration system and the education reform assume that only the national educational policy will be developed and carried out centrally, while the administration of education and the running of all types of schools, preschool institutions, and other educational establishments are decentralized. As a result of these reforms, from being a centrally planned, hierarchical, and closed educational system, it has been transformed into a more open and highly decentralized system of governance. Each school is administered locally and possesses a high degree of autonomy. The responsibility for the administration of public kindergartens, primary schools, and gymnasia has been delegated to local authorities (*gminy*). It has become the statutory responsibility of *powiaty* (districts)

to administer upper secondary, artistic, and special schools. The regions (*wojewódz-twa*) have a coordinating function, supervising the implementation of the Ministry's policy and being responsible for pedagogical supervision. The Minister of National Education coordinates and carries out the state education policy, partially supervises the work of education superintendents (*kuratoria*), and cooperates with other organizational bodies and units in the field of education.

The Act of 8 January 1999 on the Implementation of the Education System Reform introduced a new structure of educational system. As a result of the reform, the primary phase was shortened (from 8-year primary school to 6-year primary school), and a new intermediate/lower secondary stage was introduced: a 3-year compulsory school called *gimnazjum* (gymnasium). Thus, all students would study a common curriculum – including courses in reading, mathematics, and science – until they turned 15. This provided an extra year of academic studies for those students who otherwise would have spent that year in vocational training. Compulsory education was prolonged and now lasts from the age of 6 to 18. In accordance with this reform, the school system now comprises kindergartens, primary schools, lower secondary schools (*gimnazja*), and upper secondary schools. In light of the existing law, institutions of higher education form a separate higher education system or sector.

The external evaluation system in compulsory education consists of the following external standardized tests and examinations:

1. At the end of the 6-year primary school (age 13) – a general, obligatory test with no selection function that provides pupils, parents, as well as both schools, i.e., the primary school and the lower secondary school, with information about the level of achievements of the pupils.
2. At the end of the 3-year lower secondary school (*gimnazjum*; age 16) – general, obligatory examination, the results of which are indicated on the lower secondary school graduation certificate. This examination checks abilities, skills, and knowledge in the fields of humanities and science and a foreign language.

The results of the test together with the final assessment of the pupils' performance determine admission to upper secondary schools. The number of points indicated on the lower secondary school graduation certificate (based on the results achieved in specific subjects and other achievements), including the points received at the lower secondary school examination, decides about the pupils' admission to upper secondary school.

The reforms in the school system implemented in the 1990s completely changed the organization of education process, the school structure, as well as the way of operation and material basis. The period of 2000–2010 was undoubtedly a time of stabilization for the school system in Poland, as far as its financing and division of governance competencies between state institutions and self-government bodies. After landmark decisions taken in the 1990s concerning transferring running kindergartens and schools to self-governments and fundamental reforms of educational institutions and the remuneration and teacher employment schemes, the first decade of the twenty-first century was characterized by the evolution, rather than revolution,

of changes which concentrated on working out practical solutions within the existing system.

International education surveys show outstanding progress in learning outcomes at the end of compulsory education: Polish pupils' achievements at this level of education are currently classified in PISA above or at least at the average level among the most developed countries cooperating within the framework of the EU and OECD (see: OECD 2001; OECD 2010). The achievements of Polish education coexist with deep decentralization of the management of the education system. Repressed before the transformation of the political system, the organizational and financial potential was unlocked after 1989. Poland has achieved one of the best results in Europe in terms of participation of young people aged 15–24 in education at the ISCED 1–6 levels (from primary education to doctorate programs), the number of young people holding upper secondary qualifications, and the reduction in the number of early school leavers, which is one of the measurable objectives of the strategy Europe 2020.

The stabilization of the school system does not mean that all fundamental management problems of education in Poland have been resolved. Quite the contrary, in the next years, Polish school system must face very serious challenges which to a great extent result from inadequacies of the reforms introduced in all the period of 1990–2010. These inadequacies are felt strongly by principals, teachers, pupils, parents, and local self-governments. One of the examples of such an inadequate reform is the reform of the pedagogical supervision system (Madalińska-Michalak 2014; NIK 2012). The current arrangements within the pedagogical supervision system were put in place during the school year 2009/2010 by the Regulation of the Minister of National Education of 7 October 2009 on pedagogical supervision.

School Principals

New contexts in which schools operate draw researchers' attention toward a principal as one of the main individuals co-creating a school. The legal status of a principal in Poland is determined, among others, by the following documents:

- *Ustawa o systemie oświaty z dnia 7 września 1991 roku z późniejszymi zmianami* (The School Education Act of 7 September 1991 with amendments)
- *Ustawa z 26 stycznia 1982 r. Karta Nauczyciela z późniejszymi zmianami* (Act of 26 January 1982, Teacher's Charter with amendments)
- *Rozporządzenie Ministra Edukacji Narodowej z dnia 27 października 2009 r.* (Regulation of the Minister of Education of 27.10.2009: Concerning requirements for the position of school principal and other managerial positions in various types of public schools and different kinds of public institutions)

Selecting the right candidate for principalship is crucial, and many different criteria must be considered when appointing him or her. In Poland, school principals are recruited on the basis of an open competition and employed by the body running

schools for 5 years. One of the abovementioned regulations (Regulation of the Minister of Education of 27.10.2009) set the official requirements expected of those wishing to become school principals. Applicants for the post of a school principal, from pre-primary to upper secondary education (ISCED 0, 1, 2, and 3), must have (1) teaching qualification; (2) a special training for principalship, which takes place subsequent to initial teacher education and qualification as a teacher; and (3) a minimum period of 5 years' teaching experience.

On the basis of publicly available data, taken from the educational information system (see www.cie.men.gov.pl), we can say that a statistical Polish principal is 48 years old and is a woman – women account for 76 % of all principals and directors of educational units. The participation of women in school management positions depends on the type of schools. Women are often overrepresented as principals of primary schools, where they constitute 78 % of all principals at this level of education. This percentage, however, declines rapidly at the upper secondary education level, where we can find no more than 58 % women in principal positions. A statistical principal has 26 years of professional experience. Half of the principals have occupied their posts for more than 8 years, and one in three shorter than 4 years. The majority of principals run schools in which they earlier worked as teachers. A school in which a principal works is usually his or her first place of employment (32 %) or the second one (34 %) (Jeżowski and Madalińska-Michalak 2015; Więsław 2011).

A school principal – according to tasks and duties determined in Articles 39–43 of the Act of the Education System and in Article 7, Section 2 of the Teachers' Charter – plans, organizes, manages, and supervises a school. A principal is a representative of education administration, and thus, he or she is responsible for performing tasks and duties resulting from the state educational policy. A principal is an employer for other workers at school. The main tasks of a principal are as follows:

– Managing the school's activities and representing it externally
– Performing pedagogic supervision
– Looking after pupils and providing background for their harmonic psychological and physical development
– Organizing and implementing the tests and examinations in a school
– Implementing resolutions of the Teachers' Board within their competencies
– Managing the school's budget, using financial resources determined in the school's financial plan, and taking responsibility for these resources
– Employing and dismissing employees
– Cooperating with higher education institutions and teacher training centers in organizing teacher trainings

Principals' special tasks and duties are described in secondary legislation, i.e., executive regulations for the abovementioned acts. The analysis of the main and detailed tasks a principal faces shows that apart from taking administrative decisions (application of administrative law and decisions referring to administrative law which can be appealed), he or she takes a lot of praxeological decisions, which are not decisions invoking the norms of administrative law. This kind of decision

mainly results from carrying out those tasks which are linked with management and leadership focusing on improving schools' administrative aspects. The Regulation of the Minister of Education of 7.10.2009 on pedagogical supervision (Dziennik Ustaw [Journal of Laws]. No 168, item 1324, with amendments) clearly indicates that a school principal is responsible not only for administering a school, but he or she plays a fully pedagogic role by assisting in the development of teachers, pupils, and parents, as well as the school's environment.

In the contemporary educational environment, Polish principals are being pulled in many directions between management, leadership, and accountability pressures. One can say that the principal is "responsible for nearly everything": budget allocation, interpretation and implementation of legislation, staff appointments, human resource management, professional development provision, action plans and target setting, dealing with parent requests and complaints, the "soft skills" of teamwork and team building, and also for teaching. The result of these pressures and the existing leadership role of principals lead to the situation where there exists a feeling that the principal's job entails more and more work and responsibilities (Michalak 2011, p. 260).

Research on School Principal's Role and Leadership in Poland: An Overview

In Poland, there is no one research center created in order to deepen our knowledge of principals and their role, responsibilities, and leadership. Despite the lack of a leading research center, in the last decade, a significant growth in interest in the issues discussed in this chapter has been noticed. This translates into research projects and a number of publications which appeared in 2000–2012, especially between 2006 and 2012.

In an attempt to explore the school principal's role and leadership, the author used a meta-synthesis process that included a multi-step search during the period from 2000 to 2012. The research chosen for this review is based on primary empirical studies of Polish school principals found through library searches, which has been limited to reviewed articles, books, and doctoral theses from the twenty-first century that have "dyrektor szkoły" (school principal), "szkolny lider" (school leader), "przywództwo edukacyjne" (educational leadership), "szkoła" (school), and "szkolna administracja" (educational administration) as keywords. Different online educational databases and websites have been used during the collection process to access full-text documents of academic research.

The study of contemporary research on school principals and leadership showed that the research is centered on the following three main aspects:

– Situation and professional status of school principals
– Principal's role, work, and competences
– Educational leadership and school development

Featured themes will be discussed in more detail below, and the examples of major research findings will be included.

Situation and Professional Status of School Principals

The main changes in the status of a school principal occurred over 20 years ago when a new act concerning the education system was passed on 7 September 1991. At that time, those changes were described as quite revolutionary. A school principal was given more autonomy, became a statutory element of a school, and obtained a wider scope of responsibilities and powers. A procedure of competition was introduced as a main way of appointing school principals. Since that time, the model of a school principal's status in Polish schools has not changed significantly. Introducing the requirement of finishing a special qualification course or postgraduate studies in educational management has constituted the only significant change.

At present, the debate over a school principal's status and changes needed in this area is taking place. The research aimed at identifying and presenting a school principal's status in the light of current legal regulations was conducted in the framework of the abovementioned systemic project *Improving Management Strategies in Education at Regional and Local Levels* (2010–2012). A school principal's legal status means the situation of a school principal as it is described by various legal regulations and concerning various areas of his or her existence and work. Traditionally, three basic areas are highlighted: organizational, personal, and concerning competences, all of which can further be dealt with in greater detail. The research focus is on the organizational and personal areas of a school principal's status.

The research (Jagielski 2010; Pilich 2010; Więsław 2011; Pery 2012) showed that the legal status shaped by current legal regulations is complex not only formally but also substantially. The legal solutions concerning a school principal's position in the Polish education system inadequately reflect this position's professional uniqueness. It means that in many ways, a school principal is just a teacher who has additional managerial duties at school. This is exemplified by such regulations as the following:

– Appointing an already employed teacher for the position of a school principal, and not a separate appointment of a teacher for this position, is required.
– Legal requirement that a school principal is supposed to have the same teaching workload as other teachers. The Act allows the supervising body to lower this demand imposed on a school principal, and in practice, each of them is granted the right to a lower teaching workload. Nevertheless, each time it is the individual decision of a supervising body, which may, but does not have to, decrease the number of teaching hours for a school principal.
– Lack of separate payment regulations for school principals. They obtain teacher's remuneration depending on the level of their teacher's professional qualifications and advancement, in addition to special motivational and executive

bonuses. Additionally, when the requirements concerning minimal average salaries of teachers at the same stage of professional career are monitored according to Article 30 of the Teacher Chart, school principals' salaries are treated exactly like the salaries of other teachers.

– Additional requirements that school principals must meet, i.e., those which are attributed to teachers. They must possess a particular length of teaching experience and finish either a special qualification course or postgraduate studies in educational management (Herczyński and Sobotka 2012, p. 244).

The research also shows that on the basis of the current legal solutions, it would be difficult to describe or define the model or clear idea for this position and, in turn, for a body of educational authority. Still, if one truly wanted to find a model in the situation of a school principal, as described by the current Polish regulations, then it would have to be called a mixed one when it comes to who can become a school principal and what his or her function is. As far as the conditions of becoming a principal are concerned, it is neither "a teacher's variant" nor "a manager's model." As far as the function is concerned, a principal is not only a school manager, but he or she plays a wider role as a body of educational authority.

In Więsław's opinion (2011), although we constantly talk about principal-managers, in reality, a Polish school principal is only a head of an organization who has very limited responsibilities – all strategic decisions and decisions that bring about some financial consequences are taken by appropriate self-governments. On their own, principals cannot personally (1) make many budgetary decisions (e.g., principals must have the agreements of supervising bodies to sign a contract with a catering or cleaning company), (2) use the financial resources gained by a school (they must apply for transferring these resources to their schools), (3) make a decision about the state of the school buildings (they are not responsible for the renovation of school buildings), and (4) cannot decide their working time (they cannot leave their schools for the whole day without informing the school's supervising bodies about this fact).

As the expectations imposed on school principals continue to increase, schools become more complex systems that require greater knowledge and skills to operate. In Więsław's opinion, it is difficult to change the style of managing schools by principals if:

1. Principals are primarily teachers (they occupy the teacher's positions for many years, so they teach better than they manage).
2. Most principals run the schools in which they have previously been teachers (this is the first place of employment for 32 % of them and the second for 34 % of them).
3. Only a small proportion has some experience of work outside school.

In Więsław's opinion, limited professional career possibilities and a lack of professional mobility among principals constitute the reasons for the failure of many educational reforms.

In Poland, the need for a greater autonomy for school principals and the current legal ambiguities and loopholes are discussed. The Ministry of Education realizes

that there exists a tension between the de facto existing separate profession of a school principal and an existing *de iure* situation in which a principal is a teacher with additional tasks and increased responsibilities. New legal and organizational solutions that introduce greater clarity and order into the relationship between a school principal and a supervising body are essential for strengthening the school principal's position (NIK 2012). However, the key to an independent and responsible school lies in a financial area, to be more precise, in the relative financial independence of a school and, in turn, its principal. Today, this position is closer to the role of a "cashier" who distributes money according to the directives of a "money keeper," i.e., a supervising body. The cashier will never be independent and will never show any initiative. Thus, as far as the situation of a principal is concerned, which is adequate to the implemented model of a modern school, it is necessary to reshape the financial position of a school. It is not easy, as it is connected with a wide and complex issue of fitting schools into a school system. This issue requires broader and deeper debate.

Principal's Role, Work, and Competencies

The analysis of the collected material shows that researchers focus on answering such questions as: How do principals perceive their managerial role? Do they create conditions for teachers' leadership? Do teachers want to increase their feeling of influence on the surrounding reality by participating in running the school?

The research conducted by M. J. Szymański (2001, p. 124), using a diagnostic poll method on a sample of over 400 teachers and 100 school principals, indicates that school principals and teachers accept contemporary changes in school management as well as social relationships. Both sides of the relationship declared the acceptance for a democratic school with partnership relationships. The principals thought that they mainly used a democratic managerial style, yet more than a half of the teachers expressed their opinions that school principals too often dominate the school and run it in an authoritarian style. Most of the school principals (85 %) and teachers (65 %) participating in this research agreed with the following sentence: "A school principal can run a school in a more effective way when he feels to be the only responsible person for running a school and at the same time is equipped with managerial competences" (ibid., p. 120). Such an attitude does not comply with modern concepts of educational leadership. Additionally, this incoherence and platitude (a school principal responsible for everything) can strengthen the false appearance of the teaching staff's participation in running a school and create a cultural barrier for change.

Izabela Bednarska-Wnuk (2009), as part of the doctoral thesis, and by exploring the theme, "Principal's role in managing a public school," formulated the following thesis: "Changes in the Polish educational system contribute to altering the role of a public school principal in such a way that the features characteristic of management roles in business organizations are implemented and developed." Empirical research

was conducted in 2006 and 2007. The research was conducted with two research tools: questionnaire survey and questionnaire interview. It encompassed 392 respondents recruited from four groups: public school principals, pedagogical supervisors, teachers, and parents. The main findings of the study showed that

– The significance of a principal's pedagogical expertise decreases and is replaced by expertise in organization and management.
– A public school principal and his or her environment notice this change in the role.
– Principals' own perceptions are not highly dependent, but statistically noticeable, on their age, professional experience, and type of their education.
– The structure of the basic competencies required to play the role of a public school principal can be identified.
– The factors that influence the role of a public school principal were identified.
– Nowadays, the role of a public school manager is not primarily identified with the role of a manager.
– There exists a discrepancy between the actual role of a public school principal and the role that is perceived by his or her surroundings.
– There is a functional similarity of the role of a public school principal and a manager's role in a business organization.

The research showed that the role of a principal is becoming more and more similar to the role of a manager in a business organization. This is occurring due to the introduction of laws that contributed to the increased responsibilities of a principal to run a school.

Earlier, similar results were obtained as part of another PhD work: Maria Żak (2007), in the research, *A vocational school principal in the period of social change*, showed that

– The most important external factors influencing the change and modification of the role of modern vocational school principals are political system transformation and its basic implications and the reform of administration and education, together with the resulting changes in educational and general law.
– Vocational school principals' tasks shape the new roles of a manager, leader, and agent of change. In reality, principals are not managers in the strict meaning of this word because they are not independent in their decision-making, they are rarely creative, and their work is constantly disrupted.
– The scope of tasks that a principal is burdened with is too extensive for one person, especially because of the shortage of auxiliary personnel. That is why most principals concentrate mainly on current matters that are characteristic of the manager of a business who concentrates on the organization's survival in a constantly changing environment.
– The main factors that hamper vocational school principals' work are as follows: contradictory external requirements, external pressures, financial problems, competition ("battle" for a pupil), operating in a constantly changing reality, ambiguity of legal regulations and their changeability, too many tasks demanding

knowledge from many areas, having inadequate preparation to manage change at the school level, autonomy limitations that especially concern financial and personnel matters, the necessity of making unpopular decisions, and red tape burdens.

Bożena Tołwińska (2011), in her research conducted within the doctoral dissertation on school principals' social competencies, assumed that releasing the potentials that are in people is a very complex issue that requires knowledge and skills that shape interpersonal relationships in order to achieve organizational goals and create an atmosphere conducive to development. The cognitive goal of this dissertation was to become acquainted with and describe how school principals assess their own competencies, concerning communication, motivation for work, and conflict resolution in the context of educational leadership, and to conduct a comparative analysis of school principals' self-assessment of competencies and the assessment of these competencies done by teachers (partners in everyday interactions). The research sample contained 93 school principals and 433 teachers.

One of the questions concerned the motivating factors for teachers to work. The answers were given by school principals and teachers by showing these that in their opinion play the role of such motivators. One of the factors mentioned was the participation in running a school. This factor motivates only 16.63 % of teachers, yet 30 % of them declare that they would like to participate in running a school to a greater extent than they do now. The school principals have a stronger belief in the motivating power of this factor, 50.54 % of them considered this a stimulating factor for teachers at work, and 40 % indicated, in their opinion, that teachers would like to participate more in running a school. The author proved in her study that employees' present participation in running a school is perceived as a factor that can stimulate motivation in multiple ways – e.g., a broader staff autonomy and increased mutual trust and feelings of responsibility. More and more often, and to a greater extent, modern organizations include employees' participation in motivational systems. However, this commonly recognized motivational factor does not play its proper role in a school environment. The outcomes of research studies indicate that it is a factor whose stimulating role is recognized by only half of school principals and even a smaller share of teachers. One of the important elements of democratic participation in a school's life is not perceived by teachers as motivational.

The research on motivation as one of the most important tasks for a school principal in the context of leadership shows that leaders who first stimulate the external motivation of staff members create a situation in which emotional leadership dominates within a school team. A leader becomes a model and a shield, which protects him or her and gives him or her the feeling of security. In return, teachers are devoted, obedient, and loyal to their leader, which was described by Czesław Sikorski in his work *Emotional and rational leadership in education* (2010). Contrary to emotional leaders, rational leaders aim to not so much change the models of behavior but rather the patterns of thinking within a team. They emphasize the team members' autonomy and responsibility, and they attempt to affect their teams in such a way that stimulates the external motivation among the members (ibid.).

Only a school principal who is a rational and not an emotional leader can facilitate teachers' development. "It is not possible that a charismatic leader standing out in a team can be accompanied by his or her subordinates developing their own potentials. And this happens not because a narcissistic leader consciously or subconsciously hampers their development to prevent them from endangering him or her, but because being so enchanted with their leader they themselves do not want this development. In order for the subordinates to develop, a leader must step down from a pedestal and share his or her power and prestige. What is more, a school principal must lose the monopoly for formulating inspiring visions and putting forward ingenious ideas. It is not about decentralization of decisions, but about decentralization of wisdom, prestige and need for self-fulfillment" (Sikorski 2010, p. 45).

The ways in which leaders who can be called rational are various, which other research studies show (Madalińska-Michalak 2012). These methods contribute toward the creation of a school organizational culture in which the relationships between team members create conditions that are conducive to the learning of a school community and the cooperation with others and that facilitate the acceptance of challenges and achieved successes as important roles. Discuss such a culture in detail in *Successful Leadership at Schools in Socially Unprivileged Areas. A Comparative Study* (Madalińska-Michalak 2012). The school principals who participated in the qualitative research (case studies) tried to make their collaborators sensitive to the benefits resulting from their efforts of cooperating with one another and searching for the solutions as teams. They completed this by influencing the patterns of thinking and behavior that their collaborators employed. From the very beginning, they emphasized the building of foundations for desirable development strategies for their schools in order to define the new standards of work quality in their organizations. The *school vision* was clear, inspiring, and inclusive for all teaching staff members, which constituted the basis for their actions at school. When determining the direction of the important actions for their schools, the principals shared with the teachers the goals to be achieved to improve the school work. Additionally, they discussed the tasks that were intended to complete these goals. The results obtained in this research show that the principals favored the grassroots implementation of changes in the schools they ran. The "soft" approach to the changes that they advocated increased the significance of developing school potential by involving school communities in change processes and utilizing the experiences of people making up those communities. Wishing to run their schools well, they all determined that creating an atmosphere of success in their schools would be a clear goal contributing to the development of pupils learning within their organizations. The experiences presented by my interlocutors tell us how important it was for them to emphasize *imposing high requirements*, not only on the pupils but, first of all, on the teachers. These requirements were made possible because of the high motivation of the teachers, which facilitated their engagement in their schools' affairs and were also the necessary conditions to trigger the pupils' desire for educational achievement and to increase their motivation to learn on their own.

Various studies on the school principal's role, work, and competencies show that, in Poland, the role of a school leader is completely reserved for a school principal.

The basis for such a situation lies in the opinion that it is he or she who creates the vision of school development because a school principal is the "first among equals" teacher, the mentor for the teaching staff, and the one who leads his or her school to success. Such a situation is confirmed by the results of Grzegorz Mazurkiewicz's research, *Leadership in educational management*: *paradigms and practice in educational institutions*, which was concluded in 2012. In his project, he examined school principals' assumptions toward education and leadership. The author studied, among other issues, how those who were appointed to play the role of educational leaders, i.e., school principals, understand the idea of educational leadership. In 2011, 100 interviews with school principals about their attitudes toward education and leadership were conducted (Mazurkiewicz 2012), and each of them began with a question: Who is a leader? It appeared that 70 % of the interviewees clearly thought that a leader was a strong person with either the vision and ability to win others over or a position of authority.

Jerzy S. Czarnecki (2006) described the stereotypical perception of the role of a school principal using the metaphor of "a goldfish" (ibid., p. 20). A "goldfish" principal should be able to resolve all problems and prevent all negative events owing to his or her uniqueness and special authorization to make decisions that others do not. Thus, the whole responsibility rests on his or her shoulders and, therefore, all others can be released from it. The faith in it, or rather the lack of reflection as to whether it is possible in today's conditions, is characteristic of both subordinates and those in managerial positions.

Thus, the following question arises: Can a school principal single-handedly lead his or her way to success, even if he or she works perfectly? It is rather impossible. The political, economic, and cultural contexts do not form good foundations for participation. External expectations from schools attract attention toward achieving results through various ranking positions. Methodological work is monitored by means of standardized tests that are intended to provide answers to such questions as: How does a school work? What is its quality? What is its ranking among other schools? The characteristics of educational policy and the methods of assessing educational outcomes push schools toward competition among and within them by both teachers and pupils (Potulicka and Rutkowiak 2010). The atmosphere of adaptation, competition, and rivalry permeates schools. It focuses on promoting one's own success rather than conscious political and economic involvement, and it also emphasizes the critical creation of a school culture in which problems are not treated as a sign of weakness but are discussed in order to find the best solutions.

Educational Leadership and School Improvement

As far as the issue of educational leadership is concerned, generally speaking, the academics look at the theoretical and methodological aspects of educational leadership. They are mainly interested in different theories that describe leadership in schools, methodological issues of research and theory, and leadership practices in

schools (Michalak 2009a, b; Madalińska-Michalak 2012; Mazurkiewicz 2011). Taking into account the limited space to present this overview of research on the leadership in Poland, I will mainly concentrate on some of the books devoted to educational leadership.

At the beginning, it is worth mentioning that up until 2003, the issue of educational leadership has almost been absent in the educational studies in Poland. It was really difficult to find any serious studies where the authors directly devoted their attention to this issue. Of course, one could find scattered researches on selective issues such as the work of principals, the principals' authority, and the style of school management. One of the first books from the series on the theme of educational leadership has been prepared by the author of this chapter. The book has been entitled *Przywództwo w szkole* [*Leadership at School*] (Michalak 2006). As a book editor, I invited academics who specialized in the field of educational leadership to contribute to the creation of the publication. There were not only Polish authors but also other authors from abroad. The book was a great success, and it was thankfully made possible through the scientific cooperation with Professor Christopher Day, University of Nottingham, who supported the editor in conceptual work on the book and in inviting other foreign authors to work on this publication. The book *Przywództwo w szkole* [*Leadership at School*] attempts to introduce readers to the complex issues of leadership by demonstrating its theoretical, empirical, and practical aspects, and it provides readers with the answers to the following questions: What is at the heart of leadership? What features, predispositions, and skills should leaders possess? Is an individual born a leader? What is the difference between the roles of a manager and leader in educational contexts? What types of leaderships are desirable at certain stages of school development? How can educational leadership support school improvement? The collection of chapters proves that there are no simple solutions resulting in school improvement. They indicate that those leaders who can act responsibly, build positive relationships, and offer teachers, parents, and pupils the possibility of collective work aimed at improving their schools are the most successful ones.

Another book was published in 2006 on educational leadership entitled *Authentic Educational Leadership*: *The Challenges Ahead*, and it was written by Christopher Bezzina and Joanna M. Michalak. This book is an acknowledgement of the contribution to the high standards of teaching, learning, and achievement in which authentic educational leaders at their best engage and try to lead change within their schools. Christopher Bezzina and Joanna M. Michalak explore the part played by authentic leadership in building a school that is academically successful and an educational environment in which teachers, pupils, and parents are happy to be a part of. They demonstrate that authentic educational leadership is integral to school improvement and strives to develop sensitivity to the values and beliefs that others uphold in order to give meaning to the actions of the students, teachers, parents, and community members with whom the school leaders interact. Authentic educational leaders are aware of the challenge of the broader social contexts in which they work. They believe they can make a difference to the learning and achievement of not only the pupils but also the teachers. *Authentic Educational Leadership* is an ideal

contribution toward understanding and developing the concept of leadership in the personal and collective lives of school leaders, teachers, students, and the community. It is also highly useful as a text for management courses and those wanting to actively participate in professional development.

In *Przywództwo edukacyjne w teorii i praktyce* [*Educational Leadership in Theory and Practice*], in the studies presented in this volume, its editors, Stefan M. Kwiatkowski and Joanna M. Michalak, assume that leadership is not only an interdisciplinary notion but also has interdisciplinary consequences. Therefore, for the publications, they have tried to invite authors representing various scientific disciplines and environments. This idea is reflected in the volume's structure, which is determined by the associations between the theory and practice of educational leadership (part one), the issues of leadership in school and nonschool environments (part two), and the experience and reflections connected with educational leadership (part three). This structure makes it possible to not only present various theoretical aspects of the notion of educational leadership in question but to also confront the theory with practical solutions that take the form of "good practices."

Stefan M. Kwiatkowski and Joanna M. Michalak (2010) were interested in various solutions concerned with creating new local leaders and helping the existing ones, strengthening the positions that they occupy in their environments, and enriching leaders' competencies – knowledge, skills, and psychophysical features – so that they would effectively influence changes in their schools and immediate natural social environments. The goals that have guided the authors in creating this book are the following:

– Initiating discussions on the theoretical and practical meaning of educational leadership in school and nonschool environments
– Searching for methods to support the development of educational leaders in challenges faced by contemporary schools and local environments

These goals provide an opportunity to create a basis for consideration by everyone interested in educational leadership, especially for school heads, teachers, parents, people employed in educational administrations, representatives of local government and nongovernmental organizations operating within the area of education, and students of pedagogy with various majors and specializations. They particularly enhance the integration of the academic and school environment around the subject matter of educational leadership.

Przywództwo edukacyjne w szkole i jej otoczeniu [*Educational Leadership at the School and Its Environment*] is another book devoted to leadership in the field of education, and it was published in 2011. The editors of this book, Stefan M. Kwiatkowski, Joanna M. Michalak, and Inetta Nowosad (see: Kwiatkowski et al. 2011), attempt to show that the school is the place, where the interactions between the various school groups (principals, teachers, administrative staff, students, and parents) occurred, and they should be analyzed. At the same time, the relationships between schools, local educational authorities, and the institutions, which function in the school's local community, should be taken into scientific consideration as well. In each of the school groups, as well in the school social

environment, the leaders of various kinds can be identified. At school, however, in contrast to its external environment, the conditions for shaping attitudes conducive to the development of leadership abilities can be intentionally created. The issues about the desirability of such procedures, their boundaries, as well as the forms and methods used are arising in this context.

In 2011, Grzegorz Mazurkiewicz published a book entitled *Educational Leadership. Responsible Management of Education in View of Contemporary Challenges* on the basis of the analysis of literature studies in many areas – mainly management and sociology of education – and he put forward his own model of leadership in the management of education. In his model, he highlighted five basic components:

- Context compatibility
- Reflectiveness and ancillary nature toward people and institutions
- Respecting autonomy and variety
- Continuous support for participation and dialogue
- Particular focus on learning and development

The author stresses that it is not possible to conduct a successful reform of an education system without taking into consideration the role of leadership in education, without a new approach toward running a school concentrated on exploring and emphasizing leadership potential of teachers, and without an active approach toward shaping it in an appropriate way.

In 2012, a book was published entitled *Skuteczne przywództwo w szkołach na obszarach zaniedbanych społecznie. Studium porównawcze* [*Successful Leadership at Schools in Socially Unprivileged Areas. A Comparative Study*]. This book attempts to combine theoretical studies (analysis of literature from such areas as psychology, sociology, political sciences, management sciences, and educational sciences) with empirical research in pursuit of features that characterize such phenomena as successful leadership at schools in socially unprivileged areas. In the book, I analyze the process of becoming a successful leader and the key aspects of successful leadership practices in school development (Madalińska-Michalak 2012). While doing this, I took into consideration the involvement of this process and these practices in social, cultural, economic, and political dependencies, and I adopted a biographical research perspective, which enabled me to treat the professional development of principals as a rooted phenomenon that is shaped in the stream of collecting experiences of the interviewed principals. The findings show that the successful leadership of the researched school principals can be termed *educational leadership*, i.e., that which not only deals with the sphere of education but primarily facilitates the proper shaping of conditions in education that benefit all educational shareholders. In the leadership of these principals, a significant role was played by *respect and care* toward the venue in which education takes place and by understanding leadership as a positive impact (direct or indirect) on others by means of creating appropriate conditions at school that facilitate pupils' learning. The leadership of the researched principals enabled them to solve the most important problems at school from the pupils' point of view and avoid getting involved in power or

influence struggles. In the conditions in which they preserved *respect and care*, the principals tried to create an alliance with the teachers and parents, and situate themselves, as far as the features of their relations are concerned, not on opposing sides but on the same side – the side of a pupil. In practice, it required some participation of the principals in the world from which their pupils came to school. Adopting such a state of affairs resulted in their active co-creation in the areas of the local communities in which their schools operated. These principals, in cooperation with the teachers from their schools, supported creating refreshing educational environments in their schools. In order to improve their schools, they attempted to build a kind of "social infrastructure" at school to create the foundations for understanding, which is a necessary condition of producing social capital. One of the main tasks of the principal as an educational leader is to create a cultural organization of the school, thus increasing the school potential in favor of implementing change in the school life.

The cognitive value of the research presented in this study primarily demonstrates the complexity of influences of various factors on the leadership of the researched principals. The conducted research sheds some light on the methods of researching educational reality and confirms the power and potential that can be observed toward qualitative studies in comparative research, in which a school and the educational practices occurring within it – generally speaking – stand in the center of interest.

Contemporary Research on School Principals and Leadership in Poland and the International Knowledge of Leadership

The time between the years 2000 and 2012 showed that there was an observable increase of research on school principals and leadership in Poland, represented not only in the greater number of theses, dissertations, research reports, and various publications in scholarly and practitioner journals but also in their higher quality.

Despite the increased interest in research on the role, tasks, and competencies of a school principal and on educational leadership, the analysis of the current research on school principals and leadership in Poland indicates that research on school principals, and on school leadership in particular, is still an emerging field of study in Poland, and it is really difficult to point out the contribution of this research to the international knowledge of leadership. If we would like to look for the reasons behind this situation, we should mainly take into consideration the historical and cultural context of the contemporary education and research in Poland.

In Poland, the term "leadership" is on the one hand most often associated with politics and situated in the context of authority and political duties. On the other hand, it is connoted with the heroic approach to this reality. When we talk about leadership in the Polish cultural context, such people as Jozef Pilsudski, John Paul II, Lech Walesa, or – further in the past – John III Sobieski were those who practiced great deeds and whose achievements can plunge us into complexities.

In the past (during the Soviet era), leadership was strongly associated with the ruling political party and its leaders. There was no room for leadership in public institutions and organizations. Nowadays, the necessity of leadership is obvious in various businesses, and experiences in these areas teach us that the financial standing of a company and its renown depend on the leadership skills of the people running them. Thus, complex procedures are used to select such leaders – directors, presidents, CEOs, etc. The best ones enjoy high social status, appropriately handsome remunerations, and great trust. Governmental institutions respect their opinions, and various bodies that make important strategic decisions invite them as experts. In the area of management sciences, the knowledge about leadership and management is vast and well developed. Therefore, there exist many institutions dealing with research on leadership and offering multiple forms of professional education and training for those interested in developing their leadership skills.

The situation in educational institutions could not be more different. The clear and verified empirical criteria of selecting people for managerial positions seem – at least so far – inapplicable in this area of Poland. Transferring scientific achievements from management sciences to educational sciences might not bring the expected results since schools possess their own characteristics and roles ascribed to their society. Thus, a different vision of the role of a school principal and of school leadership in business organizations and institutions is needed. The main dimensions of educational leadership must be identified while taking into consideration an exceptional task of running a school, which consists not only of cooperation with its staff but also with parents, self-governmental institutions, educational authorities, and local school communities in general. Simultaneously, a central receiving role of pupils as subjects of educational activities must be preserved. This leadership needs to have many levels that can be divided into internal ones (within formal and informal groups existing at school) and external ones (between school principals and their representatives, i.e., group and team leaders, and the representatives of external institutions in relation to schools). Educational leadership, understood in such a way, has been an object of scientific interest for some educational researchers for a few years in Poland. The results of their studies and analyses are regularly published.

Overcoming the stereotypes of leadership (Czarnecki 2010) occurs quite slowly, both in practice and research. Yet one can notice some positive changes. The emphasis on the popularization of the issue of leadership[2] and learning from

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[2]The evolution of a research dedicated to educational leadership is accompanied by numerous activities aimed at popularizing the issue of educational leadership. These activities are taken in response to increased demand among practitioners, educational policy makers, and the academia for discussion. The exchange of views, analysis of good practices, and the latest research findings over – putting it broadly – educational leadership are performed in Poland. At the national level, these actions are primarily organized by the National Association of Managerial Educational Staff and by the Centre of the Development of Education. The activities of the National Association of Managerial Educational Staff gather around itself the heads of all kinds of educational institutions, educational inspectors, and teachers from the whole of Poland in order to exchange experiences and develop good solutions for education. Nowadays, the association aims at establishing stan-

researchers from different countries, as well as from rich bodies of their research and experiences, constituted a major milestone.

Research overview shows us that Polish researchers dedicated a lot of effort in order to systematize knowledge in the field of educational leadership and to enable the readers of the publication to become familiar with the most recent theories describing this kind of leadership and leadership practices in education.

In conclusion, one can state that the considerations over the nature of leadership, its role in school development, and the relationship between leadership and learning at school – which are discussed in the books and articles on educational leadership in Poland – may certainly become the source of cognitive and practical inspiration for seeking effective pedagogical solutions, may bring concrete benefits for schools, and may constitute a starting point for analyses and discussions about the desired leadership model in the Polish educational reality.

The contemporary state of research on principals and leadership in Poland calls for more dialogue on the contribution of theory to comparative educational research. Comparative studies can become important in more actively discussing the methodological considerations of research and analytical strategies and in focusing scholarly effort not only on problem solving but also on theory building in the field of educational leadership. More attention should be given to comparative studies in order to contribute to the discussion or research methods and demonstrate how explicit comparison of the phenomena of educational leadership in two or more settings can move the research endeavor beyond the description and explanation within single cases to more broadly generalize explanation and theory development.

Research on School Principals and Educational Leadership: The Challenges Ahead

The overview of the current research on principals and leadership in Poland, presented in this chapter, encourages an extended search and closer interest in the principals as agents of leadership action and in the everyday problems they face. The debate about the role of a principal in a contemporary school should be centered on the possibilities that are at a principal's disposal for creating a school's organizational culture. These possibilities become particularly visible, especially when we concentrate not so much on what can be observed at school but on what is difficult to "touch," "hear," "see," and "feel" directly, i.e., on everything that cannot be

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dards for schools and, especially, (1) organizational standards (e.g., standards for employing workers), (2) financial standards, (3) school management standards and those concerning principals' competences, and (4) the scopes of competences of all who make up education in Poland. The association is a partner of the journal *Dyrektor szkoły* ("School Principal"), issued by the Managerial Educational Staff. This monthly journal is a compendium of knowledge about school management and also educational leadership. In order to popularize the issue of educational leadership, conferences, seminars, and workshops are organized, mainly by the institutions of higher education.

directly revealed. The analyses concerning schools should be especially focused on the norms and values that are important for teachers, parents, pupils, and various premises lying at the foundations of a school.

The results of the literature search on educational sciences, which I have conducted for the purpose of this study and the study presented in the monograph *Rektor – En Forskningsöversikt 2000–2012* (see Michalak 2011, pp. 255–278), reveal many areas that require further research. Based on evidence from the presented research overviews, I will briefly discuss some of the key areas to advance research on principals and leadership in Poland.

A School Principal: A New Profession?

At present, a lot of new suggestions aimed at implementing legal and organizational solutions that are supposed to improve management in Polish schools are put forward. It seems that they should follow one coherent vision in order to not become a collection of unrelated, and even contradictory, changes. The necessity of creating a new profession for a school principal – which is different from the profession of a teacher but still requires some educational experience – can be such a vision. In this context, the question arises as to whether it is possible to work out a standard set of a principal's professional competencies that fit the Polish conditions and that place emphasis on leadership. If so, then it must be determined what knowledge (from which areas and at which level), what skills (theoretical and practical), and what social competencies make up a standardized set of skills and social competencies that a principal-leader should possess. Such an effort would make it possible to shape the most important competencies during studies, albeit in a limited way. Simultaneously, the choices made for such a standard could constitute a set of criteria in competition for the position of a school principal. However, if the answer to the question is negative, then it leads us toward some unspecified competencies and toward a mission rather than a profession, thus creating no change to the principal's profession (Jeżowski and Madalińska-Michalak 2015).

Principals and Their Work and the Context of the System of Education

Discussion over education and leadership cannot be conducted without taking into consideration the context in which this education functions, which is clearly indicated by Olof Johansson and Paul V. Bredeson (2011, pp. 300) in their research conclusions published in the abovementioned work *Rektor – En Forskningsöversikt 2000–2010*. The analysis of changes occurring in the area of education, undertaken

with reference to the context of education, facilitates a better understanding of the processes occurring at school and in its daily environment.

The functioning of the Polish education, which is "immersed" in neoliberal culture, causes us to undertake contextual and critical research into various phenomena observed by us, and at the same time, it allows us to foresee their educational outcomes. The lack of clear principles underpinning school reforms and practices in Poland shows the vagueness of rules and lack of educational strategy. Educational leaders who endeavor to create such an environment in which teachers will work with passion and take pride in their places of work should concentrate on building more strategic directions of school development. While determining them, they should pursue a critical insight into the processes occurring in the school environment, for both the closer and farther process, while also paying attention to the phenomena and processes occurring there. Educational leaders can be required to show an understanding of the changes that are introduced and of their necessity. These changes should stem from a clear and firm vision of the school and its position and role in the society (Michalak 2010).

Ethics and Leadership

The subjects of ethics and leadership are not ignored by prominent Polish scholars. They acknowledge the importance of ethics toward leadership and treat ethics as the heart of leadership. Though they often talk about ethics (see Mazurkiewicz 2011) as part of the descriptions of both types or qualities of leaders and/or leader behaviors and the process of leadership, the current studies do not offer a detailed critical analysis of the ethics of leadership in the field of education. In an educational context, moral purposes are generally brought to bear as leaders provide leadership to their schools and beyond them. In a school's everyday life, leaders must face complex moral dilemmas and make decisions. The study of the valuation processes and ethics within the specific educational context, and from a variety of distinct foundational perspectives, could be perceived as fundamental to our understanding of leadership and the influence of values and ethics on school leadership practices. This kind of research could be connected with one of the themes recommended for advancing research on principals by Olof Johansson and Paul V. Bredeson (2011, pp. 303–308). The authors, in suggesting the theme, *Principals and their decision making in relation to school governance*, rightly pointed out that "We know very little about how principals make decisions, how they record and document their decisions, and what information they have or collect before they make decisions. Many times school principals just lead by acting and take decisions as they go around in the school. The processes around principals' decision-making and its relation to school governance would be an important field to know more about" (ibid., p. 305).

Emotional Lives of Principals: Emotions of Leadership

Principals and their emotions in the current context of educational reform and demanding educational environments constitute another important emerging topic in leadership research within the field of education in Poland. It is clear from the gathered data that we have no studies on the *emotional lives* of Polish principals, especially in relation to the intensification of their work. Although teaching is being reconsidered an emotional practice in Polish educational literature, and school leadership is being reconceptualized as essentially relational, the emotional skills of the leader are still required, and what is more, researchers argue explicitly for leaders to value and integrate emotions into their practice if they are to develop successful schools; thus, the emotions of leadership and the inner emotional life of principals are implicit in the present literature. A systematic understanding of principals' emotions and examination of the manner in which principals perceive their work within the current reform context and through the lens of their emotions is still missing. There exists a need to address the emotions of leadership as part of a comprehensive approach to prepare leaders for the challenges in today's schools in Poland.

Regarding the complexities of the school principal's role and work, the list of areas requiring further research can be continued. In summarizing the presented research overview, I would like to indicate another additional area that is missing in Polish literature and research. The conclusions resulting from the considerations presented in this chapter show that the attention should also be focused on the education of principals in Poland. Seeking and analyzing good practices abroad seems to be necessary to educate those principals who work for the good of their communities, to acknowledge the needs for change, and to know that in order to implement these changes, they must change themselves. School communities are becoming more and more complex. The skills of people working in top educational authorities appear to be more significant for the success of a particular school, but they are rarely acknowledged in various forms of lifelong learning and professional training for teachers. Leading others in a school environment requires critical considerations for implemented change. These considerations constitute a basic requirement for taking a stance on the issues of axiological foundations of modern education, which can be a reference point for a better understanding of the essence and sense of educational change and for building school potential.

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Part III
English Speaking Countries with a Commonwealth Connection

Chapter 10
Australia: The Principal as Leader – A Review of Australian Principal Research, 2006–2013

David Gurr and Lawrie Drysdale

Australian Context and Challenges

Australia has a commonwealth government that oversees six state and two territory governments. Education in Australia is a complex interplay between these different levels of government and between government and nongovernment schools. There are almost 9,500 schools serving 3.5 million students in Australia. Two thirds of students attend a government school, 20 % a Catholic school, and 14 % attend a range of independent schools (Australian Government 2011). With 34 % of students attending nongovernment schools, this means Australia is unusual. Across OECD countries, the average is 14 %, with Australia having the third highest proportion of students in nongovernment schools (OECD 2013). The responsibility for the provision of government schooling constitutionally rests with the state and territory governments, but increasingly there has been commonwealth government influence, especially in terms of significant grants to both government and nongovernment schools, the development of a national curriculum, the creation of a national accountability system through the development by the Australian Curriculum, Assessment and Reporting Authority (ACARA) of a national assessment program in literacy and numeracy at years 3, 5, 7, and 9 and a national data collection and reporting program through the My School website (www.myschool.edu.au), and the provision of means-tested living allowances for students aged 16 and over. The nongovernment sector is dominated by the large system of Catholic schools coordinated through various dioceses that serve approximately 20% of all school-age children. Apart from the Catholic emphasis and a higher proportion of private income funding the schools, the Catholic system is similar to that of the government, typically adopting similar approaches to curriculum, pedagogy, and assessment.

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Independent schools include a range of religious (e.g., Anglican, Coptic Orthodox, Greek Orthodox, Islamic, Jewish, Lutheran, and Seventh-Day Adventist) and non-religious (e.g., Montessori and Steiner) schools. The proportion of students attending nongovernment schools has increased, rising from about 4 % of students in 1970 to 14 % in 2010 (Australian Government 2011). In some jurisdictions, the proportion attending nongovernment schools is particularly high, with, for example, the proportion of students attending nongovernment secondary schools in Victoria standing at 43 % in 2012 (Department of Education and Early Childhood Development 2012).

The educational landscape is complex. For example, in a recent paper we (Gurr and Drysdale 2012) highlighted tensions and dilemmas principals face that are related to teaching and learning (education trends such as personalization, the construction of new learning environments (with a major Federal government initiative stimulating this – Building the Education Revolution Implementation Taskforce, 2011) and the implication of these for more collaborative teaching, and consideration of the type of leadership needed for contemporary schools), developing people (teacher quality, rewarding teachers, and leadership preparation), and external pressures (the introduction of a national curriculum and increasing accountability through initiatives such as the public reporting of school performance data). Since the publication of this paper, there have been a major review of school funding that was implemented by the previous elected Federal government and then almost abandoned by the current government, renewed interest on Australia's performance on international tests, and consolidation of a principal leadership standard (AITSL 2011), although no movement to have mandated principal leadership credentials. Neither of these areas has changed much at the school level, but they are suggestive of a somewhat unstable policy environment that principals have to navigate. Supporting these assertions, Dinham (2014), the current President of the Australian College of Educators, has described several pressures on Australian education including: focus on the quality of teaching and related efforts to reward good performance and punish poor performance; importing school reform ideas and beliefs about education uncritically from Britain and the USA, such as the ideas that free markets, choice, and competition are good, public education is failing, and private sector involvement in education is needed; decline in universities and rise of other institutions in the provision of teacher training; continuing push for greater school autonomy; greater interest in big business controlling major aspects of education including curricula, teaching resources, teaching standards, teacher development and appraisal, and student testing; and a diminishing role for educational research and the voice of educational researchers. Dinham described these pressures as like being in the wave of a tsunami at sea and being unaware of the cataclysmic forces that can be generated as the wave hits land. We will not explore the context in further detail here as the review of research below highlights many of the issues principals face in working within the context.

Research on Australian Principals

In our reviews of successful school leadership (Gurr 2008, 2009, 2012; Gurr et al. 2010a, b), we describe how substantial Australian research on educational leadership has a 50-year history and a predominate focus on principals. The 1960s saw research and teaching on educational administration emerge, particularly fueled by the work of Walker and colleagues at the University of New England and Bassett and colleagues at the University of Queensland. The research tended to be descriptive and somewhat prescriptive, with little connection with other research. In the following decades, research and writing remained focused on principal leadership but lacking major studies. This changed with "The Australian School Principal: A National Study" (Duignan et al. 1985), a study that heralded a 25-year interest in exploring Australian school leadership. Using interviews with principals, parents, teachers, and students from government and nongovernment schools in all Australian states and territories, a survey administered to 1,600 principals, and 14 case studies of highly effective schools from across Australia, it was the first major study in Australia to explore principal leadership and effectiveness and presented a model relating principal personal and professional qualities (including leadership) and the nature of their work to improving teaching practice and, indirectly, student learning outcomes. In the ensuing years there were many more contributions such as:

- Several books on how principals lead school improvement and success (e.g., Beare et al. 1989; Caldwell and Spinks 1992; Simpkins et al. 1987)
- A large survey-based study exploring leadership, organizational learning, and student outcomes – *Leadership for Organisational Learning and Student Outcomes* (LOLSO) (Mulford and Silins 2003; Mulford et al. 2004)
- Many small-scale case studies of successful principal leadership such as exploring innovation and success (Dimmock and O'Donoghue 1997), market-centered leadership (Drysdale 2001, 2002), and leadership of a successful Christian school (Twelves 2005)
- Publication and distribution to all Australian schools of a book of 17 stories about the exhilaration of being a principal, with all the principals highly regarded and successful school leaders – *Leading Australia's Schools* (Duignan and Gurr 2007)
- Formation of the Australian arm of the International Successful School Principalship Project through production of 14 case studies, surveys of principals and teachers, and revisiting several of the original case study principals (e.g., Drysdale 2007; Gurr 2007, 2008; Gurr and Drysdale 2007, 2008; Gurr et al. 2006a, b, 2007; Mulford and Johns 2004; Mulford et al. 2007; plus papers by Mulford and colleagues included below)

As this brief historical tour indicates, Australian research on principal leadership has accelerated from its foundation in the 1960s, and so it was timely that two substantial reviews of Australian educational leadership research were published in journals in the past few years. In 2007, Mulford published, through the Australian Council for Educational Leaders, an overview of Australian educational leadership

research from 2001 to 2005 through an examination of articles published during this period in the four leading Australian-based education journals (*Australian Journal of Education*, *Australian Educational Researcher*, *Leading and Managing*, and *Journal of Educational Administration*). Through a detailed exploration of the papers, Mulford provided what he described as reliable, evidence-based conclusions in the areas of leadership, transformational leadership, distributed leadership, school organization and student outcomes, job satisfaction/stress and leader supply/demand, system and community issues, and survey instruments; we will return to these themes in the discussion. The justification for the years selected was that this period reflected "a period of major ferment in the area, and of major change in views about schooling and school leadership" (Mulford 2007, p. 4).

Eacott (2009) conducted a different type of review, focusing on the statistics of the extent to which Australian authors were publishing in 18 leading educational leadership journals over a 30-year period (1977–2007). Of the journals inspected, only two had a high proportion of Australian authors: *Leading and Managing* (58.93 %) and *Journal of Educational Administration* (28.59 %). All others had less than 14 % Australian authorship. Finding that most of the publications came from a relatively small group of academics publishing in a small number of journals, he called for a "renewed focus on undertaking research that matters to both the theoretical and practical development of the field" (page 65). Eacott's review did not delve into the content of the articles published, as did Mulford's review.

Review Method

In this review, we replicate most of the review of Mulford by reviewing articles published between 2006 and 2013 in the two key publication sources for Australian educational leadership authors (*Leading and Managing* and *Journal of Educational Administration*), and to maintain comparability with Mulford, the relatively minor journals for Australian educational leadership research, *Australian Journal of Education* and *Australian Educational Researcher*. All papers that are directly related to Australian principal leadership were reviewed regardless of whether they had Australian authors or not. Mulford included articles that were directly and indirectly related to Australian educational leadership (e.g., reviews of international test result data, the constructions of teachers found in policy documentation). We are only including articles that make a direct connection with Australian principals. We are not including book reviews, editorials, or other types of nonresearch-based articles. We are also not including reviews of research or topic articles unless they have a specific Australian focus. Table 10.1 shows the number of articles in each issue of each journal, the number of articles with a direct connection to principal leadership, and the number of articles with an indirect connection, focused on other aspects of school leadership such as student, teacher, middle-level, and senior leadership.

There are few aspects to note other than the consistent dominance of ACEL's academic journal, *Leading and Managing*, as a source for publications on the role, work, and leadership of Australian principals and the limited lack of support for

Table 10.1 The number of articles in each issue of each journal for the years 2006–2013, the number of articles with a direct connection to principal leadership, and the number of articles with an indirect connection

Year	Australian Educational Researcher	Australian Journal of Education	Journal of Educational Administration	Leading and Managing
2013	31/0/0	19/1/2	39/0/3	14/7/3
2012	28/1/0	18/1/0	36/1/1	15/7/6
2011	27/0/0	19/2/0	34/2/4	15/2/11
2010	23/0/0	18/0/0	39/2/1	12/9/0
2009	18/0/0	18/0/1	38/1/2	12/7/3
2008	22/0/0	18/0/0	40/5/1	11/7/1
2007	21/0/0	21/3/1	40/1/1	15/9/2
2006	19/0/0	19/1/0	35/3/2	16/6/0
Total	178/1/0	150/8/4	301/16/15	110/56/24

publishing on this in either the *Australian Educational Researcher* or *Australian Journal of Education* (which as Wildy and Clarke (2008a, b) noted are broadly focused education journals). In terms of getting Australian research out to a world audience, it is somewhat disappointing that only 5 % of articles in the *Journal of Educational Administration* are focused on Australian research, given that this is both the oldest journal in the field and has a history beginning in the University of New England, Australia.

Australian Principal Research, 2006–2013

Here, we present the major thematic categories. This is based on a larger analysis that will appear in one or two journal articles. The categorization is somewhat eclectic in that we have tried to stay true to the chapter brief of providing an overview of the Australian principals' role, work, and leadership during the twenty-first century. As such, the categories reflect our view of the important elements reflected in the research papers. Many, if not all, of the papers could be mentioned within several categories, and there could be additional categories to those we have chosen. Nevertheless, we believe that this chapter will provide a useful overview and a stimulus to our Australian colleagues to engage with this same set of information in different ways.

Principal Development

This was a broad category that included: professional learning, support programs (mentoring, coaching, and critical friend), principal preparation, beginning principals, and succession planning. Of the articles that were directly related to the

principal, six articles were from JEA, 15 from *Leading and Managing*, and one from the *Australian Journal of Education*.

Professional Learning

There were only two papers that actually explored principal professional learning. Cranston (2008) described a program to develop principal problem solving that used "real-world" leadership cases, with these proving to be an effective tool for learning. Russell and Cranston (2012) explored professional learning offered by a system and found that while principals and aspiring principals used these programs, they believed they had little impact on school or student outcomes and that their professional learning needed to be supported by other activities such as networking, mentoring, and coaching and access to university expertise, and that activities needed to be related to school tasks.

Professional Support

This area refers to programs such as mentoring and coaching and the use of critical friends to support leaders and leadership development. Principal mentoring (Hansford and Ehrich 2006; O'Mahony and Matthews 2006) and coaching (O'Mahoney and Barnett 2008) and the use of external agents or critical friends (Jetnokoff and Smeed 2012) were all shown to be beneficial to principals and schools, although not without constraints due to lack of time and personality or expertise mismatching (Hansford and Ehrich 2006). Degenhardt (2013) coined the term "professional companioning" to describe these support roles and suggested that ex-principals might be able to take on this role because of their knowledge and experience.

Preparation/Aspiring Leaders/Beginning Principals

Research on aspiring leaders, the preparation of principals, and beginning principals is included in this section. Conceptual frameworks were the focus of two research papers on beginning principals. Quong (2006) reported on how he applied an action learning methodology to his own leadership as he faced real problems in his first year as principal in a Northern Territory school. Quong described a change progress model, in which he asked questions about the rate of change based on judging, confronting, and learning. Wildy and Clarke (2008a, b) synthesized a decade of their research on novice Western Australian principals, mostly leading small schools, and described a conceptual model of principal preparation based on place, people, system, and self.

Two papers from Wildy and Clarke's (2008a, b) review are included here. Wildy et al. (2007) compared principals' preparation programs in England, Scotland, Australia, and Mexico. Data for the paper was mainly derived from the mapping of principal preparation programs conducted in each of the participating countries in the International Study of Principal Preparation (ISPP) that constituted the first phase of this project. Their findings showed that the apprenticeship model used in Australia and Mexico provided inadequate training and preparation. Clarke et al. (2008) reported on a qualitative study of five novice principals in Western Australia that showed how the training and support provided were not sufficient to make them feel adequately prepared for their roles. Continuing this line of research, Clarke et al. (2011) reported on a survey developed for phase three of the ISPP in Western Australia and given to 45 novice principals. The survey explored the most severe challenges experienced by principals in the first 3 years in the role and to what extent preparation programs prepared them for the challenges. They found that there was a lack of formal and appropriate preparation programs to meet the needs of beginning principals.

There were four papers related to supporting teachers to become principals. In the NSW context, Canavan (2007) and d'Arbon and Cunliffe (2007) reported on the evaluation of an innovative leadership preparation program for young aspiring leaders in the Sydney Catholic education system and concluded that succession planning and preparation should be an integral part of the long-term strategy for developing future leaders. Using autobiographical interviews with 15 recipients of the 2010 NSW Quality Teaching Award, the journey from classroom teacher to leader was explored by McCulla (2012). McCulla found that informal mentoring relationships and professional networks were highly influential in gaining leadership positions and that the journey was meandering rather than definitive. There was one paper that, on the basis of a literature review of factors that support or hinder aspirant leaders to apply for the principalship, argued for the creation of more programs to help develop leadership in aspiring leaders (Bezzina 2012).

Succession Planning

This section on succession planning provides four papers that focus on the potential large-scale retirement of principals due to the demographic profile of current Australian principals. The first two papers explore the retention of late-career principals and the last two selection processes. Marks (2012) suggested that better use of late-career principals could be a valuable resource for extending leadership capacity. Using survey and interview, Marks asked would-be retirees their opinions and found that the majority would prefer to stay on in a full-time or part-time capacity and a vast majority were interested in refocusing their work in retirement. In a second paper prompted by this research, Marks (2013) asked two questions, "Are education systems interested in retaining late-career principals beyond retirement?" and "Are late-career principals interested in staying on?" For answers, Marks conducted an Australian and overseas literature review, investigated national education

policy domains, and referred to his previous research findings. While the various jurisdictions have yet to make up their minds, late-career principals indicated their willingness to remain in the workforce. Gronn and Lacey (2006) reported on two studies exploring leadership aspirant perceptions of career and the principalship using focus groups, individual interviews, and journals. The report covered the states of Victoria, Tasmania, and Queensland and focused on matters of selection such as selection bias, application risk, application writing, interview experiences, selection judgments, and feedback. They suggested that the selection process is a game of chance and emotional endurance and that selection panels are tending to be risk adverse and preferring internal applicants. Perhaps offering a way forward to build a quality selection process, Wildy et al. (2011) described the careful construction and refinement of performance-based leadership tasks and rubrics that were able to successfully differentiate performance of candidates for selection as secondary principals in Western Australia.

School Improvement Programs: IDEAS

Developed by Crowther, Andrews, Lewis, and colleagues at the University of Southern Queensland, IDEAS is an enduring, influential, and well-researched school improvement program and perhaps the most significant program of its type in Australia. There were eight papers, all in *Leading and Managing*, that were dedicated to reporting research associated with IDEAS, with six papers from the University of Southern Queensland research group. Teacher leadership (those teachers who influence others but are not in leadership roles) was the subject of two papers (Lewis 2006; Lewis and Andrews 2007) with both describing how these teachers were able to positively contribute to school improvement, while Dawson (2011) described how teacher facilitators of IDEAS grew professionally, especially when supported by their principals. The use of IDEAS by a newly appointed principal to revitalize a school was described by Andrews (2008), and Pilkington and Lock (2013) explored the implementation of IDEAS in seven senior secondary schools, noting improved student learning and other school changes (greater teacher collaboration, common purpose, improved teaching, and so on), and the importance of principal leadership, the work of the implementation team, and whole-school commitment. These studies relied on interview and opinion in relation to improvement. Crowther (2010) and Crowther et al. (2012) both reported on multiple method research which demonstrated the positive impact of IDEAS on student learning and teacher work outcomes. Wildy and Faulkner (2008) compare IDEAS with a similar Western Australian developed improvement program RAISe, noting similarities between the two (emphasis on teacher development, use of particular terminology to denote membership, and partnering with universities) and also noting implementation difficulties (importance of principal role, time needed for sustained change, and the messiness of change). What is noteworthy about the IDEAS research is that research has moved from descriptions of single cases to larger studies across many

schools and with better evidence of improved student learning outcomes (earlier research was able to clearly demonstrate changed teacher practice but was criticized for lack of evidence of student change; Gurr 2009). What is now needed is more large-scaled evidence of success of the program, with a focus on sustainability of success, and more research from those outside the project.

Successful School Leadership

Successful principal leadership continues to be an important area of research and was a focus for a number of researchers throughout Australia, particularly evident in research connected with the International Successful School Principalship Project as shown in the following five papers. Drysdale et al. (2009, 2011) returned to two successful principals to explore their ability to sustain improvement and found that the principal's attitude toward change (seeking continuous change or consolidating) was a key factor influencing the kinds of responses and interventions they selected in the face of internal and external forces. There were four papers based on a survey of Tasmanian principals and teachers about successful school leadership. Mulford et al. (2007) argued that the definition of school and leadership success should be widened to include student outcomes that included social outcomes and evidence gained from more than just principal perceptions. Mulford et al. (2008a, b, c) found that a common characteristic of effective schools in high poverty situations was high performance principal leadership. Mulford et al. (2008c) confirmed the validity of the decision-making index (a measure of collaborative decision-making processes) and suggested that this could be linked with student outcomes and school capacity factors. Mulford et al. (2009) showed that late-career principals can remain successful in their roles and continue to make a significant contribution to their schools.

Several papers reflected on aspects or particular features of successful school leadership. From interviews with seven independent school principals, Cranston et al. (2006) argued that dealing with complex ethical dilemmas, often deciding between two "right" options, was now a normal part of the work of principals. In a related topic, but based on 2-day observational data on NSW principals, Parkes and Thomas (2007) highlighted the importance of values in the role of the principal, particularly the value of personal relationships which effective principals placed as a priority above efficiency in order to maintain quality relationships and concern for others. From surveys of senior management team (SMT) members in Queensland and New Zealand secondary schools, Cranston and Ehrich (2009) argued for a distributed model of leadership to improve school governance and developed a TEAM Development Questionnaire for identifying areas for improvement in SMTs. Through survey and interviews with Queensland principals, Niesche and Jorgensen (2010) found that the effect of systemic reforms on leadership practices was more positive in schools where successful leadership was present. Dinham (2007) summarized several studies he has been involved in that focus on exploring how school

leadership, broadly conceived, leads to improved student learning. The AESOP research project is noteworthy as an outstanding example of large-scale qualitative research that makes a powerful, argued case for the impact of leadership (in this case both middle-level and principal leadership) on student learning outcomes.

We end this section with two conceptual papers. Written at a time when Australia's Federal Education Minister was wanting to increase the powers of the school principal over teacher appointments, dismissal, pay, and control of budgets, Odhiambo (2007) proposed that to be successful in the future, school principals would need to adopt a more collaborative approach which recognized the complexity of schools and rejected the notion of heroic leadership. Focused on micropolitics, Smeed et al. (2009) suggested school leaders use three types of power (with, over, and through) relating to contextual circumstances.

Catholic Schools

With one in five Australian students attending a Catholic school, there is considerable research interest focused on this sector. Much of the research has come from studies in NSW schools (seven of 11 papers exclusively and one in association with another state). Spry and Neidhart (2009) report on the construction of a system view of leadership for Catholic education, resulting in the production of model with five domains – Catholic identity, community, education, stewardship, and future focus – and four leadership capabilities: personal, professional, relational, and organizational. De Nobile and McCormick (2007) surveyed 356 NSW Catholic teachers on job satisfaction and occupational stress with findings pointing to the need for principals to be accessible, supportive (especially in regard to student issues), able to create friendly and supportive environments, and encourage innovation. Using this same data plus additional data from surveys of 568 Catholic teachers in NSW, ACT, and Queensland, De Nobile (2010) added to the earlier findings by noting that openness in communication improved the teacher work environment. Belmonte and Cranston (2007) conducted rich case studies of the experiences of six lay primary and secondary Catholic principals in a rural NSW diocese. They found challenges and dilemmas faced by these principals centered on the purpose of Catholic schools, the changing role of principals, tensions in the principal-priest relationship, and lack of preparation and support. There were two papers, previously mentioned, associated with a leadership preparation program in Sydney, NSW, targeting Catholic teachers under the age of 30 (Canavan 2007; d'Arbon and Cunliffe 2007). Turkington (2009) provided a review paper linking the Sydney Catholic school review and improvement framework with establishment of professional learning communities. Jackson and Bezzina (2010) described survey- and interview-based case studies of four NSW Catholic secondary schools in which principal engagement with pedagogy, organization, people, and vision led to improved provision for the learning needs of students with disabilities. Through insider observation and interview, Nicholas (2010) described the establishment of a new Catholic systemic secondary

school in Sydney and found principal leadership was important (setting direction, establishing efficient processes, supporting staff, etc.). Nicholas argued for the construction of new school design principles that could assist in the successful establishment of new schools. The two non-NSW papers were by Pettit (2010) and Neidhart and Lamb (2013). Pettit (2010) used an interview and survey methodology to explore with principals and teachers the use of data to inform practice with principal and assistant principals being the most data informed and literate, followed by coordinators, with significantly lower affinity for data found in teachers. Using survey and interviews, Neidhart and Lamb (2013) found that Victorian principals believe their faith role is important, are aware of their own limitations in this area, and propose that faith formation needs to be part of teacher and principal development.

Small, Rural, and Remote Schools

Another research area focused on school type is that associated with principal leadership in small, rural, and remote schools. Depending on area, between 25 and 45 % of Australian schools have less than 100 students, with many of these schools in rural or remote locations (Wildy and Clarke 2004). Areas of study included: how principals creatively attracted and used resources (money, physical, human, and community resources) to support school improvement (Anderson and White 2011); how a district supported principals to lead small schools (Clarke and Wildy 2011); the job demands on Queensland rural, regional, and remote principals (Drummond and Halsey 2013) and small school principals in Tasmania (Ewington et al. 2008); the expectations on newly appointed small school female principals (Gilbert et al. 2008); exploring how space (the physical space of the school and the community it serves) and spatiality (socially produced space) are important ideas for privileging the work of leading these schools (Halsey 2013); and exploring indigenous leadership and the development of an intercultural educational leadership framework (Frawley et al. 2010). Small schools provide unique challenges associated with school culture, community expectations, role complexity, and resource attraction and allocation (especially related to staff and community), with remote school contexts intensifying the challenges and adding additional challenges associated with coping with remote locations and community cultures.

Focus on Teaching

Given the history of studying successful school leadership, it was somewhat surprising that there were only five papers that described Australian research that had some connection principal leadership for learning. Surveying Western Australian teachers about their perception of principal leadership, Cavanagh (2007) found through

structural equation modeling that in an 11-element principal leadership model, giving attention to individuals (attention to individual teachers, provision of professional development, coaching of teachers, and recognition of teacher and student effort) and promoting renewal of schooling (advocating need for morally positioned changes to education) were higher order leadership functions that impacted directly on seven of the nine remaining elements. In particular, principal leadership of pedagogy was dependent on both of these elements. Pepper and Wildy (2008, 2009) explored the implementation of a sustainability initiative, noting principal understanding of the concept, sharing of leadership responsibilities, and enthusiasm for the initiative were important elements of successful implementation. Reviewing research on the influence of school leadership on student outcomes, Marsh (2012) identified the challenges faced by contemporary leaders (accountability, educational reform, ambiguity of leadership) and suggested that leadership needs to go beyond the current notion of position-based concepts of leadership through a Leadership for Learning view that was community focused and involving of anyone who had the potential to influence student outcomes. Cranston et al. (2010) reported on a national survey of government primary school principals that explored their perception of the purpose of education. Principals reported a disconnection between what they considered should be the purposes of education, the strategies for achieving them, and the realities of what was actually occurring. They concluded that principals believe schools are not orientated toward public purposes to the extent that they thought they should be, nor were they enacting practices that supported public purposes.

Strategic Leadership

Eacott (2008) provided a review of research on strategy in educational leadership and argued that before there is cohesion in this area, research will need to be more theoretically inclusive and coherent and use mixed-method research designs. While a general review, it provided a call for Australian research in this area. Drawing on both his research on strategic leadership and interest in the sociological critique of schools, Eacott (2011) used a larger study involving interviews with 36 government school primary principals in NSW to show how school-based strategic planning is allowing governments to better control schools and the work of principals. Albright et al. (2012) studied minutes and transcripts of the meetings of school improvement planning committees in two NSW government schools (a primary and a secondary school) and found that presentism (having a short-term focus) was hampering school innovation and improvement. While not taking a strategic leadership perspective, the case study of the transformation of a Brisbane government primary school shows how a strategically oriented principal can lead substantial and lasting change. Through review of previous research and the personal reflection of the principal, Golding et al. (2012) described the leadership of Hinton at Buranda State

School as she used critical and creative philosophical thinking to focus students, teachers, and parents in a collective improvement effort.

Governance

At a time when school self-management and concern about accountability continues to be of interest (Dinham 2014) and there is a call for research into school governance (see Gurr et al. 2012), it is somewhat surprising to only find two papers focused on school governance. Through principal interviews and school case studies of small independent schools in Western Australia, Payne (2007) found that including experts from the corporate sector onto school boards has brought a corporate mentality to governance with the result that principals had to meet expectations associated with managerial responsibilities rather than educational leadership. Payne suggested the new context and expectations may have a deleterious impact on the passion and mission that has excited principals in the past and that it may lead to increased principal turnover. Gray et al. (2013) explored the experience of the four schools in their transition from school councils to school boards as part of the newly legislated Independent Public School (IPS) in Western Australia. The IPS program was introduced to give government schools greater autonomy through authority and accountability at the local level. Data were collected from interviews with 38 board members, observational data, and document analysis. The experiences of board members were variable and problematic in terms of understanding their roles and being able to use their expertise on the board. A lack of clear guidelines and support contributed to this feeling of uncertainty.

Leadership Behavior

While many articles comment directly or indirectly on the behavior of principals, there are three that are particularly noteworthy. We have already mentioned the research of De Nobile (De Nobile and McCormick 2007; De Nobile 2010) that described how openness in communication, accessibility, teacher support, and creating friendly and supportive work environments promoted teacher job satisfaction and reduced stress. De Nobile (2013) used interviews and surveys of teaching and nonteaching primary school staff to explore upward and downward supportive communication in schools. Upward (to the principal) was less prevalent than downward (from the principal) or horizontal (with colleagues) supportive communication. Somewhat counterintuitive to the findings, De Nobile suggested that principals needed to engage in more downward supportive communication to establish an environment of communication reciprocity. Roffey's (2007) review and interview-based research on six principals establishing caring communities resulted in a 14-element community building model that had principal vision and skills at the center.

Other Papers

There were five further papers that were not included in the previous discussion but which are relevant to Australian principal leadership. These will be briefly mentioned here.

There were three review papers. Eacott's (2009) paper has already been mentioned above in framing this paper. Watson (2009) reviewed Australian educational leadership in light of an OECD report about future school leadership (OECD 2008), concluding that school leadership needs to be reinvented and in particular that the work of principals needs to shift from the administrative to the educational. Cranston and Kimber (2010) explored educational policy and provided an evidence-based policy framework with research, political, and technical lenses that, while not directly related to principal work, provides a helpful framework for educational leaders to understand and critique policy decisions. A conceptual paper by Bishop and Limerick (2006) explored the use of corporate style performance measures (balanced scorecard and triple bottom line accountability and sustainability) in the Queensland school system and argued that while these measures cannot be ignored, they need to be carefully adapted to educational contexts.

Trimble et al. (2012) explored principal knowledge of education law through a mixed-method study involving a survey/scenarios ($n=15$) and interviews ($n=3$) with primary government school principals in Tasmania. They described how principals gained knowledge about legally related routine activities and nonroutine legal problems, how there were sometimes general misconceptions, and how they deferred to expert advice for major legal issues.

Raihani and Gurr (2010) provided the only paper on an Islamic school when they explored parent involvement using interview and survey methods. Despite respondents agreeing on the importance of parent involvement, they found involvement was limited and that principal and senior leaders were responsible for this managed relationship. Suggestions for how the school leadership could develop greater parent involvement were made.

Discussion

Mulford's (2007) review and his claims for reliable, evidence-based conclusions in seven areas have been eloquently criticized by Wildy and Clarke (2008a, b) who remind us of the contribution of Greenfield to moving our research from a positivist-centered view of certainty. We do not have space to address these issues, and while we do not want Mulford's categorization to dominate this discussion, it is useful to offer some comments in relation to his categories of leadership, transformational leadership, distributed leadership, school organization and student outcomes, job satisfaction/stress and leader supply/demand, system and community issues, and survey instruments. The importance of positional and distributed leadership and the

largely indirect influence of principals and other school leaders on student outcomes is not challenged by any of the papers reviewed. Of the research focused on Australian educational leadership, it is overwhelmingly focused on principals. For example, of the 110 papers in *Leading and Managing*, 51 % were focused on Australian principals and 22 % on other Australian educational leaders, with the remaining 27 % focused on other matters and/or with an overseas focus. While there were few studies that referred to transformational leadership, the importance of principals providing direction and motivating, supporting, and working with teachers, the essence of most concepts of transformational leadership, was the subject of many papers. While there rightly remains considerable interest in research about the work of principals, the work of school leaders other than the principal was evident in many papers and most notably in the papers about the IDEAS project. If we were to broaden past a principal focus, we would have included review sections on student leadership (13 papers), teacher leadership (six papers), and middle-level leadership (eight papers), further reinforcing the idea of a more dispersed view of leadership. There was limited explicit focus in the reviewed papers on how school organization impacts on student outcomes, although, again, there were obvious implications about this in the many papers that addressed school improvement initiatives. There was continuing research interest on job satisfaction/stress and role of principals in helping the work of teachers, and there were several papers that explored the leader supply/demand issue. The focus on system and community issues was not as strongly apparent as Mulford's review indicated, perhaps reflecting the criticism by Wildy and Clarke (2008a, b) that Mulford included too many indirect papers. Finally, there continued to be research that involved the use and construction of surveys to better understand the work of principals and schools.

Our review suggests considerable interest in principal development in particular and leadership development broadly. This is of interest in a country that does not have the leadership credentialing seen in jurisdictions such as in many parts of North America, England, Sweden, and so forth. One third of the reviewed papers explored aspects of principal development such as principal preparation, support for beginning and experienced principals, the work of late-career principals, and succession planning (including programs that target early career teachers). One fifth of papers focused on large research projects about school success: the IDEAS project, the International Successful School Principalship Project and the Successful School Principal Project, AESOP, the International Study of Principal Preparation, and the Leadership for Learning project. Those context matters are shown powerfully by the continuing interest in Australian small, rural, and remote schools expressed in several papers in this review. There was a somewhat surprisingly small selection of papers focused on leading teaching and learning. If we were to include the teacher and middle-level leadership papers, this section would have been much larger, perhaps reflecting Mulford's earlier observation of the indirect effect of principal leadership on student outcomes. At a time when many (e.g., Robinson and Timperley 2007) are calling for greater emphasis on principals as leaders of teaching and learning (often using the dated term of instructional leadership; see Gurr et al. 2007, 2010a, b, for a discussion about this), it is worth noting that there is not much

research interest in this. This possibly reflects how the work of other leaders in schools is becoming increasingly important, and the IDEAS project encapsulates this in its emphasis of parallel/teacher leadership to support principal efforts in driving school improvement. Nevertheless, principals have an important role in improving teaching and learning, and it would be useful to have more research that explores this. Smaller research areas were associated with exploring strategic leadership, governance, and leadership behavior.

We included a section on Catholic schools, partly because there were a large number of papers focused on these schools (one fifth of the papers reviewed), partly because in the Australian context these schools constitute a large but somewhat loose confederation of many smaller systems that educate one fifth of all students, and partly because we thought there would be some unique findings. This section is indeed rich in knowledge, most of which is applicable to principals and to school systems broadly, but with a few papers targeting important aspects such as faith formation in principals and teachers. While not discouraging the conduct of the more broadly applicable research conducted in Catholic schools, it would be useful to have more research that targets the unique aspects of leading Catholic and other faith-based schools. Further research could, for example, explore the role of principals in the various governance models used in Australian Catholic schools (Gurr et al. 2012) and their role in the faith formation of others, the influence of faith on school-parent relations (Raihani and Gurr 2010), the work of religious principals and the religious in schools, and so forth.

Methodologically, there was a range of methods used. Mulford (2007) argued for more large-scale quantitative research, and Wildy and Clarke (2008a) were fearful that this might lead to the demise of rich multimethod and qualitative research. Neither need worry as there were examples of well-constructed survey-based research, many examples of research using both surveys and interviews, and studies using a variety of qualitative methods. Perhaps qualitative studies were overrepresented, and maybe Eacott's (2008) call for more mixed-method research in strategic leadership is appropriate to the broader educational leadership field. If we have a criticism of the Australian research, it is that there were too many papers reporting on part of a larger study without fully describing why the authors were doing this, and the uniqueness of the contribution of Australian principal/education leadership research to larger world knowledge was not adequately reinforced (with perhaps the exception of the research on IDEAS and the small, rural, and remote schools). On this last point, we intend to extend this review by searching through other international journals that Eacott (2009) has found which include a sizable contribution by Australian academics (e.g., *Journal of Educational Administration and History*, *International Journal of Educational Management*, *Journal of Educational Change*, *International Studies in Educational Administration*, *and International Journal of Leadership in Education* which all have more 9 % of papers written by Australian authors).

Much of the research seems to be directed by the personal research interests of individuals or teams of researchers from a single university. This can be reflective of local, national, and international issues. For example, researching about new

types of schools like the independent public schools in Western Australia reflects a local interest, the large proportion of research on Catholic schools is a national interest (although much of this driven by researchers from New South Wales), and the leadership on successful school leadership is largely linked to membership of an international research program. Less evident is research that addresses school leadership issues associated with government or community-identified national issues, such as quality teaching, community partnerships, school autonomy, new technology, and twenty-first-century schooling as detailed by the Council of Australian Governments (2014). Of course, there is often a lagged effect operating here, with the outcomes of research published some time after an event or issue. Nevertheless, to some extent it appears that research is more the product of individual researcher interests than part of a coherent and collective engagement by those researching in the educational leadership field. Importantly, Eacott's (2009) call for more research cohesion and focus on research that matters to both the theoretical and practical development of the field needs to be considered. In matters of school reform, many are worried that the educational researcher voice is being ignored (e.g., Dinham, 2014), and so research that is across universities and contexts, focused on current theoretical and practical issues of national and world importance, is perhaps the next step in the development of the educational leadership research community.

The extent to which Australian research is influenced by overseas research is a perplexing question and difficult to answer, and here we draw on largely anecdotal arguments. There are many Australian researchers engaged in international collaborative projects, with two examples noted above: the research of Gurr and Drysdale and Mulford and colleagues in the International Successful School Principalship Project and the research of Wildy and Clarke in the International Study of Principal Preparation. Involvement in international projects by Australian researchers is a mutually beneficial partnership. In terms of where evidence and knowledge come from, there may be overreliance on overseas literature. The main journal that Australian educational leadership researchers publish in is *Leading and Managing*, which has a wide distribution of more than 6,000 hard copies to ACEL members, yet it is only in 2014 when it gained distribution through an electronic journal service. For those researchers (and policy makers) not members of ACEL, they may need to rely for their knowledge base on access to other journals through library subscriptions to electronic journal databases, and in these, the primary source of evidence comes from overseas and overwhelmingly from North America and the UK. So, even though there is considerable Australian research, most of it is published in a journal that currently needs a member subscription to access. This is likely to change as *Leading and Managing* becomes more widely accessible, but for the moment it can be argued that much of the knowledge base comes from overseas sources. Another way to consider the influence of overseas research is to consider what is being presented at major conferences. We travel regularly to major overseas conferences and find that much of the educational leadership research at conferences like those of the American Educational Research Association, Commonwealth Council for Educational Administration and Management, European Educational Research Association, and University Council for Educational Administration tends

to be concentrated on principal preparation and development, school restructuring, and a range of social justice issues associated with areas like leading in disadvantaged settings, democratic leadership, equity and access, and cultural diversity. Not all of this research is relevant to the Australian context, and so much of this research agenda is either not evident in the research we have described or, if it is, it is locally specific. Importantly, the importation of ideas from overseas needs to be carefully considered. For example, while there is research interest in principal leadership preparation and support, much of the Australian research in this area is focused on the lack of preparation for the principalship and the need to provide programs for aspirant and newly appointed principals. In countries like Australia, where there is no mandatory credentialing of principals, this is understandable. However, in countries where credentialing is mandatory, such as the USA, the focus of research switches to the quality of the programs provided, rather than the need to provide programs. So, the US research is not wholly useful to the Australian context and needs careful selection and interpretation. Of course, Australian research can inform the international research agenda. For example, the Australian focus on support of principals once they are in the job provides good evidence on the worth of mentoring and coaching.

In conclusion, the Australian research on educational leadership utilizes a wide range of research methods, is both extensive and worthwhile, but also is somewhat idiosyncratic and individualistic. It could engage more with researching matters of national importance and with researchers working more collaboratively across universities and research centers. While there are good connections with the international research community, there could be greater connection with international research agendas and the greater promotion of the use of Australian research.

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Chapter 11
Canada: Principal Leadership in Canada

Katina Pollock and David Cameron Hauseman

This chapter provides a preliminary summary of principals' work in Canada. It begins with a detailed description of how public education is organized in Canada. Next, we include a brief summary of overall challenges in Canadian public education followed by a synopsis of the principal's role throughout Canada's provinces and territories. Following this, an explanation is provided of the meta-synthesis employed to generate meaningful themes from the 285 empirical studies included in this investigation. Findings point to two overarching meta-themes: organizational support for the principal's workforce and the nature of principals' work. Each of these meta-themes is then further divided into multiple subthemes. Organizational support for the principal's workforce is separated into principal preparation, recruitment, retention, and succession planning. The nature of principals' work is further split into two subthemes: managerial/functionalist approaches and addressing issues of difference. The chapter concludes with recommendations on where researchers and policy-makers might want to concentrate their attention and resources in further supporting school leadership in the twenty-first century.

The Canadian Education System

Formal, publicly funded education systems in Canada consist of primary, secondary, and postsecondary levels. These systems are mainly the responsibility of provinces and territories; there is no national education strategy. Each of the ten provinces

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(Newfoundland and Labrador, Prince Edward Island, Nova Scotia, New Brunswick, Québec, Ontario, Manitoba, Alberta, Saskatchewan, and British Columbia) and three territories (Nunavut, Yukon, and the Northwest Territories) have their own public school system, each slightly different from the others. For the most part this means that provincial and territorial jurisdictions govern their primary education systems through provincial and territorial *Education Acts* or *School Acts* and legislation. For example, each province and territory creates their own provincial or territorial school curriculum. They also administer their public education systems through either provincial or territorial government departments such as the Department of Education or ministries such as the Ministry of Education. The only exception is the Federal Department of Aboriginal Affairs and Northern Development Canada, which is responsible, through the *Indian Act*, for providing primary and secondary education for students living on First Nation reserves (Indian Act, R.S.C. 1985) across all of Canada.

Operationally, all provinces and territories except for the Yukon Territory have some kind of school board system (also known in some regions as District Education Authorities [Nunavut] and Divisional Education Councils [the Northwest Territories]) that is responsible for administering publicly funded schools. These systems vary somewhat across Canada. For example, in Ontario (2011–2012) there were 4,899 schools, each governed by one of 72 district school boards (Ontario Ministry of Education 2013). The province of Newfoundland and Labrador, in 2013, amalgamated four large, English language school boards into one massive board for the entire province (Newfoundland Department of Education 2013). The province of Alberta is the only province with *public* charter schools. Charter schools in Alberta are independent of any school district, have their own governance board, and report directly to the province (Alberta Education 2009). Primary education is compulsory in Canada, but the compulsory age varies depending on province and territory, with the age at which students no longer have to attend school generally ranging from 14 to 18 years of age (Oreopoulos 2007).

Each province and territory is responsible for teacher certification. Overall, the basic requirement for teacher certification in Canada is the successful completion of grade 12, a bachelor's degree (usually a 4-year program) and successful completion of a professional teacher education degree (usually a 2-year program) (Center for International Education Benchmarking 2013; Schleicher 2012). Some provinces also allow for the employment of individuals who do not possess all of the requirements for certification; "emergency teachers" are hired each year to fill vacant posts in isolated communities and in subject areas such as French, where there may be a dearth of qualified teachers (British Columbia Ministry of Education 2013; *Education Act*, R.S.O. 1990, c.E.2; Manitoba Education 2013). In an effort to increase mobility of teachers within the Canadian workforce across provincial and territorial jurisdictions, the Canadian federal government has signed the *Agreement on Internal Trade* (AIT) with the provincial and territorial governments (Grimmett et al. 2012). The implementation of the AIT means that it is now easier for teachers

certified in one jurisdiction to have their credentials recognized in another jurisdiction, increasing teacher mobility for work within Canadian borders.

The Canadian teacher workforce is highly unionized. All teachers employed by a Canadian school board automatically become members of a teacher union; they cannot opt out. All teacher unions and associations are provincially and territorially designated. Negotiation processes are not standardized across the country; some unions and associations collectively bargain at the "local level, some at the provincial level, and some are mixed" (OECD 2011, p. 6). Most provinces have one teacher union or association such as the Nova Scotia Teachers Union (NSTU), while larger jurisdictions such as Ontario have four teacher unions. Teacher unions are quite powerful in Canada (Levin 2010; OECD 2011). Principals are included as members of teacher unions and associations in all provinces and territories except Ontario and British Columbia where principals have been removed from local unions and associations and are considered management (Fleming 2012).

Because of the way in which Canada developed into a sovereign country, Canada's *Constitution Act* (1867) and Section 23 of the *Canadian Charter of Rights and Freedoms* provide protection for some types of publicly funded religious-based and language-based school systems. The constitutional provision for publicly funded religious-based schools applies to the provinces of Ontario, Saskatchewan, and Alberta. Section 23 of the *Canadian Charter of Rights and Freedoms* guarantees minority language rights for French-speaking people outside of the province of Québec and English-speaking people inside Québec, ensuring that each can attend publicly funded schools in their own language.

Challenges in Canadian Education

Including inland water bodies such as lakes, Canada is the second largest country by total area (United Nations Statistics Division 2013). Canada has an estimated population of just over 33,000,000, but with only 3.7 people per square kilometer, it is not densely populated (Statistics Canada 2013). Four-fifths of the population lives within 150 km of the US border, while the rest live across a substantial landmass (Custred 2008).

Canada is also a country of immigrants. With slightly more than 20 % of Canada's current population born outside of the country (Statistics Canada 2013), it is home to a number of different ethnic groups and has one of the highest per capita immigration rates in the world (Kelley and Trebilcock 2010). Immigration is a key driver of population growth and economic prosperity in Canada. Despite having an estimated fertility rate (live births per woman) of 1.7 between 2010 and 2015 (United Nations Statistics Division 2013), Canada's population grew by 5.6 % between 2006 and 2011 due to immigration (Statistics Canada 2013). While Canada is not experiencing a decline in population, the United Nations Statistics Division (2013)

estimates that Canada's population will grow by only 0.9 % annually between 2010 and 2015.

Similar to most developed countries (OECD 2013), Canada is experiencing a demographic shift towards an aging general population. This phenomenon is the product of several years of low and declining fertility rates, a rise in life expectancy, and the impact of the "baby boom," a spike in the number of children born between 1946 and 1965 (Statistics Canada 2013). These combined factors have led to a situation in Canada where it is predicted that between 2015 and 2021, the number of senior citizens (those aged 65 or older) will outpace the number of children (those aged 14 or younger) (Statistics Canada 2013). The demographic shift is best expressed by the latest national estimates (Statistics Canada 2013), which indicate that senior citizens are Canada's fastest growing population group and comprise 14.9 % of the total population, up from only 9.7 % 30 years ago. This number is expected to continue to increase as the "baby boom" generation grows into old age and retirement. The effects of these demographic trends can be seen in the principal workforce. Large regions of Canada (Ontario, Alberta, and Saskatchewan to name a few) have experienced principal shortages partially due to mass numbers of people retiring (Fink and Brayman 2006; Normore 2006).

Formal public education in Canada faces a number of challenges. Some of these challenges are unique to Canada, while others are challenges with which all nation states struggle. One of Canada's unique challenges is its composition (governance structure, geography, and population dynamics). Combinations of provincial and territorial public education systems with (generally speaking) a relatively small but frequently diverse population spread out over an extremely large landmass have created many different school system contexts throughout Canada. Combinations of Canada's composition with reported principal shortages in various regions of Canada and many parts of Canada find themselves faced with challenges concerning appropriate principal preparation, recruitment, retention, and succession planning (Alberta Teachers' Association 2010a, b; Catholic Principals' Council of Ontario 2004; Fink and Brayman 2006).

In addition to the Canadian composition, school system contexts are not immune to external global pressures influencing public education worldwide. Public education systems in Canada are subject to the same neoliberal pressures that have led to the implementation of elaborate performance-based accountability mechanisms (e.g., large-scale student testing) in other education systems (Leithwood et al., 2002; Pyrtula et al. 2013). These accountability mechanisms are used to determine whether schools are improving student achievement in certain narrowly defined subject and skill areas that some consider essential for students to make a meaningful contribution to the Canadian economy (Ben Jaafar and Earl 2008).

In 2009, Canada spent 3.9 % of its gross domestic product (GDP) on primary, secondary, and non-tertiary postsecondary education (OECD 2013). As the OECD average expenditures in this area also represent 3.9 % of GDP, Canadian education spending is consistent with that of other developed nations (OECD 2013). In terms of quality, Canada owns one of the world's strongest and top-performing education systems. In reading, Canadian students outperformed their peers in all but four

countries according to data from the latest OECD Programme for International Student Assessment (PISA) conducted in 2009 (Knighton et al. 2010). The performance of Canadian students in mathematics and science on the 2009 PISA study clearly exceeded the OECD average, as they ranked eighth and seventh, respectively. Overall, the average 15-year-old Canadian student received a score of 527 in literacy, science, and mathematics; this is substantially higher than the average score of 497 across all participating nations (Knighton et al. 2010).

Canadian students have experienced similar success in other international measures of student skill and achievement, such as the Progress in International Reading Literacy Study (PIRLS) and the Trends in International Mathematics and Science Study (TIMSS). On the former, last conducted in 2011, Canadian grade 4 students ranked 12th out of the 45 participating countries. With 13 % of students hitting the advanced benchmark, Canada was among the countries with the greatest percentage of students reaching the highest level (Labreque et al. 2012). TIMSS is an international study that measures the mathematics and science achievement of students in grades 4 and 8. The provinces of Alberta, Ontario, and Québec participated in the most recent TIMSS study, conducted in 2011 (Education Quality and Accountability Office [EQAO] 2011). Students in grades 4 and 8 in each of the participating provinces ranked within the top half of all participants for the mathematics portion of the study. The results for Canadian students in the science portion of the TIMSS assessment paint a similar picture (EQAO 2011). Canada continues to work towards increasing student success so that it can effectively compete on the world stage.

Principal's Role in Canadian Public School Systems

Because public education in Canada is a provincial and territorial responsibility, the principal's role has little connection to national policy per se, but rather is largely connected to provincial and territorial policy and their public school systems. Document analysis (e.g., *Alberta Education Act [Part 7, Section 19]; Prince Edward Island School Act [Part 7, Section 99]; Québec Education Act [Chapter 3, Division 5, Section 96, Subsection 12])*[1] indicates that principals across Canada are responsible for similar duties/tasks and roles. These duties can be broadly grouped into four overlapping areas: leadership and management, and to a lesser degree, cultural identity/language, health/wellness, and mental health. All legislation from the

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[1] A comprehensive list of Education Acts and School Acts analyzed included *Alberta Education Act (Part 7, Section 19); British Columbia School Act (Regulation 265/89, Section 5); Manitoba, The Public Schools Act (Section 55.1, subsection 1); New Brunswick Education Act (Regulation 97–150, Part 6, Section 28); Newfoundland and Labrador Schools Act (Part 3, Section 24); Northwest Territories Education Act (Part 2, Section 63); Nova Scotia Education Act (Chapter 1, Section 38); Nunavut Education Act (duties and role located throughout the act); Ontario Education Act (Part 10, Section 265); Prince Edward Island School Act (Part 7, Section 99); Quebec Education Act (Chapter 3, Division 5, Section 96, Subsection 12); and Saskatchewan Education Act (Chapter 4, Section 175).*

provinces and territories include, to a degree, components of leadership and management. A majority of the legislation includes leadership responsibilities first and management second. Across the country, terms such as "educational leaders" (Nova Scotia), "instructional leaders" (e.g., New Brunswick, Newfoundland and Labrador, Northwest Territories, and Prince Edward Island), and "leaders of instructional programs" (Nunavut) are used to describe the leadership positions occupied by principals. Tasks attached to the principal's role include developing, supervising, evaluating, and being accountable for instructional programs; hiring, supervising, evaluating, and providing professional development opportunities for school staff; supporting student advancement; and evaluating student performance and progress. Principals are also expected to create a positive school climate and to create and maintain connections with the students, parents, and the local communities.

In terms of management, principals implement decisions made by the school district and/or provincial or territorial government. They are expected to maintain order and student discipline, maintain student records, timetables, and schedules, and provide various reports to the school board. Principals are accountable for funds provided to, or raised by, the school. Principals are often responsible for prescribing the duties and functions of support staff. Principals are also responsible for expenditures, student attendance, development and delivery of extracurricular programs and services for students, reporting student progress to parents and guardians, and establishing school plans. Finally, principals are also responsible for the requisition of supplies and for the upkeep of the school and school property.

In addition to traditional leadership and management responsibilities, some *School Acts* and *Education Acts* include other explicit tasks and duties for principals that focus on health and wellness and cultural identity and language. For example, eight provinces and territories emphasize responsibilities connected to student's well-being, health, and safety. These responsibilities and tasks vary between provinces and territories, but generally include items such as being legally responsible for the health and safety of all students within the school and an obligation to implement a school-wide anti-bullying or anti-violence plan. Other jurisdictions expect principals to connect with representatives from other government agencies in an effort to better meet student needs or provide student support services. Some principals are also explicitly expected to report any child welfare concerns to their superintendent and appropriate government officials and to notify the appropriate authorities of any outbreaks of infectious or contagious diseases.

Lastly, principals in 8 out of the 13 provinces and territories are also assigned roles and responsibilities for preserving/developing cultural identity and language. However, these responsibilities vary between provincial and territorial jurisdictions. For example, the *British Columbia School Act* states that principals are expected to promote "loyalty to the Crown, respect for Canadian traditions, laws, institutions and human values, and shall include observation of occasions of historic or current importance to Canada and the Commonwealth…" (p. D-61). In New Brunswick, principals are expected to establish school policies for ensuring and promoting the language and culture of the official linguistic community served by the school. Principals in French language schools in Newfoundland and Labrador are

responsible for promoting cultural identity and the French language throughout the school. In the territory of Nunavut, principals are charged with protecting the cultural, moral, and spiritual heritage of the local community, which includes consulting with community elders and other local stakeholders. Planning the delivery of culture-based school programs is also a mandated responsibility of principals in the Northwest Territories.

Methodology

A meta-synthesis approach was used to conduct the study described in this chapter. "Meta-synthesis" is a term used to "encompass a variety of approaches to synthesize a number of qualitative research studies within a particular field of study" (Paterson et al. 2009, p. 23). As will be discussed later, the vast majority of references included in this review are qualitative in nature, so we determined that a meta-synthesis would provide the best framework with which to move forward.

As the purpose of this review is to synthesize and present all Canadian research on school principals conducted in the twenty-first century, the selected studies cover the period 2000–2013. The following eight databases were searched for potential studies for inclusion in this meta-synthesis:

- ProQuest
- ProQuest Dissertations and Theses
- JSTOR
- EBSCOHost
- Education Research Complete
- Thesis Canada Portal
- Google Scholar
- Microsoft Academic Search

Different combinations of keywords were used to search the databases. Search terms used to collect and identify potential sources included *principal*, *Canada principal*, *school principal*, *Canadian school principal*, *school principal Canada*, *principalship*, *Canadian principalship*, *school leadership*, *school leadership Canada*, and *educational leadership Canada*. References were initially selected if they involved the study of principalship in Canada. Studies published in a variety of sources, including peer-reviewed journals, book chapters, doctoral dissertations, master's theses, and research reports produced by government and professional organizations, were all sought out for inclusion in this review. The initial search as described above produced 395 unique references.

After the initial search, references were further reduced by hand. The final selection criteria were that all research included in this project had to be empirical work published between 2000 and 2013 and had to involve conducting research with or about school principals in Canada. This step in the search process resulted in the exclusion of 45 peer-reviewed journal articles, 39 book chapters, and 7 professional

reports because they were conceptual in nature. Also excluded were a further 13 peer-reviewed journal articles, 5 doctoral dissertations, and 2 master's theses. Analysis of these references revealed that either the research did not focus on principalship or the studies were conducted outside of Canada.

Ultimately, the search process yielded a total of 285 references that fit our criteria. Both critical and more traditional voices are included among the selected references. The final selection is comprised of 102 peer-reviewed journal articles, 12 book chapters, 77 doctoral dissertations, 74 master's theses, and 20 reports from government or professional organizations. Only 8 of the selected studies were in French, the other 277 being written in English.

The vast majority of empirical studies conducted on Canadian principals since 2000 are qualitative in nature. Solely qualitative studies account for 63 of the 102 selected journal articles, 11 of the 12 book chapters, 60 of the 77 doctoral dissertations, 53 of the 74 master's theses, and 8 of the government and professional reports. Sixteen journal articles, 28 of the doctoral dissertations and master's theses, and 7 of the reports employed a mixed methods approach. Of the selected references, only 17 journal articles, 4 doctoral dissertations, 3 master's theses, and 5 reports used solely quantitative methods. Fifteen of the 63 qualitative journal articles selected for this study were presented as inquiries based in grounded theory, critical feminist, narrative, naturalistic, phenomenological, or ethnographic approaches. The type of methodological orientation to data collection or analysis was either not specified or the authors simply stated their methods and seemingly took a neutral approach to their inquiry in 47 of the qualitative journal articles. All but 1 of the 29 quantitative references in this study primarily relied on survey methodologies. The remaining reference analyzed student achievement data using a correlational design.

The meta-synthesis approach we used for this review is called a meta-study. This meta-study involved four phases of analysis and a synthesis phase (Paterson et al. 2001; Sandelowski and Barraso 2003). Each phase of analysis involved coding the selected documents (Merriam 2009). Initial categories were developed to group the documents based on methodological approach, findings, and any theoretical lenses that informed the studies (Paterson et al. 2001, 2009; Sandelowski and Barraso 2003). The fourth phase of analysis involved using an inductive approach to coding and categorizing the data within each of the initial three large categories. The fourth phase was conducted in an effort to allow themes to emerge from multiple readings and interpretations of the data (Merriam 2009). The findings of these phases were then synthesized as we attended to the theoretical foundations and underpinnings of the educational administration field as well as the contexts in which the research was conducted.

An interactive, web-based, qualitative and mixed methods data analysis software application called *Dedoose* was used to code and analyze the documents in this study. The web-based nature of the program enables users to access their project from any device that connects to the Internet, including computers running Windows or Apple operating systems, tablets, and mobile phones, all of which were used to

analyze data on this project. Increased accessibility is possible because all project documents are kept in "cloud" storage once uploaded to the *Dedoose* online database. In addition to allowing ease of access to the project regardless of computer hardware, use of *Dedoose* allowed researchers located in different cities to simultaneously log into the project and upload documents, code data, and conduct analysis in real time.

Funding for Educational Research in Canada

In Canada, funding for educational research originates from a number of different sources: national granting agencies, federal ministries, not-for-profit agencies, and school site action research initiatives. For example, at a national level, researchers can obtain federal government support from the Social Sciences and Humanities Research Council (SSHRC). SSHRC is a "federal research funding agency that promotes and supports postsecondary-based research and training in the humanities and social sciences" (SSHRC 2014). Since 2000, 14 grants worth upwards of 1.1 million Canadian dollars have been awarded to researchers who have studied principals' work, successful leadership practices, or principal succession (SSHRC 2013). Research on principals' roles and work is generated at the provincial and territorial level as well (see, e.g., The Learning Partnership 2008). Some of this research was conducted or commissioned by the provincial and territorial governments and in some cases remained internal with little to no public access to findings, generated for internal policy-making purposes. For obvious reasons, this chapter is not able to report on such research or findings. Other provincial organizations also commission and conduct research around principals and their work; these tend to be professional associations such as the Ontario Principals' Council (OPC) and the Catholic Principals' Council of Ontario (CPCO) or labor groups such as the Alberta Teachers' Association and the League of Educational Administrators, Directors and Superintendents of Saskatchewan. To a lesser degree, a few not-for-profit groups, such as The Learning Partnership, People for Education, The Fraser Institute, and The Manitoba Education Research Network, have completed research in the past 10 years on principals' work.

Many of the findings reported in this chapter were supported through the above-mentioned funding opportunities. To a lesser degree, a few large school districts have conducted their own research around principals' roles and work, but findings from these studies tend to be limited to public access (Ottawa-Carleton District School Board 2012; Saskatoon Public Schools 2008). In some regions of Canada, teachers and principals themselves engage in action inquiry where they research their own practice. In these particular cases, research findings are mainly shared among a local group of practitioners (Prendergast 2002; Williams et al. 2008).

Canadian Research on School Principals in Relation to the Rest of the World

The research reported in this chapter adds to the international knowledge of leadership in a number of ways. First, it advances knowledge on what principals do in their rapidly changing work environment. Second, it supports a number of growing trends found in other nations around organizational support for the principal workforce, including principal shortages, the decreasing desirability of the position, and the need for strategic succession planning. Lastly, Canadian research on the principalship illustrates well how context matters. The research included in this study demonstrates that Canada's large landmass, small population, and substantial kinds of diversity mean that the context in which public education occurs in Canada operates within various extremes and therefore can differ significantly from region to region.

It is difficult to determine to what degree research from outside Canada has influenced the diverse research on principals within Canada. National boundaries are becoming increasingly transparent in a globalized and technology-driven world characterized by vast transfers of knowledge, from individual, real-time, face-to-face consultations, to Twitter feeds updating new research findings, to cross-border and collaborative research ventures. However, a brief analysis of a random sample of 20 published articles gathered from the 285 references is included in this study. A total of 660 references were cited in these 20 randomly sampled articles, and they provide some general indication that research and information from other nation states may have influenced research in the Canadian context. It is outside the scope of this chapter to conduct further analyses with respect to how Canadian scholarship on principals is influenced by international research.

However, as the pie chart in Fig. 11.1 (*Potential Influences on Canadian Scholarship investigating the Principalship*) indicates, Canadian scholars studying the principalship seem to be heavily influenced by research conducted in the
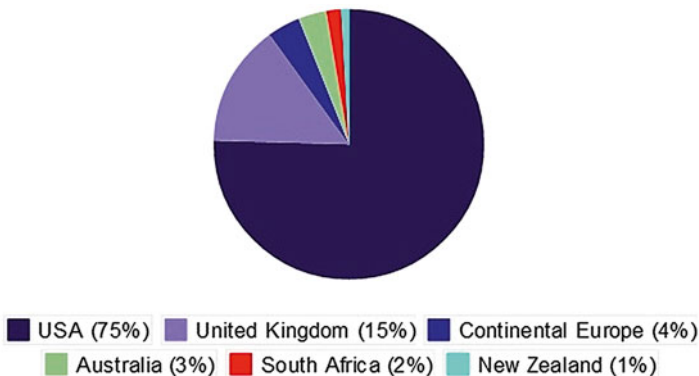

USA (75%)   United Kingdom (15%)   Continental Europe (4%)
Australia (3%)   South Africa (2%)   New Zealand (1%)

Fig. 11.1 Potential influences on Canadian scholarship investigating the principalship

United States. A total of 75 % (424 of 660) of the random sample of references was from research conducted in the United States. Research conducted in the United Kingdom or by British researchers accounted for 15 % (82 of 660) of the references, with perceived smaller levels of influence emanating from Continental Europe and other English-speaking nations. Authors of articles included in this sample cited their Canadian colleagues only 173 times (not included in the chart above), which makes the influence of American work on the Canadian context seem even more pronounced.

While this chapter is not a comparison between research on principals' work in Canada and other countries, it could be argued that since a substantial amount of Canadian research is drawn from the United States, Canada probably faces similar school leadership issues as the United States and other Western countries. However, how these issues play out in Canada may be somewhat different from other contexts. For example, Canada, like other Western countries, subscribes to a performance-based accountability system; however, the consequences of implementing such a system in Canada differ from those observed in other nation states. For instance, unlike Canada, many American states have attached high-stakes, punitive measures to their accountability systems, which have a direct impact on principals and their teachers. While principals in each nation work in somewhat similar systems, how they perform their work differs because of the structure of the performance-based accountability system within their context.

What Research Says about Principals' Roles, Work, and Leadership in Canada

Recent research inquiries and findings connected to the school principal's role, work, and leadership in Canada are driven by the Canadian context and can be broadly categorized into two general areas: organizational support for the principal workforce and the work of principals. Organizational support for the principal workforce can be subdivided into principal preparation, recruitment, retention, and succession planning, all of which are interrelated. The work of principals focuses on what it is that principals are doing, how they do their work, and why they engage in the work that they do. The remainder of this chapter is devoted to presenting our analysis and synthesis of the research in relation to the work, role, and leadership of Canadian principals in the twenty-first century.

Organizational Support for the Principal Workforce

As mentioned earlier, Canada's changing demographic means an overall high attrition rate of experienced principals (CPCO 2001; Fink and Brayman 2006). This shortage is more extreme in rural and remote regions of the country. In addition to

fewer principals in the hiring pool and geographic challenges, the changing nature of the principal position has led to fewer teachers choosing to become principals, and it has also changed the kinds of qualities required in candidates for the principalship (Winton and Pollock 2013). Further, the expansion of principals' roles has left many feeling dissatisfied with their professional lives (Wright 2008). For these reasons, research and policy attention has turned to principal preparation, recruitment, retention, and succession planning. Fifty-three of the 285 documents included in this meta-study fit in this category. The four subcategories mentioned above center on supporting the formal role of the principal. Within each subcategory there are a number of studies that attempt to understand issues connected to principal preparation, recruitment, retention, and succession planning, while others attempt to examine solutions and strategies to overcome the challenges in each of these areas.

Principal Preparation

Individual provinces and territories are responsible for preparing aspiring and beginning principals for the position as well as for providing opportunities for ongoing professional development (see, e.g., ATA 2013; Yukon Education 2011). Presently, the types of preparation programs and professional development opportunities available to Canadian principals vary by the province or territory in which the principals work. Professional associations and teacher unions appear to be quite active in providing learning opportunities for their members in 10 of the 13 provinces and territories. Similarly, in 10 of the 13 provinces and territories, the Ministry or Department of Education is involved in the delivery of workshops and other types of preparation and ongoing learning opportunities for their principals. District school boards are involved in mentoring beginning principals and providing professional development for experienced principals in most jurisdictions (Dick 2005; Keanie 2007; McGregor 2011; Québec Ministry of Education, Leisure and Sport 2006; Webber and Scott 2010). Though the requirements for the position of school principal are quite similar across the different provinces and territories, only five have mandated qualification or certification programs for aspiring principals (Nunavut Professional Improvement Committee 2010; Ontario College of Teachers 2005; Yukon Education 2011). Applicants for these programs will have usually already obtained many of the requirements needed to become a school principal, such as a master's degree and teaching or supervisory experience. Completion of a principal certification program is viewed as an additional qualification in each of the five provinces and territories in which they are offered. Canadian faculties of education and many American border colleges offer master's degree programs. The Yukon Territory provides teachers with an opportunity to take an educational leave to pursue graduate studies (Yukon Education 2013). This is important to point out because, as mentioned earlier, a master's degree is becoming a mandatory qualification for aspiring principals in several jurisdictions across Canada.

Some of the research around principal preparation focuses on determining the limitations to formal professional learning, such as a limited focus on the emotional and value-laden aspects of principals' work (Harris 2008; Wallace 2010). These findings have led some to express concern about whether graduate programs and prior leadership experience adequately prepare principals for the rigors of the demanding role (ATA 2009; Harris 2008; Mentz et al. 2010). Other research focuses on how to improve principal preparation programs or provide alternative kinds of programs and contents. This includes a diverse range of approaches to professional development, including principal retreats, visualizing success, theatrical improvisation, or participation in formal leadership coaching programming (ATA 2013; MacKinnon 2007; McGregor 2011; Meyer 2001; Sherman 2008). There is a growing consensus that effective principal training needs to include some form of interaction with peers and direct connection to typical principals' work, as opposed to strict segregation in a formal learning program away from the school environment. As mentioned earlier, mentoring – whether formal, informal, and/or virtual – appears to be a major strategy in preparing principals in Canada (Dick 2005; Keanie 2007; McGregor 2011; Québec Ministry of Education, Leisure and Sport 2006; Scott 2010). Some models are formal, school district-wide mentoring programs such as the Mentoring and Coaching Pilot Project delivered in 20 different Ontario district school boards in 2007–2008 (Ontario Ministry of Education 2008), while others include things such as online chat and training sessions among principals (Dunn 2005; Isabelle and Lapointe 2003; Scott 2010; Webber 2003; Webber and Scott 2010). Issues identified with principal preparation include supporting opportunities that are connected to the principals' local contexts and making the programs relevant to the changing nature of the position (CPCO 2005; Grodski 2011; Québec Ministry of Education, Leisure and Sport 2006; Scott and Weber 2008).

Recruitment

Connected to principal preparation is principal recruitment. Interest in increasing the number of principal candidates and the quality of these candidates has been spurred on by increased attrition rates and the changing role of principals' work throughout Canada (Fink and Brayman 2006; Normore 2004, 2006). A recent OECD report indicates that nations like Canada, which rely on candidates self-selecting into principal preparation, take an inefficient approach to recruitment; self-selection does not ensure that the most qualified candidates are being groomed for leadership positions and allow for teachers to pursue the principalship solely for the pay raise (Schleicher 2012). The same report argues that self-selection may not meet jurisdictional school leadership needs and could be the culprit for the principal shortages experienced across Canada and in most of the developed world.

A growing body of research has focused on the diversification of the principal workforce so that it reflects the increasingly diverse student population. A lack of diversity in the current Canadian educator pool has been traced to discriminatory

hiring practices and inequities in schooling (Ryan et al. 2009). Unique challenges in recruiting principals to isolated and remote communities have been identified, such as a lack of networking opportunities and the erosion of vice-principalships and support staff (Thompson 2009).

Retention

Retention can be understood both broadly (keeping principals employed in principal roles) and narrowly (keeping a principal employed at a particular school). In other words, principal turnover is not merely principals leaving the role but also principals changing schools (Mascall and Leithwood 2010; Reynolds et al. 2008). The overall shortage of qualified personnel to fill school principal roles has created a rather unique phenomenon where those recruited find themselves engaging in multiple lateral moves between a number of different schools. Lateral mobility can be attributed to a domino effect where one position becomes available and a principal is moved to fill it, and/or principals are encouraged, as a form of professional learning, to work in more than one kind of school context. For example, few principals in Ontario stay in a school more than 4 years before moving to another school or to more senior administration (Reynolds et al. 2008; Volante et al. 2008). There is consensus among the Canadian literature that rapid and frequent principal turnover has a negative effect on schools and staff (Mascall and Leithwood 2010).

Succession Planning

Even though there has been an ongoing principal shortage in Canada, less attention has been paid to succession planning than preparation, recruitment, and retention. A larger, long-term, visionary process, succession planning involves the identification and development of internal employees to fill existing or impending vacancies in leadership. Most of the research around succession planning contemplates the consequences of principals' departures and arrivals on teacher morale, school community, leadership styles, and school culture (Hardie 2011; Hengel 2007; Jones 2001; Meyer et al. 2011; The Learning Partnership 2008; Mascall and Leithwood 2010). A lack of adequate succession planning strategies by school districts was found to have negative outcomes in all of the areas mentioned above. However, findings indicate that these negative outcomes can be tempered through the use of distributive and participatory leadership strategies by the incoming administrator (MacMillan et al. 2004; Northfield et al. 2006). Some of the only critical work in this area used data collected from district administrators to explore the experiences and challenges faced by female administrators during succession planning and

principal rotation (Reynolds et al. 2008); the key finding was that organizational rules and human resources processes can unwittingly diminish opportunities for females to occupy roles like the principal of a secondary school.

Fink and Brayman's (2006) work investigating principal succession over 25 years in nine schools in Ontario and the United States is one of the only longitudinal studies of principals and their work to come out of Canada since 2000. During the course of the study, the authors found that the principalship is no longer perceived as an attractive occupation by either youth or by many teachers in the respective education systems studied. Based on these findings, the authors assert that succession planning is futile as long as education authorities continue to erode the authority and autonomy of the school principal. One of the researchers' major conclusions is that qualified candidates will emerge to fill vacant opportunities, and the principal shortage will end only if school administration is viewed as an attractive position with real influence in the community.

The Nature of Principals' Work

Because there is no centralized national education program in Canada, research around principals' work and roles appears to be driven in response to local contexts rather than a specific set of priorities driving research and funding; collectively, current empirical studies appear to cover a vast set of interests. The second major category into which Canadian research on principals in the twenty-first century falls can be further divided into two subcategories: managerial/functionalist perspectives that explore the principals' role and work and critical approaches that study issues of difference. Both categories focus generally on what principals actually do and why they do what they do, but each from a different epistemological/political perspective. While there is overlap between the two subcategories, the managerial/functionalist approach appears to concentrate on practices or work of principals from an organizational change approach, and the critical approach emphasizes challenges to the status quo and is connected to addressing some form of inequity.

Managerial/Functionalist Approaches

This subcategory focuses on the work that principals do in relation to their official roles as administrators in an effort to improve schools. In most cases, the concern is about organizational change or school improvement. Research that falls into this subcategory can be further divided into three general areas: the individual principal, principal interactions, and program implementation.

The Principal as a Person

In this subcategory, empirical studies focus on something about the individual who assumes the principal role. This subcategory takes almost every aspect of the principal as an individual human being into account, including personality traits, beliefs, identity, and emotions and emotional intelligence. Findings indicate that principals often take on the role of "mediator" when communicating with staff regarding inclusion (Ryan 2007). Principals also have little opportunity to discuss their emotions with staff, apart from formalized posturing and measured ways of communication (Lake 2004). It is also worth mentioning that these studies found that female principals displayed better interpersonal skills than their male counterparts (Beatty 2000; Stone et al. 2005).

Also included in this subcategory are empirical studies of the principalship in a Canadian context that explore how principals are socialized into the role, as well as different forms of knowledge and how principals utilize that knowledge. Principal perceptions on various topics are also included in this subcategory. Principals have been found to have little knowledge of education law and may be marked with uncertainties when making decisions that could result in police involvement (Findlay 2007). Principals' perceptions of self-efficacy were influenced by gender (male principals typically feel more confident in their skills and abilities than their female counterparts), level of education, qualifications, and whether they had any teaching responsibilities (Bouchamma 2006). Studies in this subcategory also focused on how interacting with the larger education system influences principals, their work, and their identity. Findings reveal that principals believe that accountability influences their work both positively and negatively. For example, some principals mentioned practicing more instructional leadership, the practice and success of which has been found to be heavily influenced by systemic coherence within districts and jurisdictions (Lessard et al. 2008; Mitchell and Castle 2005; Prytula et al. 2013). There is also an emerging body of research exploring personal journeys individuals have taken to the principalship, as well as the mental health and wellness of Canadian principals (Sackney et al. 2000). One such study looked at whether a principals' (or other educators') gender influenced their perceptions of personal wellness. Findings indicate that principals need to pay attention to relations with employees in order to develop an understanding of their mental and physical wellness, as well as any other concerns of which they should be aware, regardless of an individuals' gender. The authors also point to a need for principals and other school employees to be involved in district decision-making processes, especially when these decisions influence workload and, potentially, wellness (Sackney et al. 2000).

It is difficult to provide any sort of meaningful "global" findings or policy recommendations in this area because much of the research and findings generated for this category come from doctoral dissertations, localized studies, and/or small qualitative studies. Further, the respective foci of these works are quite divergent. However, it is important to point out that these divergent explorations may indicate future research priorities and be laying the foundation for further major research emphasis and findings to come.

Interacting with People

As the *Education Acts* and *School Acts* across Canada indicate, a significant part of the principal's role centers around interacting with people. These interactions may be fleeting or develop into ongoing relationships. The studies included in this subcategory focus on the ways in which principals work with people. This is a large and rather disparate subcategory, containing over 100 references included in this meta-synthesis. A number of studies in this subcategory have explored the impact of transformational and distributed leadership. The findings of these studies point towards the positive impact these forms of leadership can have on student outcomes, teacher attitudes, and the ways in which principals interact with community stakeholders (Anderson 2004; Coelli and Green 2012; Leithwood and Strauss 2008; Ross and Gray 2006).

Research studies exploring how principals build relationships and work with students, parents/guardians, their teaching staff, and the larger community are also well represented in this subcategory (Cranston 2009; Flessa 2012; Hands 2005; McClusky 2007; Mulongo 2011; People for Education 2011; Stelmach and Preston 2008; Walker 2007). Distributing leadership was identified as a key success strategy for building the emotional capacities of staff, working with teachers during policy and program implementation, and in developing and supporting effective professional learning communities (Cranston 2009; Flessa 2012; Sheppard and Dibbon 2011; Williams 2006).

The role of trust in principals' work and in principal succession events has been explored by scholars located in different parts of Canada. These scholars have found that principals serve a role in brokering trust throughout the school and are concerned with establishing and maintaining the trust of their staff, school district, students, parents/guardians, and other stakeholders. Findings indicate that the pace of development of stakeholder trust in their principal is contingent on administrator skill and competence, the types of interpersonal relationships developed, and staff (including principal) turnover (Kutsyuruba et al. 2011; Macmillan et al. 2004).

As the principalship in Canada is all about relationships and working with people, there are many directions for future research identified in the literature, including developing a better understanding of how principals delegate and distribute leadership at the school level (Leithwood et al. 2007; Leithwood and Strauss 2008). How distributed leadership impacts student learning – both directly, by leading instruction and delegating work in professional learning communities, and indirectly, through leadership styles and practices – are areas that could be explored further (Begley 2001; Cranston 2009; Mascall Leithwood et al. 2009; Slater 2005; Wright 2008).

Program Implementation

The final category of studies exploring the nature of principals and their work in Canada, and the one with the fewest entries, investigates principals' roles and participation in implementing a variety of educational programs and initiatives. As Canada's public education systems implement more performance-based

assessments, attention has focused on the practices in which principals engage in these accountability contexts (Newton et al. 2010; Volante and Cherubini 2011; Volante et al. 2008; Webber et al. 2013). Findings include the idea that leaders need to be viewed as credible to effectively work with their teaching staff and lead professional learning and that administrators may not feel comfortable being labeled "instructional leaders" when it comes to developing tools and giving advice on assessing student achievement (Volante and Cherubini 2011; Webber et al. 2013). Factors that influence how Canadian principals respond to large-scale assessment include teacher resistance, school improvement planning, initiative overload, and pressure to meet provincial targets (Volante et al. 2008). The implementation of large-scale assessments also appears to have redefined how principals practice instructional leadership, as they are increasingly tasked with managing data and assessing staff performance (Newton et al. 2010).

Some attention has been paid to principals' work and the use of information communication technology (ICT). There has been some concern surrounding the fact that increased use of ICT in schools has expanded principals' workload (Anderson and Christiansen 2006; Haughey 2006). Other studies have found promise for the use of ICT as a support mechanism for new school leaders and suggest that principals can play a central role in securing and promoting ICT-related resources at the school level (Isabelle and Lapointe 2003; Mroz 2004). While the "program implementation" subcategory includes a small number of studies, it appears to be an emerging area of inquiry. Many of the studies mentioned above have been produced rather recently, and it appears as though program implementation is an area poised for more research and scholarly activity in the near future.

Public expectations of the education system are at an all-time high (Levin 2008), and performance-based educational accountability initiatives are now a fundamental part of Canada's public education systems. These developments demonstrate a need for further research that addresses the success factors and challenges faced by principals working under new accountability systems (Volante and Cherubini 2011; Webber et al. 2013). That said, there is a need for further research that addresses the success factors and strategies employed to mitigate challenges faced by principals working under performance-based accountability systems. The influence of ICT on principals and their work should also prove to be a fruitful future direction for research as more sophisticated devices and wireless capabilities become increasingly available in many Canadian schools (Anderson and Christiansen 2006; Haughey 2006).

Addressing Issues of Difference

In Canada, another body of research, supported in part by federal SSHRC funding, considers how principals deal with issues of difference. This body of research tends to take a more critical approach to public schooling, in part by challenging the status

quo, and reflects much of Canada's national character in terms of geography/regionalism, organizational structure, and policies and history. This subcategory consists of roughly three themes: principals' work and religious education, principals' work and geography, and principals and inclusive education.

The Principalship and Religious Education

The *British North American (BNA) Act* and later the *Canadian Constitution and the Canadian Charter of Rights and Freedoms* guarantee the right to religious-based schools. However, religious education has not received the same degree of public support and funding as secular schools and school systems (Gidney 1999). Because there are a number of large Catholic school systems and districts located across Canada, much of the Canadian scholarship exploring religious education has centered on a Catholic context. Catholic schooling is understood as being different from secular schooling in Canada; it has always struggled for recognition. This is also the case for educational research into publicly funded Catholic education. Except for a few studies mainly localized in the Ontario context and concerned with Catholic school systems gaining and maintaining public funding and recognition, little is known about Catholic education in Canada (Pollock 2013; Zinga 2008). Some research on Catholic education has not found its way into mainstream research and academic publishing (Kostoff 2010; Mulligan 2005), while other studies include Catholic schools and systems in their research analysis but totally ignore the catholicity that is a part of some principals' work (Brackenreed 2008; De Wit et al. 2010; Killoran 2002). Even less attention has been given to the work of school principals in Catholic schools. Some exceptions include exploring how principals in Catholic schools conceptualize school success and exploring how principals working in faith-based contexts operationalize their leadership (Pollock 2013).

Others have investigated how spirituality and religion have influenced principals and their work. Findings revealed that principals face barriers (e.g., policies and initiatives surrounding curricular reform that do not align with principals' values and district leaders who may not have the best interests of students at heart when making decisions (MacNeil 2005)) that may prevent them from practicing spirituality as educational leaders. Other findings indicate that Canadian Catholic principals who practice servant leadership (which is rooted in Catholic beliefs) are better able to create a warm, positive, and caring climate in their schools (Black 2010; Nsiah 2009). The expectations of principals, initial interviews with students, and ongoing relationships with administration are key factors considered when admitting students who self-identify as another faith into a Catholic school (Donlevy 2009). Catholic principals engaged in action research projects found that, as a whole, they spent too much time on noninstructional tasks that have at best, an indirect, and at worst, tacit, detrimental influence on student achievement (CPCO 2004).

Geography/Regionalism

Because of Canada's large landmass and the uneven distribution of a relatively small population, Canada's research into principals' work is also attached to the local context. For example, there is a growing body of research in both urban education and rural education. The majority of Canada's population lives in two provinces (Québec and Ontario) and mostly in urban settings. Research around principals' work in urban settings tends to focus on inner city schools, with diverse student populations and English language learners (ELLs) (Archambault and Garon 2012; Digiorgio 2008; St. Pierre 2009). Unfortunately, in most of these situations, the urban schools studied fail to improve and underperform on provincial and territorial standardized tests. Some research asks why this underperformance continues compared to other urban schools in Canada and explores what is different about the principal's role in these contexts. For instance, the findings of some studies highlight the challenges and difficulties principals can face when working in urban contexts; despite attempts to foster an inclusive environment in a minority language school, isolating lower-achieving able students and placing greater expectations on "high-flying" students simply mirrored much of the exclusion one principal was trying to stamp out. The findings also indicate that urban Canadian principals spend two to three times more time on administrative tasks than on tasks involving instruction because they face a heavy administrative burden (Archambault and Garon 2012; Poirel et al. 2012. Principals in schools with high proportions of ELLs can be successful if they are knowledgeable about the challenges faced by ELL students and have the ability to engage the parents and the community (St. Pierre 2009).

Even though the majority (four-fifths) of Canada's population live around the Great Lakes, a not insignificant portion is spread across the remaining vast landmass, much of which is considered rural. Proponents of rural education claim that the principalship in rural schools is different from that in urban schools because of diverse roles and responsibilities, expectations to be involved in the local community, and professional isolation (Blakesley 2011; Foster and Goddard 2002, 2003; Wallin 2005). Presently, Canada's Prairie Provinces (Manitoba, Saskatchewan, and Alberta) have taken the lead in researching the principal's role in rural schools. As many rural schools in Canada are smaller operations, they rarely have the student enrolment necessary to be allocated a vice-principal. This lack of a vice-principalship can have negative unintended consequences for schools and principals, including a lack of administrative support, an onerous workload, and fewer leadership opportunities for aspiring principals. The rural principalship in Canada is further complicated by evidence suggesting that many in the role have limited position-specific training or transferable leadership experiences (McColl 2001; Skinner 2003; Zaretsky 2011). It should be noted that many of these studies not only focus on principals in rural settings but also consider issues of gender, particularly women in rural school administration (Wallin 2005; Wallin and Sackney 2003). This leads to the next category, which focuses on the principal workforce.

The Principal Workforce

Although earlier in the chapter issues of recruitment, principal preparation, retention, and succession planning were addressed, they also need to be considered in relation to issues of gender, race/ethnicity, and rural contexts (or a combination of these). For example, the career mobility patterns of female administrators in Canada have received increased attention since 2000 (Fennell 2005; Reynolds et al. 2008; Wallin 2005).

Canadian female administrators working in rural contexts found that their upward career mobility was fostered more quickly than would have been the case if they were employed in an urban school district (Wallin 2005; Wallin and Sackney 2003). Barriers to access in rural contexts were quite similar to those reported by researchers working in urban and suburban contexts. These include dealing with "the old boys club" and the perception that stereotypical notions of discipline, stature, and women's work against female administrators with respect to being appointed principals of secondary schools (Wallin 2005; Wallin and Sackney 2003). In Canada's far north, female principals indicate that a lack of time makes it difficult to establish vital connections with community elders and that great distances between towns make it difficult to plan and attend professional development opportunities (Thompson 2009).

There is a stream of research that explores the leadership styles of female administrators in Canada. Findings suggest that female school leaders in Canada establish strong connections with the school community, use a collaborative approach, have a tendency to highlight equity issues, and empower students (Donaldson 2000; Genge 2000; Toogood 2012). Female principals in Canada distribute and share power to lead change in decentralized, accountability-driven contexts (Fennell 2005). Findings indicate that participants in these studies viewed their power as an enabling force to collectively enact change, rather than as a relic of the hegemonic past. Female principals were more comfortable using shared or distributed leadership to drive change than were their male peers, even though both groups viewed their legal and moral authority as positive sources of change at the school level (Fennell 2005).

Research also identified barriers preventing qualified female candidates from pursuing administrative roles or being employed as administrators in different parts of Canada. The barriers included age, family obligations, and unfair district requirements and promotion practices (Donaldson 2000; Hyles 2008; Wallace 2007). Another barrier preventing increased female participation in the principalship was a phenomenon dubbed the "male escalator." This is a process whereby male educators are apt to stand out in a female-dominated profession and be groomed for leadership from an early stage in their careers (Hyles 2008). A continued need to challenge sexist and racist theory and practice in educational administration and increased attention to the experiences of female administrators were the key research recommendations (Hyles 2008).

Less attention has been paid to issues of race and ethnicity in terms of the Canadian principalship. In 2006, only 6.9 % of Canada's teaching faculty self-identified as visible minorities, despite the fact that visible minorities make up 16.2 % of the nation's total student population. Though no corresponding statistics exist with respect to the principal workforce, the lack of scholarly attention in this area is telling and suggesting that an even smaller percentage of Canadian principals would self-identify as a member of a visible minority group (Ryan et al. 2009). Mentorship and supports provided to female minority principals by the school district have been key success factors in helping them overcome personal barriers (looking after family members, lack of self-confidence), professional barriers (working long hours, lack of work/life balance, learning new methods), and organizational barriers (expectations, internal politics, and not understanding the inner workings of the school system) to accessing the principalship (Cui 2010).

Inclusive Education

Inclusive education as it concerns the principal's role and work can have two meanings. Inclusive education can be narrowly defined as special education programs or accommodations for students who have behavioral, communicational, intellectual, physical, or multiple exceptionalities that cannot be met in the ordinary daily school programming. Inclusive education can also mean social inclusion for all students regardless of ability, race, ethnicity, religion, sexual orientation, socioeconomic status, or gender. Research around principals' work and programming that accommodates students with exceptionalities has been limited to this point (see Edmunds et al. 2009; Schmidt and Venet 2012).

Inquiry into the principal's role in supporting broader notions of inclusive education appears to have grown over the past decade in Canada. Some of the empirical studies reported in this category could easily have been included in other themes mentioned earlier but were included here because of the critical lens used to study the educational phenomenon at issue. The majority of education researchers in this category focus on issues of power and equity; many frame their work around social justice issues, advocate for more equitable schooling for all students, and specifically focus on how principals work to either reinforce existing power dynamics or work against them (Ryan 2007, 2010a, b).

Until recently, few studies have considered how principals' work and workload is influenced by their social justice and equity approach to public education, and for the most part this research has been attached to schools serving areas of either ethnic/racial diversity or low socioeconomic status (Archambault and Harnois 2012; St. Pierre 2009). Researchers working in this area have mainly concentrated on principals as individuals: his or her perceptions, sensemaking, identity, and practices. For example, McMahon (2007) examined the interactions of whiteness, antiracism, and social justice in school leadership, while Ryan (2007) explored the identities that principals assumed as they engaged in dialogue in diverse school settings.

Other investigations into principals' perceptions explored how principals perceived recent educational reforms, including challenges faced in ethnoculturally diverse schools, practicing social justice in an accountability-driven context, and community building in urban school districts (Billiot et al. 2007; Flessa 2012; Stewart 2009; Wang 2012).

A number of interesting findings have emerged from Canadian inquiries of inclusive education in the past decade. Principals responded to the recent education reforms mentioned above in a variety of ways. In some cases, reforms restricted the principals' power and professional discretion as they were encouraged to perform tasks in the same manner as their peers across the jurisdiction being studied (Flessa 2012). Conversely, others engaged in creative insubordination in an effort to temper the perceived negative effects that reform was having on schools and principals' work (Stewart 2009). Principals also tended to view diversity as a key element in the formation of school identity and to make an effort to engage stakeholders by fostering a positive relationship with the school community and developing the social justice knowledge and capacities of their teaching staff (Billiot et al. 2007; Wang 2012).

Other studies concentrated on what principals do: the practices and strategies employed in working towards a more socially just schooling experience. Some of these practices included strategies used to initiate and facilitate change in aboriginal schools, such as making an effort to engage the community and being welcoming and respectful (Pearson 2007). Others have examined the principal's role and practices in linguistic minority contexts. Principals located in French schools were found to promote and bring awareness to their Franco-identity by modeling the use of the French language, identifying targeted language-based professional development opportunities for staff, as well as developing a shared vision for the school (Dalley et al. 2006; Langlois and Lapointe 2007). There has also been a surge in efforts to promote democratic practice in diverse school settings. Studies in this area have found that principals in Canada seek to establish relationships with community stakeholders by using a caring demeanor or taking advantage of student leadership or specific programming designed to enhance inclusion at their schools (Griffiths 2011; Ryan 2010a). Findings also illustrate that efforts have been ineffective in creating truly inclusive schools and that principals must be bold, courageous, and committed to inclusion and social justice in order to move their agenda forward (Ryan 2010a, b).

As more is understood about principals' practices in relation to addressing issues of difference, particularly as the Canadian population continues to diversify, it comes as no surprise that some researchers have explored how best to prepare principals for their challenging role. The inquiry into principal preparation has included determining principals' perception of their role and the importance of equity, diversity, and social justice in the new teacher induction program in Ontario (Pinto et al. 2012). Others have emphasized the development of political skill in principals (Ryan 2010b; Winton and Pollock 2013) as well as the use of a compacted modular approach to professional development on social justice (MacKinnon 2007).

Future Directions

It became clear early during the search process that the vast majority of studies on or about school principals originate from either Central or Western Canada. Ontario, Canada's most populous province, easily accounted for the greatest number of total references. In particular, there is a great deal of research activity investigating the principalship at the Ontario Institute for Studies in Education at the University of Toronto. Researchers and graduate students located in the Western Canadian provinces of Alberta and Saskatchewan accounted for the next greatest number of references selected for inclusion in this meta-synthesis. Though the perspectives of rural Canadian principals are relatively well represented in the selected literature, there is a dearth of literature investigating the nature of the principalship from Canada's Eastern coast and Northern regions.

While the sheer volume of references included in this review is an encouraging sign that Canadian researchers are interested in studying principals and school leadership, the vast majority of these studies are small in size. Many of the quantitative studies had small sample sizes or response rates that made it difficult to generalize their findings. Further, most of the qualitative journal articles and graduate work are based either on a small number of case studies or interviews with fewer than ten participants. Similarly, few longitudinal studies of the principalship in Canada have been conducted recently; only two are included in this review. Consequently, there is a need for more longitudinal and larger-scale studies.

A small number of studies used a comparative approach to examine how school leadership in Canada compares to that performed in other countries (Billiot et al. 2007; Fink and Brayman 2006; Geijsel et al. 2003; Goddard 2007; Hyles 2008; Wallin 2005). As this type of comparative and international research is gaining in popularity, it seems such work will be expanded upon and become an increasing area of focus for Canadian researchers interested in studying principals, their role, and their work.

As indicated at the beginning of the chapter, Canada is in a unique situation as it does not have a national education strategy that organizes priorities for higher education and other organizational research. Educational research into the principal's work appears to be driven by provincial and territorial mandates, local contexts, and personal interest. However, the actual motives for such inquiries are not dissimilar to those found elsewhere in the world. What may be considered distinctive is the combination of Canada's geography, aging principal workforce, increasingly diverse general population, and interconnectedness to the global economy. Some of these characteristics (population dynamics) will change over time, while others will remain fairly consistent (vast and diverse geography). In terms of supporting the principal workforce for a leading-edge twenty-first-century education system, policy-makers and researchers ought to consider orchestrating research efforts that consider existing research around principal preparation, recruitment, and retention and infuse this knowledge and understanding into a broader notion of succession planning that is based on research evidence.

It is clear that a substantial amount of Canadian research has concentrated on principals' practices from the managerial/functionalist approach. Yet, it is not enough to have a substantial research base if these research findings and new understandings are not translated into practice. If research is to have any meaningful influence on practice, then efforts need to be made to reduce the research-practice gap. Researchers and policy-makers are beginning to utilize knowledge mobilization initiatives to address this research-practice gap (see, e.g., KNAER-RECRAE).

Another emerging research inquiry explores how school district systems and school leaders can support principals and schools in improving student success. Specifically, this line of research considers that school principals do not work alone but that their work exists within a larger system that can either facilitate successful school principalships or act as an obstacle in improving schools (Anderson et al. 2010; Leithwood and Mascall 2008).

Too little research explores policy initiatives and programming in the area of diversity and principalship. This is unfortunate, given Canada's vast geography and increasingly diverse population. What research does exist is not always helpful to marginalized groups and territories and not necessarily taken up in provincial or territorial policy and practice. While there have been some concerted efforts at the provincial and territorial levels with mandates and policies to encourage changes in school culture and practices, it is too early to determine the impacts of these initiatives on students and the role that principals need to play. The real challenge for researchers in assisting Canada's principals in leading education systems into the twenty-first century is finding a way to synergize what is known about principals and their practices and applying this in a broad notion of success that includes all students who learn in very diverse contexts.

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Chapter 12
England: School Leadership Research in England

Christopher Day and Paul Armstrong

The English School System

In writing of school leadership research in England, it is necessary first to establish the dominant policy context in which schools and their leaders have been working. In the last 10 years, they have experienced an unprecedented emphasis nationally upon the twin government agendas of school effectiveness and improvement as defined by measurable student attainment outcomes at different stages of their schooling and increased autonomy (with accountability). In pursuit of this focused agenda, governments imposed a national curriculum, external school inspections, annual school improvement plans, target setting in classrooms, increased parental choice, local management of schools and, alongside this, increased bureaucracy, intensity of work, less teacher autonomy, more transparency of teaching and learning and more contractual accountability. There has also been a strong focus on social justice, equity and citizenship and community engagement in which schools are seen as key players. Furthermore – in 2001 – the Labour Government established a National College for School Leadership (later to be renamed the National College for Teaching and Leadership but usually referred to as the 'National College'). Its remit, in recognition of the crucial role which head teachers would play in the implementation of the national agenda of raising standards in schools, was and remains to provide training and development for leaders at all levels in the system.

In addition, a key shift within the English school system, particularly since the turn of the millennium, has been an increase in the number of schools working

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together in both formal and informal arrangements. Of particular significance was government legislation passed in the Education Act of 2002 that allowed up to five schools to collaborate under a single governing body and leadership structure (known as 'hard federations') or operate in a more informal partnership while retaining their individual autonomy in terms of school leadership and governance (known as 'soft federations') (DfES 2004c).

The English state school system comprises over 21,000 schools serving the needs of the 8.1 million students who attend compulsory full-time education between ages 5 and 16. The government of the United Kingdom (UK) has a designated Department for Education (DfE), which is responsible for education and child protection for all children and young people up to the age of 19 and which is also directly responsible for all state-funded schools in England (DfE 2012a). Between the ages of 5 and 11 years, children attend primary school before moving up to secondary school until they are 16 years old after which they can choose to either leave the compulsory system or stay in full-time education by attending a sixth form college to study general and/or applied subjects in preparation for higher education (i.e. university) or a further education institution (i.e. technical college) to study vocational courses in preparation for the workplace.

State schools, which comprise 92 % of all schools in England, share a number of commonalities. For example, each state school has a governing body, a voluntary group made up of parents, school staff members, local government personnel and members of the community who meet regularly to establish the strategic direction and clarity of vision for the school, oversee the management of the school budget and hold the head teacher accountable for the performance of the school. Governing bodies are responsible for appointing and, if necessary, dismissing the head teacher and also provide critical support to them and their school leadership team (DfE 2013a). Moreover, all state schools in England are subject to regular inspection by the Office for Standards in Education (Ofsted). As the organisation responsible for inspecting and regulating schools (and children's services), Ofsted forms a key component of the accountability structures under which schools operate and is a powerful and influential presence in the school system. Although an independent and nonministerial body, Ofsted reports its findings back to parliament and makes them publically available through its website. Ofsted usually inspects every school on an approximate 3-year cycle (unless the school is facing particular challenges, in which case a more intense programme of inspection and intervention may be required). At the end of the inspection, the school is given a grade from 1 (outstanding) to 4 (inadequate) to indicate their effectiveness in four areas: achievement of pupils, quality of teaching and learning, behaviour and safety of pupils and leadership and management and, if necessary, informed of any steps they must take to improve (Ofsted 2013). If the school is not judged to be adequately serving the needs of its pupils and the wider community, this can result in the head teacher leaving their post and a prolonged period of close scrutiny for the school. Conversely, a positive Ofsted inspection rating can result in a school being handed more freedom and space to innovate and the opportunity to share their practice and widen their impact by partnering and supporting lower-performing schools.

Since the turn of the century, particularly the last 4 years, the school system in England has been through a period of significant restructuring that has seen the emergence and expansion of two new types of school:

Academies   were established in 2002 by New Labour but expanded by the current coalition government in 2010. Academies differ from the schools described above in that they enjoy complete freedom from LA control, are able to set their own staff pay and conditions and are not required to follow the national curriculum (so long as the one they provide is 'broad and balanced' and encompasses the core subjects of maths, science and English). Academies are also funded directly from central government, rather than their LA, and therefore receive more money to cover the cost of services the LA traditionally supplied. Many academies have been set up in place of under-performing schools with the help of a sponsor (e.g. business, universities, charities, religious bodies) that become accountable for the school's performance and instil a new vision and leadership structure and style to raise aspirations and change the culture of failure (DfE 2013b). The UK government is currently encouraging all state schools to convert to academy status, and there are now over 3500 open academies in England with many more applications in the system (DfE 2014a).

Free Schools   are state-funded, nonprofit making, independent schools that enjoy the same freedoms as academies regarding funding, staff employment terms and conditions and the curriculum they can teach. However, they are different in that they must be completely new schools (or existing independent schools wishing to become state-funded), are not required to employ qualified teachers to deliver their curriculum and can, in theory, be set up by anyone as long as they meet the strict criteria set out by the government. Therefore any business, charity, university or community group (i.e. parents, teachers) could apply to open a free school in a suitable location of their choice (e.g. old school, community hall, church space), although they must first go through a robust application process overseen by the Secretary of State (DfE 2014b). As of September 2013, 174 free schools had opened in England (GOV.UK 2013).

Teaching School Alliances

Many of the schools that have converted to academy status are members of chains[1] or trusts[2] operating under varying degrees of collaboration, and those schools that are not part of such arrangements are encouraged to work with other schools in their

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[1] Chains is a term that usually refers to academies operating in partnership with one another to provide mutual support and raise standards of education throughout the schools in the partnership. They vary in size, composition and the nature of their relationship with some sharing staff, resources and curricula models across large geographical areas (often under an overarching sponsor), while others have less formal arrangements such as sharing good practice with neighbouring academies (DfE 2013d).

[2] A trust is a state-funded school (or group of schools) that receives support from a charitable trust of partners working in collaboration for the school(s) (DfE 2012b).

locality and, depending on how well they are performing, either provide support to or be supported by partner schools (DfE 2013a). The latest facet of the government's self-improving school system is *teaching schools*. The concept underpinning this initiative is that the best schools in the country, those judged to be 'outstanding' by Ofsted, can apply to become teaching schools. These take on a more central role in 'clusters' or 'alliances' of schools in the training and development of preschool teachers, school-to-school support, identification and development of leadership potential, peer-to-peer professional and leadership development, designate and broker specialist leaders of education (SLEs) and research and development.

The first teaching schools opened in 2011, and it is envisaged that there will be an established network of around 500 across the country by the start of the 2014–2015 school year forming a number of Teaching School Alliances (TSAs) – groups of schools working collaboratively and supported by one or more teaching schools (DfE 2013c). Taken together, it is these contexts that have influenced both the direction and focus of much of the English research on school leadership.

The Role of the Head Teacher in England

The role of the head teacher in England is a complex and multifaceted one that will ultimately differ according to the geographical, social and economic context of the area in which their school is situated while shifting in line with the wider political context shaping the national school system. The National Standards for Headteachers (DfES 2004a) provides a broad framework within which the role of the head teacher can be broadly understood. The framework outlines the following six interconnected areas that encompass the requisite knowledge and professional attributes of the head teacher role:

- *Shaping the future*. This involves articulating a clear vision that is shared, understood and enacted by all school stakeholders; working with the school community to operationalise the vision into an action plan for school improvement; facilitating creativity and innovation; and strategic planning that accounts for the wider contextual factors of the school community.
- *Leading learning and teaching*. This involves ensuring a school-wide focus on student attainment and the use of data to monitor progress and identify areas of intervention; positioning learning at the centre of strategic planning and resourcing; establishing high expectations and whole-school target setting; implementing strategies for high standards of student behaviour and attendance; ensuring inclusion, diversity and access; and monitoring and evaluating teaching practice, challenging underperformance and promoting improvement.
- *Self-development and collaborative working*. This involves treating all school stakeholders equitably, fairly and in a respectful and dignified manner; developing a collaborative learning culture in the school and engaging with other schools to foster learning communities; delegating and distributing responsibility across the workforce; reviewing own practice and taking responsibility for personal

development; and managing own and staff workload to facilitate and promote a healthy work/life balance.

- *Organisational management*. This involves developing and implementing improvement strategies and policies to facilitate the development of school and facilities; ensuring school policy and practice are aligned to local and national policies and initiatives; managing the school finances and resources (both human and physical) effectively and efficiently; recruiting and deploying staff; establishing strategies for professional development and performance review of staff; and managing the organisation according to curricula, health and safety and legal requirements.
- *Securing accountability*. This involves establishing clearly defined, understood and regularly reviewed accountabilities for all staff members; working with governors to objectively advise, support and provide them with information to assist them in their obligations; and developing and presenting a clear and comprehensive account of the school's performance to external school stakeholders (i.e. governors, parents, the wider community).
- *Strengthening community including*. This involves developing a school culture that accounts for the diverse characteristics of the school community; ensuring learning is linked to the wider community; developing community-based learning experiences for pupils; collaborating with other agencies to facilitate the academic, spiritual, moral, cultural and social development of pupils and their families; fostering relationships with parents and carers to improve student achievement; and supporting the development of the education system by collaborating with other schools to share best practice and other initiatives. (Adapted from DfES 2004b).

Many of the standards set out above are logical aspects of the role of a school leader and constitute what one would expect a head teacher to be responsible for. There is also considerable crossover between the various components of the role, many of which are interdependent. Furthermore, while head teachers in England are ultimately responsible for the areas outlined above, the scale and diversity of the role mean they will typically distribute leadership and management across their workforce while maintaining a strategic oversight. For example, the vast majority of head teachers in the secondary school sector (and an increasing number in the primary school sector) employ school business managers to take charge of those aspects of the school not directly related to teaching and learning such as operational management (e.g. finances, resources, buildings and premises, grounds maintenance) (Southworth 2010).

Five Strands of Research

The literature discussed within this chapter concerns school leadership research undertaken in England over the last 20 years. We have chosen this chronological period for historical reasons given the emergence of leadership as the dominant

discourse within the English school context during the mid-1990s. For instance, the introduction in 1997 of the first formal leadership qualification for school principals, the National Professional Qualification in Headship (NPQH), represented the government's first genuine commitment to educational leadership (Bush 2008) and also reflected changes in the role and responsibilities of the head teacher as a result of the earlier 1988 Educational Reform Act whereby 'professional leadership' was now seen as a key component of the role (Lodge 1998; Bolam 1997). As highlighted earlier, this was followed in 2000 by the opening of the National College for School Leadership which served to further raise the profile of school leadership and school leader preparation in England. The sheer volume of empirical and theoretical leadership research to emanate from England within this timeframe precludes an all-encompassing synopsis within this chapter. Instead, five interconnected strands of research have been selected for discussion that we believe provide a broad range of perspectives on school leadership in England and afford a balanced interpretation of the context within which school leaders in England operate.

The first strand of leadership research grew as a result of Government interventions in the early years of the new millennium to promote school improvement through, for example, increasing training and development opportunities for school leaders and beginning to differentiate between conditions for learning in schools serving more advantaged communities and those serving socioeconomical disadvantaged communities. The policy level emphasis upon identifying particular needs spawned a strand of research focusing on the conditions for leadership in schools in challenging circumstances as well as those schools who, regardless of social circumstance, improved and sustained improvement in student test scores.

A second strand of research on school leadership in England concerns the definition, identification and elaboration of the characteristics and behaviours of successful head teachers. This section will focus on the work of Day and colleagues from the University of Nottingham who have led research in this area of research, most notably with their 3-year national, mixed methods empirical study (the most extensive and detailed of its kind to date) of school leadership in England that used detailed case studies to explore the impact of the head teacher on student outcomes and identify the key dimensions of effective leadership (Day et al. 2009, 2011).

A third strand of research has been the development of theories of distributed leadership, a concept that implies the involvement of the many rather than the few in leadership tasks and is premised on 'a collective approach to capacity building in schools' (Harris 2005, p. 7). Much influenced by the work of North American researchers, such as Kenneth Leithwood and Philip Hallinger, distributed leadership shares many of the components of transformational and shared instructional leadership in that it concerns empowering individuals for the purpose of organisational improvement (Spillane 2001). This strand of research has grown in popularity over the past 15 years as evidence began to suggest that the notion of the single, or 'heroic', head teacher was becoming untenable due to the increasing volume and diversity of leadership required at school level as implied by the growing complexity of schools as organisations (Spillane 2001; Hall 2013).

A fourth strand of leadership research is undertaken largely by educational sociologists who position themselves as critics, both of the effects of government policy upon schools, teachers and head teachers and fellow researchers who, in their view, do not distance themselves sufficiently from government policy in their work and, therefore, are accused of colluding with it (Thrupp 1999). For this group of researchers, the biggest effect of government upon the work of school leaders is to oppress creativity and independent thought (Thomson 2009), while the authenticity of leadership as it is defined by government and many other researchers operating in the different spheres discussed within this chapter is questioned (Gunter 2009; Hatcher 2005).

The fifth and final strand of research deals with the notion of leadership across multiple schools and agencies that has emerged in the English school context alongside the increase in interschool collaboration as a means of school improvement. This particular strand of research is perhaps the most underdeveloped of the five and is dominated by initial exploratory work in this area by David Hopkins and Rob Higham and subsequent empirical research commissioned by the National College into the impact of such collaboration on student outcomes. Although much of this work is 'evidence' and 'advocacy' (and, as such, the term 'research' itself in relation to this is disputed), we have chosen to include it here because it represents an important influencing strand.

What follows, then, is a brief and selective synthesis of the research carried out by English researchers which have made contributions to advancing knowledge of school leadership in what we consider to be five areas of particular significance:

1. *The work of head teachers in schools in challenging circumstances*
2. *Effective successful school principalship in improving schools*
3. *Distributed leadership*
4. *Leadership policy effects*
5. *System leadership*

In selecting these, there is no intention to belittle or denigrate the work of many others who continue, with integrity, to conduct research on other areas of importance to the further development of knowledge of school leadership and its contexts – for example, leadership preparation and development (see, e.g. Bush 2011; MacBeath 2011; Simkins 2012), leadership identities (see, e.g. Lumby 2011) and the role of the leader in school improvement and effectiveness (see, e.g. Harris et al. 2013).

The Work of Principals in Schools in Challenging Circumstances

Early empirical research in this particular area was undertaken by Maden (2001) who charted the life of schools in challenging socioeconomic circumstances over a 5-year period. Amongst the key findings from this study was the identification of

shared leadership as a key contributory factor to such schools succeeding against the odds though Maden also called for more detailed case studies and in-depth accounts of effective schools in challenging circumstances and the leadership practices in these schools. A number of researchers responded to this call including Harris and Chapman (2002) who conducted a case study research to specifically explore the work of principals leading schools in challenging circumstances. The main findings from this research were that principals in such schools had an innate ability to cope with 'unpredictability, conflict and dissent on a daily basis without discarding core values', held a 'set of personal and professional values that placed human needs before organisational needs' and were 'able to combine moral purpose with a willingness to be collaborative and to promote collaboration amongst colleagues, either through teamwork or by extending the boundaries of participation in leadership and decision making' (p. 12). Further work in this area was undertaken by Chapman (2004) who developed a typology that explored the extent to which leadership is dispersed within schools facing challenging circumstances and identified distributed leadership 'as a mechanism for capacity building and generating improvement' (p. 101) in these schools. He also underscores the importance of nuanced and targeted programmes of intervention for schools in challenging circumstances.

John MacBeath and his colleagues in the University of Cambridge have also contributed to knowledge in this area, through their research about 'schools on the edge' (MacBeath et al. 2007) in which they investigated eight English secondary schools in challenging circumstances which had been 'selected and recruited … as a test bed for examining improvement' (p. 4). Their investigation is firmly located in and reported through their analysis of the English policy landscape in which schools, they claim, 'find themselves trapped in the force field of turbulent communities and uncompromising government policy' (p. 4). One of their nine conclusions is a similar, but more nuanced, view of the kinds of leadership needed for schools in challenging circumstances to that of Chapman. This might include 'heroic' leadership in the initial phase of development of schools in challenging circumstances but will need to move beyond this in the longer term through forms of distributed leadership.

These and other research in England and elsewhere (Harris et al. 2006; Reynolds et al. 2001) are illustrative of an increasing amount of literature that focuses on principals who 'turnaround' schools which are experiencing difficulties or failing to improve standards, particularly schools in challenging or disadvantaged urban contexts. Turnaround is one thing; sustaining turnaround is, however, another. It involves the application of layered leadership in managing transition as distinct from change. Research by Day (2007) provides an example of leadership and management of transition in an elementary school in England that was threatened with closure but in the space of 8 years was then identified as being 'outstanding' by Ofsted. The principal could not be described as 'charismatic' or 'heroic' in the classical sense of their meanings. However, her work is illustrative of how successful principals model and draw differentially upon combinations of attributes and

Fig. 12.1 Dimensions of a successful leadership (Day et al. 2010)

strategies which are 'fit for purpose' at their time of use to first 'turnaround' the school and then sustain an improvement trajectory.

Effective Successful School Leadership in Improving Schools

While much less has been written in the English context on school improvement (e.g. Harris et al. 2003; Hopkins 2001, 2007; Higham et al. 2009), there has been relatively little systematic research conducted on a national scale. Once exception to this is 'IMPACT', a 3-year empirical, mixed methods, multi-perspective research project on the impact of heads in academically improved and effective primary and secondary schools upon pupil outcomes.

Figure 12.1 above illustrates eight key dimensions of effective leadership identified by the English IMPACT research (Day et al. 2008, 2009). The inner circle illustrates the core focus of leaders' attention, the inner ring their core strategies and the outer ring the actions they take in support of these strategies. The building of trust is an intrinsic part and embedded within each of the core strategies and an essential part of the actions in the outer ring.

Defining the Vision Values and Direction Effective heads have a very strong and clear vision and set of values for their school, which heavily influences their actions

and the actions of others, and establish a clear sense of direction and purpose for the school. These are shared widely, clearly understood and supported by all staff. They are a touchstone against which all new developments, policies or initiatives are tested.

Improving Conditions for Teaching and Learning Heads identify the need to improve the conditions in which the quality of teaching can be maximised and pupils' learning and performance enhanced. They develop strategies to improve the school buildings and facilities. By changing the physical environment for the schools and improving the classrooms, heads confirm the important connection between high-quality conditions for teaching and learning and staff and pupil wellbeing and achievement.

Redesigning the Organisation Aligning Roles and Responsibilities Heads purposefully and progressively redesign their organisational structures, redesigned and refine roles and distribute leadership at times and in ways that promote greater staff engagement and ownership which, in turn, provide greater opportunities for student learning. While the exact nature and timing will vary from school to school, there is a consistent pattern of broadening participation in decision-making at all levels.

Enhancing Teaching and Learning Successful heads continually look for new ways to improve teaching, learning and achievement. They provide a safe environment for teachers to try new models and alternate approaches that might be more effective. Where this is the case, staff respond positively to the opportunity. It affects the way they see themselves as professionals and improves their sense of self-efficacy and job satisfaction. This, in turn, has a positive impact on the way they interact with pupils and other members of staff.

Redesigning and Enriching the Curriculum Heads focus on redesigning and enriching the curriculum as a way of deepening and extending engagement and improving achievement. Academic attainment is not in competition with personal and social development: the two complement one another. The heads adapt the curriculum to broaden learning opportunities and improve access for all pupils, with the emphasis on 'stage not age' learning. Many of these changes are in line with government initiatives. In primary schools, there is particular emphasis on greater flexibility and continuity between Key Stage 1 and Key Stage 2, while in secondary schools the focus is on personalised learning and providing different pathways towards vocational qualifications. Building creativity and self-esteem features heavily in the curriculum, as does a focus on developing key skills for life. There is recognition that when pupils enjoy learning, they are more effective learners. Heads also emphasise on the provision of a broad range of extracurricular activities, including lunch time and after-school clubs, as well as activities during school holidays.

Enhancing Teacher Quality (Including Succession Planning) Heads provide a rich variety of professional learning and development opportunities for staff as part of their drive to raise standards, sustain motivation and commitment and retain staff.

They place a high premium on internally led professional development and learning, and teachers and support staff are also encouraged to take part in a wide range of in-service training (inset) and are given opportunities to train for external qualifications. This combination of external and internal continuing professional development (CPD) is used to maximise potential and develop staff in diverse areas. Succession planning and targeted recruitment are features of effective heads.

Building Relationships Inside the School Community Heads develop and sustain positive relationships with staff at all levels, making them feel valued and involved. They demonstrate concern for the professional and personal wellbeing of staff. The relationship between heads and senior leadership teams (SLTs), in particular, is one of trust and mutual respect.

Building Relationships Outside the School Community For all heads, building and improving the reputation of the school and engaging with the wider community are essential to achieving long-term success. They and their SLTs develop positive relationships with community leaders and build a web of links across the school to other organisations and individuals. Strong links with key stakeholders in the local community benefit the school.

Common Values Successful heads achieve improved performance not only through the strategies they use but also through the core values and personal qualities they demonstrate in their daily interactions. As Fig. 12.1 illustrates, they place pupil care, learning and achievement at the heart of all their decisions.

Distributed Leadership

Distributed leadership is a concept which is very much 'in vogue' with researchers, policymakers, educational reformers and leadership practitioners alike (Hammersley-Fletcher and Brundrett 2005; Storey 2004), and there is a growing confidence that this contributes to the effectiveness of the school. However, as yet there seems to be little, if any, empirical data which links this to improved influence on pupil outcomes. Moreover, while there seems to be widespread interest in the idea of 'distributing leadership', there are competing and sometimes conflicting interpretations of what distributed leadership actually means. The definitions and understandings vary from the normative to the theoretical, and, by implication, the literature supporting the concept of distributed leadership remains diverse and broad based (Bennett et al. 2003).

Spillane (2001) defines distributed leadership as shifting of focus away from individual traits and ability to conceptualise leadership as a practice that is dispersed between leaders, organisational members and the situations they operate in, whereas Fletcher and Kaufer (2003) describe distributed leadership as a set of direction-setting and influence practices potentially 'enacted by people at all levels rather than a set of personal characteristics and attributes located in people at the top' (p. 22).

This accumulation of allied concepts means that distributed leadership has sometimes been used as a shorthand way to describe any form of devolved, shared or dispersed leadership practice in schools. It is this catch-all use of the term that has resulted in both the misrepresentation of the idea and the common misunderstanding that distributed leadership means that everyone leads (Bennett et al. 2003).

According to its advocates, interest in distributed leadership has grown as the work of the school leader has increased in volume and diversity to the extent that the role has become an unrealistic undertaking for a single individual (Spillane 2001). In addition, the expansion of different forms of imposed collaboration between and across schools in England such as executive leadership models that traverse two or three schools in federation or partnership arrangements further implies that distributed forms of leadership are becoming more commonplace in the English school system (section "System leadership" on system leadership discusses this in more detail.)

In his work, Gronn (2000) sees distributed leadership as an emergent property of a group or a network of interacting individuals. Here, leadership is a form of *concerted action* which is about the additional dynamic that occurs when people work together or that is the product of conjoint agency. The implication, largely supported by the teacher development and school improvement literature, is that organisational change and development are enhanced when leadership is broad based and where teachers have opportunities to collaborate and to actively engage in change and innovation (Hopkins 2001; Harris 2008; Little 1990; MacBeath 1998). Links have also been made between distributed leadership and democratic leadership (Woods 2004) and the literature with teacher leadership (Harris 2004b).

Gronn (2003) distinguishes between two distinct forms of distributed leadership that he labels 'additive' and 'holistic'. Additive forms of distribution describe an uncoordinated pattern of leadership in which many different people may engage in leadership functions but without much, or any, effort to take account of the leadership efforts of others in their organisation.

Gronn has suggested that concertive forms of distributed leadership may take three forms:

- *Spontaneous collaboration*: 'From time to time groupings of individuals with differing skills and knowledge capacities, and from across different organizational levels, coalesce to pool their expertise and regularize their conduct for duration of the task, and then disband' (2002, p. 657).
- *Intuitive working relations*: This form of concertive distributed leadership emerges over time '…as two or more organizational members come to rely on one another and develop close working relations' and, as Gronn argues, 'leadership is manifest in the shared role space encompassed by their relationship' (2002, p. 657).
- *Institutionalised practice*: Citing committees and teams as their most obvious embodiment, Gronn describes such formalised structures as arising from design or through less systematic adaptation.

The extent and nature of coordination in the exercise of influence across members of the organisation is a critical challenge from a holistic perspective. Interdependence between two or more school staff members may be based on overlapping roles and responsibilities: for example, all teachers in a school may assume responsibility for student discipline in spaces outside the classroom. Interdependence also may be based on complementarity of skills and knowledge.

Harris suggests that: 'it would be naïve to ignore the major structural, cultural, and micropolitical barriers operating in schools that make distributed forms of leadership difficult to implement' (2004a, p. 19). She suggests that there are three major barriers to distributing leadership. First, Harris argues that distributed leadership can be considered threatening to those in formal power positions, not only in terms of ego and perceived authority, but also because it places leaders in a vulnerable position by relinquishing direct control over certain activities. Second, Harris argues that current school structures, such as department divisions or rigid top-down hierarchies which demarcate role and responsibility, prevent teachers from attaining autonomy and taking on leadership roles. Finally, Harris suggests that top-down approaches to distributed leadership, when not executed properly, can be interpreted as misguided delegation.

While the empirical evidence surrounding the nature of distributed leadership in practice remains limited (Bennett et al. 2003) reflecting the fact that this theoretical perspective is still in its infancy, the concept is gaining more prominence in the contemporary leadership literature. Indeed, a recent research project, sponsored by the prestigious Economic and Social Research Council (ESRC) undertaken by Hall et al. (2011), utilised a case study design to describe and critically analyse the means by which distributed leadership has become embedded in the social practices of five schools in England and some of the accompanying tensions and dilemmas this has had for educational leaders and practitioners within those schools. Their findings suggest that distributed leadership remains a contested arena with varying understandings of the concept within and between schools. They also identified that those individuals operating in more senior positions (i.e. school leaders) formed stronger professional attachments to notions of distributed leadership compared with their more junior colleagues (i.e. teachers). Furthermore, they highlight what they believe to be the inherent contradiction of distributed leadership as a concept that implies increased school leader and teacher agency but sits uncomfortably 'alongside the traditional managerial practices rooted within a strictly controlled hierarchy' (Hall et al. 2013) that characterise the ways in which most schools in England are organisationally structured. While many of the fiercest critics of distributed leadership operate within the sphere of critical leadership and policy studies discussed in the following section and much of this critique is theoretically based, the study by Hall and colleagues is worth highlighting as it is one of the few research studies that has ventured to empirically explore the enactment of distrusted leadership.

Distributed leadership remains disputed territory, underscored by a recent special edition of the British journal Educational, Management, Administration and Leadership (EMAL) that focused entirely on the concept and featured well-informed papers from advocates (Harris 2013) and opponents (Lumby 2013; Gunter and Hall

2013) of distributed leadership. However contested distributed leadership may be, the area is also underdeveloped and, like any new theoretical perspective, urgently requires further empirical testing, not only to establish whether any link with student learning outcomes exists but also to generate sharper operational images of effective practice. Undoubtedly, the effects and impact of distributed leadership on school and student outcomes will depend upon the forms and patterns distribution takes and how those forms and patterns are determined. The current research base has not explored this in any depth even though the patterns of distribution may inevitably affect the outcomes (Harris 2004a, b, 2005).

Leadership Policy Effects

The high frequency interventionist policies of successive governments in England since 1988 when the first Education Reform Act was implemented and the tensions for school leaders which these have created in schools and other public services have been well documented (e.g. Day 2003; Ball 2001). Amongst the negative consequences of centrally imposed initiatives have been an increase in teachers' work time, low morale and a continuing crisis in teacher recruitment and retention, partially in those schools which are in challenging socioeconomic contexts. Alongside (though not necessarily associated with) these has been an increase in dissatisfaction of their school experiences by a significant number of pupils. These are expressed in increases in absenteeism, behavioural problems in classrooms and in the less easily measurable but well-documented alienation from formal learning of many who remain. Ball (1997) and others have described this central drive for quality and improvement as being embedded in three technologies – the market, managerialism and performativity – and placed them in distinct contrast to the postwar public welfarist state. He and others identify a 'new public management' in which schools are opened to market pressures (through parental choice), given greater financial autonomy and expected to improve on a yearly basis in terms of both teacher and pupil performance (through independent external inspection and pupil target setting and testing across four key phases, annual performance management reviews of individual teachers and associated annual school development plans and self evaluation.) Indeed, many scholars writing within this sphere argue that the distributed leadership movement is symptomatic of such government-driven managerialism under the guise of empowerment. Hatcher (2005) argues that 'the evidence demonstrates the subordination of transformational and distributed leadership to government-driven managerialism' (p. 261), while Hartley (2010) suggests distributed leadership:

> … as presently viewed, is a means to an end whose purpose is organizational, not personal, 'development' … It is mainly about accomplishing the organizational goals which comprise the instrumental tasks and targets set by officialdom. (p. 281)

All this, it is argued, places increasing pressures upon those who lead and manage schools to produce 'added value' to pupils' learning and achievement. 'Performativity', it is suggested, is:

> A mode of regulation that employs judgements, comparisons and displays as a means of control, attrition and change. The performances (of individual subjects or organisations) serve as measures of productivity or output, or displays of 'quality', or 'moments' of promotion or inspection. As such they stand for, encapsulate or represent the worth, quality or value of an individual or organisation within a field of judgement. (Ball 2001, p. 4)

Amongst the harshest critics has been Helen Gunter who theorised leadership in education, through the use of Bourdieu's theory of practice, as 'an arena of struggle' (Gunter 2001, p 4). In applying this to reforms in English schools which promote site-based performance management and *training* rather than *professional learning*, Gunter draws attention to what she finds is a *distortion* of the 'educational nature of professional work' (ibid, p. 92) and to what Bourdieu terms, 'illusion of freedom … the misplaced belief in illusory freedoms. Freedom is not something given: it is something you conquer – collectively' (Bourdieu 1990, p. 15, cited in Gunter 2001, p. 153). This critique was complemented in the research carried out, for example, by Michael Fielding (2001). Gleeson and Husbands (2001), in an edited volume, also identify and critique the increasing preoccupation by government with pupil, teacher and school performance and its consequences for the reshaping of the teaching profession and, therefore, the nature of the leaders' role(s). In one of the chapters in this book, Husbands identifies a key issue:

> In the hands of gifted headteachers and team leaders, working in school cultures where improvement and development are well established, performance management policies will probably consolidate already successful practice. In schools where insufficient attention is still given to strategies for improvement and development, performance management may contribute to short-term gains … [only] … , following from the Hawthorn effect. (Husbands 2001, p. 16)

In a more recent publication, Thomson (2009) highlights the *risky business* of headship in English schools. Using stories of head teachers' everyday work and drawing upon her own previous experience of headship, she revisits the 'contemporary pressures, dilemmas and tensions' (p. 2), felt by heads who are not always happy with their roles and who find themselves presenting the illusion of control to policymakers, parents, the community as well as staff and students, no matter how uncertain they themselves may feel. Thus, like Ball (2001) and Gunter's (2001) earlier work, that of Thomson critiques a policy system which results in a narrowing of the educational function, identified by Shulman (1998) as being, 'the exercise of judgement under conditions of unavoidable uncertainty' (p. 9) to one in which measurable performance outcomes become the primary objective.

System Leadership

System leadership is the concept of leaders operating across more than one interrelated organisation in order to bring about change and improvement at systemic level. This type of leadership has come to be applied to the educational context in England of late as schools are increasingly engaged in collaborative activity, both formally and informally, with other schools and outside agencies. The school leaders that operate at the fulcrum of such arrangements are referred to as system leaders (Hopkins 2009). While interschool collaboration, certainly of the more transient nature, is by no means a new phenomenon (see, e.g. Lomax and Daley 1995), it is the specific role of the school leader within such collaboration that has developed and risen to prominence in the English school system in recent years. Hopkins and Higham (2007) conducted the first mapping exercise of system leadership in English schools establishing a taxonomy of system leadership roles that included head teachers *leading school improvement partnerships*, head teachers *partnering a school facing challenging circumstances* in order to bring about improvement, head teachers operating as *community leaders* to lead beyond their schools with other agencies and services to support wider child welfare and community cohesion, and *expert leaders* who operate as change agents to provide knowledge, support and the mobilisation of best practice within a formal school improvement programme. The DfE has labelled such individuals as National Leaders of Education (NLE) through their programme of the same name that provides a formal means of harnessing the capacity of these leaders to improve schools in challenging circumstances (DfE 2013c).

Perhaps given the relatively recent nature of such formal interschool collaboration in England, there has to date been very little empirical research undertaken that specifically focuses on the emerging notion of leaders operating between and beyond schools. Rather, the role of the school leader within interschool collaboration and partnership tends to be nested in the wider literature in this area, much of which focuses on system leadership of the type associated with federations of schools. For example, Arnold (2006) utilised a case study design to explore the range and nature of interschool collaborations in eight local authorities across England. The research highlights a number of opportunities for schools entering into such arrangements such as sharing knowledge and best practice, collective planning, wider career structures for staff and increased learning opportunities for students while also underscoring the key role of the leader and the means by which they distribute leadership in relation to the effectiveness of an interschool collaborative arrangements:

> It is clear that the quality of leadership is central to the success of a partnership, particularly in the case of federations which have an executive head. The evidence suggests that the heads themselves view the role not in terms of a 'superheadship' but as one which orchestrates the skills of others and draws them into the decision-making process. (p. ii)

Similarly, following a comprehensive review of the interschool collaboration literature, Atkinson et al. (2007) identified a number of factors they deem influential

to effective interschool collaboration including the strength of existing relations between potential partner schools, the establishment of a clear and shared vision of what the partnership will entail, adequate support (i.e. through staff capacity, resourcing, funding and external support structures), a need to involve all stakeholders in the arrangement (to build commitment) and strong leadership of the partnership.

As highlighted earlier, there the area of system leadership is relatively underdeveloped in comparison to other areas of school leadership research discussed in this chapter. However, there have been some notable studies. For example, Higham and Hopkins (2007) undertook case study research to explore the characteristics of ten federations of high-performing lead schools partnering one or more underperforming schools in order to bring about educational improvement. A strong and resilient leadership team was typical of all ten federations with two models of senior leadership emerging most prominently. Firstly, those federations comprising one lead school and one partner school tended to employ an executive head teacher operating across both schools with an associate or deputy head teacher based at each site. In this model, the executive head teacher was closely involved in the day-to-day leadership of both schools. Second, those federations with two or more schools also employed an executive head teacher operating across all the schools in the partnership but tended to have a head of school at each individual site with more autonomy than the associate or deputy role found in the first model. This allowed the executive head teacher in this model to play a more overarching, strategic leadership role, with less operational responsibility than the executive leader operating across two schools. The second model in particular draws strongly on the notion of distributed leadership discussed earlier with the executive head teacher 'building the capacity of others to take on wider leadership roles' and 'taking responsibility for developing a distributed leadership team capable of transforming practice' (p. 306.)

In one of the few empirical research studies to look at the impact of interschool collaborative arrangements on student outcomes, Chapman et al. (2011) conducted a quantitative analysis of national pupil data to compare federations of schools that had been designed to raise performance in low-attaining schools ($n=73$) with a matched sample of nonfederated schools ($n=73$). While they could not prove causality, their findings 'indicate school federations are a potentially useful mechanism to support raising the performance of weaker schools … Furthermore, the relationship appears stronger where the collaboration between schools is strongest, such as in federations as opposed to the more loosely coupled collaborative, and in federations with an executive head rather than in those without' (Chapman and Muijs 2014, p. 214.) Again, the importance of leadership to the effectiveness of such collaborative activity is underscored.

The continued restructuring of the school system in England has created the conditions for system leadership roles to become increasingly commonplace leading to a reconceptualisation of educational leadership, as it is traditionally understood. According to Hopkins (2008), system leaders are driven by a moral purpose concerned with improving teaching and learning practice beyond their own settings and 'developing their schools as personal and professional learning communities'

while 'striving for equity and inclusion though acting on context and culture' (p. 23.) Similarly, Chapman and Muijs (2014), discussing the work of executive leaders, describe a shift from *institutional* to *educational* leadership where school leaders have a 'moral purpose linked to the well-being of the wider community rather than just any individual school' (p. 216.)

How Does Research in England Add to International Knowledge of School Leadership?

The research reported in this chapter reinforces, adds to and nuances research developments internationally on school leadership. Because of the long-term intensive centrally driven government reform environment in England in which decentralisation of responsibilities of schools combined with more rigorous systems of centralised results and equity-driven accountabilities have been combined, much research has focused upon both the impact of this upon principals' work. Thus, the positive and negative consequences of policy initiatives have been well researched, as we have seen in the first, second and fourth strands illustrated in this chapter. The detailed 'playing out' of their responses, then, has been perhaps the subject of more detailed empirical research in England than in any other country as a consequence of the intensive reform environment. A second consequence is that as innovative systems of governance and new configurations have been developed in pursuit of greater school autonomy, researchers in England have been drawn in to this agenda, also, though it is still too early to provide authoritative research evidence of success or failure. A third consequence has been twin focuses of major research projects on associations between the work of principals and pupils progress and achievement. This had led to new empirically based knowledge on, for example, schools' (and principals') phases of development and increased knowledge through the use of mixed methods research on what the 'indirect' influences of principals are and how successful principals build and sustain success through timely combination and accumulation of strategies, informed by their educational values and qualities. Work of this kind, combining the quantitative and the qualitative, provides an original contribution to knowledge of successful principalship internationally and 'depolarises' current claims, for example, that 'instructional' leadership is more likely to lead to improvement in pupils' results than 'transformational' (Robinson et al. 2009).

There is much, also, that is similar between research in England and research in other countries. Similarities include (i) a desire in part of researchers, as independent public intellectuals, to give voice to concerns about policies themselves, seeing them not necessarily as, 'a closed preserve of the formal government apparatus of policy making' (Ozga 2000: 42), but rather as, '...jumbled, messy, contested, creative and mundane social interactions' with teachers being, 'written out of the process or rendered simply as ciphers who "implement"' (Ball et al. 2012: 2); (ii) a

concern that the school curriculum which principals lead and manage is becoming more narrow, as the emphasis upon measurable pupil results grows; and (iii) an almost obsessive drive amongst groups of researchers to promote forms of distributed leadership as exemplifying participative, so-called democratic leadership approaches. Research in England has, then, both similarities and dissimilarities with research in other countries, the latter being largely connected with the different stages of policy development in which countries find themselves.

Finally, it is difficult to identify what research may be 'missing' in England, since so much is produced. It would be more accurate to observe what research there is 'more of' and what is 'less of'. Certainly, 'more of' is research related to policy developments. 'Less of' is research which has as its focus principals' values (except as a by-product of successful principals' research), principals' work and lives, especially those who lead schools and academies which are judged by government as underperforming and longitudinal research which tracks the differences to the whole education of the school pupils over at least a 5-year period. In terms of methodologies, also, understandably but regretfully, there is not enough of research which combines quantitative and qualitative approaches to unearth intricate relationships between the what, the why, the how and the consequences for pupils of principals' leadership.

Reflecting further on the body of research discussed in this chapter, it is possible to identify some distinctive characteristics of the school leadership landscape in England that subsequently contribute to the international knowledge in this area. Of particular note is the notion of leaders operating across multiple settings as implied by the increasing number of schools involved in formal collaborative arrangements such as federations and chains. These particular structural arrangements are still relatively new features of the school system, and, as the growing body of literature on system and interschool leadership suggests, the work of the leaders within such arrangements is yet to be fully understood. Nevertheless, the research in this particular area has identified a diversity of roles and responsibilities associated with leading across multiple schools (Hopkins and Higham 2007), while there are emerging findings that such models of leadership, specifically involving an executive principal operating in an overarching leadership position, can have a positive impact on student outcomes (Chapman et al. 2011). This then raises the prospect of a shift from institutional to educational leadership where leaders take responsibility for the educational outcomes and wellbeing of students and staff beyond the single school setting to multiple schools across wider geographical areas (Hopkins 2008; Chapman and Muijs 2014). Indeed, as Hopkins and Higham (2007) attest, the concept of system leadership 'is premised on the argument … that sustainable educational development requires educational leaders who are willing to shoulder broader leadership roles, and who care about and work for the success of other schools as well as their own' (p. 158). Undoubtedly, the research community has more work to do in this area, but if such a shift is occurring, then the implications for school leaders may be considerable as contemporary models of executive leadership emerge that require a different set of skills and attributes than traditional models of individual school leadership. Such models imply a greater emphasis on

developing people and change agency and community relations, sharing best practice and school-to-school partnership in addition to the strong moral purpose synonymous with those wishing to lead schools at any level (Hopkins and Higham 2007).

Conclusion

The pace and volume of educational reform overseen by successive and cross party governments over the last quarter of a century have, arguably, intensified under the current Conservative-Liberal Coalition. Where previous governments had tinkered with deregulation and market forces, the new government has freed up the system to a previously unseen extent (Hatcher and Jones 2011; Stevenson 2011) in a series of policy initiatives aimed at creating a 'self-improving system' (Hargreaves 2010, 2012). Throughout this period, the work of the school leader has increased in both volume and diversity so that principals are no longer responsible for leading solely with a single setting but increasingly between multiple schools and with external agencies and service providers (PwC 2001, 2007; Chapman et al. 2009). Furthermore, while the decline of local authorities and the simultaneous advent of the academies and teaching school programmes have handed schools more autonomy, at the same time they are facing more stringent and punitive accountability measures and higher levels of governmental and public scrutinisation than ever before (Gunter 2011; Glatter 2012). As such, it is easy to see why the notion of distributed leadership has become part of the dominant school leadership discourse in England, as it would appear to represent a logical solution to the ways in which the role of the school leader has developed and evolved in recent years. Moreover, the research literature on leadership in schools facing challenging circumstances (section "The work of principals in schools in challenging circumstances") and effective school principalship in improving schools (section "Effective successful school leadership in improving schools") identifies the phased distribution of leadership as a key facet of the work of head teachers (Chapman 2004; Day et al. 2009). Alongside this, research has highlighted the importance of leadership trust (Day et al. 2011) and resilience (Day and Gu 2014). The notion of system leadership (section "System leadership") also implies a natural dispersion of leadership responsibility across multiple schools and between schools and external agencies (Hopkins 2008). Yet distributed leadership remains a contested arena with questions raised over the authenticity of the concept and means by which it is understood and utilised in schools (Hall et al. 2011) forming part of a lively and wider debate over school leadership in England that seems unlikely to be resolved any time soon.

Yet, this also serves to illustrate that leadership research is alive and well in England and that, paradoxically, this is at least in part the result of the government's policy emphases upon raising standards in schools. Far from being the 'secret gardens' which they once were, schools', teachers' and head teachers' work is now the subject of the most intensive scrutiny by the public, by government itself and by

researchers. All wish to understand it more in order to help its improvement. Even from the limited viewpoint which this chapter represents, research in English schools demonstrates clearly that there is no single model of head teachers' qualities, dispositions, strategies or practices which can be easily transferred as a template to ensure the success of others.

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Chapter 13
New Zealand Principals: Autonomy at a Cost

Cathy Wylie, Graeme Cosslett, and Jacky Burgon

New Zealand's School System

New Zealand has 2538 schools serving around 760,000 students. Schooling usually starts on an individual student's fifth birthday, with school being compulsory between the ages of 6 and 16. Schools follow the New Zealand Curriculum (Ministry of Education 2007), which provides a framework for schools to design and review their own curriculum. Until very recently, there was no mandatory assessment against National Standards at the primary school level. Secondary qualifications have three levels, and most students now stay at school until the ages of 17 and 18 to gain at least the first level of these qualifications.

The country's 2000 primary schools provide the first 8 years of schooling, with 55 % of the schools covering all of these years; the other schools cover years 1–6 or years 7–8. The country's 342 secondary schools cover years 9–13 or years 7–13. There are also 157 composite schools covering years 1–13, often in rural areas. Special schools number 39; most students with special needs attend mainstream schools. A national correspondence school also caters for students who cannot access a local school or access a desired secondary level subject at their school. Most of New Zealand schools are small: 31 % of primary schools have fewer than 100 students, and only 9 % have 500 or more students. Only 12 % of secondary schools have 1500 students or more.

Eighty-four percent of the country's schools are state schools, 13 % are integrated schools, mostly Catholic schools that are funded on the same basis as state schools apart from property and operate within the same regulations as state schools. There are 72 kura kaupapa Māori, schools providing education through the Māori

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language, a key plank in the revitalisation of the indigenous Māori language and culture. Three percent of New Zealand schools are private schools, which receive some government funding for staffing. This chapter will focus on the state and state-integrated schools.

Individual schools became the sole administrative unit of the New Zealand school system in 1989, when the ten education boards responsible for primary schools were abolished. The Department of Education was replaced with a much smaller policy-focused Ministry of Education and the separate Qualifications Agency and Education Review Office (inspectorate).

Since 1989, every school has been governed by a board of trustees, most of whom are parents elected by other parents, together with a representative elected by school staff, a student representative in secondary schools, and the principal. Board elections are held every 3 years. Each school board is legally responsible for the performance of its school. It appoints and employs its principal and teachers.

School funding for operations comes to schools from the Ministry of Education, using a national formula. Funding is primarily roll based, with additional loadings related to the socio-economic composition of the school roll, and school isolation and small size. School staff numbers are also roll related, but staffing is not included in the operational budget. This is largely due to opposition from schools, unions, and individual school boards in the 1990s, based on the results of different studies and modelling that indicated it would lead over time to inequities between schools. Trustees also did not want the additional responsibility it would give them. Schools are legally free for students, but most schools ask for a voluntary donation, deciding their own amount. Almost all schools find they need to supplement their government funding with their own fundraising, with marked disparities in the amounts schools in different socio-economic areas are able to attract.

Students and their families can choose their school, subject to availability of places. Thirty-seven percent of the schools have enrolment zones, mostly in the cities and mostly serving middle- and higher-income communities. Schools compete with each other for students, with 25 % of secondary principals reporting that they spend more on marketing their school than they would like. Most secondary students are able to access the school of their choice (91 % nationally, though this would be lower in some locations); to do so, around a third are bypassing their nearest school. Over time, this system of choice and competition has resulted in larger schools serving high socio-economic communities and a loss of students in schools serving low socio-economic communities, making it harder for them to serve their students well. Competition between schools also makes it harder to share and build knowledge to keep improving teaching and learning (Wylie 2012).

New Zealand schools serve an increasingly diverse student population. A quarter have an immigrant background, one of the highest rates in the OECD, and 15 % speak a language other than English at home. Indigenous Māori make up 23 % of students. In 2010, 6007 or 3.5 % of these attended the kura kaupapa Māori. Another 22,000 attended schools where Māori language was used at least 80 % of the time (Ministry of Education 2013a). Population projections indicate that over half the

school-age population will identify with multiple and non-European ethnic heritages within the next 5 years (Nusche et al. 2012, p. 14).

Providing better educational opportunities to close gaps in student achievement evident for Māori, Pacific students, students with special educational needs, and students from low socio-economic backgrounds, is a prime challenge for the country. These groups are now the 'priority learners' in educational policy, making up probably around half the country's students. Ironically, the shift to stand-alone schools in 1989 had a similar aim, particularly for Māori students. But little progress has been able to be made without a more systematic approach (Wylie 2012). This is one of the other prime challenges for the school system: finding ways to better connect the Ministry of Education and other government agencies with schools and to build and share the knowledge all schools need to meet the needs of these priority learners. Relations between schools and the government have deteriorated in recent years, particularly with the introduction in 2010 of mandatory National Standards set at year levels, against which each child from years 1–8 is assessed and the results reported annually, less access to Ministry-funded professional development and learning, and what has seemed like a greater emphasis on compliance. The Ministry of Education also lost educational expertise over this period, reducing its capacity to work with schools and provide them with the frameworks and infrastructure they need.

Other current challenges facing the New Zealand school system include the embedding of the New Zealand Curriculum, which is a sophisticated approach to learning; digital learning, which is widespread but highly variable in quality; including students with special educational needs; and involving parents more in their students' learning. Funding for schools and the infrastructure they need is another challenge, particularly in an era of very high expectations of what schools will deliver.

The Principal's Role

Heading a self-managing school that is not nested within a district or larger local educational structure means that the role of the New Zealand principal is particularly wide ranging. They are responsible for their school's administration as well as the quality of teaching and learning at their school. They need to understand, advise their board, make decisions about, and report on school property, school finances, and staff employment, as well as student learning and achievement. Compared to principals in other countries taking part in the 2006 TIMSS studies, they spent more time on administration and less time on supervising and evaluating teachers (Robinson et al. 2009, p. 63). Because of the small size of many New Zealand primary schools, around 27 % of primary principals are also teaching principals.

Māori-medium school principals are also leaders of more collective enterprises, working more closely with their school community, and as change agents, to

regenerate Māori language and culture (ibid., pp 70–71; Ministry of Education 2010). This is a particularly demanding role.

All New Zealand principals need to maintain good relations with their school board, particularly its chair. A school's board chair has particular responsibility for annual performance reviews of the principal. In many schools, an outside reviewer is part of this process, since few board chairs have educational expertise. Boards can draw on guidelines for their employment and review of principals and call on the advice of the board- and government-funded New Zealand School Trustees' Association (NZSTA). Most principals are covered by the national collective employment agreement for their schooling level, which is negotiated by the Ministry of Education (with input from NZSTA), with the national teacher unions, NZEI (New Zealand Educational Institute, covering primary schools) and PPTA (Post Primary Teachers' Association, covering secondary schools), and SPANZ (Secondary Principals of New Zealand).

Included in collective employment agreements are professional standards, which are to be used as the basis for principals' individual performance agreement with their school board and thus the basis for their performance review. Performance agreements will usually also align with the school's strategic and annual plans, which now must include annual targets related to student achievement. While there are national targets (e.g. that 85 % of 18-year-olds will have NCEA Level 2 or its equivalent by 2017), schools can set their own achievement goals, reflecting their particular context and challenges.

The current professional standards for principals (in Ministry of Education 2013b, c) were developed out of joint work between the Ministry, sector, and principal groups (including the New Zealand Principals' Federation, covering both primary and secondary). They are aligned with the major policy document on school leadership *Kiwi Leadership for Principals* which drew on the best evidence synthesis and other evidence about the role of New Zealand principals, and iterative discussion among these parties, to frame effective leadership of self-managed New Zealand schools. This process of development gives this framework and the resulting standards high credibility in New Zealand (Wylie 2011).

The standards thus give a good picture of the expectations of the role of the New Zealand principal of English-medium schools, including the emphasis placed on continual development (or change) of the school, and the use of evidence. Here are the four areas covered, with some examples of specific standards:

Culture – provide professional leadership that focuses the school culture on enhancing teaching and learning.

- With the board, develop and then implement a school vision with shared goals and values focused on enhanced engagement and achievement (academically, socially, and culturally) for all students.
- Manage conflict and other challenging situations effectively and actively work to achieve solutions.
- Demonstrate leadership in professional practice, through applying critical inquiry and problem-solving.

Pedagogy – create a learning environment in which there is an expectation that all students will experience success in learning.

- Foster a professional learning community within which staff members are encouraged to be reflective practitioners engaging with research, and feedback on their professional practice.
- Analyse and act upon school-wide evidence on student learning to maximise learning for all students with a particular focus on Māori and Pasifika students.

Systems – strengthen communication and relationships to enhance student learning.

- Effectively manage and administer finance, property, and health and safety systems.
- Prioritise resource allocation on the basis of the school's annual and strategic objectives.

Networks – strengthen communication and relationships to enhance student learning.

- Actively foster positive relationships with the school's community and local iwi [Māori authorities].
- Actively foster professional relationships with, and between, colleagues and with government agencies and others with expertise in the wider education community.

What weight each of these standards is given, and what counts as evidence to show they have been met is left to each school's board, using national guidelines.

This year the collective agreements include a three-stage career structure that provides additional payments if principals meet set criteria. The first stage additional payment is for principals who have served 3 years or more, who have completed the national First-Time Principals programme or equivalent, and who have taken part in professional learning that 'may include' mentoring, study, and a learning project aligned with school goals. Such learning projects also feature in the criteria for the second stage, 'experienced', and the third stage, for 'leading' principals. 'Leading' principals should also contribute to learning communities and the wider school sector.

In addition, the criteria for the primary principals' additional payments for all stages feature three key components which in effect prioritise some of the principals' professional standards, including 'Assessment and evaluation data is used to maximise student learning for all students and trend data shows continuing growth in student learning' (Ministry of Education 2013b, 4.4.1).

Most schools are reviewed by the Education Review Office every 3 years. Schools will be reviewed more often if areas of concern are identified. Schools that are regarded as outstanding will be reviewed every 4–5 years. To strengthen the focus on priority learners, schools can only met the criteria for being outstanding if their Māori and Pasifika students' achievement results and progress match or exceed those of other learners in the school.

Schools that do not meet the criteria for 3-year review are among those that may have their board replaced by a commissioner. Other schools are required to have (and pay for from their operational funding) some form of statutory intervention, often related to school leadership, or issues between leaders and trustees, including financial difficulties. Fewer than 50 schools a year come into this category. Statutory intervention, or a poor ERO review, may encourage a principal to move on but does not result in automatic loss of the job.

On the whole, principals in New Zealand do have considerable autonomy. They have felt free to challenge national policy. Many did so over the introduction of National Standards, with the support of their boards. However, opposition to the introduction of National Standards could not withstand the introduction of regulations requiring their reporting from all schools.

Research Used in This Chapter

Because of New Zealand's reliance on school self-management, there has been a reasonable body of research on the role of the school principal, how it is enacted, and how it has grown over time. In recent years, there has also been more attention paid to understanding effective school leadership and how to develop effective principals. The research selected for this chapter was drawn from bodies of work that include a hallmark best evidence synthesis of the relationship between educational leadership and student outcomes (Robinson et al. 2009); a national sample picture of the quality of New Zealand school leadership based on the findings of this best evidence synthesis; national surveys giving data about the principal's role, support for that role, and their wellbeing; evaluations of professional development programmes for aspiring principals and experienced principals; and articles and chapters using case studies of principals or drawing on thesis research focused on particular aspects of principal leadership, such as in rural schools. We looked at all volumes since 2004 of the *New Zealand Journal of Educational Leadership*, which became the *Journal of Educational Leadership, Policy and Practice* in 2008, which contains much of the New Zealand research published in New Zealand itself.

To make sure our sources of New Zealand research published in international journals were current, we contacted the active New Zealand researchers of school leadership. There are around 12 who have a prime focus on the principal's role, with most of these adding to this research knowledge in their supervision of theses, and also disseminating research results and using it to frame professional development programmes associated with their universities or institutions. These programmes have also enabled some of these researchers to conduct further studies. Some of these researchers were able to share with us recent articles both published and due to be published.

New Zealand is fortunate to have a searchable full-text electronic database of educational theses up until June 2014 (http://library.nzcer.org.nz/nzetbasic.php), funded through the Ministry of Education's Iterative Best Evidence Synthesis (BES)

programme. We used this database to identify theses conducted since 2007, using the search words 'principal' and 'school leader', and we include theses which cover new ground in this chapter.

There are four particular topics that we will cover in this chapter:

- The nature of principals' work in a stand-alone school context
- Effective school leadership
- Professional development and preparation for the principal's role
- The quality of New Zealand school leadership

Principals' Work in a Stand-Alone School Context

The New Zealand Council for Educational Research (NZCER) conducts national surveys of all English-medium state and state-integrated secondary schools and a representative sample of 350 of the country's 2000 English-medium state and state-integrated primary schools every 3 years, covering principals, teachers, school trustees and parents, at a representative subsample of around 35 schools. These regular national surveys provide a high level picture of principals' work and changes over time. The response rates are good for surveys and provide a generally representative picture.

The overall picture from the 2012 secondary schools national survey (Wylie 2013) shows that secondary principals had a median work week of 63 h, as they had in 2009. Ninety percent of the 177 who responded enjoyed their jobs, and 80 % reported having good or very good morale, slightly down from 86 % in 2009. However, only 45 % regarded their workload as manageable, and 41 % reported high stress levels. Compared with 2009, more principals thought they could schedule enough time for educational leadership in their school (28 % compared with 19 %): still a low proportion given the importance of such leadership. Sixty-four percent thought they got enough support to do their job effectively.

Asked what they would change about their work, most secondary principals want more time to reflect, read, or be innovative (78 %) and more time for educational leadership (71 %). Other things that principals identify among the main things they would change about their work include reducing their administration and paperwork (61 %) and having a more balanced life (57 %). They would also reduce external agencies' demands or expectations (41 %), their workload (38 %), and the demands of managing the school's human resources (35 %) and property (34 %), with greater administrative staff support (35 %) and more teaching staff to whom they could delegate things (33 %). They would like to have more professional dialogue about their work (38 %). Twenty-nine percent would like it to be easier to recruit good teachers. Principals of schools serving low socio-economic communities were the ones most interested in changes to their role; principals of schools serving high socio-economic communities were the least, perhaps reflecting more stable rolls, finances, and less complex student profiles.

Recent information from the 2013 primary schools national survey (Wylie and Bonne 2014) shows that primary principals' median work hours have remained much the same since 2007, at 58 h a week. Overall, there was some deterioration since 2010 in their views of their work and their wellbeing. Ninety-two percent of the 180 principals responding enjoyed their job, somewhat fewer than in 2010. Morale levels were good or very good for 72 %, down from 87 % in 2010. Stress levels had increased since 2010, with 48 % of primary principals now reporting high or very high stress levels, compared with 37 % in 2010. Sixty-four percent thought they got enough support to do their job effectively, down from 77 % in 2010. Forty-seven percent regarded their workload as manageable, down from 58 % in 2010. However, somewhat more principals now thought they could schedule enough time for the educational leadership aspect of their role (46 %, compared with 38 % in 2010).

The pattern of the things that primary principals would like to change about their role is much the same as the secondary principals. Primary principals were somewhat more interested in having contact with other principals and schools (perhaps reflecting smaller leadership teams in primary schools). A new item included in the list of changes principals were asked to respond to showed that 48 % would like to improve the public understanding of education, probably reflecting the tensions of the last few years around the introduction of the National Standards, and the reporting of individual school results.

Rural School Leadership

Rural school leadership has also been the subject of New Zealand research. Around a third of primary schools are located in rural areas, and 18 % of secondary schools. Most of these are small schools. While rural school principalship was seen as the first step on the principal career ladder before 1989, it has lost some of its attraction as urban boards look for direct experience of their particular school context. Analyses of principal vacancies from 2008 to 2010 showed that rural and small schools have higher vacancy rates than other schools (Robertson 2011). A study of most of the 67 rural principals in the Otago region found that teaching principals were more directly involved in curriculum conversations with teachers than their nonteaching counterparts. Community support for a school – particularly vital for small schools in rural areas – was more likely if the principal was alert to local emphases and history and included these in their curriculum design. Personal involvement of the principal in the community helped this alertness and enabled the identification of useful community input. Principals were also careful to use the 'school gate committee' (a name given to the collection of parents who drive their children to and from school and who often congregate to 'chat' to other parents while waiting for children to arrive) for distributing messages about the school and

its achievements and for 'discovering any issues percolating in the community' (Wright 2012, pp. 223–224). Interestingly, close to half the principals did not take part in their community groups in their area, and 57 % did not live in their school's local catchment area, making the way the local curriculum is developed, its content, and these informal contacts even more important for the community support essential to the rural school's reputation and viability.

New School Leadership

The principal's financial and property management responsibilities are particularly prominent in being the founding principal of a new school, with new layout of teaching space (Taylor 2013). The case study by a principal of her own school's beginning shows also the difficulties arising from insufficient Ministry of Education support or advice or ability to customise funding in the initial stages. This case study also underpins the importance of collaborative development of a school vision by the founding principal and staff, as well as the school community, leading to 'touchstone' documents that can be used by the whole school community; the leader's essential and direct role in ensuring that such a vision is supported by school organisation as well as professional learning; and – again – the importance of developing and maintaining good relationships with the community.

Leadership in 'Turnaround' Schools

Personal qualities that gave others confidence and optimism and openness and commitment to change were found to be key in principal leadership to turn around three poorly functioning primary schools serving low socio-economic communities. Principals who could successfully turn schools around first had to undertake 'an accurate diagnosis of the school's problems', mitigate 'factors driving decline', and plan from the diagnosis (Barker 2011, p. 95). This phase needed to include some 'quick wins', often related to behaviour improvement. Then they had to 'provide the school with the capacity to meet the expectation of stakeholders and give them reason to stay' (ibid.). This second phase builds a new school culture. Principals need to be able to pace and integrate change so that the pace is neither too fast nor too slow and matches resources available. Ongoing self-review and the ability to accurately understand the reasons behind 'problems' were critical. The three principals all thought that sustainable success took more than 3–5 years. It was hard work; none of them would want to take on another school needing to be turned around. Barker concludes that their work was made harder by a lack of infrastructure to support them.

Secondary Schools

Slowley (2012) surveyed 94 secondary principals (around 30 % of the total) in 2009 to find out more about their role and the factors that they felt affected it. The skills and dispositions that around 75 % or more thought were essential for their role hinged around: relationship building, communication, and staff management; vision, decision-making and strategic thinking; and resilience and adaptability. Around two-thirds identified as essential delivery of outcomes, change management, reflection, work-life balance, and professional knowledge. He found that female principals generally identified more items asked about as essential for their role as male principals. Years of principal experience showed fewer differences in views, though principals with less than 5 years experience were more likely to identify fiscal management (33 %), and work-life balance grew more important as principals spent longer in their role. Principals of schools serving high socio-economic communities were least likely to see cultural awareness as essential (29 %, compared with 70 % of principals in schools serving low socio-economic communities).

He also asked principals to say whether they would ideally spend a great deal of time, some time, or no time, on six aspects of school leadership: strategic leadership, curriculum leadership, management, with students, with parents, and with staff, and then, what their patterns of time were in a 'real' week. Management, and to a lesser extent, students, and staff took more time in a principal's real week than their ideal, with strategic and curriculum leadership losing out. The principals also identified as key impacts on their leadership the people they worked with or responsible for (staff, students, parents) and the community perception of the school (linked to its viability).

Five of these principals also kept reflective journals of their leadership activity for a week and took part in semi-structured interviews based on these journals. This qualitative material gave further insight into the weight of school relationships and community perceptions. Tensions in these relationships or negative community perceptions were associated in these case studies with 'a non-consultative, reactionary leadership model that focused on limited areas of leadership activity, used a limited range of leadership skills and was problem-solving orientated' (Slowley 2013, p. 7). Slowley concludes that 'the role of the secondary school principal was a limited form of contingency leadership and that the principals were more organisational leaders than curriculum leaders' (ibid., p.9).

A 2004 study based on questionnaires, interviews, and a focus group, involving 29 principals from a range of schools in terms of size and location, identified a strong desire to provide curriculum leadership that was often thwarted by other aspects of their role, particularly financial and property management (Cardno and Collett 2004). Principals' workload was both large and fragmented. The authors also raised the question of whether secondary principals could create unmanageable workloads by trying to do too much themselves, particularly retaining 'hands-on work' with students and teachers. A more recent case study of a secondary principal

who used structured and brief 'walk-throughs' showed that well-designed 'hands-on' work could improve student engagement in learning, and more collegial work among teachers, and could be done without adding substantially to the principal's overall workload (Service 2011).

Effective School Leadership

A major piece of work for the understanding of school leadership in New Zealand and internationally is the Ministry of Education commissioned best evidence synthesis of research on the relationship between school leadership (mostly but not always the principal) and student outcomes (Robinson et al. 2009; also distilled in a practical guide for school leaders internationally, Robinson 2011). This analysed both quantitative research, which enabled the establishing of effect sizes, and qualitative research, using both direct and indirect evidences. Little direct quantitative research was available – only 27 published studies were then available, most focused on primary school leadership, and none of these from New Zealand. However, the synthesis drew on a range of New Zealand studies and evaluations, including in Māori-medium schools, to build and illustrate a robust model of the dimensions and knowledge, skills, and dispositions associated with effective school leadership.

The eight dimensions of effective leadership it established are:

- Establishing goals and expectations
- Resourcing strategically
- Planning, coordinating, and evaluating teaching and the curriculum
- Promoting and participating in teacher learning and development
- Ensuring an orderly and supportive environment
- Creating educationally powerful connections
- Engaging in constructive problem talk
- Selecting, developing, and using smart tools

These need to be undertaken with four aspects of leadership knowledge, skills, and dispositions:

- Ensure administrative decisions are informed by knowledge about effective pedagogy
- Analyse and solve complex problems
- Build relational trust
- Engage in open-to-learning conversations

This model and the synthesis have contributed to school leadership professional learning and development, the standards included in the national collective agreements, and new research and analysis of existing data sets (e.g. Wylie 2010). It was well received by sector groups, who also comment on the ongoing tension between the breadth of the principal role and its desirable focus on pedagogical leadership. Youngs (2011) picked up some of this tension in recommending the specifying of

strategic, people, and change management in this model. He and others, including the best evidence synthesis authors, have also cautioned against taking the findings too literally as a template that should apply in equal measure to every principal or school leader, regardless of the school context.

New Zealand took part in the International Successful School Principalship Project (ISSP), undertaking ten case studies (nine schools and one early childhood education centre) of principals who were highly regarded by their peers and whose schools had received positive ERO reports. The New Zealand studies used the ISSP guidelines, with a supplementary question: 'To what extent is a successful principalship in the New Zealand context contingent upon a successful relationship between a school and its community?' (Notman, (Ed) 2011a, p. 12). Certainly in these case studies, the school leaders worked strategically to develop meaningful and collaborative relationships with their school community, to create a strong and trusting school community among teachers, students, and parents. They also paid attention to ongoing professional learning, for themselves and their staff, and were conscious of the importance of having a shared and coherent vision for the school and personally enacting the values underpinning the school. They were reflective, evaluating their own performance. Organisational structures and management systems served these ends and were changed accordingly. These principals led change to better serve their students and increase their performance. Notman concludes that there are three core aspects to successful school leadership in New Zealand: pedagogical leadership; intrapersonal leadership, blending the personal and professional through self-knowledge linked to ongoing learning; and contextually responsive leadership (Notman 2011b).

Analysis of the role of school leadership in a particularly successful professional development programme aimed at improving Māori student achievement in secondary schools identified a number of school leadership dimensions that were key to the scaling up and sustainability of change. Bishop (2011) summarises findings from this analysis related to the key role of school leaders. This includes their role in setting and using measurable school goals, the establishment of new pedagogical relationships and interactions in classes, ensuring coherence in resourcing and organisation to support changes, and the development of teacher capacity.

Performance review of principals by the boards is one of the main mechanisms to ensure that principals are doing their job well. Some studies have focused on how well and fairly boards make employment decisions and review principals' performance, raising questions about considerable unevenness between boards, and therefore the effectiveness of this capability building and accountability mechanism (Anderson 2009; Brooking 2007; Chapman 2008; Morrison 2006; Wylie 2007).

Sinnema and Robinson (2012) have investigated the nature of the goals set by principals as part of their performance review and how well they achieve them. Robinson et al. (2009) found an effect size of 0.43 between principals' effectiveness in setting goals and expectations and student outcomes in their best evidence synthesis, using international research. They asked 72 participants in one of the experienced principals' professional development programmes to provide their existing evaluation goals from their performance review and then to later rate these goals in

terms of their commitment to them, the challenge of them, learning required, and achievement. The two researchers also coded the content of the goals. Just under half the goals related to teaching and learning, around a fifth each were related to relationships, resourcing, and strategic planning. Seventy-one percent of the goals were vague: it would be unclear how to judge their achievement. Perhaps not surprisingly then, principals thought on average that their goals were partially rather than fully achieved. Sinnema and Robinson (2012, p. 157) comment that the vagueness of the goals would undermine the benefits of goal setting in providing 'a sense of priority in an otherwise overcrowded and distracting work environment'. They also found that most goals were task oriented, rather than identifying areas where the principal needed to learn more, particularly in the area of leading teaching. Yet only 14 % of the principals believed they had all the support needed to achieve their goals.

Robinson and her colleagues at the University of Auckland are continuing to investigate school leadership capability, using some innovative approaches. For example, to find out more about how well principals handle parental complaints, a scenario was devised and used in videotaped conversations between an actor playing the parent role and 30 first-time principals. The analysis of the transcribed tapes shows that 'principals, were, on average, more skilled in advocating their own position than in deeply inquiring into and checking their understanding of the views of the parent. Many had difficulty respectfully challenging the parent's assumptions about the situation and reaching a shared understanding of what to do next' (Robinson and Le Fevre 2011, p. 227).

How effectively leaders address concerns related to the quality of teachers they are responsible for is the subject of another investigation. Participants in this study were drawn from participants in the University's professional learning programmes where they were focusing on 'open-to-learning conversations' that are 'deeply respectful of the person and effective in addressing the issues'. Voluntary participants in three courses (including one in New Zealand for experienced principals) were asked to describe a concern about a person that they currently had, the duration of their concern, its importance, whether they had tried to resolve it, how difficult this had been, and whether this action had resolved their concern. The findings show that important concerns related to staff were hard to address; and role play used with Australian superintendents suggested that this was because they had difficulty in having 'open-to-learning conversations' (Sinnema et al. 2013).

School Leadership Development and Preparation

Although the role of principal in New Zealand schools is demanding, interest in taking it on has grown in secondary schools, probably helped by the introduction of national programmes to provide more of a pipeline and support. Nineteen percent of the 1266 secondary teachers responding to the NZCER national survey indicated an interest in taking this role in 2012, an increase from the 13 % who thought

this in 2009. In primary schools, 17 % of the 713 teachers responding to the NZCER national survey indicated an interest in taking this role in 2013, an increase from the 14 % who thought this in 2010. Most of these are already in senior school leadership roles.

New Zealand currently has two national principal development programmes funded by the Ministry of Education. One is for first-time principals, run over 18 months, from the University of Auckland (http://www.firstprincipals.ac.nz). This programme has now been running since 2002. The more recent Aspiring Principals programme began with a pilot in 2008; it is now run over 12 months by the University of Waikato as part of the Te Toi Tupu professional learning consortium (http://www.educationalleaders.govt.nz/Leadership-development/Leadership-programmes/NAPP-2013; for a full picture of the theory of action behind the course and 2012 participants' perspectives of their learning, see Earl and Robertson 2013). Both link participants with an experienced mentor and ask them to undertake an inquiry or project related to both their school's needs and an area where they want to develop. This emphasis on the specific context and customisation reflects the wider policy emphasis on school self-management.

Participants, who also take part in residential workshops, are linked electronically in discussion groups and sometimes peer-coaching and to resources needed for their roles. Both courses cover both the administrative and pedagogical leadership aspects of their roles, and both emphasise school leaders' responsibilities for lifting the learning of the priority groups, with a strong emphasis on Māori. There is also a marked emphasis on change management and leadership for the twenty-first century. They provide the foundations for ongoing networking between principals. Both also bring together into single portals all the policy and management information school leaders need to know about and access. Participants' responses to these courses are generally favourable (Patuawa et al. 2013; Earl and Robertson 2013).

Both programmes undertake systematic needs' analysis to tailor programmes to suit participants, both at the individual level, working with mentors, and at the level of workshop emphasis. The First-Time Principals' programme team now use their Management Capability Checklist, a set of 79 items covering tasks required of New Zealand principals. Results for the 2012 and 2013 entrants to the programme showed that first-time principals were moderately confident about their capability, with the least level of confidence in relation to property and finance responsibilities (Patuawa et al. 2013, 7–8).

Applicants for the oversubscribed Aspiring Principals' programme must be nominated by their school principal, indicating both local identification of potential and support. The course is a pipeline for becoming a principal; it also develops the capacity of school leadership teams to support and complement their principal, something of particular importance as we move away from the view of the principal as 'heroic individual'.

Evaluation of new principal development programmes funded by the Ministry of Education has been used to establish their efficacy and to improve them. In recent years, there has been external evaluation of the pilot of the Aspiring Principals programme, which continues with some changes, and of an Experienced Principals

Development programme, which did not continue because of a policy change (Cardno and Youngs 2013).

A mixed method evaluation of the 16-month long pilot for the Aspiring Principals programme (Piggott-Irvine and Youngs 2011) was undertaken to provide both formative understanding to fine-tune the programme as it developed and evidence of its effectiveness. This pilot used six providers in different regions, working within a national framework. The evaluation used an electronic questionnaire midway through the programme, at its end, and 4 months after, when the participants' principals were also surveyed. Case studies using observation and focus groups were also undertaken in two of the regions, with a further focus group of participants who had gained a principalship and their former principal. While participants were generally positive, there was some frustration that their initial needs' analysis had not led to the individual programme tailoring expected and that they needed a greater emphasis on management skills, such as knowledge of employment law, and school funding. The evaluators noted that while the curriculum had included 'leading people', the workshops they observed contained little about key aspects of organisational learning such as 'tackling problems, dealing with conflict, working in non-defensive ways with people (including school governing boards), and the resultant trust development' (ibid.). These findings were used to improve subsequent Aspiring Principals programmes and also in the formation of a pilot of an Experienced Principals' Development programme.

The Experienced Principals' Development programme ran over 15 months, for some 300 principals who had at least 2 years experience in the role, and also used a national framework with regional provision, through ten providers. Once again, principals worked with individual mentors, with some shared sessions. The emphasis was on something customised for each principal and their school, with some common elements. The evaluation also used questionnaires to get information of principals' experience across all ten providers, with case studies of two providers. The quality of mentorship and the easing of professional isolation through the relationship with the mentor and other course participants were important for the participants, as well as the content of their professional reading and, to a lesser extent, their undertaking of a school-based inquiry project (Cardno and Youngs 2013). On the whole, participants thought at the end of the programme that they had become more reflective about their leadership practice and were better able 'to identify and change the conditions that impact on teaching and learning because of the development activities they had engaged in' (ibid., p. 264), particularly if they had linked their inquiry project to these conditions. Many thought that their participation in the programme would help them stay longer in the role of principal. For a significant minority, the programme left them wanting more in the way of 'the human resource management side of school leadership including managing staff and the respective relationships, coaching, mentoring and conflict management' (ibid., p. 265).

The use of the Educational Leadership Practices (ELP) electronic survey was included in the national framework as part of initial needs' analysis; the survey was repeated at the end of the programme to see what shifts had occurred. Many principals' perceptions of the effectiveness of school leadership (not of the principal

alone) as measured by the ELP did improve, particularly for those whose initial ratings were low. Teachers' perceptions changed less than principals', but they did increase particularly in relation to the school leadership's role in ensuring curriculum quality, taking part and promoting teacher learning and development, ensuring educationally powerful connections with families, whānau, and community, and Māori students' success. The use of inquiry into school identified issues and the use of data were two of the programme's national emphases that were linked to these increases in the effectiveness of school leadership (Wylie et al. 2011).

Inquiry also underpins an innovative approach to school capacity development that embeds ongoing principal development within it. The Ariki project, funded by the Ministry of Education as a trial alongside the Experienced Principals' Development programme, provides a systematic framework and protocols for principals and teachers to work together through quality learning circles which address principal 'intentions', derived from looking at student performance data or other evidence of an issue needing attention. Electronic logs are used allowing principals to see 'what teachers are thinking about, talking about, and considering for future action' (Stewart 2009). Teacher reflection and action are linked with student outcomes, allowing ongoing evaluation. This 'collaborative critique based on evidence of practice' is underpinned by recognition of the importance of trust, shared responsibility, and of sharing and building knowledge in and across schools that recognises different contexts. Teachers work together in schools; principals are also connected with each other, to provide the same critique of their leadership. Currently, 59 primary schools are part of the Ariki project, using their own funding. They include those who took part in the trial; school leaders have found the processes improve teaching practice and student outcomes (www.arikiproject.ac.nz; Bird 2011).

Quality of New Zealand School Leadership

The ELP survey was developed from the findings of the leadership best evidence synthesis and the Kiwi Leadership for Principals work. It was intended to provide both a 'smart tool' for formative use in schools and, by aggregating individual school level results periodically, to provide national data on the quality of school leadership on the dimensions it covered (Wylie 2011). This periodic national picture was intended to be used to monitor and review the effects of the Ministry of Education's Professional Leadership Plan, providing information that could be used by the Ministry working with sector groups and professional learning and development providers to discuss any changes needed. This plan is no longer prominent in Ministry of Education strategy, which has more of a direct emphasis now on student achievement. As it is, we have baseline data from 2010 to 2011 for a nationally representative sample of 369 schools, drawn from participants in the Experienced Principals' development programme, First-Time Principals' programme participants (where it continues to be used), and individual schools.

This picture from 2010 to 2011 shows that teachers were more positive about the effectiveness of their school's leadership in relation to goal setting, providing a safe and orderly environment, and about the principal as a leader. They were least positive about the effectiveness of their school's leadership in relation to teacher learning and development and ensuring the success of Māori students. There are some interesting threads through these different aspects of school leadership. Where school leadership was seen as less effective was in relation to actually embedding values and goals in everyday practice: in using human resources processes to focus on teaching and learning, in both supporting and challenging teachers whose students were disengaged in learning, and in providing opportunities for teachers to discuss why they might need to change their practice and opportunities to observe effective colleagues, to undertake professional development to develop knowledge and skills needed to provide quality teaching to Māori learners, and to learn from student feedback on their teaching. Principals were often rated highly for promoting school values, having integrity, and making tough decisions when needed, but not so often for their ability to identify and resolve conflict quickly and fairly (Burgon 2012).

Leadership of small schools was generally rated more effective than leadership of large schools. Primary school leadership was generally rated more effective than secondary. Leadership in schools serving high socio-economic communities was rated more effectively than those serving low socio-economic communities. These suggest that school leadership is harder in schools which have more complex organisation or more challenging student populations.

The length of principal experience – at the current school or as a totality – was unrelated to school scores of the effectiveness of the principal's leadership or the school leadership as a whole. The principal's perception of the support he or she had for their pedagogical leadership and the barriers to exercising it were related however to school scores. School scores on the ELP were associated with teacher morale and good workplace practices.

Principals have generally found the ELP useful in the formative way intended. The reports that schools get very quickly once they have filled in their surveys show them how their school compares with national norms. Interestingly, principals also wanted to know more than this: they wanted to know where they *should* be. A benchmarking workshop was held with school leadership experts and established four levels. Very few schools in the national baseline sample came into the lowest category, where school leadership was 'invisible'. Few schools were in the highest category, 'exemplary'; these were all primary schools. The median for primary schools was in the 'sound' category (second highest); the median for secondary schools was in the 'basic' category (second lowest) (Burgon 2012; Burgon et al. 2012).

There are questions around these findings that need further research. The ELP is based on teacher and principal perceptions. How well does it relate to other measures, such as student achievement levels and shifts? How can schools best use it as part of their ongoing self-review? Does it work as well in secondary schools as primary schools, in covering what needs to be covered to understand school

leadership in a more complex environment, and support its development? Can it be used by school leaders alone, or does it need to be 'unpacked' with a trusted advisor, particularly when the results are less positive than the principal thought, or when the teachers' views are markedly less rosy than the principal's, or when a principal is unsure how to identify areas for priority work?

New Zealand Research in an International Context

Greater school autonomy, coupled with clear accountability, was recommended by the recent OECD project on school leadership (Pont et al. 2008). A number of countries are currently moving in that direction. The New Zealand research on school leadership adds valuable understanding of what it means to be a principal in a stand-alone school, with a number of sometimes conflicting accountabilities and without a strong infrastructure. While autonomy appeals to many principals and has many good features, it comes at a price at both the school and system levels. Thus, the New Zealand research is highly relevant to other countries.

The New Zealand research undertaken to understand and bring about change for Māori students is also highly relevant to other countries with indigenous populations. There is less research on school leadership in Māori-medium schools in New Zealand; there is some evidence of their effectiveness, where schools have been able to sustain a high quality of te reo Māori as well as curriculum knowledge. Information on these schools in which leadership is shared with parents and the community has been of interest to indigenous communities and educational leaders in other countries.

Research in New Zealand on the nature of school leadership has not been inwardly focused. Most research has been informed by reading of international studies, using those along with New Zealand thinking and research in the development of theoretical understandings and research instruments, as well as sharpening a sense of what might be unique in the New Zealand context. The landmark best evidence synthesis (Robinson et al. 2009) drew substantially on international literature. New Zealand also took part in the International Successful School Principalship Project. New Zealand researchers generally have good international networks, often publish work in the international English-language journals, and present at international conferences. New Zealand research on effective school leadership and change management has also underpinned professional development programmes with some Australian school leaders and districts, including Aboriginal communities.

Like researchers in other countries, New Zealand researchers have wanted to understand what it means to be an educational leader and how well the day-to-day reality in different school contexts matches the policy frameworks and expectations. Given the autonomy of New Zealand schools, coupled with the lack of progress on addressing long-standing achievement challenges, there has been an increasing focus on understanding what makes for effective school leadership and how to develop and frame it. This includes a focus on how school leaders can have the

understanding and commitment to the success of all their students, particularly Māori and Pasifika students, and lead the changes in schools that will be needed to ensure a real lift in educational outcomes. New Zealand research is increasingly aware of the need to shift educational leadership to better address the needs of indigenous and migrant groups, needs which have also come to the fore in other countries in our more globalised world.

Perhaps because it is a small country, with limited funding for educational research and limited numbers of active researchers, New Zealand research on school leadership has often aimed to provide multiuse knowledge and research-based tools that can be used in practice and policy, as well as academic publications.

A Sound Platform: And Some Wider Issues

In the early years of the twenty-first century, New Zealand policymakers wanted to use evidence more. The first decade of self-managing schools had shown that self-management on its own was not enough to ensure good quality provision and leadership in every school; student achievement did not change (Wylie 2012). That led to the Ministry of Education funding a sorely needed national programme for first-time principals. It led to the best evidence synthesis programme, aiming to underpin school autonomy with the kind of evidence that would allow school leaders and teachers to use their autonomy wisely and to put their effort where it was most likely to pay off. The 'leadership' best evidence synthesis (Robinson et al. 2009) was fortunately developed in tune with policy development around what was needed to better support the development of school leaders, whether new or not. This emphasis was also helped by New Zealand taking part in the OECD *Improving School Leadership* project, which ensured that a country report analysing the role was undertaken, drawing attention to some of the prime issues around the breadth of the principal's role (Ministry of Education 2007).

As a result of this work, the evaluations of the professional learning and development programmes that followed, qualitative work, and the development of some 'smart tools', such as the ELP, or the University of Auckland's Management capability checklist, there is some sound understanding of the importance of the principal's role and of aspects that seem particularly key to changing practice and provision and to ensuring that schools are learning organisations for all involved, not just its students. Research has also probed the complexities of the role and the personal qualities it demands. Commitment to students is fundamental but ineffective on its own unless woven with strong relational and analytical skills and deep knowledge of effective teaching and learning. The picture from research indicates that while schools are not unique in the sense that each school is utterly different from others (as some New Zealand principals sometimes suggest, when they want to distance themselves from government policy, collaborative work, or common frameworks), the skills and knowledge that need to come to the forefront will differ in terms of the social context of the school and in terms of whether it is

struggling or not, tapped into good sources of knowledge and development, or still too often, not.

Research also brings to the fore the breadth of the principal's role in New Zealand, raising questions about how desirable as well as realistic this is. Slowley (2013) talks of 'an inconvenient truth' that secondary principals found it easier not to focus on making the kind of change in pedagogy that is needed, their time easily taken up with more pressing 'contingent' matters, and that focusing on their own school and its wellbeing was not enough to bring about a more equitable system. Patuawa et al. (2013, p. 14) conclude that what principals are required to do in terms of 'business tasks', such as finance, employment, health and safety reporting, and compliance is increasingly 'stringent and sophisticated', needing 'considerable expertise' to 'monitor (in large schools) and complete (in small schools). They note that the government's achievement targets are 'extraordinarily ambitious' and would require principals to have 'a relentless and expert focus on learning with their staff on how to achieve' them. 'The expertise, commitment, collaborative learning, and dedicated time needed to solve such problems [changing learning opportunities, getting student responsibility for learning, and effective parent involvement] are far greater than most principals currently have available.'

Thus, the New Zealand research raises the question of the system in which principals operate and the ways they are best connected with sources of knowledge, support, and challenge. Principal effectiveness must be nourished; it is more than a matter of individual commitment or confidence. Attention to making principals as effective as they can be is therefore a key policy question for countries wishing to counter inequality in their educational provision and outcomes.

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Chapter 14
Research on School Principals in the United States (2003–2013)

Paul V. Bredeson

Education, its purpose, structure, organization, and enactment, has been a critical part of the development of the United States. Within the field of education, the role of the school principal in the United States has increasingly become a major focus of scholarship and research. With the development and proliferation of separate academic departments of educational administration/leadership in the mid- to late twentieth century, especially those granting doctoral degrees, the sheer volume of research, on school leaders, has been exponential. Early studies of "principal teachers" in the nineteenth century were typically detailed case studies of exemplary school leaders. In the twentieth century, examples from industry, business, and military provided new lenses for examining the roles and responsibilities of school leaders. Attention to and interest in the work of school principals continues today. The purpose of this chapter is to provide a thematic overview of the current research on school principals in the United States from 2003 to 2013. To be sure this is a challenging task in that by the time this chapter appears in print, significantly more research on school principals will have been conducted – both published and unpublished. Thus, this chapter provides at best a partial and temporal snapshot of current ideas, research methods, and patterns of research focusing on school principals. Nonetheless, a review of current research provides important information on school principal research that has the potential for engendering new insights and possibilities for cross-national understandings of the work of school leaders.

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Education in the United States

Education in the United States is a massive, decentralized system of schools controlled by 50 state education agencies serving the needs of approximately 53.1 million public school students and 5.5 million students in private schools. There is a considerable variation in school organization and local educational experiences across the country based on history, population characteristics and density, economic conditions, and state and local school policies. Education typically begins with a *kindergarten* experience(s) (children ages 4–6) and then progresses through 12 levels/grades typically – *primary* (grades 1–3), *upper elementary* (grades 4–5), *middle school* (grades 6–8), and *high school* (grades 9–12). The particular structure of the levels in any one location will vary depending on local conditions, demographics, organizational histories, and preferences.

Most recently, the majority of state systems (approximately 41) are seeing increases in student enrollment, while only nine states are experiencing decreases in K–12 enrollment. Shifting demographics across the United States, recent immigration trends, and the effects of the dramatic economic recession in 2007–2008 account for dynamic student populations, especially in the southwestern states of Arizona (76 % increase) and Nevada (134 % increase). The latest data in "The Condition of Education 2009–2010" (nces.ed.gov/programs.coe/indicator_pal.asp) indicate there are currently 132,000 operating schools across the 50 states with 118,400 principals leading those institutions. Public schools dominate the education landscape with 93,900 traditional public schools, 5,000 charter schools, and 33,400 private schools.

The Education Policy, School System Responses, and Role of the School Principal

From the early days of the "principal teacher" in small rural schools to today's urban school principal, there have always been challenges for school leaders. The intersection of dramatically changing demographics in communities and schools; the realignment of local, state, and federal controls of education policies and reform initiatives; and the current accountability movement have all intensified the work of school principals. Among the challenges for principals in K-12 schools are:

1. Unequal achievement among student groups with significant gaps in success between White, affluent students and traditionally marginalized groups – African-Americans, Hispanics, English Language Learners, students in poverty, and students with disabilities
2. Loss of trust and confidence in the public school education system resulting in greater pressures toward privatization of education
3. Greater competition for resources resulting in principals having to accomplish more within their schools in terms of school/student outcomes with fewer financial and personnel resources

Traditionally, taking on the role of school principal later in one's career was seen as a logical and deserved organizational advancement for high-performing, not to mention politically connected, teacher leaders. School principals are critical lynchpins at the center of school improvement, instructional leadership, content and quality of teaching practices, and accountability for student learning outcomes. Increased attention to the importance of principal leadership in schools has resulted in greater scrutiny of the ways in which principals are identified, formally prepared at university, mentored, and inducted into the demanding job of twenty-first-century principal. One ripple effect of this change is greater attention focused on principal preparation programs. Professors and administrators in colleges of education whose primary responsibilities include teacher preparation and administrator/leadership preparation have come under the sweep of the accountability movement in the United States.

Description of Research Review

Given the volume of research on school principals conducted over the past decade in the United States in university settings, research centers, governmental agencies, and local settings, the author selected a pragmatic approach in this review. This review is not an exhaustive review of all research studies. Rather, it is selective in that it relied exclusively on research articles published from 2003 to 2013 in the *Educational Administration Quarterly* (*EAQ*), considered one of the top-rated educational leadership journals in the United States. While this selection process no doubt resulted in the author missing some important research pieces on school principals, both published and unpublished, this selection process was both practical and I believe reasonable especially given the reputation the journal has for editorial scrutiny of empirical research in the field.

For this review, the author examined 94 selected research articles. The process for selecting articles began by identifying all research pieces in which the term principal/school leader used in the title and abstract signaled that the principal was the primary participant in the study or focus of the research questions. Though the primary focus of this chapter is on the hierarchical, formal position of principal, it is important to note that the term "school leader" was often used interchangeably with principal. Thus, I believed that pieces on collective and distributed leadership included important research on principals. One minor issue then arises. In addition to identifying principals, school leaders on occasion included vice-principals, teacher leaders, and other site leaders who were instrumental in guiding the school. I do not believe this affected the major research findings or themes presented in this chapter. Lastly, though this review is primarily intended to review research on principals in the United States, *EAQ* is an international journal resulting in a small number of pieces by authors from Canada, Hong Kong, New Zealand, Israel, Tanzania, and the Netherlands. Again, the findings of these international scholars complemented and reinforced the major themes presented. In the next section, I highlight major themes suggested by research findings presented in *EAQ* 2003–2013.

Major Themes in Research on the Principalship: 2003–2013

Notwithstanding the wide range of topics and research questions raised in the 94 articles reviewed, it is possible to discern at least six themes that emerge from a decade of research on the school principalship in the United States. The themes include (1) principal leadership matters; (2) principal effects on student learning; (3) feminization of school administration; (4) examining principal preparation programs; (5) intersection of race, ethnicity, leadership, and learning; and (6) a job too big for one. Though each theme is treated as a discrete topic in this review, they are not mutually exclusive. There are many overlaps and blends of ideas, concepts, and research findings cutting across the six themes.

Principal Leadership Matters

Over the past decade, there is substantial evidence that the role of school principal continues to be critical to successful implementation of state and federal reform initiatives and local school improvement efforts. To be sure, the nature and quality of the curriculum, instructional practices in classroom, teacher quality, positive school learning environments, adequate resources, and supportive policies and communities all contribute to high-quality student learning outcomes. Yet, the research over the past 10 years clearly indicates that *principal leadership matters*, theme one. Researchers used various methodological approaches to examine the relationships among principal leadership styles, behaviors, and daily practices and school/student outcomes. These studies indicate that the greatest effects of principals' daily work are mediated through such factors as organizational structures and conditions (Marks and Printy 2003), building organizational capacity through trust (Cosner 2009), collegiality, professional efficacy (Leithwood and Jantzi 2008), cultures (Cooper 2009), and learning environments and outcomes in their schools (Printy 2008; Wahlstrom and Louis 2008). Clearly, what principals pay attention to, how they spend their time, their primary intentions and purposes in carrying out daily work tasks, their core values as leaders, their depth of knowledge about the core technology of schooling (teaching and learning), and their relationships among their staffs all are important components of leadership that matters. As important as each of these is to educational quality, theme two suggests that there has been a dramatic shift in finding direct connections between principal leadership and student learning outcomes.

Principal Effects on Student Learning

Decades of education reform and the current press for accountability (student test scores) have brought greater attention to the role of school principals in school improvement and student learning outcomes, especially those centered on

standardized test scores. Three general questions have tended to guide studies. In what way(s) does principal leadership (variously defined in research) affect school outcomes and student learning? What effect(s) do principal leadership and specific practices have on student learning outcomes? In what way(s) does context affect principal leadership? Current research reinforces major findings on principal effects published over the past three decades. That is, the primary work, leadership styles, and daily practices of school principals generally have indirect effects on student learning (Marks and Printy 2003). A major study using meta-analysis of 27 studies on effects of principal leadership styles found that the average effect of instructional leadership on student outcomes is three to four times that of transformational leadership (Robinson et al. 2008). The takeaway message is the more principals focus their relationships, work, and learning on the core of teaching and learning, the greater their influence on student outcomes notwithstanding that these effects are primarily indirect.

However, there is evidence that principals within particular contexts can have direct effects on student outcomes. Silva et al. (2011) reported that a principal who met one-on-one with students to discuss major test results and their meaning helped students understand test results in relation to their own learning. The findings indicate direct and significant positive effects of these dyadic conversations on students' reading achievement gains. Lastly, examining the context in which principals work and exercise leadership in their schools is important to a better understanding of principals' effects (Witziers et al. 2003; Wahlstrom 2008). Within the highly decentralized system of education in the United States, Marks and Nance (2007) describe how regulations and guidelines promulgated at federal, state, district, community, and local school levels create unique contexts that affect principals' ability to influence instructional and supervisory decisions.

Feminization of School Administration

In 2007, Murphy, Vriesenga, and Storey published a major review of research in the *Educational Administration Quarterly* 1979–2003. Complementing their review and using survey data from professors of educational leadership, they highlighted three major trends occurring within the field of educational administration that would likely influence research and professional practices in the coming decade. Over a 30-year period, they noted that there had been a dramatic increase in the number of women in the educational leadership programs and in administrator positions in schools, thus the *feminization of the profession* of school administration at all levels, theme three. A second trend was that these demographic changes would likely lead to challenges to the historically privileged intellectual and methodological foundations of school administration. Lastly, given that females on average spend more years than their male counterparts in the classroom teaching prior to entering administration, a third trend given the increased numbers of females in the professoriate, there would likely be greater attention on teaching and learning, the core

technology of schooling influencing research on educational leadership. These trends are clearly evidenced in research on principals from 2003 to 2013 (Newton et al. 2003; Eckman 2004; Sherman 2005; Loder 2005; Addi-Raccah 2006). The studies include greater attention to feminist theories and perspectives. Another change occurred in terms of gender studies. Historically, gender was generally treated as a dichotomous variable for comparative purposes. In terms of research, the feminization of the profession went beyond male/female comparisons and brought in new feminist perspectives (Sherman 2005; Loder 2005), with greater focus on teaching and learning (McGhee and Lew 2007), more attention to issues of social justice (Foster 2005), and challenges to the historically privileged perspectives of school administration (Murtadha and Watts 2005), especially those challenging positivism and the theory movement.

Examining Principal Preparation

The *Educational Administration Quarterly* was created and sponsored by the University Council for Educational Administration to provide a publication venue for research on educational leadership which included studies on principal preparation. Research published over the past decade indicates continued interest in and the examination of the content, quality, structure, and intellectual foundations of these preparation programs as well as assessments of candidate learning outcomes in principal/school leader preparation programs at universities. Though a number of urban school districts offer their own principal preparation programs, because of state professional licensing requirements across the United States, most principal preparation programs continue to be offered in university settings.

Because of changing demographics, new realities in schools and communities, and the press of policy initiatives (Cooper 2009), especially those centered on rigorous accountability measures, Murphy et al. (2007) argue that the field of educational administration and the university programs that prepare school leaders will also likely face a number of challenges to their traditional structures. Dramatic increases in the numbers of female, African-American, and Latino candidates accepted into principal preparation programs in addition to greater racial/ethnic diversity in educational leadership faculty have done more than simply changed the complexion of university classrooms. To begin, the very foundations of school administration as a field of study and practice were being challenged by feminists, by critical race theorists, and by emerging conceptualizations of what counts for valid research findings. Tillman (2005), Murtadha and Watts (2005), and Gooden (2005) argue that greater attention needs to be paid to African-American perspectives in principal preparation programs so that newly trained principals are adequately prepared and sensitive to the challenging conditions in urban schools and communities. In fact, Khalifa (2012) suggested that the principal's role might be reconceptualized as that of a "community leader" not just a school leader.

With a view toward social justice in principal preparation programs, the focus and content after decades of education reform and the press for accountability have

also resulted in greater focus on teaching and learning and their outcomes for all students. For example, Theoharis (2007), Theoharis and O'Toole (2011), and Brown (2006) connect principal leadership to student learning in ways that promote and enhance social justice in schools and communities. In a recent study, Marshall and Hernandez (2013) focused their attention on principal candidates' personal/professional reflections on sexual orientation as part of principal preparation centered on social justice. McKenzie and Scheurich (2004) identified four "equity traps" in schools and leadership practices including the deficit view, racial erasure, employment and avoidance of the gaze, and paralogic beliefs and behaviors. A major purpose of their research was to help aspiring principals in preparation programs identify "equity traps" and then develop successful strategies to avoid or deal with them.

Perhaps, the most influential policy group to affect principal preparation in the United States over the past two decades has been the Interstate School Leaders Licensure Consortium (ISSLC). Connecting its work to other national professional organizations, the National Governors Association, and state legislatures, ISSLC put principal preparation on the agendas of policymakers and university-based principal preparation programs across the nation. Research over the past decade has examined such program structures as cohort-based or individualized program plans (Browne-Ferrigno 2003), mentoring in the initial and continuing preparation of principals (Daresh 2004; Mertz 2004; Ehrich et al. 2004), and the efficacy of aspiring school leader programs (Sherman 2005).

In 2011, *EAQ* published a special issue on research on leader preparation programs. It was no surprise that after decades of reform and policy initiatives to improve education in K–12 public education in the United States, the press for accountability would ultimately drill down to university-based principal preparation programs and their efficacy. Diana Pounder (2011) in a summary piece highlights the major empirical findings describing the features of high-quality, successful principal preparation programs. The features that have the strongest relationship to desired candidate outcomes include challenging programs that have a strong curriculum focus on instructional leadership; engage candidates in active, adult learning instructional processes; provide authentic and in-depth clinical experiences; and provide supportive program structures (e.g., cohort, mentors, and/or other faculty peer support mechanisms).

The Intersection of Race, Ethnicity, Leadership, and Learning

Changes in the racial and ethnic diversity of faculty and graduate students in departments of educational leadership have affected the instructional content and the research perspectives of current leadership studies. Evans (2007), for example, makes a connection between school leaders and their sensemaking about the racial and demographic changes in leadership programs and leadership in schools. She argues that school leaders' sensemaking race is related to the context, organizational

ideology, and personal racial and role identities. Cooper (2009) in a study of school principals in rapidly changing demographic settings describes the paradoxical cultural work of school principals as they deal with the tensions of their personal equity-oriented stances confronting competing exclusionary beliefs and practices in their daily routines. Murtadha and Watts (2005) lay out a compelling argument that understanding Black history and including African-American perspectives in leadership preparation programs can help enrich the content and views of the leadership curriculum. Studying historic patterns of leadership by Blacks offers important lessons for leadership training that include leaders as agents of change, leadership to achieve social justice through the struggle for educational equality/equity, and the central role of community engagement in Black educational leadership. Gooden (2005) and Dantley (2005) further argue that nontraditional perspectives emerging from the African-American experience provide aspiring school leaders with valuable insights for meeting the challenges of instructional and transformational leadership in urban schools. Khalifa (2012) in an ethnographic study explicitly describes how one African-American urban school principal used his leadership to build relationships between parents and the community to affect student outcomes positively. Interviews with students provided evidence that the school principal was able to affect students' view of their school and consequently influence their academic achievement positively.

A Job Too Big for One

The notion of role overload for school principals is not new. Findings from studies over the past decade provide additional evidence that the job of school principal has become increasingly complex and demanding. In response to these demands, researchers have examined alternative forms of principal leadership including *shared*, *collective*, *participative*, *inclusive*, *and distributed*. Grubb and Flessa (2006), who coined the phrase "a job too big for one" in a qualitative study, examined alternative leadership arrangements within ten schools. "Where local school sites participated actively with the policy-making process that produced arrangements, the alternatives seemed viable. Where alternatives were imposed without school input, implementation floundered" (p. 519). Rather than trying to hire the perfect principal, these studies suggest strategies school districts and policymakers can employ to reshape the principalship and the job that is too big for one.

Other forms of principal leadership have also been examined. Using a large national data set, Leithwood and Mascall (2008) describe the significant effects of "collective leadership" on teacher variables and student outcomes. In another study, Daly (2009) reports that trust, empowerment, and involvement expressed in leadership approaches that are "participative" and "inclusive" predicted lower levels of rigid responses by teachers and principals to the press of accountability demands placed on their schools. Lee et al. (2012) in a study of principals' instructional leadership in International Baccalaureate (IB) schools found that distributed

perspectives on instructional leadership enhanced curriculum consistency and coherence. Their findings further reinforce of school staffs and principals acting intentionally to distribute responsibilities for instructional leadership widely throughout the school.

Cross-National Exchanges on School Leadership

Research on school principals has a long history in the United States. Scholars have benefited from both national and international perspectives regarding the work of school leaders. In this section, I briefly describe knowledge contributions from research in the United States and then identify some key international scholars who have through their research influenced American perspectives on school leadership.

To begin, over the past half century, American scholars have mapped in detail principals' work in hundreds of empirical studies. These investigations have documented the demanding work of school leaders in both large-scale national data sets as well as in a variety of qualitative descriptive case studies. The current press for accountability in the United States has resulted in studies that examine the influence of principal leadership on student development and learning. Much of this work falls under the umbrella of instructional leadership, especially focusing on the ways in which principals influence what is actually happening in classroom instructional practices.

There have been a number of international researchers who have contributed knowledge to greater understanding of the work of school principals and thus influenced research in the United States. It is important to note that each country has unique educational structures. Notwithstanding unique educational histories and structures, a review of the literature indicates that scholars from English-speaking countries clearly have had the greatest influence on American scholars through their research that provided deep descriptions of principals' work and efforts toward school improvement. A list of scholars would include such major contributors as Kenneth Leithwood and Paul Begley (Canada); David Gurr, Helen Goode, and Lawrie Drysdale (Australia); Vivienne Robinson (New Zealand); Alan Walker and Phil Hallinger (Hong Kong); and Chris Day (Great Britain).

Summary, Analysis, and Final Comments

Research on school principals, their roles, daily work, preparation programs, and leadership styles continues to be a major area of inquiry in education in the United States. Publications in *EAQ* reflect a diversity of research methods including rigorous quantitative analyses using large national data sets, qualitative studies, mixed methods research, and numerous case studies introducing new research

perspectives, theoretical frames, and topics centered on social justice, gender, race, and sexual orientation. The diversity of methods reflects in part changing demographics in our nation's schools and in the professoriate. On the positive side, greater openness to new ideas and research perspectives on effective principal leadership has enriched the literature, teaching practices in leadership preparation programs, and the practices of newly trained school principals. However, as Roald Campbell (1979) observed in his review of three decades of research in *EAQ*, the total body of published research has done little to build cumulative knowledge in the field. Notwithstanding the volume of research being conducted, my review (2003–2013) suggests that the field of educational leadership still lacks a cumulative body of knowledge that builds systematically on prior research on the school principal.

Decades of education reform and the current press for "accountability" by policymakers, professional associations, and sundry interest groups across the United States have had enormous impact on research on school principals – their preparation and professional practice. To begin, the wide policy net of accountability eventually led to greater scrutiny of the ways in which principals are trained and socialized in university-based preparation programs across the United States. The structures, e.g., mentoring, induction, learning experiences, field-based opportunities, and professional development as well as the quality of program content, resources, and faculty expertise, have been examined carefully over the past decade. In terms of principals' professional practice, the research has centered on the ways in which principals' beliefs, intentions, behaviors, and daily routines affect school conditions and student learning outcomes. With the exception of a few studies discussed earlier in this review, the research evidence strongly indicates that principal effects on student learning are indirect. Research findings also indicate that principals' greatest leadership effects are mediated through organizational structures and conditions, context, culture, trust, collegiality, and local learning environments.

Context also affects the nature and impact of calls by policymakers for greater accountability of teachers and principals for school improvement initiatives and increased student learning outcomes, e.g., higher test scores in reading and math. Research suggests that too many federal, state, and local district policies and mandates actually diminish principals' discretionary authority in schools while at the same time foster cynicism and create rigid responses by school staffs to new policy initiatives and changes vitally needed to meeting new challenges and realities in public schools. This is the point at which principal leadership matters most. That is, principals can help their staffs understand that new policy mandates, regardless of how seemingly intrusive, do not threaten nor undermine the core values and goals for their school, students, and community.

It is worth noting that a number of scholars have constructed instruments to measure various dimensions of principal leadership. For example, Hallinger (2011) examined the efficacy of *PIMRS* (Principal Instructional Management Rating Scale). Across various empirical studies, they found PIMRS to be a reliable measure of principals' instructional leadership behaviors. May and Supovitz (2011) describe the frequency of principals' instructional leadership activities with individual teachers using the *Work Role Motivation Scale for School Principals*. Another promising

instrument designed to measure principals' instructional leadership and general effectiveness is *VAL-ED* (Porter et al. 2010). Using the *leadership daily practice log*, Spillane and Zuberi (2009) report that daily logs of principal activities are a good way to capture leadership interactions especially when they are compared with data from independent observations.

Finally, among researchers and practitioners, there is general agreement that the current tasks and responsibilities of school principals, especially those assigned to large, diverse, urban community settings, are too much for any person to reasonably handle. In response to this reality, local school districts, policymakers, and scholars have begun to examine alternative principal leadership configurations in schools. These alternatives include redefined roles with enhanced responsibilities for assistant principal/coprincipals, expanded leadership for teachers within schools, and various models of participative leadership, collective leadership, and distributed leadership. These experiments in alternative arrangements for principal leadership in schools, whether initiated at the policy level or through site-based decisions, strongly suggest that principal leadership will continue to be critical to school quality, improvement, and enhanced student performance.

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Part IV
School Systems with a Clear National Administrative and Control Structure

Chapter 15
Austria: Overcoming a Bureaucratic Heritage as a Trigger for Research on Leadership in Austria

Michael Schratz

Acronyms

BMBWK	Bundesministerium für Bildung, Wissenschaft und Kultur (Ministry of Education until 2007)
BMUKK	Bundesministerium für Unterricht, Kunst und Kultur (Ministry of Education from 2007 to 2013)
CECE	Central European Cooperation for Education
CTC	Collegial team coaching
CWT	Classroom walkthrough
EPNoSL	European Policy Network on School Leadership
IT	Information technology
LEA	Leadership Academy
SGA	School committee of teachers', parents' and students' representatives
TALIS	Teaching and Learning International Survey

The Austrian Education System and Its Challenges

School education is compulsory for all children, who are permanent residents of Austria. Compulsory schooling starts in September following a child's sixth birthday and lasts nine school years. The education for children is divided into three main categories: primary, lower secondary and upper secondary. Primary education (Volksschule) lasts for 4 years. Lower secondary education lasts for 4 years and is

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split between the Neue Mittelschule (general secondary) and Allgemein bildende höhere Schulen (academic secondary), which are divided into Gymnasium (general), Realgymnasium (science based) and Wirtschaftskundliches Realgymnasium (home economics). Vocational schools build on a dual system of education: apprentices split their learning time between studying in schools and the world of work. Upper secondary education lasts for 4–5 years and is divided into the following types of Allgemeinbildende höhere Schulen: Gymnasium, Realgymnasium, Wirtschaftskundliches Realgymnasium and Oberstufen-Realgymnasium. Vocational secondary education lasts 5 years. All streams lead to the school leaving exam (Matura), which gives access to higher education.

The Austrian system is neither centralized nor decentralized, but a hybrid. The hybrid model is, however, still centralized when viewed from the perspective of an individual school. The federal system of education governance requires the national government to set the framework and the provincial governments to enact the detailed legislation. The federal government has full responsibility concerning the employment and the conditions of teachers and other staff working in schools. However, responsibility for the actual employment is more complex: provincial governments are responsible for staffing primary, general secondary, polytechnic and vocational schools), responsibility for staffing of the remaining schools (the general academic-track lower and upper secondary school as well as vocational upper secondary schools leading to the school leaving Matura examination) lies at the federal level. Although there has been a shift towards more decentralization and deregulation (Schratz and Hartmann 2009, 105), local school autonomy is still limited in scope. Principals, who are selected by either the region or federal level, have only limited authority over budgets, curriculum and personnel (Schratz 2012, 101). As is the case with government administration in general, responsibilities for legislation and implementation in school education are divided between the Federation and the *Länder*. This division is made as follows:

- The Federation has exclusive responsibility for legislation and implementation with regard to the academic secondary school and the entire field of general upper secondary education, intermediate and upper secondary vocational education and training for kindergarten teaching staff and non-teaching supervisory staff and with regard to the conditions of service and staff representation rights of teachers at these schools/colleges.
- The Federation is responsible for legislation, and the individual *Länder* are responsible for implementation with regard to the conditions of service and staff representation rights of teachers at public sector schools of compulsory education.
- The Federation is responsible for basic legislation, and the *Länder* are responsible for issuing and implementing laws with regard to the organizational structure of federal education authorities in the *Länder* and the external organization of public sector schools of compulsory education. External organization includes the development, construction, maintenance and approval of schools, but also the establishment of pupil numbers per class and teaching periods. All basic legisla-

tion has a framework character and is expressed through implementing laws promulgated by the *Landtage*, the legislative bodies at *Länder* level.
• The *Länder* are responsible for legislation and implementation as, for example, with regard to nursery schools.

Individual schools have little autonomy; they have some budgetary autonomy and they are allowed to adapt the curricula to their needs within limited boundaries. The teachers are responsible for the interpretation of the curricular guidelines. The general part of the curricula consists of four main parts: The first part describes the general educational goals, the second part contains general didactic principles, the content of the third part is the scheduling of school and tuition, and the fourth part describes the course of instruction.

Consultations play an important part in the Austrian school system. Through the School Education Act of 1974, the stakeholders – teachers, parents, students and the community – are invited to participate in decision-making. As part of social partnership, teacher unions, relevant organizations and groups have a strong influence on decision-making. Since the school year 1993/1994, the 14th amendment to the School Organization Act has empowered the respective school partnership body (*Schulgemeinschaftsausschuss* [SGA], school committee comprising teachers', pupils' and parents' representatives, or *Schulforum*, school forum in compulsory schools in which only teachers' and parents' representatives are involved) to issue its own curricular regulations autonomously by a two-thirds vote. This means that main focal points may be chosen within a given framework and schools can develop their own profile. Provisions governing school autonomy at pre-vocational schools enable a flexible response to the vocational interests of pupils and the respective demands of the particular region.

The challenges for educational development lie in the recent societal development – especially concerning culture, science, technology, environment, law and economy. The number of immigrants with different cultural background has influenced the population at large and schools in particular. People have to learn to live in a democratic way and have to recognize and enact their social responsibility. To be able to develop these competences, self-assurance and self-organized learning and acting have to be encouraged. The pupils should acquire abilities and competences necessary for their further education and profession, for example, the ability to cope with communicative and cooperative duties. The young people also have to be lead towards becoming independent personalities. Additionally innovative technologies of information and communication and the mass media, which are becoming more and more important, have to be made accessible to young people. The pupils should be enabled to appreciate the didactic potential of these information technologies, but they should also learn to be critical towards the impact in community and economy.

Although Austrian schools have generally had a good reputation in the Austrian public according to yearly ratings, the results of the PISA studies have brought about heated political and public discussions about the quality of schooling in Austria. As a consequence similarly to other European countries, a stronger

evidence-based governance system has been introduced, which includes performance standards and tests of student performance at different stages of the system.

Principals Between Federalism and Centralism

Principals in Austrian schools are either civil servants of the federation (academic secondary schools or secondary vocational schools) or of the federal state (primary, general secondary, special or vocational schools). The principal is the head of a school; all teachers and other staff directly report to him or her. He or she is responsible for the running of the school and the interactions between teachers, parents and pupils. Moreover, he or she has to communicate with superiors (e.g. inspectors) and stakeholders outside school.

The principal has to advise the teachers and to monitor the performance of the pupils/students. Further duties of the principal are laid down in the Civil Service Code and the Province Teacher Service Code. He or she runs the school, corresponds with the school authorities and advises teachers on their teaching and educational work. Principals may inspect instruction being given in the classrooms at any time, in order to monitor the quality of teaching. The principal is responsible for implementing laws and other legal regulations as well as instructions issued by the educational authorities. The principal prepares the meetings of the school partners and is responsible for executing the decisions made at these meetings. Principals have to adapt the annual budget to the needs of their school and prepare the school. In smaller schools, principals have a partial teaching assignment, which depends on the number of classes at their school.

After a 4-year probation phase, the position of the principal becomes a permanent post. The position is permanently linked to one (or more) defined school(s), if he or she has successfully completed the mandatory school management training. Holders of permanent posts have a right to be employed at the school and may be transferred from one school to another under the conditions, which are exhaustively set out in the Civil Service Code and the Province Teacher Service Code.

The duties and responsibilities of a principal are regulated through laws established by the Austrian Parliament. The principal has to arrange all matters, regarding the federal law – except concerns belonging under the jurisdiction of other elements of the school system or of the supervisory school authorities. He or she is the direct superior of all teachers working at the school and of all other employees. He or she is responsible to run the school and to cultivate the contact between the school, the pupils, the legal guardians and (at secondary vocational schools) other staff with teaching duties. The principal has to advise the teachers concerning their teaching and their contribution to the education of the children, and he or she also periodically has to monitor both quality of teaching and the pupils' performance. Standardized testing on the national level will become more relevant in the future. Therefore, principals will become more accountable.

Apart from the educational and administrative duties, the principal has to see that all statutory provisions and instructions of supervisory school authorities are complied with. Furthermore, he or she has to handle the stipulated documents and the order in school. The principal has to arrange a staff roster concerning the supervision of the pupils. He or she has to report noticed deficiencies to the provider of the school.

In schools where a permanent deputy of the principal is appointed, he or she has to assist the principal fulfilling his or her duties. Individual duties incumbent upon this deputy head have to be determined by service instructions given by the Federal Ministry of Education. In schools in which a teacher is appointed for the assistance of the principal, the assistant has to fulfil all administrative duties linked with the pedagogical work in the school. Duties which are incumbent on this teacher have to be determined by the Federal Ministry of Education. In schools offering day care where a teacher or educator is appointed for the assistance of the principal concerning the duties of supervision, he or she has to fulfil all administrative duties closely linked with the supervisory part of the school. Duties which are incumbent on this teacher can be determined by the Federal Ministry of Education or by the principal.

The principal has to take care that all teachers working at the school fulfil their duties in a regular, appropriate and economic manner. He or she has to guide them, to give them appropriate instructions, to deal with occurring mistakes and grievances and to see about the adherence to the office hours. The principal has to promote the professional advancement of the teachers in proportion of their performances. As a general rule, the principal has to be present in school during the teaching hours. In case of a temporary absence during teaching hours, he or she has to provide a substitute. At schools with teaching hours in the mornings and afternoons, the school board can shorten the compulsory attendance of the principal, in which case a substitute has to be provided. The principal has to establish a strategic plan for staff requirements and personnel development.

School Principal Research in Austria

The Research Context

Although the national rhetoric in educational policies in Austria deals a lot with principalship and its important role in school improvement, research on school principals has not received a lot of attention in informing both policies and practice. It was rather international cooperations which have given special impetus to leadership research. Accordingly, among others, Austria's participation in international projects such as Leadership for Learning (EU), Principalship Improvement (OECD), Central European Cooperation for Education (CECE), Teaching and Learning International Survey (TALIS) and European Policy Network on Principalship (EPNoSL) has mobilized research potential on principalship and offered a

comparative context for principal research in Austria. A lot of research on principals is implicit and backpacks on other topics as part of, e.g. research on governance and school autonomy, school profile development and school development, school quality and issues of equity (diversity, migration, but also school structures – e.g. early streaming/segregation) and inclusion.

Austria's international involvement also brought the focus of diploma and doctoral theses on the topic of various issues of principalship. Under the international regime of results-based leadership, the focus has further been moved towards learning and its results. Furthermore, the introduction of master courses and PhD programmes has intensified research work on various aspects of leadership. Therefore, the research in this chapter draws from various sources and ranges from results of international large-scale surveys, where Austria has been part of, to specific studies, including PhD research. The selection criteria for the presented research are based on its impact on the ongoing debate within the country regarding leadership within the Austrian education system and its role in the German-speaking countries.

The research methods used are based on:

- Library search on academic qualification work by students in various areas of education (diploma studies, master courses, PhD programmes) all over Austria
- Study of documents from evaluation programmes and research on the professionalization of principals in Austria
- Research reports from international projects in which Austria has been or was involved

Based on the data gained from these sources, key areas emerged for the structure of major findings on principalship in Austria:

- Positioning leadership in a culture of "Führung"
- Key competences for effective principalship
- Effectiveness of qualification and professionalization programmes
- Balancing administrative and pedagogical duties
- Principals' role in quality development and school improvement
- Leadership for learning

Most of the researchers who have taken part in the research work reported in this chapter are based at Austrian universities or agencies related to the ministries of education and science or non-university research institutions.

Research Findings on Principals' Role, Work and Leadership in Austria

Positioning Leadership in a Culture of "Führung"

In German-speaking countries, for quite some time the relationship between "leaders" and "followers" could not be dealt with productively because of the negative connotations of the German word "Führung". Moreover, the organizational
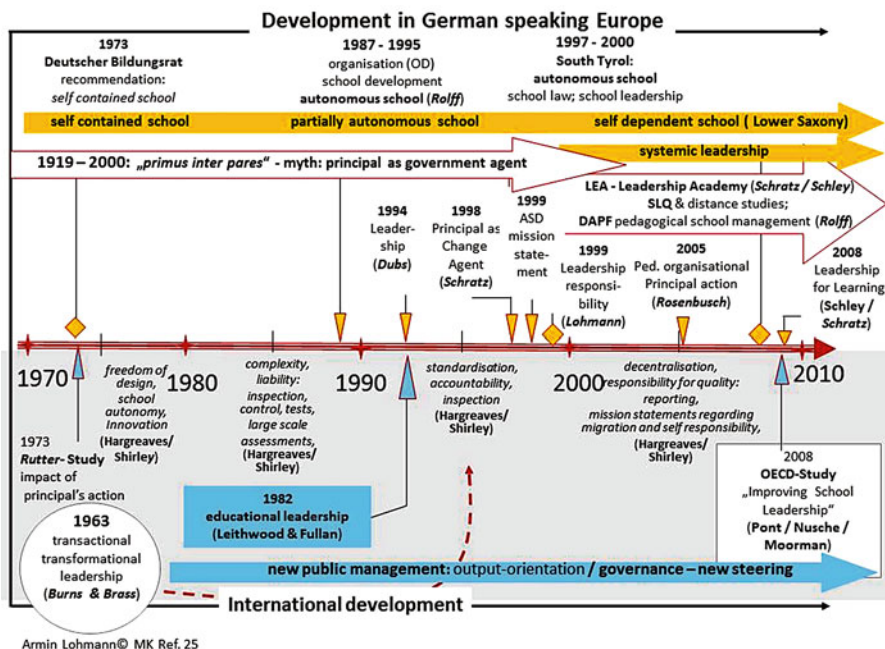
Fig. 15.1 The development of leadership in German-speaking countries (Lohmann 2013, 21)

structure of schools is still characterized by a very flat hierarchy and thus often led to a kind of "myth of equality" among the teaching staff, which kept the inner hierarchy concealed and made the distribution of leadership complicated. As a consequence, principals are often regarded as being "primus inter pares", which leads to additional problems in orchestrating the dimensions of "sollen" and "wollen" (duty and desire) among the teaching staff (Schratz 2003). Whereas the term Führung still dominates the German discourse in principalship research, in Austria the English term *leadership* has gained broader acceptance, particularly since the launching of the Leadership Academy in 2004. In his dissertation Lohmann (2011) has mapped out the development of leadership in German-speaking countries as depicted in Fig. 15.1.

There was hardly any literature and even less research on school principals until the 1990s. With decentralization processes on the macro level of the school system and the movement towards more autonomous schools on the micro level, publications about the new role of principals started in Austria (Fischer and Schratz 1993), Germany (Rosenbusch 2005) and Switzerland (Dubs 1994). Figure 15.1 offers an overview of this development in German-speaking countries (upper half) and links it with developments in the English-speaking world (lower half). The new role of principals in more autonomous school settings has led to different concepts of leadership effectiveness, which Lohmann (2011) developed in Fig. 15.2.

Two axes form the basis for his conceptualization (Fig. 15.2): the degree of employee orientation (vertical) and the desired degree of autonomy (horizontal).
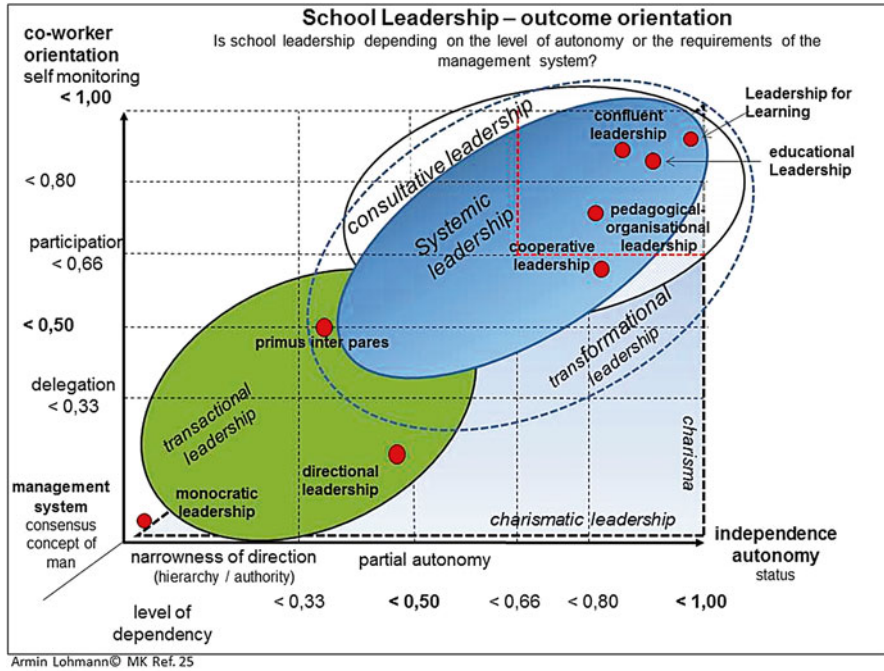
Fig. 15.2 Concepts of leadership effectiveness (Lohmann 2013, 34)

Transactional and transformational leadership form the wider concepts, which capture various approaches by researchers from the German-speaking scientific community reaching from monocratic leadership to leadership for learning. Since educational affairs are closely linked to the sociocultural context in which schools are located, the German-speaking community of educational researchers has developed its own discourse, which does not always match the English counterpart (cf. Clyne 1987, 215). In school leadership, for example, this shows in the influence of systems theory (Luhmann 2002) which research on principals' work draws on.

Key Competences for Effective Principalship

"What makes a principal successful in the twenty-first century?" was the fundamental question that researchers in a CECE (Central European Cooperation for Education) project supported by the EU investigated, which Austria took part in (Révai and Kirkham 2013). The study with four neighbouring countries focused on the competences principals will need in the future and their development (preparation and training) in five countries (Austria, the Czech Republic, Hungary, Slovakia

and Slovenia). The result of the 3-year-long cooperation is the first cross-border competency framework based on the research into the expectations of key stakeholders such as principals, teachers, trainers of principals, educational experts and policy-makers, called Central5 – the *Central European Competency Framework for Principals*. It defines the knowledge, skills and attitudes a principal is expected to possess in order to be successful in a turbulent and fast-changing world. As such it encompasses the art and science of leading a school by capturing the complexity of their role in the following five domains:

- Leading and managing learning and teaching
- Leading and managing change
- Leading and managing self
- Leading and managing others
- Leading and managing the institution

The competency framework is based on investigation into principals' opinions and experiences of managing and leading schools. The five domains relate to specific areas of principals' work and integrate competences which are presented as knowledge, skills and attitudes. Knowledge in this competency framework includes facts, information, descriptions or skills acquired through principal education and training or experience.

> It can refer to the theoretical or the practical understanding of a subject. Knowledge can be explicit (as with the theoretical understanding of a subject) or implicit (as with practical skill or experience) and can be more or less formal or systematic. A skill in this competency framework is the learned capacity to carry out pre-determined results often with the minimum outlay of time, energy, or both. A skill is the ability that one possesses. General skills would include teamwork, time management, leadership and self-motivation. Specific skills are related to a certain job, e.g. in school management. An attitude is positive or negative evaluation of people, objects, activities, ideas etc.; it is a psychological tendency that is expressed by evaluating a particular entity with some degree of favour or disfavour. (Révai and Kirkham 2013, 44)

Leadership competences cannot easily be "measured" according to rigid standards, since they combine knowledge with skills and values. Leadership activities cover a wide range of areas in socially situated actions; therefore "standardization" offers different degrees of room for interpretation, which opens a wide spectrum from "rigid" standards (e.g. in strict legal matters) and more "dynamic" standards (for competences which cannot easily be measured). The matrix in Fig. 15.3 (Schratz 2013) places them on a continuum between "rigid" and "dynamic" at different *zones of certainty* in the expected actions of the principals.

The room for interpretation may vary from country to country, depending on how rigidly the competence framework is structured. It can, however, also vary according to the range of the scope of the norm. Therefore, we can differentiate between zones of certainty in the continuum between rigid and dynamic understandings of leadership standards.

- *Standards with no/little room for interpretation:* The expected actions lie in a zone of certainty, which means it is clear what to set as a norm and what to expect
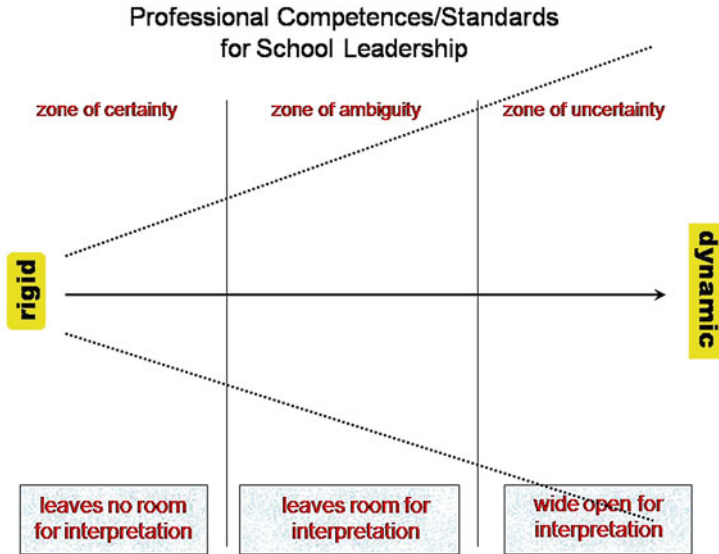
Professional Competences/Standards
for School Leadership

zone of certainty   zone of ambiguity   zone of uncertainty

rigid   dynamic

leaves no room   leaves room for   wide open for
for interpretation   interpretation   interpretation

Fig. 15.3 Room of interpretation in leadership competency standards (Schratz 2013, 28)

in "measuring" the competence. Here the standards are very descriptive and describe concrete practices. For example, the principal ensures adherence to obligations relating to teachers' office hours.

- *Standards open for interpretation:* The expected actions lie in a zone of ambiguity, which means there are several ways of acting and therefore the norm has to be kept more dynamic, because there are several options in what to expect in "measuring" the competence. For example, the principal implements a school-specific remediation policy.
- *Standards wide open for interpretation:* The expected actions lie in a zone of uncertainty, which means there are indefinite ways of acting and therefore the norm has to be kept very dynamic in what to expect in "measuring" the competence. Here the standards take the function of a framework or set of general principles (e.g. the principal sets the direction). For example, the principal sets activities for school improvement.

Effectiveness of Qualification and Professionalization Programmes

In Austria, there is a basic qualification programme which is mandatory for all newly appointed principals and a further professional programme called *Leadership Academy*. Therefore, the Ministry of Education commissioned studies to research

into the effectiveness of qualification and professionalization programmes on the initial and further stages of leadership development. Previous research on the role of principals in Austria (e.g. Fischer and Schratz 1993; Rauch and Biott 2003; Pool 2007; Schratz and Petzold 2007) indicates that competences related to management and leadership form an important foundation for the qualification and professionalization of principals.

Initial Training of Principals

In 2024, 17 of the mandatory school management courses offered by Pädagogische Institute (in-service training institutions) were evaluated in a study commissioned by the BMBWK (2005). The overall findings brought to light that the weight on the different competences to be trained was balanced very differently by the training instruments evaluated. The school management courses seem to have a certain influence on the development of competences of principals, but there were significant differences between the effectiveness findings of the different courses by the different providers.

The findings confirmed the structure of the course system of the management training programmes in the past, but some basic themes and questions were raised for further discussion, as follows: The courses have to contribute to the changing role of the principal (personnel development, conflict resolution, IT competences, etc.). The courses should offer an appropriate balance between self-study, project work, peer work and individual and team coaching. They should be created with a regional focus but also offer a systematic exchange of experiences on the federal level. Cooperation between different school types should be emphasized, and the link of basic training with professional development should be considered.

Further Professional Development of Principals

A tailor-made research instrument – the *Leadership Competence Scale* (LCS) – has been used in the Leadership Academy (Schley and Schratz 2010; Stoll et al. 2008) to monitor development of individual progress in the participants' competences, but, after the aggregation of data of more than 1,000 principals, also forms a kind of indicator of the innovation potential of the national professional development initiative.

Figure 15.4 shows the theoretical background of the leadership inventory (based on Ulrich et al. 1999; Riemann 1961) which is used as an assessment tool by the participants at the beginning (baseline report) and at the end of the programme (progress report) (cf. Pool 2007; Schratz et al. 2010). The same kind of scale is given to the staff at school so that the results can be triangulated with the principals' results as a kind of 360° feedback.
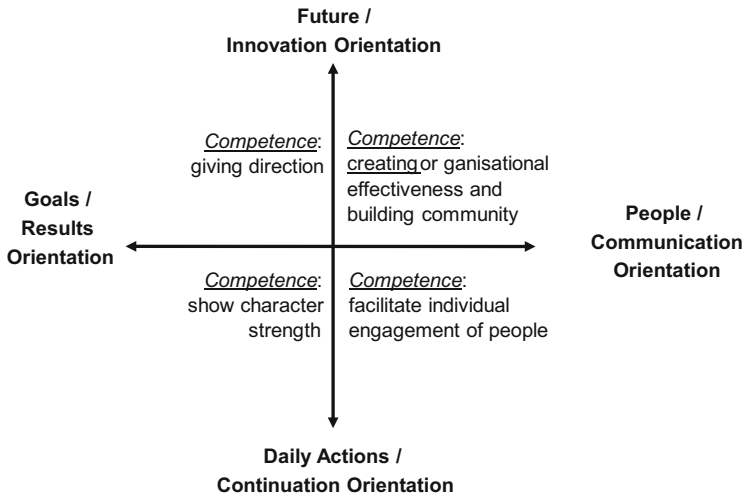
Fig. 15.4 Leadership competence model (Schratz et al. 2010, 28)

According to the theoretical model in Fig. 15.4, leadership competences are situated within the two axes: On the one hand, principals have to balance their work between past (continuation) and future (innovation), and on the other hand, they have to achieve the desired or expected results through communication with the people (teachers, students, parents, etc.) involved. Successful principals have to be competent in all four quadrants, which means they have to:

- Articulate goals and give the direction where the school is going to.
- Create organizational effectiveness and build community to achieve these goals.
- Show character to live the values which are convincing and support the leadership attitude.
- Facilitate individual engagement among all the actors involved.

A comparison of the results of the self-assessments by the principals at the beginning and the end of the *Leadership Academy* (LEA) showed significant increase in all four domains of the leadership competency scale. The scores in competency gain in the domains *giving direction, organizational effectiveness and building community* as well as *showing character strength* continuously increased. In the domain *facilitating individual engagement in people*, the scores decreased somewhat but stayed above the initial baseline.

The biggest development could be traced in the domain *giving direction*, which comprises competences understanding external events, focusing towards the future, and realizing vision into action. In the interviews, principals report that they strongly exercise their leadership in this domain. Since schools have to work more and more autonomously, this is a positive signal that principals take over more responsibility than they used to. Moreover, this also satisfies the majority of teachers because of the transparency about objectives and goals of the school.

In several schools dormant conflicts surfaced when principals increased their responsibility for giving direction, as this required a positioning of all. Principals themselves attribute the increase in competences in this domain to the clarification of their position and role, as well as the appraisal received and the work in the collegial team coaching (CTC). The type of school impacts on the results however: In small schools it is easier for principals to give direction. In large schools it seems more challenging to integrate the diverse views of teachers into one direction. In this area further support measures will be necessary with a view to connect existing school cultures with the favourable development objectives of principals participating in the *Leadership Academy* and to enable shared objectives and goals.

The domain *organizational effectiveness and community building* is formed by aspects such as organizational infrastructure, the integration of plurality and individuality, teamwork, a school culture of learning and working as well as innovation and change. In all schools principals reported that teamwork had intensified and shared leadership had deepened. However, there still seems potential for improvement in the area of organizational infrastructure as the study made explicit that principals quite often meet their limits in this area. For example, keeping team structures alive over a longer period of time without compulsory attendance of all teachers seems to be very challenging for Austrian principals. Nevertheless collaboration and cooperation of teachers for school improvement became visible in all schools. This is an important aspect for the implementation of reforms on the level of individual schools, which attributes this domain significant value.

In the domain *showing character strength*, which comprises the competences such as living values, creating a positive self-image and applying cognitive abilities, a slight increase in both self-assessment and assessment by others was visible. The authentic living of values by principals seems to be considered important, effective and crucial for the credibility of the development of schools and student outcomes. Principals who are whole heartedly engaged, who act as positive examples, who have internalized their visions and take them as the source of their professional identity, who interact respectfully with stakeholders and who have cultivated their attitudes and mindsets over years are most valued and respected. The development in this domain is not a short-term activity, as character traits are very personal and have to be crafted into individual biographies over the years.

The fourth domain, *facilitating individual engagement in people*, after initial rise decreased in the assessment of the interviewees after 3 years to almost the baseline score. No valid reasoning could be found for this. A possible explanation could be that the initial increase in this domain is directly linked to the domain *giving direction.* The later discrepancy between the given direction in regard to the desired development by the principals and the lack of winning the engagement of teachers might have their roots in other factors: for example, principals cannot choose their staff and there is little or no incentive for teacher engagement. The reduced availability of teachers at the school is another factor impacting on a principal's scope of facilitating engagement in the teaching force. In this domain there was no significant difference between school type, principal's age and the location of a school. The school culture mirroring shared values and building trust is paramount for

collaboration. Trust and respect seem to be relevant preconditions for keeping or increasing people engagement. Those schools showed a good working culture where teachers had the opportunity to realize their ideas and where principals were good listeners, open and supportive.

The relevance of development projects which the participants have to fulfil as part of the graduation requirements was diverse. They impacted on different levels and in different forms on the development of student outcomes and student learning. It was difficult to prove the impact on the learning of individual students. The findings of this study lead to greater awareness about the interconnectedness *of leading and learning* on all levels of the Leadership Academy.

Balancing Management and Leadership

In their analysis of TALIS data, Schmich and Breit (2009) indicate that Austrian principals exercise their instructional leadership only partially. The principals' responses reveal that in Austria principals focus more on school management than on instructional leadership. Compared to OECD average, Austrian principals hold teachers significantly less responsible for student outcome (69 % compared to 93 % OECD average) or assure the improvement of teaching (76 % compared to 91 %). Austrian principals less often set objectives for their schools (70 % compared to 89 %) and initiate fewer activities for improving teaching and learning (62 % compared to 73 %) than other OECD countries.

The low scores in setting objectives and giving direction can be explained by the fact that in Austria most schools lack mandatory steering instruments (e.g. school programmes, improvement plans) or standardized instruments to monitor student outcome (e.g. comparative studies, national tests). Thus, activities mentioned in the study (e.g. setting learning objectives, improvement of teaching, school improvement based on student outcome results) are less occurring than in other countries with a longer tradition of school autonomy in combination with appropriate feedback systems. The lack of data hinders the principals to base decisions on evidence and focus on common objectives for improving organizational effectiveness and facilitating teacher effectiveness.

Instead of leading through objectives by setting long-term goals, Austrian principals seem to interpret their work more from a troubleshooting perspective. This means that they focus more on specific activities influencing individual teacher's work and responsibilities rather than planning strategically. Activities influencing teaching and learning are more focused on the individual teacher than on the school as a whole. Based on the data it might be assumed that Austrian principals still strongly seem to identify themselves with the teaching profession.

Concerning instructional leadership, Schmich and Breit (2009) come to the conclusion that Austrian principals show "potential for improvement". Evidence-based governance only rarely takes place in the Austrian school system, because standardization and national testing have only recently started (Bruneforth and Lassnig

2012, 124f). Based on an economic research on the structure and efficiency of the Austrian education system and its administration, Lassnig et al. (2007) recommend the following improvements of internal efficiency:

- Autonomy regarding curricula freedom at the individual school.
- Autonomy regarding lesson plans and distribution of teaching and learning time and organization of school life and support services.
- Autonomy regarding personnel (employment of teachers and principals) and staffing.
- Autonomy regarding the financial resource allocation (global budgets).

Principals take up instructional leadership responsibility for student learning; however, they do not invest enough potential into improvement. In the field of tension between autonomy and accountability, school autonomy requires an upgrading of the function of principals. However, the present centralized policy culture leaves principals only little room to manoeuvre (especially regarding budget and personnel) (Schratz 2012). "Austrian schools have little decision making competences regarding personnel or budget decisions. In contrast, however, Austrian schools are rather independent with regard to implementing the curriculum and student policies. It is conspicuous that in no other OECD/EU country decision making in matters of personnel is as limited as in Austria" (Suchan et al. 2009, 26).

Principals' Role in Quality Development and School Improvement

The transformation of school governance is a major focus of educational debate and reform in German-speaking school systems. Several investigations have recently been undertaken to explore and evaluate various national strategies of school governance with respect to their power to improve the overall quality of the school system (Altrichter et al. 2012a, 2013).

Quality Development and School Improvement

Findings from a survey administered as Austrian national addition to PISA 2009 about measures for quality development in individual schools (Altrichter et al. 2012b) depict well what Austrian principals recognize as appropriate, up to date and pursuable. The data show that approximately 90 % of principals in Austria consider a range of measures for school improvement as fundamental, including discussions with the teachers about the school's objectives and goals, its strengths and weaknesses and room for improvement, the formulation of the school's mission and profile, in-service days focusing on teaching and learning as well as public relations material for the general public.

Latest developments and strategies for school improvement are mentioned in diverse frequency: About half of the principals report on class and individual tests, on the use of performance standards for lesson planning or on the setting of development objectives or evidence-based feedback by the regional school inspectorate based on quality standards. School-based professional development plans and comparative tests with other schools are rarely mentioned.

Furthermore, principals were asked about their view of governance systems steering instruments. The majority of principals did not regard national education reports and annual management by objectives agreements between principals and the regional school administration for the improvement of the Austrian education system as applicable, whereas all other instruments, which were presented, were regarded as applicable for that. Especially the qualifications of teachers and school personnel as well as quality development instruments for the improvement of the individual school are regarded positively. The core instruments of the new, evidence-based governance regime, however, are not found up front in the assessment of instruments for quality development on the system level.

Principals and School Inspection

As part of a comparative EU project on the impact of school inspection on the improvement on schools in six European countries, Ehren et al. (2013) investigated the work of Styrian team inspection. They found out that self-evaluations which are conducted by schools usually form an important part of inspection systems. School inspection offers schools feedback on their strong and weak points with respect to the inspection standards. Feedback is expected to include recommendations on how to improve or examples of good practices in other schools. It is generally provided to the principal and/or the entire school staff during meetings at the end of an inspection visit and in inspection reports that are drawn up after the visit.

Regarding the improvement of student achievement, the authors argue "that inspection regimes which include standards on teaching and learning, derived from school effectiveness research, will be the most effective" (Ehren et al. 2013, 26). Austria, however, has not had a tradition of standardized testing, which makes it difficult to compare achievement results on a broader level and use them as a baseline for school improvement. In Styria, however, the principal "will often accompany the inspectors as they observe lessons. A dialogue will occur between the head and the inspector in order to gauge whether the two of them make the same judgments as each other. This can amount to mentoring the head by explaining how, for example, the head may use the inspection classroom observation scheme to supervise and observe teachers" (ibidem, 24).

Leadership for Learning

In her dissertation Schwartz (2013) dealt with the first systematic application of the concept of the classroom walkthrough (CWT) in a German-speaking country. She sees CWT as a highly effective instrument to monitor and direct lessons to achieve leadership for learning if the principal of the school frequently observes lessons for a short amount of time and thus gets a snapshot insight into the pedagogical work at the school. A principal's task to affect higher student achievement can only be achieved through the teachers and their actions in the classroom. Since principals do not have direct influence on teaching and learning, for them the CWT is a useful method of classroom observation with the aim of improving learning in the school.

Her findings point to the fact that successful work with the CWT in schools can trigger the dialogue about teaching and learning through efficient and trustful feedback. By putting the focus of all efforts on teaching and learning of pupils and teachers, the principal can get insight and high-quality data which can be used for school and staff development. The stronger the CWT is linked to the goals of the development plan of the school, the more successful will its implementation be and the more success will this concept have at the actual school.

The competences needed for principals in mastering CWT as a leadership for learning tool are highly complex. Therefore, Schwarz investigated how Austrian principals mastered the implementation of the CWT at their schools. According to her findings, the feedback about what the principal had observed in a professional conversation with the teachers proved to be the most important asset in staff development. The aims of these dialogues are twofold: on the one hand, they should encourage the teachers to reflect about their own actions; on the other hand, they should inform the leadership team about how they can support their teachers' progression. The primary aim of walkthroughs lies in the increase in students' achievements through the reflection and the professional development of the staff.

Knowledge Transfer in Principal Research

International research cooperation offers the chance to involve partners from different countries which not only bring in their particular research interests and methodological approaches to the overall success but also have an intricate knowledge of their country-specific culture on the respective school system at large and principalship in particular. In the research projects reported, the transnational cooperation has often led to a better understanding of how different countries are responding to leadership challenges in times of policy developments mainly moving from rather input-regulated system steering to a stronger output orientation in most of the countries involved.

Particularly in the area of principal professional development, research findings from Austria have stimulated the discussion of policy and practice of further education of principals after compulsory school management training: Steps towards systemic innovation require a new understanding of professionalizing leaders on all levels of the school system. The Austrian findings showed that "system leaders in action" (Fullan 2005) are needed who interact with larger parts of the system both horizontally and vertically in order to bring about deeper reform. Large group professional learning and collegial team coaching give them the chance to develop collective wisdom in thinking and acting which can help in shaping further steps in national school reform.

In the other direction, research from outside has influenced principal research in Austria. For example, research on business leaders informed approaches to find out more about what principals actually do after having taken part in professional development in results-based leadership activities. Such findings helped in assessing criteria for organizational effectiveness studies and enhanced value clarification in autonomous school development. The participation in transnational projects in school governance offered the chance to intensify research activities from a comparative perspective.

The collaboration with researchers from other countries also opened the door for the possibility to assess the similarities and differences in principal research across Austria's boarders. There were more similarities within German-speaking countries than across the language boarder, which showed that leadership and its development is framed by the different historical and sociocultural contexts. Møller and Schratz (2008) showed how cross-national comparisons remind us that theory and practice in educational leadership and management are socially constructed and more contextually bound than some are prepared to admit. Especially comparing and contrasting the research results from studies in Eastern European countries have given insights how the transition towards radical social and economic change posed new requirements for educational leaders. For example, this can be shown by positioning principal training and development in different countries according to centralization vs. decentralization and according to political vs. professional power over training programmes (ibid., p. 360).

Summary

This chapter on leadership research in Austria has given an insight into the Austrian school system which has historically been characterized as highly bureaucratic, strongly regulated in details, hierarchically organized and little output oriented. There seem to be too many actors, numerous parallel structures and too little congruence in task orientation and responsibility. The system is characterized by a strong influence of the social partnership structures, partisan politics, the (teacher) union and the teacher representatives, whereas parents, students, research(ers) and other (less formally organized) actors have little voice (Schmid et al. 2007).

School principals are confronted with conflicting messages from federal (Ministry) and regional (Länder) levels and often experience an overload of disconnected policies, leading to a sense of confusion and uncertainty on the different levels of the school system (regional, district, local levels). This in turn can lead to de-energizing effects of fragmentation, creating leadership dilemmas and pulling principals into different directions between *sollen* (duty) and *wollen* (desire) (Schratz 2003).

Although there has been a shift towards more school-based innovation through a slow movement towards more decentralization and deregulation (Schratz and Hartmann 2009), local school governance and leadership are characterized by a flat hierarchical structure with one principal and a varying number of teachers; due to a strong focus on one person, leadership is usually not shared by many people. Moreover, principals are confronted with restricted autonomy (finance, curriculum, personnel), which makes it difficult for them to empower their faculty for collective action.

So far, research on school principals has not received a lot of attention in informing both policies and practice in Austria. It was rather international cooperations which have given special impetus to research activities, stemming from Austria's participation in international projects associated with the EU, OECD, CECE, TALIS, EPNoSL, and others, which have mobilized research potential on principalship. Most of the research on principals is implicit and backpacks on other topics as part of, e.g. research on governance and school autonomy, quality development and school improvement and issues of equity and inclusion.

The introduction of master courses and PhD programmes has intensified research work on various aspects of leadership. Therefore, the research in this chapter draws from various sources and ranges from results of international large-scale surveys, where Austria has been part of, to specific studies, including PhD research. The selection criteria for the presented research are based on its impact on the ongoing debate within the country regarding leadership within the Austrian education system and its role in the German-speaking world.

Because of Austria's involvement in fascism, the terminological pointing to *Führung* had led to the neglect of leadership issues for a long time. Only when the school system started becoming more decentralized, discussions on leadership began to gain momentum. Therefore, the research overview starts with the history of leadership in German-speaking countries positioning leadership in a culture of *Führung* and comparing it with school and leadership development in the English-speaking world.

Most of the research on principals in Austria concentrates on what the key competences for effective leadership are in a context which asks principals to lead schools in a system which gradually becomes more autonomous. The answer to this question is based on research which was done cooperatively with other partners through international projects (e.g. through European Union grants). This is a general feature of research in Austria because of the small size of the country and the limited number of researchers, which gains from the internationalization and the comparative perspective.

The second question on principal research in Austria builds on the first one: How effective are national and regional qualification and professionalization programmes in teaching the necessary key competences to newly appointed and experienced principals? The results of the studies give an insight into how principals articulate goals and give the direction for the school, how they create organizational effectiveness and build community to achieve these goals, how they show character to live the values which are convincing and support the leadership attitude and how they facilitate individual engagement among the actors involved.

Another strand of principal research in Austria builds on international studies like PISA or TALIS. Findings from the national addition to PISA 2009 about measures for quality development in individual schools give insights into what Austrian principals recognize as appropriate, up to date and pursuable. Data from the TALIS study on principals give an insight how difficult it is for them to balance management and leadership activities on the different levels of a historically bureaucratic, hierarchically organized school system (national, regional, district, local levels).

In more recent times the transformation of school governance has become a major focus of educational reform, which has stimulated various investigations to explore and evaluate various national strategies of school governance with respect to their contribution to quality development of the school system. Since principals play an important role in this transformation process at the school level, some of the research focuses on the role of principals as change agents, for example, in evidence-based measures such as standardized testing or school inspection as an external evaluation.

The findings of the various research approaches have to be seen in the light of reform in stable systems, where policy cultures are closely related to the socio-historical context of a country, and that is why mere policy borrowing does not work easily (Devos and Schratz 2012). Although schools are locally managed in Austria, the government still decides what constitutes a good school. Therefore, the introduction of national testing has led to some incremental changes. However, deep-rooted cultural mechanisms continue to successfully promote decentralization and stability as the most highly valued sources of educational quality. And principals have to walk the tightrope between federalism and centralization, which will be the dominant challenge in the near future and opens up new research questions to be answered.

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Chapter 16
China: Research on Chinese Principals and Their Work

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In 2012, we conducted a comprehensive review of English and Chinese language research on Chinese school principalship published between 1998 and 2008 (Walker et al. 2012). We identified and examined 170 journal papers, book chapters and doctoral and Master dissertations, most of them (156 out of 170) written in Chinese, and found that the nonempirical research dominating the Chinese literature was a commonly accepted norm. Sets of core patterns and contributory sub-patterns were discerned from both the nonempirical and empirical research examined. The non-empirical literature featured two core patterns – *prescriptions* and *commentaries.* *Prescriptions* focused on telling principals what they needed to do to achieve success, whereas *commentaries* highlighted the key concerns and problems confronting them. Our review also delineated some of the major features of the work of Chinese principals, revealing such key concepts as politics, relationships, examinations and harmony.

The review was designed to address a long-neglected area in the school principalship research arena, namely, the synthesis of studies conducted in non-Western societies. However, contrary to our expectations, it has prompted no similar research, which means that international researchers interested in school principalship in China lack a comprehensive and up-to-date literature review beyond our 2012 review.

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Hence, they may be unable to assess the current state and status of school principalship research in China nor can they understand the work of Chinese principals, as presented in the literature.

This review paper synthesises and critiques the research on Chinese school principalship published in Chinese journals between 2008 and 2013. Our aim is to provide an up-to-date snapshot of school principals in mainland China at a time the country is attracting increasing international attention for its outstanding student performance in international competitions (OECD 2011, 2013). The review has three major purposes.

The first purpose is to examine whether the core patterns discerned in our earlier review paper endure and identify the main trends in the research on principalship in China. Doing so involves a multilevel examination. Our earlier review found much of the research in this area to still rely on the traditional Chinese method of 'argumentation' (Yang 2005). However, with increasing numbers of Chinese scholars returning home from studies abroad, we anticipated a methodological turn towards more empirical studies. Our current review examines whether there has been such a positive development. Our earlier review also discerned a number of dominant patterns and contributory sub-patterns, and the current review examines whether they remain major characteristics of school principalship or whether some have ceased, with new patterns and sub-patterns emerging. Accordingly, this paper provides an up-to-date snapshot of school principalship in China.

The second and related purpose is to determine how the policy context since 2008 has shaped and changed principals' work by examining changes in the aforementioned major patterns and sub-patterns over time. The reform initiatives implemented over the past 6 years have considerably increased the responsibilities of school principals. For example, the New Curriculum Reform implemented in 2001 (Ministry of Education 2001) continues to be plagued by debate and conjecture (Zhong 2006). This reform has failed to take root in schools as expected, and that failure has been attributed to poor curriculum leadership on the part of school principals (Luo and Xue 2010). The reform's failure has also led to a policy of strengthening principals' curriculum leadership capacity in a number of provinces/municipalities, including Shanghai (Shanghai Municipal Education Commission 2010). Furthermore, the Ministry of Education released Teachers' and Principals' Professional Standards in 2011 and 2013 (Ministry of Education 2011a, b, 2013). These standards emphasise the importance of teacher learning in addition to school principal development and may thus serve to reshape the work environment of school principals. By examining whether the previously identified patterns endure and identifying new trends, the review reported herein will further the understanding of how recent research depicts the work of school principals and how that depiction has been influenced by the reform context since 2008.

The third and final purpose of this review is to compare its results with those of our earlier review to provide a better understanding of the methodology, research foci and major findings of Chinese principalship studies over a prolonged period. Doing so enables us to synthesise what we know about school principals and school principalship research in China; what research is missing; and what the relationships

are amongst Chinese principalship research, international knowledge of leadership and the national policy context.

In the current review, we have chosen to review journal papers alone and thus exclude book chapters and postgraduate dissertations. This decision was taken primarily for practical reasons. By restricting our search to a 'core journals' database (a category that recognises higher-quality journals published in China), we identified 153 usable papers focusing on the topic of principalship published between 2008 and 2013. This number is almost equal to the total sum of Chinese studies identified in our earlier work (156 Chinese publications, including journal papers, book chapters and doctoral and Master dissertations). The large number of papers identified demonstrates that school principalship has become an increasingly important topic in the Chinese literature. Although a more exhaustive review would be desirable, focusing on journal publications alone was considered more manageable in terms of the resources available.

This paper is organised into six sections. Following this introduction, the next section briefly reviews our earlier work and introduces the core patterns of Chinese principalship research identified in our earlier review. The third section then sketches out the major reform context in China over the past 6 years to explicate the new policy imperatives related to principals in China. The fourth section briefly introduces the review process, and the fifth presents the core and sub-patterns identified in the review. The fifth section adopts a structure similar to that in our earlier work and analyses the patterns displayed by nonempirical and empirical publications separately. The final section synthesises the review findings and discusses the relationships amongst Chinese principalship, the international knowledge base and the national reform context. It also draws a number of conclusions and highlights the research that is currently missing in China.

What We Know About Chinese School Principalship Research

This section outlines the major findings of the literature review we published in 2012. Its purpose is threefold. First, this outline presents a general picture of the research on Chinese school principals and their work between 1998 and 2008. Second, as this paper adopts a structure similar to our previous review, an introduction to the way in which the literature was reviewed in our earlier work is necessary (Walker et al. 2012). Third, a discussion of the core and sub-patterns identified in our 2012 paper enables further comparison and synthesis with the findings presented in this paper.

Our 2012 paper reviewed 170 items of research published in English and Chinese between 1998 and 2008, of which 156 were written in Chinese. This pool of 170 publications was divided into two streams – empirical and nonempirical research. Although we identified 79 items of empirical research, the majority were unpublished dissertations. Chinese journals in this arena are dominated by nonempirical opinion pieces and descriptive accounts.

Two core patterns characterise the nonempirical literature: *prescriptions* and *commentaries*. The studies labelled *prescriptions* focused primarily on informing principals of what they need to do to be successful, whereas those labelled *commentaries* focused on the key issues and problems confronting them.

Each core pattern comprised a number of sub-patterns:

Prescriptions (for Principals)

- *Reform prescriptions*. Publications in this area dictated what principals should do to work successfully within the demanding reform environment.
- *Imported prescriptions*. These items drew heavily on Western theories and models of leadership to guide principal improvement.
- *Heroic prescriptions*. These drew on the stories, experiences and success stories of highly regarded principals.
- *Political prescriptions*. These publications reinforced the importance of the Party and its associated ideology to principal leadership.
- *Commentaries* (*on principals' concerns*)
- Financial responsibility and resource acquisition
- Academic outcomes and university entrance
- *Guanxi* (connections and good relationships) and upward connections

We also identified a number of interrelated core patterns in the empirical studies, most of which fell into three thematic categories regardless of the methodology used.

Imported frameworks. Much of the empirical work was explicitly framed by Western leadership frameworks and used imported instruments and research designs.

Indigenous investigations. These studies moved away from the simple application of imported frameworks and took greater account of context.

Contextual influences. These studies provided insights into a number of variables that influence principal leadership practices, including an examination of individual, organisational and societal influences.

Based on our analysis of these core and sub-patterns, we offered the following conclusions concerning Chinese school principalship research and the work of school principals in China.

- Despite the progress achieved over the past decade, there remains a lack of serious empirical research on principalship in China. This research gap can be traced to the country's underdeveloped research infrastructure, inadequate knowledge base, centralised ideology and the enduring influence of traditional values.
- Increasing calls for higher-quality empirical research and increasing numbers of overseas-trained scholars returning home means that positive movement may be imminent. The large number of Master and doctoral dissertations using empirical research is a sign of that movement.
- Both the empirical and nonempirical literature we identified relied heavily on imported Western leadership models. Researchers were faced with the dilemma of developing a theory of Chinese educational leadership or a Chinese theory of educational leadership (Barney and Zhang 2009). Scholars tussling with such a

complex choice might well ask not only what international (Western) leadership studies can do for Chinese school principalship but also what Chinese studies can contribute to the international literature.

- Emerging from the literature was a vivid picture of principals caught amongst an interconnected series of contradictory forces. These forces include the presence of the state and market, the disconnection between imported reform policies and traditional cultural values, modern leadership theories and tacit knowledge of how to be a principal in China.

Our 2012 review included only research published between 1998 and 2008. Since 2008, there have been a number of new policy initiatives that influence school principals both directly and indirectly. This new policy context may shape principals' work and reveal new research areas that are attracting researchers' attention. The next section briefly reviews the policy context since 2008.

Educational Policy Context Since 2008

The major feature of China's educational policy context over the past 6 years has been the full-scale implementation of curriculum reform. Policy imperatives further emphasise principals' capacity to design and organise their school curriculum and oversee teacher development. As noted, the past few years have also witnessed the release of Teachers' and Principals' Professional Standards, which have promoted new rounds of principal development.

The New Curriculum Reform was formally launched in 2001 with the release of the *Outline of Basic Education Curriculum Reform* (*Pilot*) (Ministry of Education 2001). The aim of this curriculum reform was to move students to the centre of teaching and learning and to transform teaching and learning to foster such capacities as creativity, innovation, collaboration, self-expression, engagement, enjoyment of learning, inquiry skills, problem-solving abilities and the ability to apply knowledge in practice (Guan and Meng 2007; Sargent et al. 2011). It demands that teachers and principals shift their norms of practice to facilitate student learning.

Furthermore, the reform also advocates the establishment of a hierarchical curriculum management system comprising state, province and school (Ministry of Education 2001). Different from the previous practice requiring only that schools deliver the curriculum designed by the central authority, schools today are also allowed to develop a school-based curriculum that caters to the specific needs of their students.

Consequently, school principalship has unarguably become key to the success or otherwise of the curriculum reform's implementation. The dominant voices heard over the past few years have stated that the overall reform has not been delivered as designed and that most of the intended reforms have not become rooted in school practice (e.g. Zhong 2006; Luo and Xue 2010). This situation has led to policies focusing on school principals. In 2010, for example, the local Shanghai government issued a new policy called the *Three-Year Action Plan to Promote Curriculum*

Leadership of Secondary and Primary School (*and Kindergarten*) *Principals* (Shanghai Municipal Education Commission 2010), a document that made it clear that upgrading principals' curriculum leadership was to be the government's main priority from 2010 to 2012 and that considerable financial and manpower resources were to be committed to achieving this goal. Principals are expected to assume the role of learning leaders and to adopt more innovative approaches to student learning and teacher development.

In addition to the aforementioned curriculum reform, which shapes the macro context of principals' work, there is also increasing recognition of the importance of principals' professionalisation and development. Following the release of Teachers' Professional Standards[1] in 2011 (Ministry of Education 2011a, b), the *Professional Standards of Principals at the Compulsory Education Stage* (which covers primary and junior secondary schools) was issued in 2013 (Ministry of Education 2013). It is the first national policy addressing principals' professional competence and stipulates the six following professional responsibilities.

• Planning school development
• Creating a learning culture
• Leading the curriculum and instruction
• Facilitating teacher growth
• Optimising internal management
• Accommodating the external environment

A set of required professional knowledge, competences and behaviour is listed under each of these major responsibilities. The policy also advocates that school principals adopt the Standards as a reference framework to enact their leadership practices. Leader development institutions have been encouraged to redesign their training programmes based on these Standards.

This brief sketch of the educational policy context shows that school principals are playing an increasingly important role in China. The work environment that principals face has also become increasingly complex, as they now have to shoulder such additional responsibilities at leading curriculum reform, promoting student learning and facilitating teacher development. The next section outlines and illustrates the review process.

Review Process

We used the following process in the review reported herein.

• We reviewed the literature published in core Chinese journals between 2008 and 2013. We decided to set our starting year as 2008 rather than 2009 due to the time lag for some journal publications to become online resources. Accordingly, some

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[1] The Ministry of Education has indicated that the professional criteria for the principals of kindergartens, senior secondary schools and vocational high schools will be formulated and released separately (Ministry of Education 2013).

Table 16.1 Breakdown of papers identified and reviewed

Literature		Number	Total
Nonempirical	136		136
Empirical	Quantitative method	8	17
	Qualitative method	6	
	Mixed method	3	

of the papers published in 2008 may not have been included in our earlier review. We restricted our search to core journals, as they are widely recognised as being of higher quality and thus enjoy wider circulation and influence.

- We searched the literature in the *China Academic Journal Full-Text Database* (*Education and Social Sciences*) and ticked the 'core journals' option. We then used the keyword 'principalship' (*xiaozhang lingdao*) to search for relevant publications. After this initial search, we carried out another search using a combination of the keywords 'principal' (*xiaozhang*) and 'leadership' (*lingdao*) to ensure that we did not miss any usable publications. Any publication that fit our search criteria was downloaded in its entirety. We then read through the abstracts and excluded unusable materials such as news reports and papers on higher education leadership.

- This process allowed us to identify 153 usable journal articles, which we divided into two simple streams: nonempirical and empirical. The first stream includes nonempirical papers whose research did not use rigorous methodologies, as defined by Western research conventions, whereas the second comprises papers reporting empirical research that adopted qualitative, quantitative or mixed methods. Table 16.1 provides a basic breakdown of the papers reviewed in this article.

- We analysed the two streams of research separately. Nonempirical publications were examined for form, source and focus. Empirical publications were reviewed to identify the study setting and the dominant methodology used, as well as to collect details on the method of data collection, sample and major arguments of the study. We then compared the core and sub-patterns revealed with those identified in our earlier review to examine which studies fell within these predefined categories and which did not. The specific questions we sought to answer are as follows. Which core and sub-patterns have endured? Amongst the enduring patterns, have there been any changes in meaning? Have any new patterns or sub-patterns emerged from the literature under review? If yes, what are they? The next section presents preliminary answers to these questions.

Research on Chinese Principals and Their Work: 2008–2013

Our initial analysis showed that of the 153 usable papers, only 17 were empirical in nature. The nonempirical literature remains dominant in the scholarly discourse on school principalship in China. The positive methodological turn we had anticipated

has not materialised (Walker et al. 2012). There are two possible explanations. First, the majority of the authors of core journal publications are faculty members of normal universities and full-time research fellows of educational research institutions. We can assume that when they write and publish papers, most remain overwhelmingly reliant on the traditional Chinese approach of 'argumentation' (Yang 2005, p. 76) rather than on first-hand empirical data. Second, the large discrepancy between nonempirical and empirical papers suggests that core journals in China do not use the adoption of a rigorous empirical approach as a significant criterion in selecting papers for publication.

This section presents the findings gleaned from both the nonempirical and empirical literature. Adopting the core and sub-patterns identified in our earlier review as a reference framework, we here outline the patterns that have endured and the new trends that have emerged over the past 6 years.

Nonempirical Literature: Core Patterns

Our search results identified 136 papers that could be classified as nonempirical papers published in core journals between 2008 and 2013. We analysed this body of literature and compared our initial codes with the core patterns (*prescriptions* and *commentaries*) and contributory sub-patterns identified in our earlier review.

In the current review, we identified three major patterns in the nonempirical literature – *prescriptions*, *commentaries* and *experience sharing*. In other words, the nonempirical literature identified a new core pattern, which we defined as *experience sharing* because most of the papers falling into this category were written by school principals, and their topics revolved around introducing and sharing information on school practices. *Prescriptions* and *commentaries* continued to be dominant patterns, but we also discerned a number of changes in the meanings of these patterns or in the formation of their sub-patterns. For example, few papers touched upon the issue of the political expectations of school principals, but many discussed their moral or ethical attributes. Thus, we included *moral prescriptions* rather than *political prescriptions* as a sub-pattern.

Prescriptions (for Principals)

The first core pattern identified was *prescriptions*, under which four interrelated subcategories were recognised. As noted, a major difference between the two reviews in terms of sub-patterns was the adoption of *moral prescriptions* in place of *political prescriptions*. Furthermore, we found that papers featuring this pattern generally tended not to adopt a hard sell approach concerning what principals should do to achieve success. Rather, most emphasised what they can learn from imported theories or successful practices adopted elsewhere. Thus, although we adopted the same labels, each sub-pattern's meaning was found to have undergone some variation.

Reform prescriptions. These publications highlight how principals can better cope with the demanding reform environment.

Imported prescriptions. These publications not only draw on Western theories and leadership models but also introduce the latest international policy developments and leadership practices, emphasising what Chinese principals can learn from these theories/policy developments/practices.

Heroic prescriptions. These papers draw on the experiences and successes of highly regarded principals.

Moral prescriptions. These papers highlight the importance of morality and ethical values for school principalship.

Reform prescriptions. The first cluster of prescriptive papers stresses the critical role played by school principals in the context of change. Their purpose is to offer suggestions on how principals can better cope with the demanding reform initiatives. Reform prescriptions generally fall into one of two types. The first concerns broad suggestions for improving principals' leadership capacity to help them cope with the reform context (e.g. Bi and Lu 2010; Yu and Zhou 2009; Wang 2011; Zhang 2010a, b). These papers usually had broad and ambitious titles, some illustrative examples of which include 'On the improvement of principal leadership in the contemporary school reform context' (Zhang 2010a) and 'A study on the approaches of improving secondary and primary school principal leadership' (Bi and Lu 2010). Most of these papers began with recognition of the importance of principalship and the need to adapt to the context of change and end with a set of broad suggestions. However, suggestions for the improvement of leadership capacity constituted too broad a subject to be contained in a single journal paper. Thus, most suggestions were rhetorical rather than practical in nature. For example, Y. Y. Wang (2011) suggested that principals needed to improve their individual competences: the forward-thinking, decision-making, implementation, coordination, personal influence and reflection dimensions.

Another type of reform prescription was more focused in nature. Papers in this category often focused on a particular area of principals' work and provide prescriptions for how principals can improve particular leadership capabilities. The most widely discussed topic was how principals could better cope with curriculum reform, with the concept of curriculum leadership a particular focus (e.g. Bao 2012; Shi 2008; Xia 2012; Zhang and Xue 2011; Zhou and Xia 2009). Such papers recognised that the successful implementation of the school curriculum depends on the curriculum leadership of principals (Shi 2008). To improve such leadership, principals needed to develop the competencies to research, implement and evaluate the curriculum and coordinate curriculum resources (e.g. Xia 2012; Zhou and Xia 2009). In relation to coping with curriculum reform, some papers adopted the concept of instructional leadership (e.g. Li 2011; Zhao 2010; Zheng 2012) and provided similar prescriptions, suggesting that principals needed to be able to shape positive instructional values, set instructional goals, address core instructional problems, organise instructional activities, provide resources and evaluate instruction (Zheng 2012).

In addition to these more generic leadership competencies, some papers adopted a how-to approach, providing more practical suggestions, with examples given of how to walk into the classroom and observe teaching (Wang 2011), how to evaluate teachers' performance (Wu 2011), how to take charge of teachers' development (Dai and Wan 2011; Ma 2011), how to mediate interpersonal relationships within schools (Wei 2008) and how to deal with public and media relations (Ma 2013).

Imported prescriptions. The second cluster of prescription-orientated papers introduced theories, policies and practices adopted elsewhere and discussed what Chinese principals could learn from them. Most of the theories/practices under discussion were borrowed from Western societies (e.g. Jiang 2013; Tang and Bai 2013; Yang 2008). The most common format was similar to that we identified in our earlier review; that is, their author(s) tended to provide a detailed introduction to a given theory, model or practice popular in the West and then conclude by considering the conditions and qualities needed for its application in China (e.g. Hu 2012; Li and Dai 2012; Xu 2009).

Research in the imported prescriptions category included papers introducing Western leadership theories, particularly distributed leadership (e.g. Gao and Hu 2010; Jiang 2013; Li and Dai 2012), transformational leadership (Zhang 2008), instructional leadership (Yang 2008; Bolman and Deal's 2008) and comprehensive model of leadership (Tang and Bai 2013). A new trend was that the Chinese literature did not simply borrow and/or introduce Western leadership theories but also discussed the latest policy developments and leader development programmes adopted worldwide.

Thus, in addition to leadership models, some papers introduced leader assessment tools and leader development programmes and discussed their applicability to the Chinese context. For example, several papers discussed the major strategies adopted in US leader development programmes (e.g. Chen 2009; Kong and Lv 2012). Xu (2012) explored the history and status quo of leader development in Australia, and Zeng (2012a) discussed the effects of the National School Leadership Training Programme (NSLTP) adopted in Sweden.

Some papers in this arena discussed the latest principal-related policy developments around the world and their implications for China. For example, there were papers discussing the implications of the Principal Professional Standards adopted in New Zealand (Deng 2011), the UK (Zhang 2010) and Australia (Hu 2012). Zeng (2012b) compares the qualification systems for principals in the USA, Australia and Sweden. It seemed that there was a growing diversity in what was being borrowed from the West and in the locales from which theories/models/practices were borrowed.

Heroic prescriptions. This collection of literature narrated stories of well-known principals, who were portrayed as role models (e.g. Bao 2008; Sha 2009; Zhang 2009). One difference from the heroic prescriptions identified in the earlier review was that these principals were no longer depicted as superhuman leaders who have mastered a huge repertoire of leadership skills. Instead, the papers in this category tended to focus on one particular leadership aspect that distinguished this particular principal from others.

For example, Sha (2009) described a principal who was particularly considerate and strategic. He cared for his teachers and was always ready to offer them support. In addition, he set the direction for the school and strategically designs plans to improve it. On the basis of a number of examples illustrating this principal's strategy, the author provided suggestions for teacher development and strategic planning. Zhang (2009) depicted a principal who was known for promoting school-based research to improve her school. Whilst school-based research was promoted in many schools, what had rendered this school particularly successful was the principal's deep involvement in that research. In other words, this principal did not simply delegate research tasks; she adopted a hands-on approach and participated throughout the research process. It was her exemplary modelling that has won her the support and respect of teachers.

Thus, the heroic prescriptive literature no longer portrayed principals as omnipotent individuals who were good at every aspect of school management. Instead, it focused on what made these principals stand out from the crowd. Despite this change in focus, there was little change in the purpose of such research – to generalise successful experiences to other schools and principals.

Moral prescriptions. This collection of literature discussed the morality, values and virtues expected of a principal (e.g. Li 2011; Rui 2008; Tao 2011; Xu 2011). Some papers in this area broadly discussed the importance of morality and offer general suggestions for how principals can improve their moral leadership. For example, Tao (2011) recommended that principals fulfil four tasks to strengthen their moral leadership. First, principals needed to have strong values themselves, and these values needed to be widely shared with the school. Second, they needed to embody their values in their behaviour and interpersonal interactions. Third, principals needed to institutionalise their values at the organisational level. Finally, they needed to instil their values into the very genes of the school to ensure that they exerted an influence on the beliefs and behaviour of all school members. This typical example of the moral prescriptive literature showed that researchers had particularly high moral expectations of school principals.

Some of this literature provided more practical suggestions and examples of ways to improve principals' moral leadership (e.g. Li 2011; Liu 2008). For example, Li (2011) drew on experiences of leading and participating in a large-scale university-school collaborative programme and suggested that principals need to understand students' situation and needs and support teachers' growth by helping them fulfil predefined tasks.

Thus, a new development in Chinese principalship research was that a significant portion of papers was devoted to discussing the importance of morality. Most of these papers placed high moral demands on principals.

Commentaries

The second core pattern was labelled commentaries. The commentary papers we identified in our earlier review focused primarily on the key problems confronting principals. The current review revealed an expansion in the range of topics covered,

with papers in this category moving beyond commentary on the dilemmas and problems of principals to reflect on such issues as what is meant by school principalship in the Chinese context and the practices of principal development. The three major sub-themes in this core pattern were as follows.

- The meaning of school principalship in the Chinese context
- The issues and debates surrounding leading curriculum reform
- The professionalisation and development of school principals

The meaning of school principalship in the Chinese context. We identified a number of papers exploring what was meant by school principalship in the Chinese context from various angles. Some are based purely on theoretical reflection (e.g. Chen and Sun 2011; Sun 2012; Yang and Jia 2013) with the aim of finding out, for example, what constituted principal leadership in China (Sun 2012; Ying 2009; Zhang 2009), how the term 'famous principal' (*ming xiaozhang*) was defined (Chen and Sun 2011) and analysing the historical evolution and new context of the *Principal Responsibility System* (Liu 2013). Most such papers were rhetorical in nature and lacked the support of any empirical evidence.

Another type of paper on the meaning of Chinese school principalship built upon anecdotes, first-hand observations and personal interviews (e.g. Niu 2012; Zhang 2010c). S. Zhang's (2010c), for instance, explored the sources and approaches of principal leadership. She presented several examples from her interactions with different principals. For instance, one principal threatened teachers with the loss of their post if they did not do a good job; one rural school principal decided to borrow all test papers from a well-known school and then blamed teachers for students' poor performance; another installed monitors in each classroom; and yet another received seven phone calls and met with ten teachers hour with the researcher. These examples prompted S. Zhang (2010c) to reflect on three questions. Does principal leadership involve power or influence? Is the purpose of leadership to accomplish goals or develop people? Does the exertion of leadership depend on individuals or the team? Zhang believed that principal leadership was in essence a matter of influence, noting that it was important to build trusting relationships and share leadership with teachers.

Issues and debates surrounding leading curriculum reform. Papers in this area tended to review curriculum leadership or comment on the problems encountered by principals in leading curriculum reform (e.g. He 2008; Long and Sun 2012; Wang 2012; Wang and Huang 2010; Zhao 2012). Some of them explore the way in which curriculum leadership was researched in China (He 2008; Liu 2011a, b) but failed to report how these studies were coded and analysed. Hence, they could not be classified as empirical papers. They all concluded that whilst policymakers were placing greater emphasis on curriculum reform, the indigenous knowledge base in this arena remained in the early stages of formation.

Some papers identified in our review explored more specific issues surrounding curriculum reform leadership (e.g. Chu and Liu 2010; Cui 2010; Wang 2010; Li 2013). A common observation amongst these researchers was that principals dedicate

more time to school management than to the curriculum and instruction (e.g. Chu and Liu 2010; Wang 2010). Based on this observation, they discussed the practices adopted by some principals and put forward a number of suggestions. For example, Cui (2010) shared the story of an old principal who wrote 'lesson plans' for each weekly school leadership team meeting. By the time this principal retired, the researcher had accumulated two boxes of these plans. Li (2013) strongly believed that principals needed to encourage teachers to be active learners. He outlined several practices adopted in the partner schools of a university-school collaborative programme. For example, after observing each lesson, the teachers in these schools had three tasks – to identify at least one strength and one weakness and to put forward one suggestion. Chu and Liu (2010) questioned whether a 'big principal' (*da xiaozhang*) needed to go into a 'small classroom' (*xiao ketang*). They concluded that it was not necessary for principals to teach any regular lessons, but they should observe lessons on a regular basis.

Professionalisation and development of school principals. A wide range of topics concerning the professionalism of school principals and principal development was identified, including principal succession (Zhang and Jin 2012), the development goals of different types of principals (Wang and Ren 2012), the strategies of principal development (Dai 2009; Peng 2008; Yu 2009), the professionalism of principals (Zhang 2013), the capacities of trainers of principals (Wan 2010), the development of principal development centres (Ding and Wang 2010) and changes in principal development programmes (Chu 2009).

Many of these papers built upon researchers' observations of and personal involvement in various principal development programmes. For example, Wang and Ren (2012) discussed the development goals set by three different types of principals. The first was 'performance-orientated' principals. Such principals set the single goal of improving students' academic performance; they believed that improved student exam results were education officials' primary focus. Accordingly, when these principals received training, they always wanted the trainers to provide them with practical tips. The second type was 'performance- and research-orientated' principals. These principals not only wanted to learn how to improve their schools but also why to adopt a given approach. Hence, they tended to spend a considerable amount of time absorbing theoretical knowledge. However, improving student performance remained their top priority. The third was 'expert-type' principals. These principals were able to utilise theoretical models of school leadership and apply them innovatively to their school context. They had already formed their own leadership styles and can thus inspire the learning of others.

As previously noted, the papers within this subcategory were not classified as empirical studies in our review because their authors had not adopted vigorous methods to collect and analyse data. However, the commentaries in the papers add to our understanding of the research on and work of Chinese school principals and of principal development. In addition to *prescriptions* and *commentaries*, a third category of the nonempirical literature we surveyed was *experience sharing*.

Experience Sharing

Experience sharing refers to a new category of literature written by principals themselves[2] (e.g. Ding 2011; Hu 2011; Li 2011; Liu 2008; Zhang 2009). Papers in this arena usually started with a problem encountered by the school and then followed with coping strategies. They thus provided detailed descriptions of the effective practices used in these schools. The most commonly discussed issues were instruction and curriculum improvement and teacher development.

Improving instruction and the curriculum. These papers recognised that instruction and curriculum improvement was one of the major tasks faced by principals. One principal from Xinjiang summarised some of the effective strategies he had adopted (Li 2011). These included regularly observing lessons to enable him to diagnose the major difficulties of classroom teaching. He observed at least 120 lessons per semester. Another strategy included close collaboration with the local branch of the China Science Academy to allow the scientists to help teachers design the school-based curriculum. Zhao (2010) provided an example of how her school used data to improve classroom teaching. The school conducted a survey amongst 4900 students and solicited their opinions on their favourite type of classroom teaching. The students gave top scores to experiential, experimental and self-autonomous courses. The survey results led teachers to the realisation that they needed to shift to student-centred teaching and learning. Furthermore, the school experimented with different teaching approaches in the same class, allowing teachers' choice of pedagogy to gain support from empirical evidence.

Developing teachers. Several principals discussed their approaches to improving teacher capacity and motivating teachers. For example, a primary school principal from Beijing (Liu 2013) reported that her school had adopted several innovative practices. One is a 'one-day principal' system; that is, mid-level leaders took turns to act as principal for 1 day. Each acting principal needed to keep a reflective journal and note down the most difficult issues they encounter. This innovative principal believes the system constitutes an effective approach to improving the problem-solving and diagnosis abilities of mid-level leaders. One principal from Shanghai (Hu 2011) discussed how her school had adopted strategies to strengthen teachers' internal motivation. For example, she regularly met young teachers to discuss what would help them achieve 'success and happiness'. She also discussed several of her own experiences and the three stages of personal development she underwent in becoming a principal. For mature teachers, the school also provided individualised supervision and encouraged them to set new goals for their continuing development.

The experiences shared by the principals were drawn from their daily practices, and thus these papers have important implications for their colleagues.

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[2] Some papers written by principals were categorised under *prescriptions* because they did not build upon the experience of school principals. Instead, they discussed in general terms what principals need to do.

Empirical Literature: Core Patterns

A number of interrelated core patterns were identified amongst the 17 empirical papers identified in the review. Given the relatively small number of papers in this category, we were more interested in identifying overarching patterns rather than differentiating methodological approaches. We thus combined the findings regardless of the methodology used and categorised them into two major themes: imported frameworks and indigenous investigations.

Imported Frameworks

Five papers were classified as imported frameworks (Chen 2012; Hu and Walker 2012; Ma and Luo 2011; Ma and Wu 2013; Wang and Chen 2010). Depending on the source of their data, these papers can be further divided into two general types: those with data collected in a non-mainland setting and those with data collected in a mainland setting.

Two papers were classified as the first type. Wang and Chen (2010) reviewed US research on principal leadership and student achievement. They searched the literature exploring the relationships between principal leadership and student achievement in ERIC. Thus, although their study was empirical, it did not contribute to our understanding of Chinese school principalship. The other paper of this type, that by Hu and Walker (2012), focused on the effects of a principal development programme delivered in Hong Kong. The study used mixed methods and collected opinions from the participants of 'Blue Skies' – a new programme in Hong Kong – on how the programme had affected their principalship. Although the study had implications for the design of similar programmes in the mainland, it did not contribute to furthering an indigenous understanding of mainland principalship.

Although papers of the second type featured data collected in a mainland context, they were framed explicitly by Western leadership frameworks and used imported instruments and research designs. Of the three papers in this category, two explored how a well-developed Western model could be adapted and applied in a Chinese context (Chen 2012; Ma and Wu 2013). Chen (2012) examined the adaptability of the Vanderbilt Assessment of Leadership in Education (VAL-ED) evaluation tool in China, and Ma and Wu (2013) investigated the indigenisation of the Principal Instructional Management Rating Scale (PIMRS) developed by Hallinger (1983). The third paper in this category explored the correlation between principal leadership and qualifications and experience (Ma and Luo 2011). The researchers borrowed a questionnaire from the USA and conducted a survey amongst mainland school teachers, soliciting their opinion of their principals' competences. They concluded that there was no significant relationship between principals' qualifications and their leadership capacity, although the relationship between that capacity and their experience was more complicated.

Indigenous Investigations

The second major category of empirical research included 11 papers, all of which constituted an attempt to move away from the simple application of imported frameworks to take greater account of the given context. The studies can be further divided into three types.

The first type drew on generic frameworks from the West but focuses on local divergence from decontextualised studies rather than seeking to confirm the imported frameworks (Ke et al. 2013; Li et al. 2012; Zhu and Cui 2013). For example, Li et al. (2012) adopted instructional and transformational leadership models (Hallinger 1983; Leithwood et al. 1999) as their analytical framework and interviewed two school principals. They found the two to use a number of similar leadership strategies, including inviting experts to give lectures to teachers, sending teachers to participate in teaching competitions, encouraging teachers to conduct school-based research and observing and assessing teaching (Li et al. 2012). Ke et al. (2013) were inspired by Chubb and Moe's (1988) comparative research on public and private schools and delved into the differences in principals' behaviour in key (*zhongdian*) and non-key (*fei zhongdian*) schools. Adopting the survey as their major data collection method, Ke et al. (2013) found the principals in the two types of schools exhibited few differences in leadership behaviour. They concluded that the better student learning in key schools is derived primarily from policy priorities.

The second type of paper was more grounded in the local context and did not draw on imported generic frameworks (Jiang et al. 2010; Ma et al. 2008; Qin and Wang 2013; Wang 2009; Xu 2008; Zeng and Shi 2010). Most of the studies aimed at understanding various aspects of principals' work. For example, Wang (2009) adopted mixed methods to investigate how secondary school principals perceive and enact curriculum leadership. Most of the participating principals expressed the belief that a strong emphasis on examinations constitutes a major threat to their ability to assume curriculum leadership. They could not be curriculum leaders if the exam-orientated education culture remained in place, they said.

Ma et al. (2008) investigated the views of curriculum leadership that prevail amongst rural school principals and teachers. They found a number of interesting contrasts between the views of the two groups. For example, 74.19 % of the principals considered a lack of financial resources to be a major difficulty encountered in leading curriculum reform, whilst less than 10 % of the teachers expressed that view. More than half the teachers were of the opinion that educational leaders fail to pay sufficient attention to curriculum reform, whereas only one principal recognised any such inadequacy.

A survey carried out in Shanghai produced more promising results. Jiang et al. (2010) investigated the state of leadership amongst 331 principals in the city's Pudong District. The vast majority (84.9 %) reported that their schools have a clear vision and development plan. With regard to school-based curriculum implementation, 27.2 % of the principals surveyed rated their curriculum as excellent and 61.9 % as good. However, the Shanghai principals also tended to believe that the

success (or otherwise) of such implementation depends on factors other than school principalship. The three factors to which they gave the highest rankings as being keys to school success were teachers' professional capacity, policy support and resources from local education bureaus and the quality of the student intake.

The third and final type of empirical paper constituted attempts to develop indigenous theoretical models (Lu et al. 2010, 2011; Zhao and Liu 2010). The two papers by Lu et al. (2010, 2011) reviewed policy developments and research on principal development in China, respectively, thus contributing to an indigenous understanding of such development. After reviewing research about principal development over a 20-year span (1989–2008), the researchers concluded that most papers in this area were prescriptions and commentaries. Only one paper published in the 20-year period focused on principal induction, and only five discussed the issues facing trainers (Lu et al. 2011).

Another paper in this category reported an attempt to develop a Chinese instructional leadership model (Zhao and Liu 2010). The study had multiple stages and combined interview and survey methods. The model that emerged indicated that instructional leadership in Chinese schools encompassed four dimensions – leading instructional organisations, designing instructional activities, providing necessary conditions and monitoring teaching. Eight factors were found to affect such leadership: the status, location and size of the school; the school's financial situation; the number of years that a principal had been with the school; principals' power to employ teachers and nominate mid-level leaders; and the number of vice-principals that the school employed.

In summary, our latest review identified 17 empirical papers, a disproportionately small number relative to the nonempirical literature, although there was some convergence in the topics covered by the two types of research.

Summary and Discussion

This paper reports a review of the literature on school principalship published in Chinese core journals between 2008 and 2013. The review identified 153 usable papers, of which only 17 were deemed empirical in nature.

Compared with the results of our 2012 review, the current review identified the following enduring patterns and new trends.

Enduring patterns

There remains a lack of serious empirical research into principalship in China, with nonempirical research still dominating the Chinese literature on school principalship. In the nonempirical research we surveyed, the core patterns of *prescription* and *commentary* endure. In other words, the majority of nonempirical papers focus on telling principals what they need to do and commenting on their work and professional development. In the empirical research we surveyed, the two enduring patterns are *imported frameworks* and *indigenous investigations*.

Most of the sub-patterns within the core prescription pattern endure, specifically *reform prescriptions*, *imported prescriptions* and *heroic prescriptions*.

New trends

Amongst the nonempirical papers, a new pattern emerged, which we labelled *experience sharing*. Papers in this arena are usually written by school principals, who report some of the practices adopted in their schools. A new sub-pattern within the core pattern of prescriptions is *moral prescriptions*, whilst the sub-pattern of *political prescriptions* identified in our earlier review disappeared. Papers in the moral prescription category generally express high moral expectations of school principals. There was a subtle shift in the prescriptive core pattern, with papers in this category no longer directly specifying what principals should do to achieve success. Instead, they now adopt a softer approach and advocate that principals learn from policy initiatives, Western theories and the practices adopted by others.

The *commentary* papers surveyed do not simply comment on principals' concerns; they also discuss the meaning of Chinese school principalship, the work lives of principals in the face of curriculum reform and principal development. Contextual influences, a sub-pattern of the empirical research identified in our earlier review, has also largely disappeared from the Chinese literature, now relevant to a very small number of empirical studies.

The results of this review have a number of important implications for our understanding of the relationships amongst Chinese principalship, the international knowledge base and the national reform context.

First, Chinese principalship research depends heavily on the international knowledge base. In both empirical and nonempirical research, there is strong reliance on Western leadership theories and models. Western theories have been introduced to China in the form of what principals need to aspire to or as informative frameworks for Chinese researchers to use when they study school principals. These imported theories and models are often recommended but rarely critiqued. With few exceptions (e.g. Chen 2012), there is little discussion of the adaptability and contextualisation of Western theories.

Despite this reliance on the international knowledge base in terms of theory, we saw little evidence that principalship research in China is being conducted in accordance with Western conventions. The small number of empirical studies we identified indicates that Chinese conventions of 'research' remain dominant. As we noted in our earlier review, there is wisdom embedded in nonempirical work. However, because such studies do not apply methodologies recognised as rigorous by the West, they have little chance of being published in international journals.

Second, principalship research is closely related to the evolving educational reform context in China. With the change effected by the reform initiatives, some leadership duties no longer constitute a significant component of principals' responsibilities. For example, in our earlier review, we identified financial responsibility and resource acquisition as major concerns for principals, whereas far fewer papers discussing these issues were identified in our latest review. China's curriculum

reform, particularly the conflict it has introduced between the traditional emphasis on student exam performance and the new focus on students' holistic development, is and will continue to be the major contextual factor shaping school principalship in China.

With the release of new Principal Profession Standards, it can be anticipated that Chinese principals will have more learning opportunities in the future but will also need to live up to higher standards. These factors will spur new leader development programmes and more principalship research.

Third, the current review identified several distinct features of both Chinese principalship research and principals' work that are rarely reported in the international literature. For example, school principals now contribute a significant number of papers to core journals, which shows that Chinese principals are willing and able to report what they are doing in their schools. In addition, principals are now expected to regularly observe lessons and lead school-based research. Observing teachers is an inherent component of school principals' expected responsibilities, and taking charge of school-based research is believed to be an effective way of promoting teacher development.

In conclusion, some of the questions we raised in our earlier review are still worthy of further exploration, as Chinese research has yet to adequately address them. They include the following.

- How do Chinese principals manage changes modelled on Western education systems?
- What practices and beliefs have Chinese principals inherited from the traditional Chinese education system? How do traditional beliefs clash or cohere with the demands of modern reforms?
- How do Chinese principals balance change and stability?
- What can the international academic community learn from Chinese thinking on educational leadership?

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Chapter 17
France: Between Civil Service and Republican Ethics – The Statist Vision of Leadership Among French Principals

Romuald Normand

This research contributes by showing that international knowledge of leadership needs to take into account the cultural and ethical dimensions of principals at work in schools. The history and legacy of educational systems also impact the way educators consider their relationships and share specific values related to leadership. It demonstrates the importance of distinguishing between the formal functions of leadership in school organizations and the shadow and informal roles taken on by some principals and teachers.

There is not much influence from worldwide research on educational leadership in the French context due to a lack of tradition of research in school administration and public management. The French research community is not very connected to researchers working on this issue at the European and global levels. So, the possibilities of developing exchanges and transfer of knowledge are weak despite the efforts made within the European Policy Network on School Leadership. Managerial issues are not really developed in the area of education and remain confined to a narrow space of professionals dealing with their current solutions and problems apart from the research area.

Educational research in France remains largely concerned with issues related to disciplines (philosophy, history, sociology, etc.) and not with practical applications of research findings. Public funders and policy makers do not give much importance to management and governance in educational research compared to other issues: inequalities, curriculum, guidance, training, etc. There is a lack of support and resources for school improvement, and researchers are not encouraged to contribute to this field of research. The education system is largely bureaucratic and centralized, which impedes the development of local governance more centered on managerial and leadership issues.

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Introduction

The notion of leadership does not exist in the mind of the majority of researchers, policy makers, and practitioners in France. The more usual conception is related to the administration and steering of schools. The principal is considered to be an administrator more than a manager, a representative of the State more than a member of a local community, and a civil servant more than an entrepreneur. This definition is influenced by historical, institutional, and cultural factors that are exposed in this chapter. The Republican vision, shared by a great number of educators, and the weight of the State are also two major features of the attribution of roles and responsibilities to the French principal.

Compared to other education systems, the organization of the French school system remains strongly linked to the comprehensive school. The attachment to democratization and the reduction of inequalities through instruction are a major component of policies supporting the guidance and careers of students on behalf of social justice. This democratic horizon is subjected to disputes in the public space as well as the values which have to be promoted in schools. The issues of the learning of students and school improvement are not at the core of the school management because the principal manages more structures and rules than contents and individuals due to the maintenance of a post-bureaucratic regime.

So, a statist vision of leadership is shared by policy makers, inspectors, and principals, while practices of leadership remain informal, more related to the character of the principal than to an established reflection of skills required to lead a team to improve school performance. Even the role of "pedagogue" officially assigned to principals is firmly framed by official regulations that limit their power and autonomy.

The French School System and Current Challenges

Since 2005, an accountability policy has been implemented in the French education system, but it remains largely bureaucratic, centralized, and top-down, without much focus on bottom-up processes, school improvement, and leadership, which could increase student achievement. A law of finances, enacted in 2001, changed the governance of schools and imposed objectives and indicators of performance defined by the parliament to control public expenditures. This policy of indicators and benchmarks has not yet had much impact on school management, even if the inspectorate has implemented audits. No regime of sanctions and rewards are linked to these audits, and there are no incentives for schools to improve their outcomes. The prescriptions of inspectors do not impact principals and teachers who daily maintain a sort of professional bureaucracy in which each one avoids penetrating the territory of the others.

So, schools are divided between the administration (the principal and his/her team), the pastoral care team (in charge of discipline and of the control of attendance),

and teachers who benefit from the pedagogical freedom guaranteed by legislation (the Code of Education). These teachers are accountable only to their inspectors through individual visits that are few and far between. Teachers are assessed based on their classroom practices and their expertise in a unique school subject: only a few of them work in teams or in ambitious projects. The statutes that apply to them as civil servants strongly protect them against parents and their hierarchy, except in the case of a serious fault, but it has to be proven. One of the important challenges is to make teachers better work together outside the classroom to develop the capacity building and school improvement needed to improve student outcomes.

For this, a change in assessment practices appears as a first necessity. Inspectors are practicing more control than assessment because of their lack of training, even while audits are progressively becoming more comprehensive. Teachers are attached to traditional modes of marking. They do not really know the technology of testing, and they have no habits of formative assessment. Among French educators, assessment is understood as a discretionary judgment on their work and as an unbearable intrusion into the sphere of their professional autonomy. Otherwise, it is viewed as an instrument of hierarchical power, and professionals do not consider much the notion of "feedback." However, in the face of some difficulties met by the inspectors in leading their audits or external evaluations, the idea of self-evaluation of schools is progressing in the minds of policy makers.

Consequently, the general inspectorate has recently published a report requiring the development and the reinforcement of internal and external evaluations to improve school performance. What is at stake is the development of an accountability system more focused on teaching and learning in schools.

But a traditional conception of the instruction, through the transmission of knowledge, linked to a strong interest of policy makers in pupils' guidance and careers, instead of learning paths, slows down the development of some types of assessment focused on the improvement of student outcomes and cognitive skills. Furthermore, the conception of "skills" is severely criticized by educators and trade unions who consider it an intrusion of business into the public service of education.

However, some changes can be observed in the implementation of innovative and experimental programs which have met frank success with nearby practitioners because they release initiatives and creativity. It is a voluntary policy led by the ministry during the last years to give some margin of pedagogical autonomy for schools constrained otherwise by a standardizing legislation which imposes the same standards on the management of curriculum and teaching hours (on behalf the equality of treatment between students). According to Article 34 of the Education Act of 2005, schools can now use this range of hours to deviate from the national system and to conceive "experiments" (e.g., pedagogical innovations, but the word "experiment" is used in the Act and praised by policy makers to control local initiatives) focused on the improvement of student achievement, under the strict control of state local authorities.

Teaching teams seized this opportunity to begin a collective work in schools and to build educative and cultural projects allowing a new sharing of knowledge and practices between peers. This diversification and pedagogical creativity concern

only a minority of schools, but, supported by Local Centers of R&D and Innovation (Centres Académiques de Recherche, Développement et Innovation), they have been able to produce tools and outcomes disseminated at the regional and national levels. However, these initiatives remain weakly coordinated at the local level, despite the support of the ministry, and they are very dependent on the goodwill of hierarchical authorities, while their contents and quality are variable from one school to another. It is a real challenge to promote a culture of school improvement among executives and principals, as it is among teachers who do not dare to take risks because they fear being misjudged by their colleagues and hierarchy.

So, corporatism remains powerful among executives, principals, and inspectors. According to a bureaucratic order, it contributes to slowing down school modernization and the implementation of new public management, even if it is already active in the other sectors of administration. For historical, structural, and ideological reasons, the French education system meets difficulties in challenging its teaching and learning practices and in developing a collective intelligence in schools. Training is traditional and focused on school subjects, and it does not take into account the principles of continuous professional development. France is behind some other countries in terms of the development of ICTs, and it lacks leadership functions to support schools according to a strategic vision.

The Role of Principal in Relation to Current National Policy

The French principal has a very limited autonomy, and his/her work is strongly constrained by the hierarchy and national standards in curricula, teaching, and time schedules in schools. If schools have a quite relative juridical autonomy, they cannot change their level of resources according to student outcomes or to an external demand. Some policy makers even consider that schools have an autonomy allowed by the laws of decentralization at the beginning of the 1980s, but not principals, who are submitted to hierarchical control as representatives of the State. Because of the decentralization, each principal depends also on independent local authorities, distinct from the State, which take charge of school buildings, equipment, and ICTs, but these authorities do not intervene in the curricula and in the recruitment of staff except for maintenance.

Since 1985, the legislation through different decrees and regulations affirmed the place of the school development plan through a contract established between the state local authority and the school. According to official statements, each school has to use its allocated means to provide a provision adjusted to the diversity of students. Circulars describe the role of the school development plan and remind the autonomy at the disposal of the principal to organize pedagogical and educative activities. New devices were created to valorize this autonomy: interlinks between primary and secondary schools; hours devoted to the support and help of failure students; the Itinerary of Discovery (free exploration of a part of the curriculum); artistic and cultural projects; certificate of skills in ICTs at the junior school level;

individualized support during the first year of high school; development of Personal Framed Works (some groups of students working on one part of the curriculum according to their needs) during the last year of high school; civic, juridical, and social education; artistic workshops, etc. But these new modes of organization did not succeed in the reduction of inequality gaps between students, and they did not contribute to a sustainable change of teaching practices.

The authority the principal is allowed by official regulations is not sufficient to affirm his/her pedagogical role while a sort of divide remains between the local and the national levels. The French education system is characterized by a two-level hierarchical system (general inspectorate/regional inspectorate) coupled with a pedagogical hierarchy along three top-down lines of inspection from the ministry to the bottom: finances, administration, and pedagogy. This organization is reproduced inside each school. Even if the school can manage its physical allocation of classrooms and groups of students and also its time schedules according to a "Global Allocation of Hours" (on an administrative basis) set forth by the ministry, principals have no real pedagogical and educative autonomy: it is framed by regional and national decision-making in terms of structures and contents of teaching while the supervision of teaching is delegated to inspectors. Beyond this institutional framework, a school development plan does not guarantee a deep reflection and a real approach of school improvement. Some school projects remain very formal, more attached to the respect of norms and procedures than to the quality of teamwork.

According to official regulations, the principal's responsibility relates to the administration and the application of the law (Mamou 2006; Lefebvre et al. 2009). She/he has an administrative power over the staff, and, because of her/his position of authority, she/he is accountable for it actions. She/he looks after the physical security of the staff and goods. She/he has to enforce school rules and to make sure that students fulfill their duties (attendance, respect of people, etc.) and rights (in terms of expression, association, meeting, and publication). These responsibilities are extended to the presidency of different boards (Council of Administration for the vote of the budget and the school development plan, Permanent Commission to talk about the school projects, Council of Discipline for disruptive students, Committee of Hygiene and Security).

In this context, is the French principal an administrator or a pedagogue? Most principals are former teachers, and it makes a difference with some other managers in public services. The statute of the secondary school allows principals a pedagogical role through school autonomy: they can act to organize classrooms and student groups, time schedules, and some facultative teaching options (Fort and Reverchon-Billot 2006). Similarly, the official framework of the principal's skills defines the whole series of activities and skills required to lead the pedagogical and educative policy in the school. But, in fact, the management of the principal is more focused on structuring the teaching conditions than on regulating teaching practices and contents. His/her responsibility takes place in a division of labor between the administration, the pastoral care team (the educative side), and teachers in the classroom (the pedagogical side). So, principals have to build, day to day, their legitimacy in relation to teachers, parents, and students if they want to intervene in pedagogical and educative issues.

However, the creation of the "pedagogical council" by the Education Act of 2005 helps them. According to official instructions, they have to regularly gather one class teacher for each degree, at least one teacher by school subject, and the year head (pastoral care) to coordinate different actions in the areas of teaching, marking, and evaluation. This council, with only a consultative role, has to prepare the pedagogical part of the school development plan, and it is considered as a place to reflect on the implementation of new pedagogical devices. It has been created to improve the transversal coordination of teachers, to facilitate interdisciplinary relationships, to manage more effectively the careers of students, and to harmonize rules and methods of assessment. Some schools have used the pedagogical council as a lever to lead experiments and innovations. However, the role of the principal is essential to build an agreement on common principles and to bring perspectives about change among teams. It is not easy because the pedagogical council does not replace other more strategic councils in the mind of teachers and trade unions (particularly the council of administration). Furthermore, it does not challenge the pedagogical freedom of teachers and the role of inspectors in school subjects. So it is often difficult for most principals to make this council an effective instrument for the school project and school improvement.

The Selected Research and Methods

This chapter collects research findings about changes in the role of principals linked to the transformations of the French education system and policies during the last 10 years. It explores the research literature and also the professional one which is an important part of the culture and training of principals (Administration & Education 2010a, b, 2012, 2013). The field of research on management and leadership does not exist in France: a majority of principals, policy makers, and researchers are hostile to managerial ideas, and they are quite unaware of or ignorant about the private sector. For them, management has a neoliberal and Anglo-Saxon connotation which appears at the opposite of their ethics and values of public service. So, it is not surprising to find major criticism in the writings on management in education, while the notion of leadership remains largely unknown. The idea of "chief" in the French word "chef d'établissement" (literally "chief of the school") is considered more from the angle of authority and commandment, as in the army, than under the vision of sharing responsibilities or taking some initiatives that would inspire followers. For most principals, rules and rationality have to overcome opinion and subjectivity in the leading of people.

From the analysis of online publications and references from the website of the Ecole Supérieure de l'Education Nationale (the equivalent of the National College for School Leadership in the UK), it has been possible to get a mapping of studies and topics related to the work and role of principals in secondary education (there are no principals at the primary level). These contents are defined by the general training scheme at the college according to the ministry's objectives and current

policies (ICTs, education priority areas, reforms related to the financial reform, security of schools). There are lot of reminders of official instructions, regulations, and circulars. The administrative and juridical issues are a main component of the training of principals. The word "steering" is often preferred to the word "management." The steering of human resources and evaluation are two major components, while another part is devoted to deontology, ethics, and administrative/juridical/moral responsibilities. Contents on teaching are more limited in depth and relate mainly to school partnerships and the basic skills framework ("socle commun" in French). Furthermore, for several years, training has been enriched by contents related to the international comparison of other education systems. Training sessions are delivered by executives (high-rank civil servants, the general inspectorate, experienced inspectors, and principals) even if academics are regularly invited for lectures on current issues.

The data bank FRANCIS and Google Scholar were used to compile books and papers published and to sort research findings according to different topics. These data show that there is not much French research literature on principals, management, and leadership, except a few works by isolated researchers. The contribution of French-speaking countries (Belgium, Switzerland, and Canada) is a major part of this literature. The analysis has been completed by the exploitation of papers from the professional journal *Administration & Education* which compiles contributions from researchers and reflexive practitioners about the challenges and changes of administration and management in the French education system. This journal is an essential place of exchange for executives in education who meet regularly through annual meetings and regional events. The association recently changed its name (it became the Association of Actors of Education after being named Association of Administrators of Education since its creation) and is managed by the general inspectorate and high-rank civil servants. It is a place of debate but also of training on current educational issues for inspectors and principals, in relation to the research area. Other publications are linked to activist associations, like "Education & Devenir" which gathers "pedagogues" and "progressive" principals, or trade unions, like the SNPDEN (Syndicat National Des Personnels de Direction de l'Education Nationale), the main trade union who is a real counterpower in the French education system, particularly through its participation to the management of careers of principals in joint commissions, including representatives of the State.

The French Research about Principals' Role, Work, and Leadership

In France, the status of civil servants and the role of the State in the governance of education system give an important weight to the school administration based on the respect of laws and regulations. Furthermore, the attachment of French principals and inspectors to the values of the Republic explains why a lot of books and papers are written on ethical issues, deontology, and responsibility. Civism and

equality of opportunity are the main references in the imagery of principals in their professional culture. Most of the literature is not specialized in education issues but more generally on public services and principles of new public management. The literature is written more often by professionals and policy makers than by researchers, while the area of research appears relatively limited, except on issues about professionalization and professional identities of principals or about their conditions of work in schools. Trade unionism is also a major component of this professional culture, and professional associations have an important role in the dissemination of research findings on topics more related to the trends of education policies than to school management itself. However, according to the development of accountability, an emergent literature is disseminated on evaluation, school improvement, and leadership, even if it remains very marginal.

In French educational research, principals are mainly studied by sociologists and according to a critical stance toward management. They emphasize the prescriptive dimension of the work, its breakup into a multiplicity of tasks, and the pressure induced by contradictory requirements (Barrère 2008). This research, which aims to describe the authentic work of principals, against theories of management, is well symbolized by Anne Barrère's book *Les Managers de la République* (2013) (tr. The Managers of the Republic). The title by itself shows how the management appears, for French researchers, far from the values of the French Republican school system and its centralized and bureaucratic tradition. But, instead of criticizing bureaucracy, these sociologists prefer to analyze the work situations faced daily by principals and the way they are subjectively building up the picture of their work. Beyond the description of their careers, two chapters explore the administrative work experienced by principals as intrusive and unskilled. Anne Barrère argues about the importance of their relational work through the organization of meetings and the settlement of conflicts while decision-making remains rather invisible. The latter is difficult to maintain because principals have to face urgencies and to be available, open, and reactive to the requirements and complaints of teachers. The principal is described as an administrator who has to negotiate with some bureaucratic rules to adjust its organization and to fit its internal and external environment, particularly in maintaining the level of enrollments and the reputation of the school. Even if she/he focuses her/his efforts on the relationships with teachers, the principal is challenged by a latent conflict and the maintenance of the professional autonomy of teachers that impedes her/him in achieving its pedagogical and educative roles. So each principal feels lonely in the face of contradictory requirements, increasing responsibilities, and the lack of recognition by the hierarchy.

This view is confirmed by the research of Agnès Pelage who, like Anne Barrère, has developed field studies of schools and interviews to describe the heterogeneous work, the multiplicity of tasks performed by principals, and the diversity of their professional identities (Pelage 2008). Inspired by the theoretical framework of the French sociology of work, she also produced evidence about the numerous challenges faced by principals in making teachers work together or in trying to bring up a "culture of evaluation" inside schools. Principals seek to transform teaching practices, and they use indicators, but their action is refused by teachers who prefer

to work with peers according to their affinities (Barrère 2009). The control of the hierarchy does not allow principals to be autonomous, innovative, or entrepreneurial. Through these sociological findings, the analysis of prescriptions is used to show the difference with an authentic work and to develop criticism against the blind vision of management or leadership theories which dissimulate conflicts and powers inside schools.

The French research literature on the topic of "educational management" is quite poor. One of its well-known representatives is Alain Bouvier, professor of educational sciences and former superintendent, who promoted early the theory of the learning organization. Through many examples, his book titled *Management et Projet des Etablissements Scolaires* (1994) (Management and School Development Plan) provides to principals a set of concepts and tools useful in leading a project and implementing a school development plan. The book is based on the current theories of the sociology of organizations. Alain Bouvier makes explicit the method followed by principals and explains how to anticipate changes and unexpected consequences, or resistance, in building several scenarios to increase the reactivity of the school to its environment. For him, the school development plan is a means to work collectively, to remove barriers inside schools, and to get away from segmented activities through cooperation and the share of common aims. According to his view, the project of the school must be based on three poles (education and pedagogy, administration, and the global policy of the school) and four dimensions (utopia, shared values, collective will, and short-term empowering objectives). The principal needs to elaborate a diagnostic to emphasize strengths and weaknesses in using statistics and data but also through an ethnographic approach describing the internal culture of the school and its values. This analytical framework is today shared and accepted by the majority of practitioners, and it structures their vision as leaders.

However, there is properly no academic literature on school leadership (Langanay 2009; Grandjean Luthi 2010; Normand 2010). One of the first books on the topic will be edited by Jean-Louis Derouet and Romuald Normand, two professors of sociology, the former at the French Institute of Education (Ecole Normale Supérieure, Lyon) and the latter at the University of Strasbourg (Derouet and Normand 2014).[1] It is issued by various contributions during the first conference on school leadership organized in 2012 with the support of the European Network on School Leadership, the French Ministry of Education, and the Ecole Supérieure de l'Education Nationale. The objective is to disseminate the existing knowledge in this field and to reinforce the links between heterogeneous professional worlds from policy making to practice. The book questions the traditional divide between administration and management and the position of principals and teachers inside schools. The contributions describe the transformations induced by school leadership and its

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[1] DEROUET Jean-Louis, NORMAND Romuald, (coord.) Une nouvelle répartition des rôles et des responsabilités au sein des établissements scolaires. La question du leadership. Contributions à une réflexion européenne, Paris, Ed. Organisations, 2014. (A new share of roles and responsibilities in schools. The Issue of Leadership. Contributions to a European Reflection.)

role in the modernization of school systems observed in other countries. The last part analyzed the new skills required from principals to act as leaders and the professional development required to overcome some old features of the French bureaucratic administration to lead school improvement and change.

In contrast to these academic findings, some multiple papers, often written by professionals and policy makers, can be found in the professional literature. In one of the issues published by *Les Cahiers Pédagogiques* (1997), a journal devoted to educators interested by school change and innovation, several authors (general inspectors, former superintendents, policy makers, practitioners) shared their views about leading schools. Their writings represent a sort of "official discourse" for the profession, as they are largely reviewed and commented upon in training sessions. In this special issue, Jean-Pierre Obin, general inspector, resumes a topic he has largely disseminated in his books and professional circles: the idea of "steering schools according to values," which emphasizes the ethical dimension (against the technical one) of the school administration according to a republican conception shared by many educators in France (Obin 1997). This argument is used to justify the necessity of cooperation and solidarity inside schools against the negative trend of individualism and trade unionism among teachers. In many professional publications, trade unions are often accused of being corporatist and not sufficiently devoted to students and families. In this publication, Jean-Paul Delahaye, former general inspector and currently head of the Department of Schools at the ministry, argues that the autonomy of schools has to be supported by its pedagogical council, the development of teamwork, and a new sense of initiatives and responsibility among teachers, but with respect to the hierarchy, official guidelines, and republican principles (Delahaye 2007, 2010). So it is not a managerial autonomy which is advocated here, but rather an autonomy framed by the State. Christian Forestier, former superintendent and influential policy maker, explains that the pedagogical autonomy of schools must be a true space of freedom built on the force of conviction more than on constraint: the principal has to share with his/her staff the decisions taken by the ministry and by the state local authority and to distribute accordingly different roles and responsibilities among teachers (Forestier 2007). The same idea is resumed by Claude Pair, former superintendent and author with other colleagues of a famous report on the "respiration of the education system" in which he was defending a framed autonomy and responsibility for schools and the implementation of evaluation (Pair et al. 1998). However, these policy makers do not write on leadership, and they do not specify the way the principal has to act in context. This professional literature remains mainly rhetorical and normative without designing standards or guidelines for principals. This is the main power of the ministry to provide the required frameworks and to change the definition of skills and statutes. Beside these policy makers, practitioners describe their experiences in schools, or they write about redundant issues such as evaluation, the conduction of diagnostics in schools, the challenges of training, the implementation of the school development plan, the animation of the pedagogical council, and the regulation of teamwork. Some academics bring an outlook from their research rarely related to issues of administration and management. In this special issue published by *Les Cahiers Pédagogiques*, the professional identities of principals and the struggle against

school failure are the main debated topics apart from the conditions of their work. The issues of inequality and curriculum are also recurrent in this type of publication.

This share of papers between policy makers, practitioners, and academics is also one of the characteristics of the professional journal and association *Administration & Education*. It occupies a particular position in the educative landscape where it works as a forum regularly gathering practitioners through meetings and conferences. The professional association is led by the inspectorate and policy makers. However, in the journal, there are only a few issues devoted directly to management.[2] The journal is dealing with different topics related to current debates in education (e.g., inclusion, ICTs, the role of parents, guidance, the new Act of Finances), and it regularly resumes the proceedings of the association's conferences.

The "Blue Series," edited by the Centre National de Documentation Pédagogique (a national editor and center of resources for the ministry of education), is also a reference for principals, and it is used for training and the preparation of *concours* (tests taken by principals to be recruited as civil servants after leaving the teaching profession). It is directed toward practitioners, and it is written by professionals, experts, and academics close to the world of practice. The best-selling book presents all the aspects of the job through different areas (administration, law, pedagogy), and it reviews the whole official texts and guidelines for the profession. The recent book of Alain Bouvier is also an important reference. Titled *From the Project to the Contract of Objectives* (2009), it takes into account the recent changes in the legislation and the implementation of the new system of accountability. The book reviews different models and authors from the theory of organizations, but it also demonstrates the value of the school development plan to "act local and to think global," to develop a collective work, to give a common identity to the school, and to communicate with its environment. It explains that the school development plan does not exist without taking into account different steps: diagnostic, search of means, formalization, steering, regulation, and evaluation. Alain Bouvier comments on some different methods (creation of a steering group, audit, etc.) and gives numerous examples from real situations. The book devotes a chapter to focusing on the link between evaluation and the steering of the school, which is particularly at stake with the new legislation. It proposes to build some tools to evaluate the school performance and to collect data through different indicators. An importance place is also devoted to the management of human resources and the creation of a school community, which is a current issue in the debate among policy makers. Alain Bouvier advocates the development of participative management able to increase the responsibilities of educators within schools, but he does not use the word "leadership." He explains that the implementation of a school development plan has to be concerted, explained, negotiated, and contracted with the members of the educative community and the state local authority.

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[2] Here are the last topics related to administration and management with their dates of publication (the journal is publishing three or four issues each year): (2013) La GRH de proximité (The close management of human resources), (2012) L'École et les réseaux (School and its networks); 2010 Piloter le premier degré (Steering the first primary sector of education); (2010) Equipe de direction, équipe enseignante (Leading team, teaching team).

Other books have been published in the series, like those of Yves Grellier, a former regional inspector, who is specialized in the work of the deputy principal (Grellier 2012). He argues that the deputy principal lacks recognition and visibility, comparatively to the principal, because of his internal role and its distance from local authorities and bodies of inspection. Yves Grellier has also led a "Blue Sub-Series" titled "principal." He has written a more recent book on the new responsibilities of the principal (Grellier 1998, 2011). In his two books, he resumes the sociological theories of the organization to provide a critical analysis of the resistance to change and of some contradictions faced by the principal in a post-bureaucratic context. In this subseries, Alain Bouvier has provided a small book on the cognitive management of schools inspired by the current theories of knowledge management (Bouvier 2011). The other books are related to guidance and the implementation of the basic skills framework. Romuald Normand, with two principals, has written a special issue on the responsibilities of the principal in search of legitimacy and has introduced the problematic of school leadership at the end (Bastrenta et al. 2013). Beyond this official "Blue Series," some textbooks are published by other authors to describe and comment the main functions and missions of principals (Woycikowska 2003; Castincaud et al. 2004; Leblond and Moracchini 2010), their entrance to the profession (Woycikowska 2005), the new management of human resources (Berthie 2006), and the pedagogical role of the principal (Pointereau and Saint Do 2010).

Outside the educative sphere, Alain Bouvier has developed a series titled "Profession Cadres" (tr. Profession Executives) with the objective of promoting new reflections on the implementation of new public management in different areas of the French national and local public administration: education, health, justice, etc. The series aims to disseminate case studies and soft analytical thoughts toward middle-rank executives interested by the transformation of the State, decentralization, and changes in their professional context. This series is supported by The Ecole Supérieure de l'Education Nationale (National College for School Leadership) and the Ecole Nationale d'Administration (National College of Administration which recruits and trains all the high-rank civil servants), and it is edited by the Centre National de Documentation Pédagogique (Braconnier and Cauquil 2010; Brunetiere et al. 2012; Chevallier 2011; Chomienne and Pupion 2009; Mons et al. 2009; Pesqueux 2012; Trosa an Bartoli 2011; Vachino 2013). The first book of the series was devoted to educational issues (the implementation of the new system of accountability in the education system and its consequences), but the scope of the series is larger.[3] Olivier Bachelard and Romuald Normand (2014) have recently

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[3] Here are the titles of the book already published (complete references at the end of the chapter): Le pilotage par les résultats. Un défi pour demain (Steering by results: A challenge for tomorrow); Autonomie et responsabilité des cadres publics. Une mutation managériale (Autonomy and responsibility of public executives: A managerial mutation); évaluation des politiques publiques. Le développement d'une nouvelle culture (Evaluation of public policies: The development of a new culture); Le management par le sens. Au service du bien public (The management by the sense: Serving the public good); Ecole de la qualité. Une chance pour le management public (The school of quality: A chance for the public management); Le développement professionnel des

coordinated a book on leadership for the series, as this notion remains unknown by public servants.[4] It is the first time in the French professional literature related to education that the issue of leadership is explored with so many contributors coming from different areas of public policies: policy makers, academics, and practitioners. The objective of the book is to make a general review of leadership practices in different public administrations (ministries, local authorities), areas (education, health, welfare, justice, etc.), and public companies. It is also a general reflection on the way leadership can contribute to the modernization of the public administration and services.

The last type of publication explores the juridical issues related to the responsibility of principals in the administration of risks (discipline, violence, insecurity) in a context where they have to enforce legislation as representatives of the State and civil servants (MEN 2001; Picquenot 2004; Legrand 2006). More and more principals are confronted with trials, and they cannot only be secure in their positions as administrators. That is why the professional literature has recently developed a lot of thinking about ethics and deontology (Obin 1996; Simon 2010). According to official rules, principal have to maintain the sense of hierarchy and make other civil servants in the school respectful of the law. They are also responsible for the actions taken by the staff, and they are more and more confronted by trials in administrative and penal courts because parents are contesting their decisions in guidance, provision of teaching, and results in exams. This plethora of circular and official recommendations regulating the action of principals is an important feature of the Republican school system, and it proves the importance of the State and legislation in the administration of schools. An abundant literature is devoted to the prevention of violence and the maintenance of security (Debarbieux 2008) but also on ethical rules and the sense of authority required by principals to cope with adverse reactions from the local community (Obin 2003).

Some Reasons for the Difficulties of Research on School Leadership Emerging in France

As has been argued in this chapter, the field of research on school leadership in France is just emerging. The area of studies on management in education is not yet structured. Some attempts were made in the past to develop a science of school

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cadres. Apprentissages et gestion des connaissances (The professional development of executives: Learning and management of knowledge); La déontologie des cadres publics. Pour un service responsable (The deontology of public executives: For a responsible service); L'imagination managériale des cadres publics. Un talent à cultiver (The managerial imagination of public executives: A talent to cultivate); E-gouvernance. Pour une nouvelle administration numérique (E-governance: For a new digital administration).

[4] BACHELARD Olivier, NORMAND Romuald, Le leadership au service du Nouveau Management Public. Favoriser l'émergence de compétences collectives, CNDP, ESEN, 2013 (Leadership to serve new public management. How to enhance capacity building).

administration inspired by French-speaking Canada's experience (Derouet and Dutercq 2000; Dutercq 2002). But the impossibility of structuring this field of research and also the difficulty of penetrating some particularly endogenous professional groups, dismantled the ephemeral relationships between researchers and policy makers. The French educational research is, however, not prepared to be a research for education. Its important disciplinary features explain why history and philosophy are so appreciated by educators, particularly when they valorize the republican imaginary attached to the principle of equality of opportunity. The role of academic disciplines and their powerful representatives impact the conditions of teaching while didactics are influential in the educational sciences and nearby bodies of inspection. A strong interest is expressed in instruction and its contents rather than learning conditions and school improvement. There are no developed conceptions of school improvement, even if some sociologists have published a few papers on it.

In other ways, relationships between the ministry and research do not help to develop applied works on management and leadership issues. The Ecole Supérieure de l'Education Nationale maintains a monopoly on the training of executives, and the contents are not really open to academic investigation, but rather are designed according to ideological convictions and current political trends. The general inspectorate's reports are more influential in the decision-making and thinking of executives than the findings of researchers in education. The segmentation between research and practice is dubious not only because of a lack of sufficient mediations but also because of a conception of training which remains far from continuous professional development. The lack of evaluation of actions and the weakness of cooperation in schools do not give the possibility of being supported by research and getting feedback for teaching teams. Discourses and actions are juxtaposed, from the top to the bottom, without a true design of reforms and their implementations. Too often, an official rhetoric overcomes pragmatism and the analysis of situations.

The conception of authority and power, in regard to the power of the State and its institutionalized bodies, valorizes hierarchical and top-down relationships instead of more informal and transversal ones. The respect of the law and rules impedes the establishment of authentic relationships and a climate of trust in schools. The school institution itself, which is based on a logic of representation and expression of interests through different representatives, legitimizes a certain formalism which undermines the quality of relationships and the expression of authentic voices. Conflicts of power and competencies are numerous in the administration, while the analysis of practices remains a quite formal and disembodied exercise. Each one fears the judgment of others and the loss of fame and reputation.

The lack of a real local community, the rejection of parents outside schools while the school republican system maintains a distance from private interests to remain neutral, is also an important factor in explaining the difficulties of implementing a new share of roles and responsibilities. Tensions between independent local authorities and the State in the administration of schools and education policies also have to be considered. Independent local authorities, after investing in buildings and equipment, would like to take more responsibilities in the educative governance, while the State is resolute in maintaining its prerogatives on behalf of the defense

and maintenance of a national public service. So decentralization has it pro and cons, as illustrated by the current debate on the future of guidance services.

The lack of interest in issues of leadership can be also explained by some moral and ideological motives. Management is perceived as an Anglo-Saxon deviance contrary to the values of the Republic because it valorizes the market and the private against the State, its neutrality, and its historical struggle against inequalities. On the other side, the notion of leadership evokes the subjectivity and opinion of individuals related to a person they would have to follow. If hierarchical commandment is accepted, the image of the leader is less welcome. The idea of "chiefdom" overcomes that of "entrepreneurship," while the "sense of initiatives" is considered to be a risky adventure that can generate disorder and threaten the stability of the institution. So there is, in fact, a sort of patrimonial and conservative aspect of the way relations are built and structured between people. It comes, probably, from the legacy of the Ancient Regime and from the transposition of the rules of nobility transposed within republican institutions despite the French Revolution.

The democratic conception of schools can also be questioned. Because of the importance of the representation of interests oriented toward the State and the civic good, schools are not considered to be spaces of discussion and deliberation determining the future of the educative community. It is through the national community of citizens, and through its elected representatives and rulers, that solutions are expected to improve schools and to make them more equitable. Competition is accepted only according to a meritocratic vision and to equality of treatment securing the public and national features of the education system. This indifference to social, ethnic, and cultural differences impedes a diversification of schools which would probably be otherwise a source of innovation and creativity. But the republican imagination does not allow the development of such localism. Moreover, if the educative State seeks effectiveness and performance, it is also more bureaucratic in the implementation of its accountability system, which appears more as a control than the possibility for the educative community to take ownership of its vision and future. This political conception of the French school system has some consequences for the way the position of principals is perceived: a mediator searching for a compromise between several principles of justice rather than a leader taking initiatives and showing the path to follow. This position could evolve in the future according to a new step of decentralization and a new foundation of the teaching profession giving more place to intermediary functions in schools. But, until now, as illustrated by the current dispute about the assessment of teachers by principals, a project finally abandoned by the ministry under the pressure of different internal lobbies, the status quo is maintained.

Conclusion

This mapping of the French research on leadership demonstrates the extent of the work to be achieved in the study of the roles and responsibilities of principals, comparatively to other countries more committed to the modernization of their

education system. Is it a French lag or a cultural exception? Some signs of evolution in public services indicate that new public management is progressively implemented, and it changes the modes of organization and structuration of professions. The sector of public health, for example, has moved quite far through important reforms compared to the area of education. Furthermore, policy makers are more and more persuaded that the local level, and particularly the school level in a decentralized context, is the key to improving the governance and the performance of the education system. France is searching for its Third Way: not between the State and the market, but between the State and local democracy. The Scandinavian countries, and particularly Finland, serve as examples according to different aspirations to change. To maintain the Republican legacy, to modernize the public service of education, and to face globalization and the increasing comparison of education systems: these are the main challenges faced by the ministry of education for the next years. The place of principals will be decisive in this modernization, but no one is able to see how it will be configured in the future. But, after the implementation of an accountability policy, professions should be at the center of reforms worked out by French policy makers.

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Chapter 18
Germany: The School Leadership Research Base in Germany

Stephan Gerhard Huber

Over the past two to three decades, issues related to school leadership have become increasingly relevant in Germany. Studies about school leadership have been conducted on the macro level (the school system level) and on the micro level (the teaching and learning level), which includes references to the meso level (the organisational level of an individual school). Nonetheless, there are research gaps regarding educational leadership action, leadership competences as well as development measures that are needed to improve school leadership and finally regarding the working conditions of school leaders. Despite the existence of a few studies before the 1990s, empirical research on school leadership has only recently increased in number. Since around 2000, the state of research on school leadership has been improving.

The German School System

The German school system is under federal control. At a national level, independence in matters of education and culture lies with each state due to the federal principle. This means that each of the 16 federal states (the German 'Länder') has an individual school system ensured by jurisdictional and administrational laws. Each education administration is organised in a more or less centralised way, encompassing school structure, school types, curricula, etc. These administrations also encompass educational-policy goals, different education and administration traditions and unique regional characteristics. The organisation of the education

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administration in the individual states is the same as the organisation of the general administration. Even now, it has not lost its bureaucratic character, which it received in the first half of the nineteenth century when schools were integrated into the general administration. The minister or senator is head with a succession of subordinate institutions, at the end of which the schools function as the lowest unit. In large states like Bavaria, North Rhine-Westphalia and Baden-Württemberg, there is a four-level administrative organisation including the ministry, the regional administration, the school offices on the level of counties or county-independent cities and finally the school leadership at school level. In city-states (like Bremen, Hamburg, Berlin) the organisation is less complex. In Hamburg, for example, only two levels of administration exist.

The school types and school careers differ among the individual states. They share, however, a relatively similar structure: a common compulsory elementary school until fourth or sixth grade; secondary schools are differentiated into compulsory technical or vocational schools, secondary modern schools, grammar schools, etc. There are a relatively small number of comprehensive schools (ca. 5 %).

In order to unify the variations that exist in each of the states, the Conference of Ministers of Education ('Kultusministerkonferenz', KMK) was established. The influence of the KMK is sometimes very high and sometimes very low as it depends on the subject of debate and its political dimensions.

The Principalship in Germany

Compared to school leaders in many other countries, school leaders in Germany have limited authority due to bureaucratic traditions. They are basically not responsible for staff employment and dismissal; they have hardly any influence on the schools' curricula and have only very limited financial resources. Even though there have been recent attempts to change this situation and to shift responsibilities, their authority is still restricted. Nevertheless, school leaders are responsible for enforcing regulations and for the daily management of school life and lessons. Above all, they are in charge of all administrative tasks. Furthermore, they are responsible for representing the school, which includes keeping in contact with neighbouring schools and institutions as well as the community. Recently, further school-based responsibilities are emerging as more and more states try to decentralise decision-making processes, usually shifting them from federal state system level towards the organisational school level. School-based management has so far only been implemented in nearly all federal states during the last 10 years. However, the degree of decision-making power as well as the resources located to the school varies from federal state to federal state. Generally speaking, particularly comparing Germany with other countries from the OECD, new public management is still not implemented to this extent. Hence, school leaders' influence is restricted as teachers are quite free to make didactical and methodical decisions in their own right. This is called the 'Institut der pädagogischen Freiheit' (pedagogical freedom); in some

federal states, this freedom is legally guaranteed to the teachers. Furthermore, it can be argued that the true decision-making body in school is actually the staff conference (or the school community conference which consists of teachers and parents). Decisions made in the staff conference are obligatory for the school leader to implement and follow. In most of the different types of schools, the school leader conducts the regular official assessments of teachers which is for some of them new as, for example, in primary schools this was done by the school inspectors The school leader's teaching obligation depends on the kind of school, the number of classes and the number of pupils in her or his school. In a grammar school with over 1,000 pupils, the teaching obligation of a school leader is at least two lessons per week (the maximum is at 11 h a week in certain states); teachers at grammar schools teach – depending on the state – 23–27 h a week. School leaders in elementary schools have considerably more lessons to teach. In Bavaria, for example, 50 % of elementary school leaders teach 18 h or more.

School leaders are supported by vice school leaders and by other staff (e.g. the senior management team) who take over specific tasks, such as devising lesson plans, school career counselling, extracurricular tutorship, etc.

Vacant school leadership positions are announced publicly. Applicants' backgrounds are checked including an assessment of their past achievements and their teaching skills. A basic precondition for being appointed as a school leader is teacher training for, and teaching experience in, the respective school type. Moreover, additional qualifications are an advantage. These could be things like previous experiences as deputy school leader, in senior management teams, experiences as an instructor, who was in charge of the induction phase of teacher training, etc. Mostly, however, the state examinations after teacher training as well as the regular official assessments by superiors are the deciding factors. The candidates who are evaluated as most suitable are appointed school leader for life in a tenure track position of a civil servant.

Review Methods

In order to evaluate the state of research in Germany, numerous sources have been used (see the review of Huber for the German-speaking countries as Germany, Austria, Switzerland and Liechtenstein, 2012). The literature survey by Huber (2003) served as a basic starting point. To gain an overview of studies from 2003 onwards, various relevant German-speaking databases such as GESIS and FORS were consulted. Additionally, various Internet search engines as well as associated tools such as 'Google Scholar' and 'Google Books' were searched.

The results provided by 'Google Books' were examined in the online catalogue of the research library in Erfurt/Gotha (Germany). Additional sources referenced by relevant journals were added to the research findings as well. Additionally, programmes of conferences in the German-speaking countries over the last decade

were researched, and findings (projects with explicit reference to school leadership) were included in the research overview.

Furthermore, relevant seminars and lectures of master's courses in Germany regarding leadership development possibilities within the field of education management were taken into account. Relevant studies presented during the school leadership symposia, organised by Huber in the years 2004, 2005, 2006 and 2009 (see www.Edulead.com and www.Schulleitungssymposium.net), were also included. Finally, around 40 colleagues working in the fields of school effectiveness, school improvement and school management were contacted in order to identify relevant studies in German-speaking context.

There may be further (theoretical and empirical) studies and also further evaluation studies; however, if they are not listed below, we were unable to identify them using the research methods described above.

Nevertheless, there are numerous studies in the field of education research that deal with school leadership (implicitly or explicitly), be it exclusively or along with other topics. Usually in empirical research about comprehensive schools or about specific school development projects, e.g. all-day schools, variables directly or indirectly linked to school leadership are collected, but they have not often been analysed with regard to a specific research question about school leadership (e.g. by Holtappels, see Holtappels 2004, 2007; Holtappels et al. 2008). Such studies have not been included in this survey.

Numerous smaller research projects about school leadership have been conducted in the context of master's courses for school leaders. Moreover, during other study courses at universities, several research-based papers (diploma theses, bachelor theses) have been written. These papers have not been included either, even though they may serve as a basis for PhD theses.

In this review, the studies are not presented in terms of a juxtaposition. Such a presentation following the criteria, (a) aim/research question, (b) methodological approach/design and (c) selected results, can be found on: www.bildungsmanagement.net/SL-Research. Instead, this review is structured according to several subjects deemed as central to the field of educational leadership research.

Research Base in Germany

Role, Functions, Tasks, Self-Concept, Attributes, Attitudes and the Workload of School Leadership

Among the few German research papers about school leadership from the 1980s to 1990s, the study by Nevermann (1982) is fundamental. It focused on the historical and legal aspects of school leadership.

Several studies around 1990 and 2000 focused on the role, tasks and the self-concept of school leaders. The job profiles of school leaders as well as the importance of their different tasks according to the time spent on them are usually the subject matter of older studies such as the non-representative study by Schmitz (1980), the representative survey of school leaders and teachers in Hessen by Haase and Rolff (1980), the qualitative study by Krüger (1983) and the analysis of school-internal administrative tasks of grammar school leaders in North Rhine-Westphalia by Wolfmeyer (1981).

Wissinger (1994) investigated the tasks of school leaders in Bavaria. Rosenbusch's (1994) formulation of a structurally disturbed relationship between school leaders and education authorities referred to the results of a study in Bavaria about the relationship between teachers, school leaders and education authorities. There were investigations by Baumert (1984) and Baumert and Leschinsky (1986) about the role definition of school leaders and a survey of newly appointed school leaders of secondary schools in Bavaria by Storath about how they define their roles (1994).

Rosenbusch et al. (2006) investigated the tasks of school leaders at Bavarian elementary schools and different types of secondary schools (Hauptschule and Realschule). In Lower Saxony, a job analysis was conducted (Vogel and Partner 2005).

Rosenbusch and Schlemmer (1997) researched the role of educational leadership in the context of new requirements for the individual school and its extended self-governance. Dalin and Rolff (1990) emphasised a dynamically and systemically oriented understanding of the school as an organisation with enhanced roles and tasks for school leaders. In the study by Neulinger (1990), the school leader was seen in a mediator and intermediator function. Thereby, the school leader was regarded as a system stabiliser rather than a system developer. Riedel (1998), however, in a comprehensive survey of school leaders of all of Berlin's public schools detected an overall agreement among the school leaders about the positive impact of decentralisation of responsibilities.

As part of the international research project 'Personnel Development as a Management Task of School Leaders', surveys of school leaders were conducted in Switzerland, Germany and Austria. Kansteiner-Schänzlin et al. (2012) published their results of the survey of school leaders from Baden-Württemberg (Germany).

The results of a study about the relationship between school leaders and teachers by Schmitz and Voreck (2006) showed that there was often a discrepancy between the expectations of school leaders and the fulfilment of those expectations by the teachers, especially in cases where the school leaders were predominantly committed to school administration and school rules.

In his theoretical paper, Szewczyk (2005) linked several approaches to describe and explain social change in order to identify areas of change and management processes of vocational schools.

In her theoretically oriented study, Spraul (2003) focused on school management, which requires navigating a tense relationship between educational tasks and

economic requirements. The author concluded that school leaders will increasingly have to take over management tasks. According to her, school management will hold a key position in the future regarding the strengthening and self-monitoring of the individual school. Furthermore, Spraul states that an integration of business practice methods is indispensable for the educational system.

Huber and Schneider (2007) provided a comparative overview of the changed descriptions of job requirements and job profiles of school leadership in all federal states of Germany. The results show that the central role of school leadership is becoming more and more focused on quality assurance and quality development. The recently established task profiles reflect the complexity of school leadership actions.

A study encompassing all 16 German state ministries (2008), published by the association 'Schule Wirtschaft' (School and Economy) and the Cologne Institute of Economic Research, also identified the school leader as a manager, comparing his/her role with the one in the business sector.

Harazd et al. (2009) identified teacher health care as a new task of school leaders. They illustrated how teacher stress can be reduced by health-oriented leadership action, which in turn increases school quality. Dadaczynski and Paul (2011) examined in an international online study, which importance school leaders ascribe to the mental health of teachers and students. Both studies will be presented in the next section as two of the exemplary projects described in more detail.

A study done by Bessoth (1982) focused on the school leader, her/his attitudes, interests and opinions as well as motives relevant to leadership. It was a standardised non-representative inquiry about the professional interests of school leadership personnel. Kischkel (1989) investigated work-related attitudes of school leaders and teachers holding leadership positions compared to those of teachers having no leadership or administrative tasks.

The self-concept of school leaders of all types of schools in Bavaria was the object of inquiry of a study by Wissinger (1996). Bonsen (2003) collected data about the conceptions of organisation and leadership of school leaders in North Rhine-Westphalia.

Languth (2006) studied the professional ethics of school leaders and classified five types of leaders: professional, resigning, programmatic, skeptical, and pragmatical. Warwas (2009, 2011) worked in a similar way by classifying school leaders in terms of performance types: generalist, teacher with administration tasks, educational leader, team leader and superior with educational responsibilities. Brauckmann (2014) analysed school leadership in the light of more autonomy on school level in decentralized German school systems.

In an explorative study, Hildebrandt (2008) examined the attitudes, actions and action sets of school leaders with regard to the learning processes of teachers over the course of their professional careers.

The self-concept of women in leadership roles was studied by Lutzau and Metz-Göckel (1996). Hoff (2005) compared the institutional backgrounds of individuals

in school leader careers in the 1960s and the 1990s. Using case studies, she was able to compare people in leadership roles by generation and by gender. In a theoretical paper, Stroot (2004) analysed the debate on women in leadership positions substantiating this debate with regard to the school context. Kansteiner-Schänzlin (2004) also researched gender issues regarding school leadership. Miller (2002) investigated the career of female school leaders in primary schools in North Rhine-Westphalia. One of the central findings was that female school leaders create networks in order to support each other.

Behr et al. (2003) interviewed school leaders of elementary and secondary schools about their workload and concluded that a high number of social conflicts, big schools and a high percentage of students with a foreign background intensify stress on school leaders. In 2013, Latk published 'The individual school system from a micro-political perspective' with particular regard to the role and function of the school leader.

In their school leadership study in the German-speaking countries, Huber (2013a, b), Huber and Reinhardt (2011) and Huber et al. (2013a, b, c, d) are currently analysing the work situation of school leaders in Germany (in four states: Baden-Württemberg, Saxony-Anhalt, Hesse and North Rhine-Westphalia) as well as in the German-speaking part of Switzerland; the study is also being carried out in Liechtenstein and Austria. This German-speaking school study in particular analyses person-related professional biographical as well as job context information, general aspects of stress as well as what school leaders like and what they experience as a burden. With a subsample, data about daily activities are gathered using an experience sampling approach with an end-of-day log. This study will be presented in the next section as one of the exemplary projects described in more detail.

School Leadership and the Effectiveness and Improvement of Schools

Since the turn of the century, research interests have turned towards the impact of school leadership on school effectiveness and improvement. Bonsen et al. (2002) analysed the causal relationship between school leadership and school quality, identifying goal-oriented leadership, innovativeness and perceived organisation skills as important features for successful school leadership. They presented, among other components, feedback as a central steering element of school leadership.

In the context of the PISA study, Rolff (2003) used the data collected for PISA in 2003 to further investigate the elements connected with school leadership. Wissinger (2002) compared the school leadership data of the results of the TIMS study and the PISA study.

Huber and Niederhuber (2004) interviewed teachers about their views on and experiences with school leadership impact following a succession in the school leadership.

Huber (2003) conducted a needs assessment for school leaders at schools in Berlin as preparation for the model project of self-governed schools. The results of this programme evaluation were presented by Huber (2006; recommendations were formulated by Huber et al. 2007).

Janke (2006) conducted a multi-level analysis on the social climate in schools from the perspective of teachers, school leaders and students. In the context of the Berlin project 'systematic classroom development by means of integrative quality management', a triangulative study 'leadership and educational quality development' has been conducted at vocational schools since 2008 (Wagner 2011). The study includes questionnaires about the perceived leadership action from the teachers' point of view as well as group discussions with leaders from individual schools about their understanding of leadership. In his effectiveness study about school leadership action in project schools of the region of Emsland, Lower Saxony, Lohmann researched the issue of quality of instruction by leadership (2013).

The introduction of a changed regulation procedure (new public management) was investigated between 2003 and 2006 by the joint project 'Governing of schools for adults in Hessen' (see www.rub.de/sfe-hessen). The implementation of this procedure was a particular challenge for school leaders, who were to a large extent responsible for its practical realisation – especially in mediating with the teachers' body. The effect on school management, therefore, was one of the central guiding questions of the project. Koch (2005) investigates in a quantitative analysis the structure of interweaving conditions that impact on the effectiveness of school leadership.

In the context of the evaluation of the project 'Self-Governing School', Rolff (2008) analysed school leadership and internal school organisation in North Rhine-Westphalia; Feldhoff and Rolff studied (2008) the effects of school leadership and steering group action and (2009) school leadership in self-governing schools.

Lämmerhirt (2011) analysed in his doctoral thesis the role and function of school leadership during the implementation (and institutionalisation) of innovation.

Huber and Muijs (2010) analysed school leader effectiveness within the context of international studies. Looking at the German context, Huber et al. (2011b) took into account regulation processes and change processes and focused on the role of school leadership and steering groups.

Huber et al. (2011a) compare studies in a meta-analysis, in which instruments that measure professional school leadership success are analysed. Their goal is to be able to present and compare different ways of operationalising 'school leadership success'.

Tulowitzki (2014) researched from a German researcher's perspective how French school leaders deal with school development issues and how much time they spend on school development.

Professionalisation of School Leadership: Leadership Development and Selection

There has been no specific research on the development and training of school leaders for a long time. Without current and concrete research about school leadership development, it is hardly possible to formulate well-grounded statements that can be used as a basis for creating programmes that meet current school leadership development needs let alone provide the basis for necessary modifications. For the 16 German federal states, Huber as early as in 1999 created a synopsis (juxtaposition), which makes the analysis of the leadership development practice in Germany possible (see Rosenbusch and Huber 2001; Huber 2002).

Aside from the school leadership development landscape in Germany, Huber (2003, 2004) also focused in a comparative study on the development of school leaders in 15 countries in Europe, Asia, Australia and North America. He identified changes across nations, tendencies of development and trends. From the analysis of the data, Huber generated a set of basic requirements for a development programme and provided recommendations for the design of future programmes.

Influenced by this prior research, conceptions of an ongoing professionalisation of educational leaders in schools, among others in Saxony, Saxony-Anhalt, Thuringia and Bremen as well as in the master's course school management at the University of Teacher Education Central Switzerland (PH Zug) have been created. These conceptions include measurements for the short-, medium- and long-term recruiting of new personnel as well as measurements of development and support for both newly appointed and experienced school leaders. As part of the development of the conception of the qualification of educational leaders for schools in Thuringia (2006), a needs analysis of the development and support for school leaders was conducted. The analysis and discussion of approaches to theories and considerations of the professionalisation of educational leaders in general (Huber and Schneider 2006) were the focus of two exploratory studies of the research group led by Huber.

Because studies show that school leadership is important for a decentralised development of the individual schools, the professionalisation of school leaders has become a key issue of educational politics. The OECD study Improving School Leadership took this aspect into account and organised national studies for the member states. Based on these reports, two extensive publications by the OECD in the form of a meta-analysis emerged. Austria took part in this study; Germany and Switzerland did not participate at that time. Huber functioned as an international expert for the study as a whole (Improving School Leadership, Volume 1: Policy and Practice) and worked on the case study about England (Huber et al. 2008: Improving School Leadership, Volume 2: Case Studies on System Leadership).

Witjes and Zimmermann (2009) carried out an evaluation of the project: 'school leadership coaching by senior experts in North Rhine-Westphalia', in which school leaders were taught about management knowledge by former or active leaders from the business world.

The criteria for the selection of school leadership personnel have barely been analysed at all in Germany up to this point. Hopes (1983) analysed the criteria for selection of school leaders, however, only for Hesse.

Rosenbusch et al. (2002) created a synopsis about the practice of personnel selection of school leaders in the German federal states. Huber and Gniechwitz (2006) actualised the synopsis. Huber and Pashiardis (2008) as well as Huber and Hiltmann (2010) investigated the international procedures and methods for the selection and recruitment of school leaders.

Huber and Hiltmann (2007, 2010) developed an online self-assessment tool for educational leaders (Competence Profile School Management, CPSM) based on psychological tests. The aim of CPSM is to offer a potential analysis for school leadership which serves as an orientation for teachers who are interested in school leadership tasks or as a basis for clarifying personal strengths and weaknesses for newly appointed and experienced members of school leadership teams. In close connection to the competence profile stands the interest-focused questionnaire by Huber and Zois (2011) and Huber et al. (2011e) for future school leaders.

Hancock and Müller (2010) compare the influence of possible motivators and inhibitors that impact teachers' decisions to become principals in the USA and in Germany.

The perception of school leaders of the professional development of teachers was examined by Huber et al. (2011c) in a study of all continuous professional development means in Saxony-Anhalt.

Gibitz and Roediger (2005) also used a potential analysis as an instrument for the recruitment of educational leaders in Hesse. They did so by highlighting a number of core competences for future school leaders and developing exercises to train them.

Huber (2010a, b) and Huber et al. (2011d) evaluated leadership development programmes in Bremen, Saxony, Saxony-Anhalt and Thuringia. For this, a theoretical frame model for theory-based empiric research was developed (Huber 2009b; Huber and Radisch 2010). This model forms the basis for several qualitative and quantitative evaluations, which besides the participants' point of view also include the opinions of the trainers (organisers, training staff) and the people responsible. The quality of teaching and learning arrangements are thus evaluated, as are individual learning processes and the transfer into practice.

Tenberg and Pfister (2012) investigate leadership approaches and theories with regard to their applicability to the structures of vocational schools, in order to collect in a standardised inquiry precise data about the wish of teachers in vocational schools to apply for leadership positions.

Exemplary Projects in More Detail

Project 'School Leadership Study 2012 in Germany, Austria, Switzerland and Liechtenstein: Job Preferences and Job Strains in School Leadership Practices'

This study in the German-speaking countries by Huber (2013a, b) and Huber et al. (2013a, b, c, d) aims to gain empirical insights in the work setting of school leaders. Its goal is to demonstrate which of their professional activities school leaders like to do (preferences) and which are a strain on them (strains). Moreover individual factors (e.g. aspects of one's occupational biography) as well as institutional factors (e.g. conditions of the work setting) were tested as predictors of job strain. For operationalisation purposes, Huber's (2008, 2009a, b) model of school leadership practices was used, and Böhm-Kasper's (2004) model of school-related strain was adapted to the contextual specifics of school leadership.

The School Leadership Study is conducted in the following steps:

1. An exploratory study comprising 20 individual interviews with school leaders of all school types was conducted to identify relevant factors that were to be inquired in the written survey.
2. A general inquiry using a web-based questionnaire. It focused on, e.g. the occupational biography, the school-related work setting and general and specific stressful work life conditions.
3. In the third step, the daily professional practices and activities of school leaders were recorded via an end-of-day log covering three work weeks distributed across the school year (in which the participants entered their activities during the day every evening, indicating what they had done, when, with whom, for how long and where).
4. In the fourth step, interviews were conducted with school leaders focusing on the one hand on areas of pressure and tension in school leadership practice, which may lead to strong stress experiences and on the other hand on the interrelations of stress patterns of highly strained school leaders.
5. In a further step, job profile analyses were conducted, to investigate into national and regional-specific (i.e. federal states or cantons) demands on school leadership.

Altogether 5,394 school leaders participated in the general inquiry (which is a response rate of 49 %). The sample consisted of 3,764 school leaders from Germany, 741 from Austria and 889 from Switzerland and Liechtenstein. The school leaders are between 25 and 66 years old ($M = 52.45$; SD = 7.75). For the analysis of quantitative data, structure equation modelling and path analysis were used.

The analysis of the specific strain experiences, which is the strain by specific activities, types of activities and areas of practices clearly gives evidence that organisational and administrative activities are perceived as particularly stressful and disliked most. Activities closely connected with teaching and education (such as teaching in a class, talking with students, exchange with colleagues, one's own professional development) proved to be very popular and were perceived as only little stressful. The same pattern can be found in the analysis of the types of activities: all school leaders experience activities that are close to education, close to classroom teaching and professional exchange with colleagues as less stressful than others.

In general it can be stated: school leaders who experience an activity as stressful do not like to perform this activity as much as activities perceived as not (or less) stressful, which, in turn, are more popular. However, there are also some exceptions, which theoretically speaking makes sense because even activities you like can lead to stress.

However, the following tendency has become obvious: tasks that belong to the traditional range of tasks of teachers are more popular among school leaders and are experienced as less stressful than tasks that have been added to school leadership responsibilities only recently through changes in the school system as a consequence of decentralisation (new public management). Compared to their Swiss colleagues, German school leaders demonstrate a lower job satisfaction and a higher occupational stress and emotional exhaustion.

A path-model was conducted to analyse the predictors of job strain and job satisfaction. We found a model, which fits the data well. Emotional exhaustion and occupational stress were used as operationalisation for job strain (Fig. 18.2). A multigroup analysis proofed the model to be valid for school leaders in Germany and Austria as well as in Switzerland and Lichtenstein. The analysis of the conditioning factors for job strain as well as job satisfaction showed the strongest effects for the individual stress resilience and the social support by colleagues. The higher the individual stress resilience and the higher the social support by colleagues are, the lower the individual's occupational stress and emotional exhaustion are perceived to be, and the higher the job satisfaction experienced by school leaders is. Beyond, a good infrastructure can help to reduce the job strain of school leaders. Interestingly, a high motivation for the job is related to higher levels of job strain. School leaders, which are highly motivated, seem to ask too much of themselves. A good social climate predicts less job strain, as well a higher job satisfaction. However the social support by colleagues is more important than the social climate at the work place concerning both, job strain and job satisfaction.

The findings of the end-of-day log show that organisational and administrative activities require most of the time of a school leader's work day. School leaders invest on average a third of their time in these activities. About a quarter of the time is used for activities concerning one's own class room teaching with huge variation according to the size and type of school (elementary/secondary). With nearly 1 h per day, education and guidance and personnel are in the midrange.
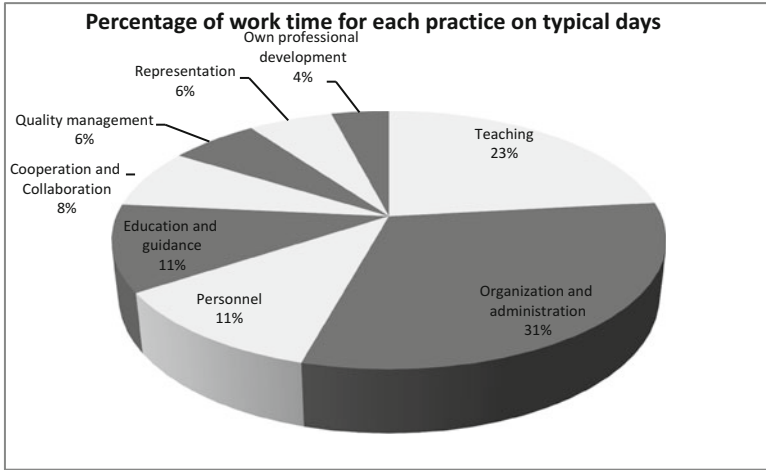
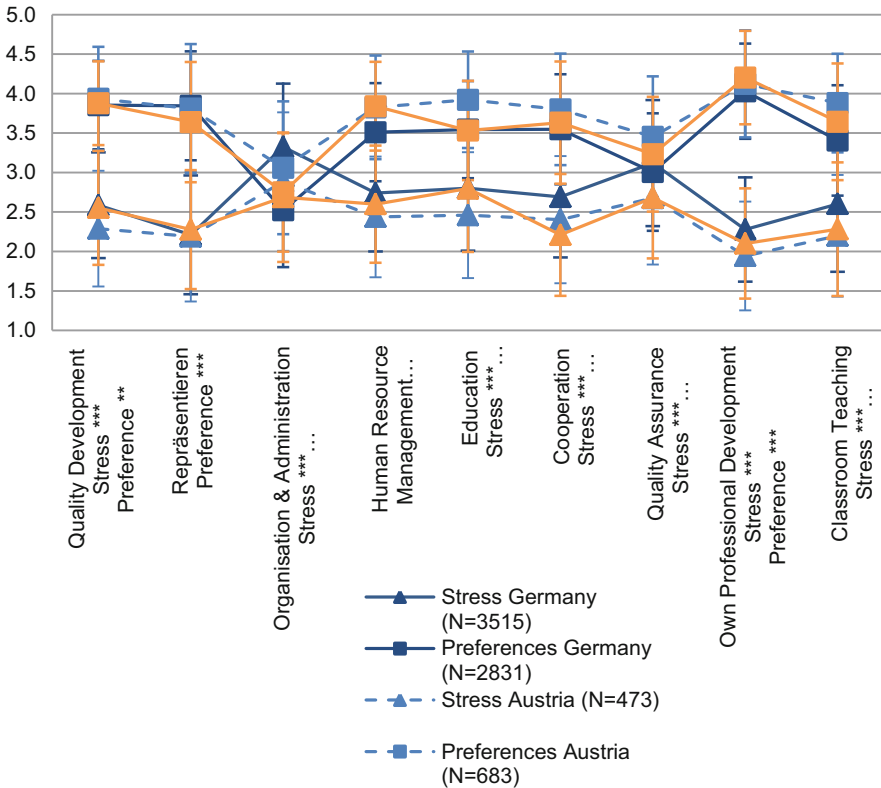**Fig. 18.1** Percentage of work time for each practice on typical days

Fig. 18.2 Comparison between preferences and stress in the different fields of activities in Germany, Austria and Switzerland

Project 'Mental Health of Teachers and Students in the Perception of School Leaders'

The international study about school leaders deals with mental health and well-being. It is application oriented and is based on a cooperation of the International Alliance for Child and Adolescent Mental Health and Schools (Intercamhs) and the International Confederation of Principals (ICP). This summary presents the results of the German part of the study by Dadaczynski and Paulus (2011).

The goal of the study is to measure perceptions and attitudes of school leaders concerning the mental health of pupils and teachers of their schools. It also aims at finding out which support requirements the respondents have.

Eight hundred forty school leaders took part in the quantitative survey, which was conducted via an online questionnaire. The data were collected between September 2008 and December 2008. Besides socio-demographic aspects, the survey covered subjective perceptions of mental problems of pupils and teachers from the viewpoint of the school leaders. School leaders were asked to rate the importance of selected mental problems on a 5-stage scale. Furthermore, the school leaders were asked to rate the relevance (regarding their practical work) of different resources for different subject areas of mental health. The selection of those subject areas was based on a holistic approach of health promotion in schools. This approach encompassed behaviour-related aspects, environmental preventive measures and included fields of the school environment.

The results show that externalising problems are jugded as more significant than internalising problems. Those supporting resources that offer concrete help for the schools are seen as most helpful by the school leaders. The ANOVA shows a main effect for gender. After the exclusion of the primary schools, where the distribution of gender is very uneven, internalising mental problems of pupils are jugded as more relevant by female school leaders compared to male school leaders. The resources for support 'concrete help for schools' and 'health-promoting school development' are rated as more important by the female school leaders.

The authors attribute the fact that externalising mental problems are perceived as more important than internalising mental problems to the fact that internalising problems are rather hidden problems. Besides, the authors explain this result by pointing out the fact that externalising problems are more relevant in the school's logic, because they impede successful work. The authors assume that school leaders underestimate internalising problems. Dadaczynski and Paulus presume that possible causes might be a lack of diagnostic competence or a low level of interconnectedness with relevant persons like school psychologists or students' counsellors. This corresponds with the fact that school leaders wish for more competences in the early diagnosis of symptoms of mental problems and see cooperation with school external partners as a potential support.

Project 'Health Management in Schools'

Published in 2009, Health Management in Schools – Teachers' Health – a New School Leadership Task by Harazd, Gieske and Rolff is part of the cooperation project 'effect of new leadership concepts on the quality of schools' of the Institute for School Development Research (IFS) at TU Dortmund University. This research project is funded by the Unfallkasse NRW, an insurance company. The main focus of the project is to determine the effects of school leadership on the quality of schools and the health of teachers. Furthermore, it describes and compares the experience of stress in various tasks of school leaders and teachers.

The study uses a quantitative as well as a qualitative approach. School leaders and teachers of 125 schools filled in an online questionnaire. This group consists of 33 primary schools, 24 secondary schools, 23 comprehensive schools and 45 vocational colleges. In advance, 32 school leaders were interviewed. In total, 3,359 teachers and 118 school leaders in North Rhine-Westphalia participated in this study.

In order to measure emotional exhaustion as a negative consequence of stress, a shortened version of the Maslach Burnout Inventory was used (translation by Barth). As a result, school leaders are less emotionally exhausted than teachers. Positive consequences of stress were also part of this study, operationalised by the emotional, physical and cognitive well-being as a part of the WHO-5 well-being index. Again the school leaders showed significantly better values than the teachers. The authors of this research assume potential reasons: school leaders may have more offensive strategies to solve problems, fewer tendencies towards resignation, a much stronger ability to distance themselves from the workload, a greater autonomy or a more diverse range of tasks. Another reason could be the assumption that particularly teachers with an effective health management aspire school leadership positions. In addition, the impacts of various tasks were analysed. The authors conclude that school leaders are most of all stressed by administrative tasks and the implementation of ministerial regulations.

The assessment of various tasks is different with regard to the school type. First of all, school leaders at primary schools differ from those of other school types: primary school leaders describe tasks such as cooperation with parents, public relations, administrative tasks or human resource management as more difficult and exhausting than secondary school leaders do.

The authors also identified a correlation between the experience of stress made by the teachers and actions of the school leaders: the teachers' experience of stress is directly or indirectly influenced by the work of the school leader. Various aspects that influence the quality of a school also are important for a healthy school. These aspects are in particular clear objectives, an orderly learning environment, participation, cooperation, transparency, social support and feedback. In particular, salutogenic leadership is regarded by the authors as promoting teachers' health. Besides,

personal resources such as the expectation of self-efficacy can be influenced by the working conditions and are crucial for dealing with stress. Harazd et al. (2009) conclude that school management that offers the features mentioned above has both a positive influence on the effectiveness of the school and the health of the teachers.

Conclusion

Research in the field of school leadership has a relatively young tradition in Germany as in all German-speaking countries (as it does in many other countries, too). Since 2000, the research base has improved. In particular, the research teams of Rosenbusch, Rolff, Wissinger, Huber and Bonsen have published several studies on school leadership. Aside from the research by these researchers, most of the studies have been undertaken by researchers who only did one study as a qualification study. Unfortunately, groups who could use an interdisciplinary approach, such as research consortia, for example, seem rather scarce in the German-speaking countries.

However, a certain degree of internationality can be seen, and the international literature is increasingly being used to inform research into school leadership in Germany as well as in all German-speaking countries. It is also noticeable that funding for research programmes with a focus on school leadership/school management is extremely scarce or not existing at all.

This article is based on a literature review in all German-speaking countries, which comprised 119 studies. For this review, 80 studies from Germany were used (see also Table 18.1). Apart from these studies, there are further studies with different research questions, which along with their primary focus either implicitly or explicitly include school leadership. As stated before, such studies have not been included in this article.

In comparison with other German-speaking countries, it seems noteworthy that quantitatively more research has been conducted in Germany. However, given the size of this country, there are relatively speaking not that many more research projects. In the area of role, functions, tasks, self-concepts, attributes and attitudes, the difference in numbers is higher. Hence, we can assume that in Germany, more research is conducted in this area than in other German-speaking countries.

Table 18.1 Areas of School Leadership Research and Number of Studies

Area	Number of Studies
Role, functions, tasks, self-concept, attributes, attitudes and the workload of school leadership	39
School leadership and the effectiveness and improvement of schools	18
Professionalisation of school leadership: leadership development and selection	23

In the 1970–1990s, issues such as the role, functions, tasks, self-concepts, attributes and attitudes of school leadership prevailed. Besides, school leaders' relationship with the staff, legal aspects of school leadership and gender aspects have been focused on. Still scarce are studies regarding the effectiveness of school leadership. Research into the development, the workload and the health of school leaders has not been a focus so far. Evaluations of development programmes have always been conducted, yet mostly not been published.

The role of school leadership in large German states with different governance models, self-governing schools and education regions, new governance models with school networks and cooperations with other education institutions and non-formal education is an issue that needs more attention. In contrast to Switzerland, large systems should be looked at more closely. Small schools, however, deserve more attention as well.

Also deserving of more extensive research is the largely untapped field of differences between the states in Germany. As the federal states and their education systems differ, there is a high potential for learning from these variations. At the same time, the many differences and the fact that each state's education system evolves at its own pace (with political shifts sometimes causing sudden, unforeseen changes) might well act as a deterrent for researchers.

As Germany historically used to have several secondary school types, a lot of the research was focused on the different school types. This seems to be no longer the case with more and more research happening across various school types or being conducted within one type of school, but focussing on a general research subject (going beyond that type of school).

A rather new field of educational development and of educational research is shaped by the growing number school working more closely and systematically together with other schools as well as other institutions. Popular terms in this context are 'school networks' (when several schools link up together to create a better, more coherent learning environment) and 'educational landscapes' or networked systems (when schools and other education and non-education institutions link up to create a better more coherent learning environment). Of particular interest for researchers are questions of successful implementation (how can these networks be created successfully?) and effectiveness (are educational networks successful and under which conditions and how?).

The research desiderata that exist internationally (see below) also hold true for the German-speaking countries. Moreover, results from international research (particularly from the Anglo-American context) certainly cannot be simply adopted and applied, but they can be used for conducting replicative studies. This would be a rewarding and challenging task as when it comes to adapting the research instruments, for example, simply translating them into German would of course be insufficient. Such replicative studies could provide interesting comparative perspectives.

Based on this brief research review, further research desiderata become apparent, which will be outlined briefly:

There is still some need for further basic research into tasks of and demands on school leadership in German-speaking countries. Among these should be surveys and possibly observational studies of school leadership recognised as 'good' and 'bad' according to various outcome criteria on the organisation level as well as the individual level by teachers and pupils, for example. Of particular interest is the impact of school leadership on improving teaching and learning. Teaching and learning, or education and instruction, are the core activities of schools. In terms of an organisational-educational approach, it is from this that the core purpose of school leadership must be derived: what should school leadership activities be like in order to have the best possible effect on classroom instruction in a twofold sense; providing the best possible organisational conditions on the one hand and having an (immediate) effect on classroom instruction and classroom development on the other hand?

Moreover, research on stress, burn-out, and on coping strategies of school leaders is needed. In addition, research about school leaders' values, interests, the tasks they like and how all this is linked to various other factors such as personal aspects or elements of the organisational context could be illuminating and also how this is changing over time as school leadership is professionalised (moving away from 'primus inter pares' to professional leadership and management with high decision-making power).

It is necessary to conduct analyses regarding the training and development needs of school leaders at different career steps and in different school contexts. Specific research has to be carried out to determine the ways school leaders develop competences which lead to successful leadership with a high impact on key variables. How do they generate knowledge? How do they develop expertise? How can the transition of the knowledge acquired in the development programme into practice be improved? How does this change across the various career stages? What is considered helpful? International comparative studies, particularly concerning the effectiveness of programmes should be conducted. This will provide insights in the quality and sustainability of development programmes. A standardised research design would be desirable not only for a meta-study in this context. There should also be educational-economic studies on the efficiency of training and development programmes. These could provide information for educational-policy decisions concerning the overall efforts taken. Moreover, it would be interesting to investigate how the development of individual school leaders could be linked effectively to the development of individual schools in terms of qualifying school leadership teams and other change agents in the individual schools (including studies of schools that have realised alternative leadership possibilities such as shared leadership, etc.).

The importance of researching the selection and recruitment of school leaders and its connection with school leader development should be emphasised.

Obviously, much more can be researched; it is about specific issues of research within the different academic disciplines which can be applied in the specific field. Psychology emphasises social aspects, motivation, decision-making processes,

contingency issues, etc. Other disciplines such as sociology or political sciences or economics or others will have fruitful research questions and additional fields and approaches.

That the research base is not as strong as one might expect reflects not just a dearth of research but also deficiencies in research designs. Moreover, as to the data we have so far, there is a strong overreliance of self-report in leadership studies in the German-speaking countries where the most common form of research design is either a survey or interviews, usually of a limited number of school leaders. Studies are almost always post hoc, trying to work backwards with a retrospective view on the research object. This practice is clearly limited. Both survey- and interview-based methodologies, while highly useful, have some severe limitations, when used as the sole means of data collection. Post hoc interviews are heavily prone to attributional bias (the tendency to attribute to ourselves positive outcomes, while negative outcomes are externally attributed), as well as to self-presentation bias and interviewer expectancy effects (the tendency to give those answers that might be expected by the interviewer).

Survey questionnaires are likewise limited, especially where they are cross-sectional, as only correlational data can be collected. The issues of expectancy effects and bias exist here as well, as does attributional bias, for example. These limitations mean it is often hard to make strong statements either about impact or about processes.

The quantitative methodologies used need to be longitudinal more often and to take advantage of quasi-experimental designs and even of field trials of new leadership methods. Moreover, there is a need to gather data not only from the school leaders but also from teachers and others (to add additional views from an external perception to the self-reports from a self-perception).

Additionally, observations, although cost intensive and not easy to implement as they most often intervene with the day-to-day practice which should be observed, might help move research towards multi-perspectivity and triangulation.

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

Researchers have begun developing mixed methods designs. Combining different approaches can in many ways be fruitful either in an explanative or in an explanatory way. Firstly, it is clear that researchers and scholars within the field of educational leadership need to be more explicit about the theories applied, the constructs used, and to have a conceptual awareness, meaning that the underlying assumptions guiding the research are identified. What is obvious is that the complexity of leadership processes and their impact require the use of research designs which take this complexity into account. The research needs to be conducted in a coherent way, integrating research questions, conceptual framework, methods, analysis and conclusions and critically engaging in a discussion of the research results, including the limitations of the study conducted and the implications for leadership practice (see Yanchar and Williams 2006).

It is also interesting to see how alternative data-gathering methods might illuminate the complexity of organisation and leadership context, as, e.g. Huber (2008, 2009b) uses Social Network Analysis, Life Curve Analysis, such as pictures and metaphors.

In addition to more complex data-gathering methods, there is also a need for more refined methods of data analysis such as multi-level, growth models, structure equation modelling.

Moreover, research that takes the context and the contingency into account needs to be undertaken. However, these expected pieces of research are highly demanding. There are obvious contextual differences in terms of leadership such as the extent of autonomy school leaders have within the educational system, their appointment and selection criteria and many other less easily accessible cultural differences. It is about the culture of organisations and systems and the more general professional and general culture of a field and of countries. Carefully designed comparisons with other fields and other countries between the German-speaking countries as well as between other European and non-European countries would be very illuminating.

This means that the tendency to move straight to prescription becomes potentially even more harmful where the research base is from an entirely different (cultural) context, where school leadership will operate under different circumstances and conditions.

To summarise: while leadership research has made important contributions to the field of education, which have had practical benefits, if we are genuinely to move both research and practice forward, we need to perform more rigorous quantitative and qualitative research, aimed at both measuring impact and exploring processes, taking into account the complexity of schools as organisations and refraining from an overly prescriptive approach that, on the basis of very limited research, posits absolute truths about good practice. Last but not least, we need to create better 'fits' of theories, empirical research and experienced practice. Hence, besides all methodological and methodical questions and desired modified research practice, there is also a need to refine theoretical models and theories (whether with a very focused or with a broader approach). Empirical research should lead to further developed theories, and theoretical assumptions should guide further empirical work.

Obviously, feasibility is also restricting the research (our own and that and of our colleagues), and therefore the research designs should have the appropriate funding to make new kinds of research possible. Proper funding for research is an important aspect. There is a clear need for research grants which are large enough to allow cooperative research arrangements and to develop more sophisticated multi-perspective and longitudinal research designs.

National and international experiences should be considered and integrated, and international research cooperations should be promoted. As a basis for this, national and international networks should be developed further. In these networks, educationalists and practitioners should have a forum for the exchange of ideas and for cooperation.

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Chapter 19
Israel: Research on School Principals in Israel, Varied Topics and Limited Scope

Izhar Oplatka

This paper reviews the research on principalship in the Israeli educational system conducted by Israeli researchers since 2000 till 2013 and sheds light on varied aspects of this managerial career. It commences with a brief description of the Israeli four educational systems and of the nature of principalship in Israel. After presenting the methodology used, a thematic analysis of its major findings is depicted. The paper ends with some theoretical and conceptual insights about the research on principalship in Israel.

The Educational System of Israel

Israel has a total population of about eight million (around 80 % Jewish and 20 % Arab), and is divided into social, national, and political enclaves (Eliam and Ben-Peretz 2006) that are reflected also in the educational system. Thus, education in Israel is characterized by separate school systems for religious and secular Jewish children and separate state and church religious schools for Arab children. Consequently, there are four distinct sub-educational systems: state education system, religious state education system, Arab education system, and ultra-Orthodox education system, and parents have the legal right to enroll their child in any of this system. The current chapter focuses on school principals from the first three educational systems, i.e., on those belonging to the public education system that is financed and controlled directly by the Ministry of Education.

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While the three systems share similar structure (i.e., the first grade starts at age 6 through 12th grade at age 18), reforms, matriculation exams at the end of high school, national core curriculum, labor relations (tenured track), and student configuration (mostly, 1–6, 7–9, 10–12), they differ from each other in terms of culture, religious orientations, and some minor aspects. Thus, the *state-secular* (*general*) *system*, serving almost 60 % of the Jewish children, is founded on a system of universal values, characterizing a humanistic educational view of the world, with emphasis on the common denominator of humans, the people, and culture (Dambo et al. 1997). The purpose of the education is to inculcate general and diverse cultural values while granting legitimacy to pluralism, creativity, and critical points of view. The classes are mixed (girls and boys study together) and the subject matter includes general subjects (math, history, physics, and so forth).

The *religious education system* (RES) serves about 20 % of the Jewish children and is defined by law as state education with a religious character. Its major role is to provide educational services to a population (mostly Orthodox families) interested in both modern and religious education. Thus, RES is similar to state-secular education in both core curriculum and teaching methods but differs in its emphasis on religious education, which involves additional courses in the bible, Jewish law, and Jewish wisdom (Rich and Iluz 2003). Likewise, in respect to religious faith, the ideal graduate of this educational system is one who believes in God and follows the Torah and the religious commandments as a way of life (Dagan 1999).

The Arab educational system serves 20 % of the children in Israel, and all of them belong to the Arab minority (Muslims, Christians, Druzes) (Khamaise 2009). It is completely separate and distinct from the majority Jewish educational system, existing in different geographical areas, speaking a different language, and conducting different lifestyles and cultures. The two systems are separate but not equal and the resources allocated for Arab schools can be best described as a "concentration of disadvantage," leading to lower achievements, including the absence of specific and defined educational aims (Golan-Agnon 2006).

The spirits of globalization and privatization accompanied by values of individualism and diversity have brought about some changes in the three educational systems since the early 1990s. The Ministry of Education has commenced to encourage schools to specialize and offer unique subjects out of a predetermined list of subjects taught for matriculation exams. Furthermore, many secondary schools have increasingly became autonomous and self-managed, providing some freedom for school staff to build a vision and mission for their schools, based on their values and the communal needs and the ethnic characteristics of their students. The new value system coupled with policy shifts enabled the introduction of school choice reform in large cities as provided that it adheres to collective, egalitarian values.

However, many problems and failures of the educational system (e.g., scholastic disparities, low achievement, low teachers' salaries, major deficits in field of knowledge, inefficient utilization of resources) brought about some reforms. During the last decade, an authority for research and assessment in teaching has been founded in the MOE, and several national and international examinations have been introduced into schools. In addition, agreements with both teacher unions in Israel led to

some changes in the teacher's work nature (e.g., more teaching hours, one teacher-five pupil classrooms, time watch in every school) in return to higher teacher salaries. This is the context in which school principals work in Israel in recent years.

The Position of Principalship in Israel: An Historical Overview

From 1948, with the establishment of the State of Israel, the role of the Israeli principal has remained basically the same and is composed of few teaching hours with the addition of management hours. The principal's role definition is unclear and charged with responsibility without adequate authority. Basically, the principal is the top responsible for every function and activity taking place in his/her school (e.g., child safety, teaching and learning, administration). The principal population in the state education system, the religious state education system, and the Arab system comprises 57 % women; 50 % are over the age of 50, and 90 % hold at least one academic degree (Worgen 2006), with about 7.5 % annual turnover.

Since the 1980s, principals have been expected to become "outcomes bureaucrats," in order to increase the competitiveness of the Israeli market. Thus, both before the "turning point" and after, principals' ability to adopt a wider definition of their job was limited. Furthermore, the Ministry of Education continues to supervise the system, regardless of the governance structure (centralization vs. decentralization) and the control mechanisms in use (directives vs. standardization), thereby restricting the degree of freedom principals have in shaping their schools. In conforming to the system, principals have lost their proactive stance and their position as social and educational leaders (Eyal in press).

In 2007, a radical change has occurred, with the establishment of a national center of school leadership, which took upon itself the mission of improving the Israeli educational system through the activation of school principals as a leading professional community. This institute replaced the Department of Training and In-Service Education. It was the final stage in governmental attempts to upgrade educational leadership programs in the country (in the form of MA studies) and to suggest some unified courses and contents throughout the years. Accordingly, the Institute's main goal is to advance the education system in Israel and to enhance its achievements through the activation of school principals as a leading professional community (Rosha website).

To this end, the institute has invited experts and practitioners from varied areas of study to participate as members in one of its ad hoc committees. One of these committees, the one responsible for the redefinition of the principal's role tasks in Israel, finished its discussions in 2008 and published its final report in September that year. Accordingly, the missions of the principal have been reformulated to be more compatible with the model of instructional leadership, and their preservice training has

been reshaped to prepare future principals for their new, instructional tasks (Oplatka and Waite 2010). This model is clearly represented in the committee's report:

> This document reflects a clear priority: The main function of the school principal is to serve as an educational and pedagogic leader in order to enhance the education and learning of all pupils. Four additional management aspects facilitate and support this function: Developing the school's future image – vision and managing change; leading the staff and fostering its professional development; focusing on the individual; and managing the relationship between the school and the community. As a leader of the school, the principal must be able to grasp all of the school system's dimensions and aspects and create close connections between these elements in order to ensure the success of all pupils. (Rosha website, p. 9)

Given the significance attached to the role of the school principal in the instructional and administrative performance of schools, a professional committee founded by the institute proposed altering the traditional forms of principal training and adopting a new perspective on the organization of these trainings. Underlying this new perspective is the development of active educational leaders and the promotion of teachers' motivation to seek the principalship. It was assumed that these and related purposes could not be achieved through current forms of principal preparation program due to varied weaknesses (e.g., an overemphasis on developing managerial skills, a strong need for intensive practical experiences, an absence of mentoring programs). Thus, the rationale underlying the new model of principal preparation program lies in the belief that an effective principal preparation program ought to combine managerial and instructional theoretical knowledge with practice-based knowledge and actual experience.

Paper Selection and Analysis

This review provides a synthesis of the scholarship that has sought to expand understanding of principalship in Israel. The following research questions guided this review: (1) What are the common themes and characteristics that emerge from research about principalship in Israel? (2) What remains underdeveloped in the characterization of principalship in Israel and what are the topics for future research?

The articles for this review were collected in two-staged processes. As the community of Israeli researchers in the field of educational administration is very limited in scope, in the first stage the author asked his colleagues in diverse universities to provide him with the names of their papers that focused on principalship/the principal's role or included principals in their sample regardless of the methodology used in their study. Following this email correspondence, the author received 38 references. The second stage aimed to ensure coverage and comprised a systematic search of library systems databases, both in English and in Hebrew (e.g., Google Scholar, Ebscohost, ERIC, ProQuest, Sage Publications, the Israeli catalog of papers in Hebrew and books, the library catalog of dissertation in Israel (Israel catalog list)) using the search terms "principals in Israel," "educational leadership Israel," "Israeli administrators/headteachers," and "school management and Israel."

The following rules governed inclusion in this review. First, I sought studies where at least one of the purposes had been to explore the nature of principalship in elementary and/or secondary schools in Israel based on a sample of principals. Additionally, at least one of the authors had to be located in Israel. Secondly, the review excludes general information about principalship and schools (e.g., "how to manage your school" papers), or general articles speculating on ideal principals or management styles in schools were also excluded. Thirdly, when a report of a certain study about principalship was published both in English and in Hebrew, I chose the English version. Fourthly, in case a certain study had been published in different papers, I refrained from including each paper in this review unless the paper illuminated new aspects of the findings.

The Major Research Streams on Principalship in Israel

As a result of these search strategies and methods of elimination, 53 research-based publications, which fitted the criteria outlined above, were identified. Their publication dates begin in 2000 and continue to the present and revolve around several themes, and most of them are commonly debated in the international literature in educational administration: the relationship between leadership style and varied personal, organizational, and environmental variables, managerial skills and competencies, the principal's career experiences, the impact of education reforms on principalship, and principal preparation programs.

The Principal's Leadership Styles and Their Effects

Nine works that have been published by Israeli authors since the early 2000s focused on the principal's leadership style and its impact on, and association with, personal, organizational, and contextual variables. Some works explored several leadership styles, while others focused on one leadership style (e.g., participative leadership, transformational leadership). For example, Bogler (2001) examined the effects of principals' leadership style (transformational or transactional), principals' decision-making strategy (autocratic versus participative), and teachers' occupation perceptions on teacher satisfaction from the job. She found that teachers reported feeling highly or very satisfied when their work gave them "a sense of self-esteem," provided them with "opportunities for self-development," gave them "a feeling of success," and allowed them "to participate in determining school practices."

In other words, teachers need their principals to adopt transformational leadership and participative behavior if they want to increase their teachers' self-satisfaction and self-esteem. We gain similar insights from Tubin's (2011) qualitative study among successful school principals indicating that the principal needs to

provide both direction and autonomy to his/her teachers so as to allow them using these opportunities for improving instruction and students' achievements.

Three leadership styles in principalship received special, although limited, attention by Israeli researchers. The first – participative leadership – was explored by Somech and colleagues in a series of works, two of them are discussed here. In 2002, Somech highlighted the readiness of Israeli elementary school principals ($N=99$) to utilize participative approaches to decision-making mainly out of pragmatic motives to achieve valued organizational results. She explained:

> Principals tended to involve teachers more in the technical domain than in the managerial domain mostly by using consultative methods of participation, and they preferred to include teachers based on their motivation rather than their expertise. The findings suggest that participative management is a complex concept that consists of several dependent yet distinct dimensions; therefore, its conceptualization and operationalization should be examined by themselves, before an investigation of their antecedents and consequences (p. 341)

Four years later, Somech and Venderow (2006) further illustrated the complexity of this style by examining simultaneously the relative impact of participative leadership and directive leadership on teachers' performance through the intervening effects of three factors: job structuring (bureaucratic job structuring vs. person-job integration), decision domain (technical vs. managerial), and leader-member exchange (LMX). They found that the positive effect of participative leadership on their performance was above and beyond the specific conditions studied.

Israeli researchers have also explored the well-known model of transformational leadership and its relationship with teacher's motivation (Eyal and Roth 2011), personal teacher efficacy (Nir and Kranot 2006), and alternative entrepreneurial strategies (Eyal and Kark 2004). From these quantitative, large-scale studies, it was found that transformational leadership is linked to higher levels of personal teacher efficacy (although job satisfaction rather than the principal's leadership style was found to be the main contributing variable of this efficacy), to "initiating entrepreneurial strategy" (although it is more closely associated with proactivity than with organizational innovativeness), and with autonomous motivation among teachers. Eyal and Roth (2011) further revealed that transformational leadership was negatively associated with teachers' burnout, and this association was partially mediated by teachers' autonomous motivation. Second, transactional leadership was positively correlated with teachers' burnout, and this association was partially mediated by teachers' controlled motivation.

Finally, although the emergent model of leadership for social justice that have gained much attention in the literature about educational leadership worldwide during the last decade (Oplatka 2013) has not yet penetrated the discourse of leadership in Israel, two works published several years ago focused on inclusive leadership and social justice. Thus, Avissar et al. (2003) traced the principal's role in implementing inclusive practices in the school and found that Israeli principals in elementary schools manifest a clear vision of inclusion and their leadership behaviors promote inclusive policies. Their support, however, depends on the severity of the students' disability. Similarly, Palti (2004) showed that the moderate-inclusive Bedouin leader is young, educated, and proactive in social and academic inclusion of students

with special educational needs. While one cannot claim that these two studies deal directly with leadership styles, they provide some insight into the inclusive leadership style of Israeli principals and their ways of leading social justice in the school.

Understanding the Principal's Varied Skills and Competencies

Aimed at enlarging our understanding of the skills and competencies, Israeli school principals use ten works in different work areas, including teacher evaluation, control strategies, the use of research data, reflection, and teacher recruitment.

To begin with a very popular topic in our era of accountability and standardization in education – teacher evaluation – three works explored this issue from entirely different theoretical perspectives. Thus, Arar and Oplatka (2011) addressed perceptions and applications of teacher evaluation by Arab elementary school principals, Gaziel (2006) explored the purposes of the principal's appraisal from a political view, and Yariv (2009) examined the mutual discrete emotions among superiors in the evaluation process in schools.

Broadly speaking, these studies pointed to contradictory views of teacher evaluation between different groups of educators. For example, Arab male principals used summative evaluation and control in order to establish their authority, while female Arab principals were likely to prefer formative evaluation to better support teacher growth and development (Arar and Oplatka, ibid). Similarly, while the supervisors in Gaziel's (ibid) study put emphasis on summative assessment and the need for more resources for supervision, school principals emphasized formative assessment and portfolios and were involved in peer assessment. In their view, the other form of evaluation was a waste of time.

A distinction was also observed between principals and teachers in respect to teacher evaluation, but from a different conceptual standpoint, as Yariv (ibid) showed:

> As expected, the above average teachers were found to be favorably professionally evaluated by their superiors than the poor-performing ones. The principals expressed very positive emotions toward them…In contrast with the principals' evaluations, the below average teachers perceived their own performance as very good. Unlike the teachers who had mainly positive feelings, the principals experienced mixed emotions. The lower intensity of emotional 'tone' reflects the principals' hesitation about taking any action which might deteriorate relations with these teachers. (p. 533)

Principals as educational leaders have to use power and control in their role. An interesting report about it is Gibton's (2003) study. The author showed how English and Israeli principals used their powers more and more to redesign the targets and organizational structure of their schools. Accordingly, the principals were engaged in promotion and segmentation, changed their attitudes toward human resources, and learned how to use new technologies. Gaziel (2003) further elaborates on the meaning of power and control in principalship, indicating that Israeli principals

tend to solve problems by negotiation, persuasion, influence, timelines, planning, attention to details, and the setting of specific and measurable goals.

Other managerial skills Israeli principals demonstrate are related to research utilization, recruitment, reflection, and change. However, each of these skills has been explored in one work only. Thus, Hemsley-Brown and Oplatka (2005) found that English and Israeli principals were unlikely to use research data in their role because of their irrelevance and limited access; Hoz et al. (2003) emphasized the salient role of the principal's self-impression in the recruitment of new teachers in schools; Schechter (2006) illuminated the important role of the principal in a productive doubting process and, consequently, in an effective school change; and Wasserstein-Warnet and Klein (2000) showed that the principal's ability to change perspectives results partly from knowing how to deal with the interaction between a transformative, open-ended learning process and a time-cognitive orientation.

Notably, one of the products of this kind of study appears in the form of practical recommendations addressed to practitioners worldwide. For example, authors recommended school principals to use divergent thinking in any educational change (Wasserstein-Warnet and Klein 2000), to foster collective learning in schools (Schechter 2011), and to facilitate change through safe, collective endeavor resulting in teachers' ability to doubt ongoing schoolwork productively (Schechter 2006). The study conducted about the Israeli principalship, then, yields concomitant practical insights to other educational arenas.

The Principal's Career Experiences

Career aspects of Israeli principals have been explored from different theoretical views such as the pathological aspects of work organizations and career experiences at work. Five works, though, have exposed the factors and consequences of role stress and burnout upon principals, teachers, and students, most of them are well known in the international literature about these organizational phenomena. It was found that unreasonable demands from parents and other stakeholders, inability to provide children with enrichment activities due to parents' refusal to pay voluntary payments to the school, weak teacher performance, poor motivation to work and achieve, high levels of work overload, and inadequate administrative support from the secretary or service staff are related to high levels of role stress among principals (Friedman 2002; Nir 2003). Nir (2001) further showed that low-competition low-autonomy combination (as in the case of public schools) is more strongly related to administrators' perceived role vulnerability in comparison to the high-competition high-autonomy combination.

Current Israeli principals, then, are no doubt under pressure and stress due to their need to respond and manage the school's external relations. Zimmerman (2004) found that some principals face high pressure from influential parents and may, in turn, take unbalanced or unprofessional based-decisions and learning toward more influential groups at the expanse of weaker parents. But, external stakeholders

are not the only sources of stress in principalship but on contrary; it is evident that hybrid conflicts suggesting a clash between competing values and ideologies foster principals' tendency to employ a radical coping strategy based on a cost-benefit minimal risk approach and to act deceitfully as means to diminish their stress. Hence, being the servants of many contradictory and incompatible interests, principals reluctantly act at the expense of their personal values and professional integrity (Nir 2002).

Two studies about principals' burnout merit highlighting as they are contextualized in the Israeli cultural and social mosaic. The first, conducted by Kremer-Hayon et al. (2002), shed light on burnout among Arab school principals. The authors found a relatively low degree of burnout experienced by this group of principals in comparison to their Jewish counterparts. This is accounted for, at least in part, by a number of gaps between the principals' perceptions of actual and desired interpersonal relationships. The second study, conducted by Somech and Miassy-Maljak (2003), found that burnout of the ultra-Orthodox principals was significantly lower than that of the state-religious and state-secular principals. Both studies provided insight into the key role of social values and norms in understanding the ways by which principals appraise the meaning of their educational work and role variables as a source of stress and burnout.

Another area of research that caught some attention among Israeli researchers is the principal's career experiences. They explored the career experiences of mid-career and late-career principals (Oplatka 2010a; Oplatka et al. 2001), the transition from military career into principalship (Barkol 2010) and from teaching to principalship in the Arab sector (Barkol and Kupferberg 2001), and emotion suppression among principals (Yariv 2006). From these studies we learn a lot about the relationship between time in post and the principal's career experiences (e.g., the level of professional competence, a sense of personal success, energy depletion, self-renewal, leadership style), about the hard way Arab female principals should experience when they aspire into principalship, and about the consecutive stages elementary school principals undergo when they inform poor-performing teachers about their shortcoming (e.g., ignoring or criticizing the teacher orally). Barkol (2010) brings up a career transition that seems to be particular to the Israeli educational system to which some military officers choose to move after retiring from their long years' army service. Following semi-structured interviews with 15 school principals who moved from the army to educational administration, she noted that:

> Despite the overt distinction between the masculine military culture and the feminine educational culture, there are some similarities that facilitate the transition from one culture to another. Both care for others – the security of the citizens and the development of the next generation. Both highlight the calling of their members, and therefore many of the former officers (and current principals) saw their new role as a natural continuity of their service oriented career. (p. 175)

As previously noted, some of the studies that were contextualized in the local educational system had broad implications. Authors emphasized the need for individual guidance as how to give effective feedback to poor-performing teachers (Yariv 2006), indicated that principals should welcome parents' inputs and

involvement in the planning of a school's enrichment plan (Nir 2003), concluded that the introduction of competition to schools had to be synchronized with the autonomy and freedom of action delegated to school principals (Nir 2001), and drew attention to principals' professional identity as an important factor in burnout (Kremer-Hayon et al. 2002).

Women in Educational Administration

Relatively, much attention was given in the study of Israeli principalship to gender and educational administration and especially to women principals in the Arab educational system. To begin with the Jewish educational system, given the liberal values underlying this system (and the society it serves), the authors focused on the career experiences and leadership styles of female principals rather than on barriers to advancement and career promotion. Yet, even in this liberal, gender-neutral society, some gender distinctions between male and female principals were observed. Oplatka and Atias (2007) found, for example, gender distinctions in respect to discipline management in school; whereas male principals thought effective management should be strong, assertive, determinant, and purposeful, women principals focused on relational techniques to lessen student misbehaviors. Similarly, Oplatka and Mimon (2008) showed that job satisfaction is constructed by female principals in a negative sense, even as endangering to the principal's career, and job dissatisfaction is vital for effective principals, a stark different view from popular, male-based constructions of these concepts.

Yet, the cultural and ethnic structure of the Israeli society plays a key role in our understanding of women's leadership. A major work in this respect is Adi-Racach's (2006) secondary analysis of data produced by the Israel Central Bureau of Statistics in 2000 which included 63,886 teachers and school administrators from Jewish and Arab educational systems. The researcher found a cultural influence upon the female principal's leadership. She concluded that where female school leaders had more social power, like in the Jewish secular public schools, stemming from their demographic dominance and normative support in the school's broader social environment, they could challenge gender inequality and promote their female coworkers to positions traditionally perceived as male-type jobs and vice versa, as occurs in the Arab schools and in the Jewish religious schools.

This work leads us to discuss the emergent research on female school principals in the Arab sector, a new phenomenon in Israel, resulting thus far in a dramatic increase in the number of female educational leaders in the Arab education system (more than 20 % of the Arab elementary school principals are women). Both Muslim and Jewish researchers explored this relatively new phenomenon and analyzed the career experiences, aspirations, and leadership of these women. In a series of qualitative studies conducted by Arar and colleagues (Arar 2010; Arar and Abu-Rabia Qauder 2011; Shapira et al. 2010), it was found that Arab women principals had strong motivation to break the "glass ceiling," and they dared from an early age to

swim against the stream. Additionally, they have always been led by a strong desire to prove their ability as leaders in their patriarchal society. They were found to be successful also in change initiation and implementation as Arar and Shapira (2012) demonstrated:

> [Our] Interviewees experienced difficulties within their school when they began to introduce organizational changes in the school system. Some male teachers found it difficult to accept a woman in the role of principal, especially those who had expressed political opposition to their appointment. The success of Nadira and Samira was facilitated by the fact that both had acted as respected educational counselors in the school before their appointment, meaning that they already had a deep acquaintance with the school system and with teachers, students, and parents. This knowledge enabled them to immediately introduce change despite resistance and to produce both short and long-term learning programs, altering organizational management and improving the school climate. (p. 853)

While most of the research in this area was based on samples of Arab women, some works focused directly on the only two Bedouin women principals in the south of Israel who live and work in a very conservative, traditional society. This, in turn, makes it necessary for these principals to use power from within, i.e., in accordance with cultural gender expectations of passivity. But, while in post and consistent with cultural expectations, the women use autocratic leadership style with men and empathic style with women, as Abu-Rabia Quader (2008) indicated.

The Impact of Education Reforms on the Principal's Role

The introduction of education reforms in the Israeli educational systems and especially their influence upon principalship has been explored, to some extent, to better understand the principal's role in any new policy regime. In six works, researchers examined whether decentralization let school principals to show changes in their tendency to share governance with teachers (Adi-Racach 2009), how principals perceived the impact of school-based management upon their leadership (Burli 2008), how educational reforms have impacted the role of principals and whether these reforms have prepared them to address challenges of the system (Eyal 2008; Eyal and Berkovich 2010), and how school decentralization and restructuring policy in Israel is viewed by principals of autonomous schools (Gibton et al. 2000).

Consistent with the research on education reforms and principalship in many developed countries (Oplatka 2010b), there exists a gap between policy and the managerial practice. Principals have no clear view of the national education policy and they believe that autonomy means less power for the school, the staff, and themselves to initiate changes and design local policies (Gibton et al. 2000). This response characterizes many reforms. It was found, for example, that in spite of decentralization reforms, Israeli principals involve their staff in school governance symbolically as they do not consider the teachers to be useful partners in assisting them in school management (Adi-Racach, ibid). Similarly, Burli (2008) indicated that principals are unlikely to trust that departments of the local Ministry of

Education will allow them the autonomy granted to them in the reform of school-based management. Evidently, school principals who adopted the SBM reform reported that LEAs increased their pedagogic influence on schools in return for providing financial resources (Adi-Racach and Gavish 2010).

From a different theoretical standpoint, using second-order historical sources, Eyal (2008) and Eyal and Berkovich (2010) showed how imported policies and international trends that are loosely connected to local social, cultural, political, and educational contexts have limited the principal's response to contemporary socio-educational challenges. In fact, the Israeli principals have been forced to respond to the challenges of yesterday instead of focusing on future and current events.

The introduction of several school reforms into the Israeli educational systems that, among other things, have altered the relationship between the school and its environment required school principals to manage their external relations with environmental constituencies and stakeholders. Adi-Racach's (2006b) work illustrates this kind of influence upon principals. The research aimed at testing the scope and efficiency of school principal's relations with diverse external agencies. Based on a sample of 65 principals, she indicated:

> The move toward school decentralization extended school principals' relations with the school environment…As environmental leaders, school principals interact and forge linkages with a wide range of external agencies. They rely on multiple sources to gain additional resources and support as they initiate relationships with the close school environment, as well as with the community and the larger social circle. Hence, schools have evolved into political arenas in which the school principals negotiate with different and various interest groups. (p. 35)

Indeed, other studies have extended our understanding of the principal's external relations in our era. Thus, Gavish and Oplatka (2012) showed that the media plays a significant role in the professional lives of principals, who therefore often take the media's presence into account, speak its language, and act according to the image they would like to project. Similarly, Israeli principals are gradually becoming more and more involved in simple forms of promotion and marketing, although they ascribe negative meaning to the concept of marketing, mainly due to the introduction of school choice reforms in many cities, first in Tel Aviv (Oplatka 2002) and later on in other medium-sized cities (Oplatka 2007). The principals realized the significance of this managerial function for the survival and success of their school provided that it delivers only real and honest messages. They constructed principalship to encompass promotion, impression management, internal marketing, and persuasion.

The study of principalship in Israel has elucidated also some reference to the principal's perceptions of the role of the health services in elementary schools (Gross et al. 2006) and of the characteristics of poor teacher performance (Yariv 2004). Unfortunately, the academic study of principal preparation trainings is also limited in scope (although the Institute of School Leadership has conducted several surveys in this area), yielding only two academic papers that are based on a sample of current principals (along principal candidates). For example, Eyal et al. (2011) who examined the ethical consideration in ethical judgments of aspiring principals

found negative correlations between choices reflecting values of fairness and those reflecting utilitarianism and care. From an entirely different perspective, Klein (2001) strove to identify the most capable candidates for selection as school principals and found that:

> Successful principals, in the first phase of the decision-making process, ascribed great importance to gathering information from objective sources, while the unsuccessful principals gave greater emphasis to data collection from subjective sources. In the final decision-making phase, both successful and unsuccessful principals preferred the subjective sources, although it was the former who particularly stressed the subjective aspect.

Illuminating Comments

Given the "international" notion of the book, it is interesting to draw some attention to comparative issues related to the research on principalship in Israel. Interestingly, the Israeli research added to the international knowledge of leadership in several ways. Firstly, several researchers illuminated and reemphasized the importance of participative leadership that provides teachers with professional autonomy rather than technical only if we want our schools to be improved considerably. Secondly, some Israeli researchers have sharpened the complexity of teacher appraisal and the inherent contradiction between principals' views of teacher evaluation and teachers' views of their evaluation. Furthermore, the study of teacher evaluation and leadership in different religious sectors in Israel shed light on potential cultural influences upon the association between teacher evaluation and educational leadership.

Thirdly, Israeli researchers have continued to study stress and burnout among school principals, although many of their counterparts in Anglo-American nations had relatively left this area of research in the last 15 years. Thus, we gain much knowledge about current environmental and organizational factors in our educational systems that lead to high levels of pressure, stress, and burnout among school principals. Among these factors are demanding parents, many contradictory environmental demands, and high levels of workload due to marketization and accountability in education. Many of these factors have not appeared in education during the 1980s and the 1990s, the decades when the topic of stress and burnout received much attention in the Anglo-American literature in the field of educational administration.

Finally, although Israel is a small country, its social structure is very diverse, including population from different social and cultural groups. Thus, a very specific and illuminating contribution of the Israeli research on principalship refers to the exposure of leadership style and managerial perspectives among male and female principals in religious and traditional groups (e.g., religious women principals, Arab principals). For example, Arab principals, and especially women, taught us about the cultural constraints they face in their role which, in turn, make it necessary to reconstruct educational leadership in traditional societies.

Notably, the Israeli research on principalship is greatly influenced by theories, conceptualizations, and studies conducted mainly in US and commonwealth countries. For instance, many models of educational leadership developed by American scholars have influenced the local research on principalship. Similarly, many Israeli studies draw on theories and streams of research such as career stage models, feminist educational administration, school-based management, marketization, and so forth that emerged in other countries. This massive influence is unsurprising given the small number of researcher in educational administration in Israel that makes it necessary to borrow theoretical and empirical knowledge from larger countries.

Discussion and Conclusions

The major conclusion arising from this review refers to the varied, inchoate, diverse, and fragmented nature of the research on principalship in Israel, stemming, at least in part, from the very small number of researchers in the field of educational administration in this country and from the epistemological nature of the field of educational administration (Heck 2006; Oplatka 2010b). Thus, the research into principalship in Israel involves activities in a loosely connected array of sites of inquiry rather than a single or even coherent field of study along the lines of problem foci and clear scholarly directions that continue to exist for a long time. In fact, the research covers a multitude of ideas and area (e.g., the principal's career and leadership style, the impact of reforms upon principals' role, the skills of principals, the gender and management) representing considerable different views among various groups of researchers within the profession. In other words, this research lacks a unified, cumulative knowledge base, leaving us with only partial understanding of principalship in Israel. Needless to say that the practical contribution of this research is, therefore, limited.

Methodologically, the ratio of quantitative and qualitative methodologies used by the Israeli researchers is almost equal, with very few works using triangulated research design. This reflects a kind of research that is based on varied research tools such as questionnaires, semi-structured interviews, observations, document analysis, and narratives and is in contrast with the trend toward more naturalistic methodologies observed in some countries (Foskett et al. 2005).

What is absent in this research is profound references to principalship in the state-religious education system and especially in the ultra-Orthodox education system, two systems that are unique in some pedagogic and organizational aspects (especially the second one). This may derive from the researchers' cultural and social norms that originate mainly from the state (secular) education system which make the investigation of principalship in this system more comfortable and accessible. In any case, this situation leads to very limited knowledge about principalship in the religious systems as compared to our knowledge of this managerial position in the state education system. One should, therefore, perceive the findings of this review as reflecting principalship in this educational system rather than in the two others.

Fortunately, due to the works of several new Arab researchers in the local field of education, the principalship in the Arab educational system has received more interest in recent years. The current study of principalship in the Arab sector sheds light on the unique experiences and characteristics of educational leadership in this particular cultural, social, and organizational arena. For example, the few studies that focused on male and female Arab principals exposed dilemmas, pressures, tensions, leadership, social forces, and so forth with which Arab principals, and especially women, have to face in their role (e.g., Arar 2010; Palti 2004; Shapira et al. 2010). However, this study is conducted by a limited group of researchers and is based on qualitative inquiries only. Future research on Arab principals ought to extend its theoretical and methodological perspectives to enlarge our understanding of the particular issues faced by these principals.

The current characteristics of the local research on principalship can be explained by the interrelationships between local education policy, the nature of the Israeli academy, and the changing constructions of principalship in Israel. Thus, on one side, the Israeli researchers who belong to the academic community are expected to conduct research that is grounded in universal theories and developed usually in other contexts, such as leadership theories or career models. This expectation leads many of them to develop research programs that are compatible with their paradigmatic perspectives and educational background (e.g., understanding the correlation between leadership styles and different variables) and contribute much to their own promotion. This, in turn, brings about the varied nature of the research on principalship in Israel.

On the other side, the establishment of the local Institute of Educational Leadership led to the development of some surveys about principalship aimed at providing the managers of this institute with some information about current practices of educational leadership and of the preparation needs of future principals. Unfortunately, thus far the empirical collaboration between the institute and the local community of researchers in educational administration is very limited, leaving the gap between theoretical and practical research on principalship untouched. In this sense, the studies conducted by local researchers about the influences of reforms upon principalship or leadership development programs have been initiated by the researchers themselves and connected strongly to their own theoretical background. This gap has been observed by many scholars in educational administration since its establishment as an academic field of study more than a century ago (e.g., Heck 2006; Gunter and Ribbins 2003; Oplatka 2010b).

One should bear in mind, however, that the research on principalship in Israel is very young, beginning in the early 1980s and conducted by a small number of academics (around 12–15). This may account for the lack of strong local traditions of research in this area of study and the relatively delayed permeation of new models and conceptualizations into the local research (such as the model of leadership for social justice that has not yet been explored by local researchers about Israeli principalship).

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Chapter 20
Switzerland: The School Leadership Research Base in Switzerland

Stephan Gerhard Huber

Over the years, education and school research have rarely focused on themes such as school leadership and leadership practices in Switzerland. Research that explicitly focuses on school leadership and school leadership practices has just started over the last couple of years (with some exceptions one decade ago).

The Swiss cantons seek appropriate governing models through which the goals of the education systems can be achieved more effectively and efficiently. Numerous efforts are aimed at redesigning the governance of schools with its various levels and their interrelationships. The result of these efforts is a process of reconfiguring the leadership and management structures and processes across the macro-, meso- and micro-level of school governance. Some cantons change faster than others towards new public management ideas. At the macro-level, it is the cantonal education authority; at the meso-level, it is the municipal council and the governing body of the school; and on the micro-level, it is the school leadership (principal[ship] and site principal[ship]) and its senior management team (Huber 2011). In Switzerland, the conceptualisation of the principal as school leader is fairly young. School leadership with teachers becoming the principal has been implemented only recently at various times within the last 10 years and varies from canton to canton and from municipality to municipality, also according to the size and type of school. Hence, school leadership research is also a relatively new endeavour.

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The Swiss School Systems

The Swiss education system has a federal structure, with responsibility for the school system lying with the 26 cantons (Criblez 2007a). Federal law relating to education is very limited and mainly refers to vocational education (Stöckling 2006). There are therefore 26 education systems in Switzerland. Moreover, the cantons vary according to size and number of schools. Some have 20 schools; others have more than 400 schools.

The cantons have laid out their own public school systems and established their own school laws. A number of cantons choose to pass on the duty of establishing and maintaining kindergartens and compulsory schools (first to ninth grade) to the local municipalities (see, e.g. Fend 1992). In these cases, the municipalities have a considerable degree of autonomy with decision-making power. This autonomy might, however, in some cases be limited by financial and legal stipulations. There is no singular governmental unit, such as a federal ministry or department of education. However, the 26 cantonal ministers of education constitute a political body (called the "Conférence suisse des directeurs cantonaux de l'instruction publique", CDIP) that carries out the work that the confederation is charged with, for example, launching inter-cantonal projects. The work of the CDIP is based on a group of legally binding, inter-cantonal agreements (known as concordats).

It is important to note that in Switzerland, the term "school" has different meanings. Many so-called schools have several sites. A school can be the organisational unit attached to a site (with a site principal, Schulhausleiter) but also to the community of sites that are linked together and governed by the same municipality as well as the same governing body (with an overall principal).

In May 2006, the Swiss population voted massively in favour of modifying the Constitution so as to oblige the Confederation and the cantons to coordinate their actions and collaborate more closely in the field of education from primary school to university. One key aspect was the will to align the duration of each level of education and the specific objectives to be attained by pupils at the end of each level (educa 2010).

In each canton, there is a different level of political decision-making (Rhyn 1998; Rhyn et al. 2002; Oelkers 2004, 2009; Trachsler 2004; Roos 2006; Büeler 2007; Criblez 2008). The canton-run school system is administered by the canton parliament with the government (in Swiss-German: Regierungsrat). In some cantons, a council of education (Bildungsrat or Erziehungsrat), which is elected by the canton parliament, has more specific responsibilities. All cantons have an education authority (Direktion für Bildung/Erziehung) with various offices for different school types (such as Amt für Volksschule for primary education). In most of the cantons, school inspections are being established, sometimes as part of the education authority and sometimes as a separate unit operating independently of the education authority.

At the meso-level, the municipality, it is the governing body (Schulpflege or Schulkommission or Schulrat), comprising local representatives and typically not professionals in education, that is responsible for the supervision of a single local

school or several schools belonging to the municipality in most cases. The members of the governing body in several cantons are assigned to their positions via democratic elections; in others they are appointed by the municipal council, and they work as honorary members. At the micro-level, the idea of having principals in charge of schools is relatively new in Switzerland. It has been implemented with varying paces and degrees of intensity in different cantons and types of school. Principals and principalship (as explicit job positions) were established fairly recently, within the last 5–15 years. Even now there are a few schools without a principal, and one canton still does not have principals at all. The status of school leaders (principals and site principals and their deputies or sometimes senior management teams) varies considerably. In some cantons, the municipalities have a central school governance function, while the individual schools within those municipalities only have a school governing body, but no principal. This situation is changing now, but still, in Switzerland, the role of principalship varies strongly (Maag-Merki and Büeler 2002; Criblez 2007b; Altrichter and Maag Merki 2010; Huber and Wehrli 2011).

The Principalship in Switzerland

The status of school leaders with principals and site principals varies to a great extent in Switzerland. Some cantons have an established strategy for school leadership; some have had it for 30 years, whereas other cantons have only recently begun to establish school leadership as it is known internationally, i.e. as an exclusive position focused on managing and developing the school. In large schools, school leadership has been known for a longer time, whereas in small rural communities decisive school leadership functions have been taken over either by the governing body or by staff in a primus inter pares role or not at all.

Furthermore, there appear to be major cultural differences between the German-speaking region of Switzerland and the French-speaking region. Western Switzerland is characterised by the French tradition, which is rather directorial and where school leaders have a rather high social standing (they are addressed as "monsieur le directeur" or "madame la directrice"). In the German-speaking region, the tradition is characterised by a Germanic rationality. People tend to have less respect for school leadership, at least in terms of etiquette. This characteristic can be traced back to the old tradition of teacher autonomy (the concept of pedagogical freedom, granting teachers a great deal of autonomy when it comes to their professionalism). The establishment of school leadership was therefore not well received by some teachers; many feared of the new school leaders would lack the necessary competences and that this development would bring bureaucratic problems and result in a loss of educational quality.

Yet, over the last two decades, school leadership has been established. As is often the case with pioneers, this first generation of newly established school leaders had to make do without role models. The new leaders prudently often focused first on

administrative tasks, thus taking over work that the teachers used to do and making their job easier. Having gained acceptance through this, they gradually expanded their roles and increasingly took on organisational and educational leadership functions.

Roughly over the last decade, schools have been granted further liberties in designing their internal organisation. School leaders and teaching staff then usually work together in developing the school's profile; they acquire a higher standard of quality awareness and begin to develop a process of self-evaluation (Szaday et al. 1996). The existence of a site principal is supposed to have a great impact on the development processes of individual schools (Bildungsplanung Zentralschweiz 2000).

The school leadership is now responsible for administration and resources, in particular for the management of the staff. These are tasks that were traditionally conducted by the governing body (Rhyn 1998). In some of the cantons, the governing body may delegate some of these tasks to the school leadership or may negotiate with the school leadership who is going to perform these tasks.

The establishment and enhanced status of school leadership in Switzerland have become readily apparent. In local school development, the school leadership has been emphasised at the organisational level. In efforts towards professionalisation, school leaders join groups that represent their interests and are offered school leadership training and development opportunities. Recently master's programmes at universities for aspiring and (newly) established school leaders (principals and site principals) have been developed. Due to these restructuring processes, a number of tensions and frictions have emerged between the different actors (Huber 2013b).

Review Methods

In order to evaluate the state of research in the German-speaking countries, numerous sources have been used. The literature survey by Huber (2003) served thereby as a basic starting point. To gain an overview of studies from 2003 onwards, various relevant German-speaking databases such as GESIS and FORS were consulted. Additionally, various internet search engines as well as associated tools such as "Google Scholar" and "Google Books" were searched.

The results provided by "Google Books" were examined in the online catalogue of the research library in Erfurt/Gotha (Germany). Additional sources referenced by relevant journals were added to the research findings as well. Additionally, programs of conferences in the German-speaking countries over the last decade were researched, and findings (projects with explicit reference to school leadership) were included in the research overview.

Furthermore, relevant seminars and lectures of master's courses in Germany regarding leadership development possibilities within the field of education management were taken into account. Relevant studies presented during the school leadership symposia, organised by Huber in the years 2004, 2005, 2006 and 2009 (see www.Edulead.com and www.Schulleitungssymposium.net) were also included.

Finally, around 40 colleagues working in the fields of school effectiveness, school improvement and school management were contacted in order to identify relevant studies in German-speaking context.

There may be further (theoretical and empirical) studies and also further evaluation studies; however, if they are not listed below, we were unable to identify them using the research methods described above.

Nevertheless, there are numerous studies in the field of education research that deal with school leadership (implicitly or explicitly), be it exclusively or along with other topics. Usually in empirical research about comprehensive schools or about specific school development projects, e.g. all-day schools, variables directly or indirectly linked to school leadership are collected, but they have not often been analysed with regard to a specific research question about school leadership (e.g. by Holtappels, see Holtappels 2004, 2007; Holtappels et al. 2008). Such studies have not been included in this survey.

Numerous smaller research projects about school leadership have been conducted in the context of master's courses for school leaders. Moreover, during other study courses at universities, several research-based papers (diploma theses, bachelor theses) have been written. These papers have not been included either, even though they may serve as a basis for PhD theses.

In this review, the studies are not presented in terms of a juxtaposition. Such a presentation following the criteria, (a) aim/research question, (b) methodological approach/design and (c) selected results, can be found on: www.Bildungsmanagement. net/SL-Research. Instead, this review is structured according to several subjects deemed as central to the field of educational leadership research.

Research Base in Switzerland

Role, Functions, Tasks, Self-Concept, Attributes, Attitudes and the Workload of School Leadership

In Switzerland, there have only been few studies about the role, functions, tasks, attributes and attitudes of school leadership so far. Dal Gobbo and Peyer-Siegrist (2000), for example, looked at the school leadership practices of public schools (elementary and secondary I level) in the German-speaking Swiss cantons. Dätwyler (2005) studied the leadership structures in the interactions between selected school leaderships and school boards in the Swiss cantons of Berne, Aargau and Luzern. As part of the international research project "Personnel Development as a Management Task of School Leaders", surveys of school leaders were conducted in Switzerland, Germany and Austria. The first sets of data have been collected in St. Gallen (Switzerland) and published by Vogt and Appius (2011). Maurizia et al. (2006) analysed the data from the Swiss study: "Data collection of relevant leadership issues in the context of the school as an organisation."

In an explorative study, Hildebrandt (2008) examined the attitudes, actions and action sets of school leaders with regard to the learning processes of teachers over the course of their professional careers. Stemmer (2011) collected data about the professional self-concept and perception of leadership of school leaders in the canton of Aargau.

A few papers about the stress and pressure on school leaders have emerged recently: at the Institute of Education of the University of Berne, the pressure on school leaders has been analysis research endeavour since 1998. Zaugg and Blum (2002) presented a model for the evaluation of work and for the gathering of resources to assist school leaders. Furthermore, they presented a strategy for the practical implementation of this model. Binder et al. (2003) evaluated the temporary implementation of recommendations for school leaders' workloads and compensation in the canton of St. Gallen. Nido et al. (2008) investigated working conditions, stress and resources of teachers and school leaders in the canton of Aargau (BKS).

In many Swiss cantons, schools used to have no principals but a governing body instead, as stated above. Wehner et al. (2008) examined in their study of schools with a new leadership structures, establishing school leadership at school level (in Swiss-German: "Geleitete Schule") the correlations between the tasks and workload of leaders with possible stress factors including the size of the school, team conflicts, etc. Donzallaz (2002) evaluated, in the context of the project "School leadership as quality development of kindergarten and primary schools of the canton of Fribourg", institutions which are on their way to becoming a "Geleitete Schule" ("managed school", a school with a school leadership). Kerle (2002) studied schools with school leadership in the canton of Grisons. Wehner et al. (2008) investigated this transformation and its internal coherence in the canton of Zurich. In the evaluation of the project "Schulen mit Profil" ("Schools with a Profile"), Büeler et al. (2005) concluded that self-managed schools demonstrate improved effectiveness. This last study will be presented in the next section as one of the exemplary projects described in more detail. Further studies on "Geleitete Schulen" were done by Aregger-Brunschweiler et al. (2012), Halter et al. (2006), Brühlmann (2006) and Brühlmann and Widmer (2004).

In its report on school leadership and health in the public schools of the canton of Aargau, Dorsemagen et al. (2013) presented the results of an extensive literature research on occupational health situation of school principals. They summed up the results from their research in 19 key findings.

The education directorate of the canton of Berne (2010) authorised a pre-analysis of the strengthening of the school leadership. Bucher (2010) reported on the project "stress and relief in the educational context". In their school leadership study in the German-speaking countries, Huber (2013a), Huber and Reinhardt (2011) and Huber et al. (2013b) are currently analysing the work situation of school leaders in the German-speaking part of Switzerland as well as in Germany. This German-speaking school leadership study in particular analyses person-related professional biographical as well as job context information, general aspects of stress as well as what school leaders like and what they experience as a burden. With a subsample,

data about daily activities are gathered using an experience sampling approach with an end-of-day-log.

School Leadership and the Effectiveness and Improvement of Schools

Since the turn of the century, research interests have turned towards the impact of school leadership on school effectiveness and improvement. In his investigation about the importance of school leadership in the design of school innovation processes, Capaul (2002) distinguished several innovation profiles of school leaders.

Bucher et al. (2003) wrote a report regarding the regional collaboration in quality evaluation. Schäfer (2004) analysed survey data of the public schools of the canton of Berne with respect to the effectiveness of the leadership behaviour for organisational learning. The results supported the connection between transformational leadership and innovative arrangements of the school.

In their theoretical contribution, Seitz and Capul (2005) maintained that the dimensions of curriculum development, development vision and the elaboration and evaluation of action plans are interconnected. They suggested that the school has to be regarded as a social system with its own identity. Here, management processes, core processes and support processes merge, for which the school leadership provides strategic guidance.

Pekruhl et al. (2006) analysed the employee evaluation and performance bonus system in cantonal schools in the Swiss canton of Solothurn. They stated that the development and usage of different instruments for employee evaluation and quality assurance showed positive effects in all schools.

Over the last years, international studies in the domain of educational research have been seen as increasingly important. Huber and Muijs (2010) analysed school leader effectiveness within the context of international studies.

Professionalisation of School Leadership: Leadership Development and Selection

There has been no specific research on the development and training of school leaders for a long time. Without current and concrete research about school leadership development, it is hardly possible to formulate well-grounded statements that can be used as a basis for creating programs that meet current school leadership development needs, let alone provide the basis for necessary modifications.

Huber (2003, 2004) focused, in a comparative study, on the development of school leaders in 15 countries in Europe, Asia, Australia and North America. He identified changes across nations, tendencies of development and trends. From the

analysis of the data, Huber generated a set of basic requirements for a development program and provided recommendations for the design of future programs.

Influenced by this prior research, conceptions of an ongoing professionalisation of educational leaders in schools, amongst others in Saxony, Saxony-Anhalt, Thuringia and Bremen as well as in the master's course school management at the University of Teacher Education of Zug (PH Zug) have been created. These conceptions include measurements for the short-, medium- and long-term recruiting of new personnel as well as measurements of development and support for both newly appointed and experienced school leaders.

On behalf of the Swiss Federal Office for Professional Education and Technology, Schratz (2003) analysed school management qualification courses, their philosophy and their functions related to training courses in all Swiss cantons.

Because studies show that school leadership is important for a decentralised development of the individual schools, the professionalisation of school leaders has become a key issue of educational politics. The OECD study Improving School Leadership took this aspect into account and organised national studies for the member states. Based on these reports, two extensive publications by the OECD in the form of a meta-analysis emerged. Austria took part in this study, Germany and Switzerland did not participate at that time. Huber functioned as an international expert for the study as a whole (Improving School Leadership, Volume 1: Policy and Practice) and worked on the case study about England (Huber et al. 2008a, b: Improving School Leadership, Volume 2: Case Studies on System Leadership).

The criteria for the selection of school leadership personnel have barely been analysed at all in Switzerland up to this point.

Huber and Hiltmann (2007, 2010) developed an online self-assessment tool for educational leaders (Competence Profile School Management, CPSM) based on psychological tests and conduct research about the instrument (e.g. social validity; Huber and Hiltmann 2011) as well as with the data generated through the implementation of the instrument (i.e. the data generated by school leaders participating in CPSM). The aim of CPSM is to offer a potential analysis for school leadership which serves as an orientation for teachers who are interested in school leadership tasks or as a basis for clarifying personal strengths and weaknesses for newly appointed and experienced members of school leadership teams. This study will be presented in the next section as one of the exemplary projects described in more detail. In close connection to the competence profile stands the interest-focused questionnaire by Huber and Zois (2011) and Huber et al. (2011c) for future school leaders.

An evaluation study about the qualifications of school leaders of the association for Swiss school leaders (AEB-LCH) was published by Abächerli and Kopp (1997). Abächerli (1997, 1999) also published further evaluation studies. Kramis-Aebischer (1998) analysed the management training for school leadership, school organisation and school development. Maag Merki (2003) concluded in the evaluation of the development of school leaders in the canton of Zurich that there is a need for further development and support in the fields of personnel development and team building as well as communication.

Rhyner (2004) evaluated a development program for future school leaders in the canton of Zurich. The participants of the evaluation rated above all the small group work within the group design as positive for achieving their learning objectives. Landert (2004) evaluated the basic and further development of school leaders (AFS) in Bern and concluded that school leaders effectively work in the fields of public relations, structure formation, personnel introduction, organisational administration and school culture.

Rindlisbacher et al. (2008) evaluated school leadership development in Basle city and Basle Land (SLBB). Huber (2008a, 2009a) evaluated, in cooperation with the academy for adult education, the master's course school management of the University of Teacher Education Central Switzerland (PHZ) from the participants' perspective.

Huber and Bender (2013) evaluated and researched training and development opportunities in North-West Switzerland, using the theoretical framework which is also used in some of the German Länder (Huber 2009b; Huber and Radisch 2010). Besides the participants' point of view, it also includes the opinions of the trainers (organisers, training staff) and the people responsible. The quality of teaching and learning arrangements are thus evaluated, as are individual learning processes and the transfer into practice.

Hartmann (forthcoming) is presently researching school leadership qualifications outside the German-speaking countries, and specifically the professionalisation of school leaders in the Canadian province of Ontario.

Exemplary Projects in More Detail

Project "Schools with a Profile (Schulen mit Profil, SmP)"

The network "Schools with a Profile" (SmS) was launched in 1998 with 11 schools from 9 communities in the canton of Lucerne and was subsequently continuously developed. The canton transfers to the communities the competence to design their school according to local needs. So, each school gives itself its own profile. For the sake of quality assurance, the framework is determined by the canton. Teachers of a school see themselves as a team and part of a teaching and learning community together with parents and authorities, sharing the responsibility for the education of the community's children and youths. The job profile of teachers is redefined and explicitly includes not only teaching and education but also team work, tasks for the school community, collaboration with external partners and their own professional development. In the framework for SmP, school leadership is introduced – rather new in Switzerland at that time. School leadership is exercised by an individual or a team, who had received a specific training. The school team carries out periodical self-evaluations of the school's work. The local school authorities and the cantonal school inspectorate examine the implementation of this evaluation and conduct their own assessments.

The evaluation of SmP was conducted by Büeler et al. (2005). Hess and Roos did a final evaluation in 2006. Teachers, school leaders, governing bodies, education authorities, municipal councils and funding bodies were interviewed via online questionnaires, parents via semi-structured telephone interviews and students by a text with a given content structure. All in all, a combination of qualitative and quantitative methods was used. On the basis of data from previous evaluations (from the years 1997, 2000 and 2003), a longitudinal section over a time period about 9 years was calculated to show changes over time.

In the following, the results of the evaluation concerning the school leadership will be summarised. A dominant majority of teachers and school leaders found the project SmP basically useful and enriching. SmP enabled a more transparent, more individual, more effective and more efficient development process at the individual schools. The benevolent attitude towards the project schools referred primarily to the acceptance of the school leadership and its impact in terms of quality management and team development. However, between the governing bodies, municipal councils and school leaders, there seemed to be role conflicts to be solved. Parallel to the teachers, the school leaders hoped for a slightly more moderate speed of reform.

Almost all of the school leaders indicated that the school leadership training and development that they had received helped them in their work. The school leaders as well as the governing bodies assessed the quality of their cooperation as high, and they mutually seemed to accept the function of one another. An exception was the appraisal of the working conditions for school leaders. Only 39 % of the school leaders rated their working conditions as adequate, whereas 84 % of the governing bodies felt that the working conditions of school leaders were satisfactory. It is not surprising that the governing bodies do not see the whole range of tasks of and strains on the school leaders. The school leaders expressed their dissatisfaction in their responses to open questions.

The heads of governing bodies gave the school leaders a very good evaluation. They agreed to 99 % that the school leaders administrated their operational tasks in full. Moreover, more than 90 % of heads of governing bodies reported that a member of the governing body annually conducts an appraisal interview and that the governing body checked the work of the school leaders regularly. A slightly lower percentage, but still 90 % of heads of governing bodies judged, that the governing body leads by setting aims and giving direction. In the overall view, these are extremely valuable requirements for an effective strategic leadership of the school.

In order to illustrate trends in time, the data were analysed in longitudinal section over the period between 1997 and 2006. In this longitudinal section, the focus was on two superordinate topics: the readiness for innovation and the leadership of school. Each dimension is thereby composed of three subscales. The scale "readiness for innovation" contains the subscales project identification, endeavour of cooperation and tendencies to openness. The scale "school leadership" includes the subscales social leadership, operational leadership and leading by concrete assistance. The subscales of "readiness for innovation" reached their peaks in the year 2003. Between the years 2003 and 2006, all scales of the dimension "readiness for innovation" recorded decreasing trends. In the leadership scales, a clearly measurable

increase between 1997 and 2000 can be observed. In subsequent years, the scores of the corresponding subscales remained constant at a relatively high level.

The teachers experienced the school leadership as a real support, and they perceived their introduction as an important and necessary step in the school's development. Although the teachers appreciated the school leadership, they were more skeptical about their educational effectiveness. Thus, they stated explicitly that the school leaders carried out their roles not professionally enough. The teachers expressed themselves in this regard more skeptically than the school leaders themselves. The teachers criticised that the classroom visits by school leaders were rather unsatisfactory. Another school leadership task is to advise the teachers in issues of professional development. In this regard, the teachers felt partly well supported and partly not supported at all.

The various agents felt that the school leadership laid the basis for a satisfactory quality assurance, school development and a professional staff management and therefore was profitable. The government bodies recognised the relief of their own strain by the school leaders. They could thus focus on the strategic management of the school, they believed. Overall, the school leaders had been able to expand and deepen their network of relationships with the various stakeholders within the school and their environment. The cooperation with the governing body, education authority, municipal council and the parents was professionalised. In addition, the municipal councils, the education authority and the members of the governing body indicated that the school leaders were their most important school-based source of information and that they had a good rapport with them.

Project "Competence Profile School Management (CPSM) – An Inventory for the Self-Assessment of School Leadership: Social Validity – The Participants' Perspective"

The Competence Profile School Management CPSM (German: KompetenzProfil SchulManagement; KPSM) is the first online-based self-assessment in the German language which has been designed to fit the school context and is based on psychometric principles. It offers participants the possibility to reflect their strengths and learning needs in different competence areas of school leadership and to compare their individual results with those of peers from the same professional context. Thus, they gain valuable information on their individual profiles when planning their professional development and their professional careers.

The tool was developed in cooperation with eligo, experts in web-based aptitude testing, led by Wottawa. Using the competences needed for educational leadership positions as a base, suitable testing scales were chosen from the eligo portfolio of existing test scales. If necessary, items were reworded to fit the school leadership context; new items were added to broaden or adapt concepts. In the end, 30 test scales made it into the pilot study, which was conducted in Germany in the fall of 2007.

The scales underwent various pre-tests with experts and potential users in three different ways, one in paper version, e.g. with selected scales to improve them, one as a cognitive interview to see what the participant is thinking during the test and finally one that mimicked the actual testing scenario, where the participant did the web-based test and was asked to write down notes on a spare sheet for a feedback after the testing.

After analysis of the pilot data, the second version of the tool (CPSM 2.0) has been reduced to 24 job competence dimensions (test scales) grouped into six job competences areas. We integrated achievement tests to focus on various forms of cognitive ability as well as different personality measurements (questionnaire format and motive grid). A fuller description of the inventory including results of the pilot study, the standardisation and the psychometric data analysis of the first version of CPSM (CPSM 1.0) is provided by Huber and Hiltmann (2011).

The results are organised around 19 dimensions that are the subcomponents of six key influences on work behaviour, and the "scores" reported indicate in each case the proportion of the reference group whose scores in a particular dimension were lower than your own.

Immediately after finishing the self-assessment, the participant receives an email on how to download the personal feedback report (password protected). The feedback report comprises extensive feedback on all of the 6 competence areas with the 24 competence dimensions (scales).

On a voluntary basis, a workshop linked to CPSM is offered, which addresses participants who have completed the self-assessment. This workshop is taken by nearly 100% of the participants of CPSM. Here, results of the Evaluation Studies of CPSM 1.0 and 2.0 are summarised, which focused on the participants' perspectives (social validity).

For both studies, the evaluation was conducted via a standardised online questionnaire mainly with closed questions but also including some open ones. The questionnaire comprises items covering the different stages of the self-assessment process: there are items regarding prior information about CPSM, regarding the conduction, regarding the feedback report, regarding the workshop and moreover items regarding the overall evaluation of CPSM. Obviously, also the personal situation and professional background are of interest, and therefore demographic information about the participants is gathered as well.

All the persons that had participated in the self-assessment were explicitly invited via email to provide feedback on their perception of the self-assessment ($N = 1075$). The data collection was conducted in two phases. The first evaluation study focused on CPSM 1.0 and the second on CPSM 2.0. The response rates are both satisfying; the drop-out rates were small (for instance, for CPSM 2.0, 315 participants of the 492 invited participants started the evaluation; 305 participants finished it).

In the following, the emphasis is put on the evaluation results of the second study. The findings of the first study are reported on by Huber and Hiltmann (2010, 2011). Detailed findings of the second study are presented by Huber (2013a). At the end, results from the second study are briefly compared with those of the first study.

The participants taking part in the evaluation exactly represent the distribution of these demographic variables of participants having taken CPSM.

As to the expectations before and after taking part in the self-assessment: Half of the participants (50.8 %) expect an improved assessment of their personal strengths. 69.5 % expect to find out to what extent their personal strengths fit a leadership position. 18 % claim to have taken part out of curiosity. Thus, participants mention expectations which completely correspond to the tool's aims and formative purpose. On account of CPSM, participants have a better assessment of their own strengths (73.4 %), and furthermore they can estimate their individual person-leadership fit better (58.4 %). For almost a third (27.9 %), the self-assessment satisfied their curiosity. Hence, participants' expectations are met. As the data of the evaluation shows, the expectations and benefits of CPSM do correspond. Furthermore, when asked if their expectations had been fulfilled, 86 % of the participants respond in a positive way.

The overall impression is very positive across the various items in this index. Over 90 % of the participants agree that they would advise other colleagues to participate in the self-assessment. 94.7 % agree that they generally think it's rather positive to do the self-assessment. Benefits from participating in the self-assessment are quite high for 76.4 % of the participants. 96.0 % of the participants found that participating in the self-assessment was interesting. The expectations of the self-assessment were fulfilled by about 87.0 % of the participants.

From 2013 onwards, the competence model will be extended by job-related competences. The competences of the inventory will then be organised in two main areas:

1. General Education Leadership Competences which incorporate 19 disposition dimensions (motives, attitudes, skills) relevant to all leadership activities. These 19 dimensions are Achievement Motivation, Avoidance Motivation, Work Engagement, Planning Skills, Problem-Solving Capacity, Stress Resistance, Self-Efficacy, Power Motivation, Tolerance of Ambiguity, Active Pursuit of Innovation, Affiliation Motive, Team Orientation, Empathy, Feedback Orientation, Leadership Motivation, Avoiding Influence from Others, Enthusiasm, Assertiveness, The Need for Social Acceptance and Recognising Limits of Feasibility.
2. Task-Specific Education Leadership Competences which incorporate nine leadership activity dimensions (based on concrete job-related activities by education leaders in central fields of school management). The nine dimensions are Teaching and Instruction, Education and Guidance, Human Resource Management, Organisation and Administration, Quality Assurance, Quality Development, Collaboration within School, Collaboration with External Partners and Representing the School in the Community.

Besides, in 2013 an international project started with 12 countries co-financed by the EU Comenius, Multilateral Projects. The project consortium partners are: Switzerland (coordinating partner), Germany, Austria, Czech Republic, Cyprus, Denmark, England, Norway and Spain, the USA, Sweden and Australia (Queensland).

This project has both a development strand and also an evaluation strand: it aims to develop, adapt and pilot the self-assessment with a modified inventory and link it to an associated coaching programme in nine different country contexts; it also researches the participants' experiences and various impacts.

During the first year of the project, the consortium partners have concentrated on the development of the project materials. Important outcomes so far are (1) the finalised inventory which exists in eight language versions (Czech, Danish, English, German, Greek, Norwegian, Spanish and Swedish), (2) coaching module activities and (3) structures and contents for a train-the-trainer workshop for the coaches. At the current stage of the project, all countries are piloting the inventory and the coaching module. During this period, different types of data-gathering methods will be used to explore and document the experiences and the impact of feedback and group coaching on professional reflections and learning.

Conclusion

Research in the field of school leadership has a relatively young tradition in Switzerland as in all German-speaking countries (as it does in many other countries, too). Since 2000, the research base has improved. In particular, the research team of the IBB has published several studies on school leadership. Most of the studies have been undertaken by researchers who only did one study as a qualification study. Unfortunately, groups who could use an interdisciplinary approach, such as research consortia, for example, seem rather scarce in the German-speaking countries.

However, a certain degree of internationality can be seen, and the international literature is increasingly being used to inform research into school leadership in Switzerland. It is also noticeable that funding for research programs with a focus on school leadership/school management is extremely scarce or not existing at all.

This article is based on a literature review in all German-speaking countries, which showed 119 studies. For this review, 42 studies from Switzerland were used (see also Table 20.1). Apart from these studies, there are further studies with different research questions, which along with their primary focus either implicitly or explicitly include school leadership. As stated before, such studies have not been included in this article.

In Switzerland, school leadership has been implemented within the past; the prevailing topics of research seem to be issues such as the role of this newly established institution of school leadership for the development of schools, the workload and health of school leadership and the satisfaction of school leaders with the training and development opportunities that they are provided with.

Studies in New Public Management, the relationship of school leadership and the traditional non-professional school governing bodies (in Swiss-German: Schulpflege) and the school inspection have been missing so far, as well as research on the acceptance of school leadership within the respective organisation, the effectiveness of school leadership with regard to the quality of school and instruction/

Table 20.1 Areas of School Leadership Research and Number of Studies

Area	Number of Studies
Role, functions, tasks, self-concept, attributes, attitudes and the workload of school leadership	20
School leadership and the effectiveness and improvement of schools	6
Professionalisation of school leadership: leadership development and selection	19

teaching and its potential impact on student achievement, moderated by the staff's job satisfaction. Another issue in the Swiss context that needs research is the leadership time that school leaders have at their disposal. Besides, leadership models such as cooperative leadership and system leadership and the impact of school leaders on the school's environment should be looked at much more closely, as well as the differences among the cantons. Leadership in small schools should also constitute an area of research as most of the Swiss schools are quite small ones.

Topics such as the role and self-concept of school leaders cannot be found in Switzerland. The Swiss scientific research base might have made use of some. This may be due to the fact that school leadership is still a relatively young domain in Switzerland. Compared to other German-speaking countries, a relatively high number of studies in school leadership-related topics have been conducted in Switzerland (with regard to its size).

Detailed analyses of the profiles and requirements for effective school leaders in Switzerland are difficult projects to undertake as the federal structure makes for a rather heterogeneous research context. Many cantons have individual requirements and conceptions of school leadership, in some cases the municipalities have their own say in this matter. Any research project attempting to research this subject closer would therefore need to be well funded and national and at the same time local in scope.

Research on school leadership started one or two decades after research on school leadership was conducted in Germany. Swiss researches built on this research base from Germany in the 1990s.

What has been stated in the article on School leadership research in Germany also holds true for research in Switzerland. Research desiderata are:

> As it also holds true for all German-speaking countries, the research base could be stronger. However, compared to the other German-speaking countries, relatively speaking, the research base is stronger just given the number of research publications. However, as to the research data we have so far, there is a strong overreliance of self-report in leadership studies in the German-speaking countries, where the most common form of research design is either a survey or interviews, usually of a limited number of school leaders. Studies are almost always post hoc, trying to work backwards with a retrospective view on the research object. This practice is clearly limited. Both survey- and interview-based methodologies, while highly useful, have some severe limitations, when used as the sole means of data collection. Post hoc interviews are heavily prone to attributional bias (the tendency to attribute to ourselves positive outcomes, while negative outcomes are externally attributed, Weiner 1980), as well as to self-presentation bias and interviewer expectancy effects (the tendency to give those answers that might be expected by the interviewer).

Survey questionnaires are likewise limited, especially where they are cross-sectional, as only correlational data can be collected. The issues of expectancy effects and bias exist here as well, as does attributional bias, for example. These limitations mean it is often hard to make strong statements either about impact or about processes.

The quantitative methodologies used need to be longitudinal more often and to take advantage of quasi-experimental designs and even of field trials of new leadership methods. Moreover, there is a need to gather data not only from the school leaders but also from teachers and others (to add additional views from an external perception to the self-reports from a self-perception).

Additionally, observations, although cost intensive and not easy to implement as they most often intervene with the day-to-day practice which should be observed, might help the research move towards multi-perspectivity and triangulation.

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

Researchers have recently begun developing mixed methods designs. Combining different approaches can in many ways be fruitful either in an explanative or in an explanatory way. Firstly, it is clear that researchers and scholars within the field of educational leadership need to be more explicit about the theories applied and the constructs used and to have a conceptual awareness, meaning that the underlying assumptions guiding the research are identified. What is obvious is that the complexity of leadership processes and their impact requires the use of research designs which take this complexity into account. The research needs to be conducted in a coherent way, integrating research questions, conceptual framework, methods, analysis and conclusions and critically engaging in a discussion of the research results, including the limitations of the study conducted and the implications for leadership practice (see Yanchar and Williams 2006).

It is also interesting to see how alternative data-gathering methods might illuminate the complexity of organisation and leadership context, as, e.g. Huber (2008b, 2009c) uses social network analysis and life curve analysis, such as pictures and metaphors.

In addition to more complex data-gathering methods, there is also a need for more refined methods of data analysis such as multi-level, growth models, structure equation modelling.

Moreover, research that takes the context and the contingency into account needs to be undertaken. However, these expected pieces of research imply high demands. There are obvious contextual differences in terms of leadership such as the extent of autonomy school leaders have within the educational system, their appointment and selection criteria and many other less easily accessible cultural differences. It is about the culture of organisations and systems and the more general professional and general culture of a field and of countries. Carefully designed comparisons with other fields and other countries between the German-speaking countries as well as between other European and non-European countries would be very illuminating.

This means that the tendency to move straight to prescription becomes potentially even more harmful where the research base is from an entirely different (cultural) context, where school leadership will operate under different circumstances and conditions.

To sum this article up, while leadership research has made important contributions to the field of education, which have had practical benefits, if we are genuinely to move both research and practice forward, we need to perform more rigorous quantitative and qualitative research, aimed at both measuring impact and exploring processes, taking into account the complexity of schools as organisations and refraining from an overly prescriptive approach that, on the basis of very limited research, posits absolute truths about good practice. Last but not least, we need to create better "fits" of theories, empirical research and experienced practice. Hence, besides all methodological and methodical questions and desired modified research practice, there is also a need to refine theoretical models and theories (whether with a very focused or with a broader approach). Empirical research should lead to further developed theories, and theoretical assumptions should guide further empirical work.

Obviously, feasibility is also restricting the research (our own and that and of our colleagues), and therefore the research designs should have the appropriate funding to make new kinds of research possible. Proper funding for research is an important aspect. There is a need to have research grants which are large enough to allow cooperative research arrangements to develop more sophisticated multi-perspective and longitudinal research designs.

National and international experiences should be considered and integrated, and international research co-operations should be promoted. As a basis for this, national and international networks should be further developed. In these networks, educationalists and practitioners should have a forum for the exchange of ideas and for cooperation.

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Part V
Countries with Challenges to Develop Their School System

Chapter 21
Brazil: Leadership in Brazil

Sandra R.H. Mariano, Fabiane Costa e Silva, and Joysi Moraes

The Brazilian Education System

Education was recognized as a social right and an obligation of the state and the family in the Constitution of the Federal Republic of Brazil enacted in 1988, which also determined the responsibilities of each level of government regarding the educational system. Being a federal republic, the territorial and political organization is intended to ensure the allocation of responsibilities among the different levels of government through the autonomy and interdependence of the states within the federal system. Consequently, the federal, state, and the municipal levels of government are responsible for operating and financing the Brazilian educational system and should, according to the constitution, ensure democratic management of education.

Currently, the educational system is organized as follows: basic education and higher education. Basic education includes kindergarten or nursery school (pre-school), for children up to 5 years of age, and elementary or primary school, which lasts at least 9 years, and comprises the 1st to 9th grades and is compulsory for children aged 6–14 years old and middle or secondary school, which completes the cycle of basic education and lasts 3 years, comprising the 10th to 12th years, and is compulsory for those wishing to enter higher education. The latter includes undergraduate, masters, and doctoral programs. Undergraduate degree courses are intended to form professionals in different areas, including the technical degrees, which last two and half years on average and traditional degree courses, which last 4 years on average.

The institutions that make up the Brazilian educational system may be public, including federal, state, and local schools that offer free education, or private, which,

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provided they obey the legal prerogatives, are allowed to charge for the services they offer.[1] The process of hiring people is different in public and private elementary schools. In the public school system, entrance to a position is obtained via a public examination and those candidates who pass are distributed within the school network according to criteria established by the central administration of the system. Thus, the principals of public schools have limited autonomy to hire and dismiss the teachers and staff in their schools. By contrast, the admittance and dismissal of professionals in private institutions occur on the basis of free contracts between the parties.

The current organization of the national education system is based on collaboration among the respective agencies at the three levels of government, which was regulated in 1996 by the Law of Guidelines and Bases for Education (*Lei de Diretrizes e Bases da Educação* – LDB). Within this configuration, the federal level is responsible for drafting the National Education Plan (NEP), for providing technical and financial assistance to the states and municipalities and for the system of assessing performance at the different educational levels. It is the responsibility of the states to stipulate the standards responsible for the education system within their responsibility, and define, in collaboration with municipalities, the number of elementary school places to be provided, while its school priority is high school. In turn, it is the role of the municipalities to organize, legislate, and oversee their education system in line with the provisions of the federal and state levels, while their priority should be the provision of preschool and elementary education (Brasil 2010).

The LDB also granted pedagogical autonomy to schools, since it allows them to create their own pedagogical policy project (PPP), as well as assuring them relative financial autonomy by entrusting them with the task of managing their personnel and financial resources. The LDB also assures students within the public schools supplemental services such as free transport to the educational establishment, teaching materials, food, and healthcare. Moreover, due to the LDB, the Municipal Education Councils, collegiate bodies made up of the users and education professionals, have begun to gain strength and prominence, ensuring the participation of civil society in the management of the Brazilian educational system.

1996 saw the creation of the Fund for the Maintenance and Development of Elementary Education and the Enhancement of Teachers (*Fundo de Manutenção e Desenvolvimento do Ensino Fundamental e de Valorização do Magistério* – FUNDEF) that existed until 2006,[2] which established administrative decentralization and strengthened the municipalization of education. The FUNDEF established a new allocation regime and a link between the tax revenues collected by the

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[1] From the total enrollment of basic education in 2012, federal schools represented 0.5 %, state schools, 37 %; local schools, 45.9 %, and private schools 16.5 % (INEP 2013).

[2] In 2006, it was replaced by the Fund for the Maintenance and Development of Basic Education and Enhancement of Education Professionals – FUNDEB, which extended that allocation to the funding of all basic education.

government agencies and the funding for elementary education as well as highlighting the importance of teacher training.

Also in 1996, the Federal Government established the *Parâmetros Curriculares Nacionais* – National Curriculum Parameters (PCNs), which provided the curriculum with a new profile based on the skills development and which constitutes a reference for the quality of education throughout the country. This led to the introduction and expansion of the use of school performance assessments and ratings, which became the guiding mechanism for government policies in the area. Because of the PCNs, the Ministry of Education became responsible for the preparation and delivery of the didactic material for all public school pupils. In turn, the content of that material has become the reference for assessing student performance and is aimed at strengthening the educational assessment system in the country, which was still incipient at that time, given that the Assessment System (SAEB) dates from 1990 and only became central to education policy after the entry of the country in the PISA (Program for International Student Assessment) in 2000.

In 2001 the *Programa Bolsa Escola* (School Grant Program), an income transfer program, was created, which consisted in paying a grant to low-income families whose young children attended school regularly. In 2003, the *Programa Bolsa Escola* was incorporated into the *Bolsa Família Program* (Family Grant Program), which is also a conditional income transfer mechanism.

In 2007, the *Plano de Desenvolvimento da Educação* (Education Development Plan – PDE) was enacted in an attempt to consolidate a systemic view to replace the fragmented view of education that predominated. The PDE sought to align the concept of education with the constitutional principles of democracy and participation, in an attempt to reduce social and territorial inequality and provide more equal opportunities for access to quality education. Because of the PDE, the *Plano de Metas Compromisso Todos pela Educação* (Target Plan Commitment All for Education) was launched; the goal of which is to bring together government agencies and the school community to work to improve the quality of basic education. Its operative tool is the *Plano de Ações Articuladas* (Joint Action Plan), which links the provision of technical and financial assistance to the achievement of quality-related goals.

The Role of the Principal in Policy and in the Brazilian Educational System

In the federal system, the federated entities (the federal, state, and municipal governments) act at the legislative level, which means they establish the standards and general objectives that should be observed. The teaching units operate at the executive level, which means they are responsible for the implementation of public policies and the achievement of educational results. Within this scenario, the democratization of education implies the development of a management model in which

decision making should represent the interests of the entire school community. In Brazil, this occurs at several instances: school boards, which include representatives of the government, education professionals, and civil society; the professional associations, including teachers and principals; parent-teacher associations; and the alumni and student organizations.

Consequently, willingly or otherwise, the school principal must establish a participatory and results-oriented managerial regime. To support this, according to the LDB, schools have financial and pedagogical autonomy. However, the school principal does not have the autonomy to contract staff and may run the risk of having professionals who do not fit the proposed pedagogical methodology. Nevertheless, in addition to technical competence to achieve the school's goals, the school principal must, at least in theory, have political and pedagogical skills, that is, the ability to engage people and generate team spirit as well as negotiate and resolve conflicts. Such skills are not always present in their training. While the training of education professionals has become a public policy concern since 1996, the professionalization of managers of public schools remains deficient. A difficulty that many school principals face is that of having to learn by trial and error and/or seek such training during the course of their management.

An important fact to be noted in this scenario is that, according to a survey conducted by the Victor Civita Foundation (FVC) (Fraidenraich 2011), there is a great deal of investment in the training of school principals by both the federal and state governments. However, the same study found that the syllabus of the training courses as well as how they are conducted fail to take into account the demands of the real situation of the school nor the skills needed to perform the duties of a principal, as they place greater emphasis on theoretical issues rather than the practical matters involved in school management. Thus, much of the training provided to principals does not encourage them to reflect on their practice, debate among their peers, and exchange experience. Moreover, these courses are not aimed at improving school performance or the quality of teaching.

Another problem for whoever accepts the position of school principal is that in many places, the position of school principal is a political appointment related to the election process. In such cases, the appointment of school principal has little or nothing to do with competence and has everything to do with partisan political interest. Thus, as there are elections for the state or municipal governments every 4 years, with the possibility of reelection for the same period, the principal may be dismissed for reasons unrelated to the running of the school. A study conducted by the Organisation for Economic Co-operation and Development (OECD) in the State of Santa Catarina illustrates this situation (OECD 2010). This practice is a disservice to school management, since the length of experience is considered a factor of utmost importance for successful leadership in schools (Day et al. 2011). Thus, in addition to receiving poor training, the school principal is often denied the opportunity to learn through accumulated experience. Regarding this situation, it can also be said that the time factor becomes a limitation for the implementation and continuity

of pedagogical policy in school management. This is highlighted by another conclusion of the FVC research (Fraidenraich 2011) which cannot be ignored, which is that, on average in Brazil, the school principal only remains in office for 3 years. This is compounded by the fact that the post of school principal is considered unattractive due to both the considerable responsibilities resulting from the relative autonomy for decision making and personnel management and the relatively poor compensation offered.

Regarding the unattractive aspects of the position of school principal, some further points should be considered. Ultimately, it is the principal who is responsible for achieving the school's results.

However, those results cannot be measured solely based on student performance, since a number of factors outside the school (such as parental involvement in the child's education and adverse socioeconomic conditions, among others) influence this issue. Moreover, democratic and deliberative bodies also play a role as inspectors. So, the director has to answer to a number of different bodies: government agencies, accounts tribunals, parents, students, teachers, and society as a whole. Thus, the responsibility of the individual who holds the position of school principal can be seen to be excessive. Regarding this, there is the relative autonomy of decision making, which is reinforced by the PCNs, in relation to the educational content. However, the PCNs leave little room for maneuver with regard the content to be delivered in school, while allowing flexibility in the way that content is taught in the classroom. However, there is a need to take into account the highly diverse conditions in Brazil, given its continental size.

Thus, given that the PCNs are taken as references in the external evaluations, although they are adopted, they do not necessarily consider the reality of the school community. Finally, in relation to the management of the teaching and administrative staff, besides the issue that the school principal does not have autonomy to hire or dismiss staff, they must also deal with a high rate of staff absenteeism, which in 2007 was 15 % of school days (Pereira 2007). This fact is related both to the rate of illness among teachers and the job guarantees provided to public servants, which mean they are rarely discharged.

Despite the adverse conditions, it is the principal's task to manage the school's resources and take responsibility for achieving the results and performance of both the students and the teaching unit as a whole. It is noteworthy that, in Brazil, the post of school principal is, in most cases, filled by means of direct election. That is, the candidate for the post of principal is free to decide whether to participate in the electoral process. Being an active member of the teaching profession, whoever accepts the position is not unaware of the associated conditions and obligations. However, once in the management position, many use the aforementioned difficulties as arguments and justifications for not doing a good job. Thus, they eventually turn the means into an end in itself, a situation readily supported by the literature and that will be presented in the section following the research methodology.

Research Methodology

The survey was conducted exclusively using electronic means during the period from August 24 to September 11, 2013. The research sources used to select the scientific papers that address issues related to leadership and management in schools to be used in this study were the *Biblioteca Digital Brasileira de Teses e Dissertações* – Brazilian Digital Library of Theses and Dissertations (BDTD) – and the Scientific Electronic Library Online (SciELO). The BDTD is a project of the *Instituto Brasileiro de Informação em Ciência e Tecnologia* – Brazilian Institute of Information in Science and Technology (IBICT) – in partnership with the of *Financiadora de Estudos e Pesquisas* – Study and Research Financing Agency (FINEP) – whose purpose is to integrate the thesis and dissertation information systems existing in higher education and research institutions in Brazil and encourage the registration and publication of such papers in the electronic media. The SciELO electronic library covers a wide range of national scientific journals classified by the *Coordenação de Aperfeiçoamento de Pessoal de Nível Superior* – Coordination for the Improvement of Higher Education Personnel (CAPES), the agency responsible for the stratification/ranking the quality of intellectual output from graduate programs in Brazil. Over time, the journals contained in the SciELO database were compared with the journals classified by CAPES, and, due to the lack of any journal in the analyzed strata, the articles were accessed directly on the website of the journal in question.

Regarding the study design, a survey was carried out of the theses approved in graduate programs in education in the BDTD. Regarding the search in the SciELO database, only Brazilian journals in the area of education classified in the A1 and A2 strata were considered. These strata include widely recognized publications in the evaluated area that have been graded, include peer reviewing, and are primarily directed at the academic-scientific community and meet the editorial standards of the Brazilian Association of Technical Standards (ABNT) or overseas equivalents. Each one should also have a wide circulation through subscriptions/exchanges of the printed version, if applicable, and online. Both must have an editorial board and a body of referees made up of highly skilled, national and international researchers from different institutions and publish at least 18 articles per year, while ensuring broad institutional diversity of the authors: at least 75 % of articles should be linked to at least five institutions other than that which publishes the journal. With regard to distinctions between the strata, A1 journals should have least every three regular issues published per year, with publication of the issues occurring on time, and ensure the significant presence of articles from researchers affiliated to recognized foreign institutions (more than two articles per year) and that are indexed by at least six databases, at least three of which must be international. As for the A2 journals, the minimum frequency is two issues per year, with at least two articles per year from authors affiliated to foreign institutions, and they must be recognized and indexed in five databases, at least two of which must be international.

In both databases, the adopted search terms were procured in the abstract, title and subject fields, within a time frame between 2000 and 2013. The following expressions or set of words were sought: "headteacher/school principal"; "school manager"; "school principal"; "leadership" and "school"; "leadership" and "education"; and "school" and "management."

Search Results

Following the order of the above-listed search terms, the search in the BDTC found 0 thesis; 1 thesis; 1 thesis; 29 theses; 1 thesis; and 0 theses. However, only two doctoral theses that dealt directly with the function of the school principal and the role of school management in basic education were presented to the graduate programs in education. The others were excluded because they dealt with other subjects or educational contexts, such as companies, cultural projects, and/or medical schools. In SciELO, the search found, respectively, 2 articles, 0 article, 3 articles, 11 articles, 1 article, and 142 articles. It was observed that the latter included the articles found using the other search terms. Excluding the articles that were not published in journals of education, 50 articles remained, 6 of which were excluded because they did not address the Brazilian context, dealt with private interference in public education, or were from outside the time search time frame (prior to 2000). Therefore, in all, 2 theses and 44 articles, which mostly dealt only indirectly with the work of the school principal, were analyzed.

Once selected and duly read, the theses and articles were divided into the following topics: (1) state of the art and theory, (2) productive restructuring, (3) analysis and interpretation of government policy, (4) participative management, and (5) practices of the school principal. The subjects were divided, thus more in accordance with their analytical perspective than by the object of the study. The first topic includes articles that offered a theoretical analysis of school management. The second topic considered articles based on the Reform of the State and the consequences and alternatives for the management of schools with the new government approach based on the managerialist model. The third topic includes articles that examine government actions and policies as applied to the field of education and analyze their repercussions for school management. The fourth topic considered articles that addressed participatory management tools as well as the consequences and the perceptions of educational professionals regarding the subject. Lastly, but no less importantly, the fifth topic included articles that addressed the experiences, ideas, and implications directly related to the figure of the school principal. The division of the articles by subject and year is shown in the Table 21.1.

As can be seen in the table above, school management in Brazil is treated scientifically more in relation to the constraints existing at the macro level, such as policies and management models, than with regard the practices of the figure of the school manager. Thus, what prevails is a more critical view of governmental actions and the conditions imposed upon education professionals. The reasons for this will become clearer with the presentation and analysis of the papers below.

Table 21.1 Number of papers published on each topic according to the year of publication

Topic/year	13	12	11	10	09	08	07	06	05	04	03	02	01	00	Total
State of the art and theory			1		1					1					3
Productive restructuring			2		2			2	1	1			1		9
Analysis and interpretation of gov't policy	1	1	1	4	2	1	3	1	3		3			1	21
Participative management		1		2		1		1	1			1		1	8
Practices of the school principal			1	2		1	1								5

Topic 1: The State of the Art

The study by Martins and Silva (2011) included a survey of 753 documentary sources, including theses, journal articles, and conference proceedings published between 2000 and 2008, which provides an overview of management, autonomy, and the functioning of collegiate bodies in basic education schools. After the survey, the authors conducted a content analysis and the papers were divided into four categories: spaces and channels for intra-school participation; intra-school relationships and practices; governmental and non-governmental policies, programs, and projects; and theories and concepts. The first category comprised 11 % of the analyzed papers, which dealt with the collegiate bodies and institutional spaces for participation. The second category comprised 41 % of the total studied sources and analyzed the papers that addressed the interactive processes in the school, with emphasis on the view of the actors involved in the construction of educational planning and management processes. The third category consisted of 43 % of the research sources and emphasized educational policies. Finally, the last category included only 5 % of the papers, which included papers of an argumentative nature focused on the concepts of participation, autonomy, school management, and the training of educational professionals.

"Research perspectives that deal primarily with the analysis of the political and economic scenario at the international, national, regional or local level in order to discuss the governmental agenda for the field of education are fundamental for the construction of a critical field of debate" (Martins and Silva 2011, p. 238). Studies categorized into "governmental and non-governmental policies, programs, and projects" according to Martins and Silva (2011, p. 239) allow one to reveal, "in part, both the official discourse as well as what actually occurs in the school systems, in the school space and in the interactions of the professionals who serve them, as well as the manner in which such practices affect the implementation of government programs." According to Martins and Silva (2011), until the 1990s, the studies about educational policy were influenced by the human capital and liberal democracy approach. However, they acknowledge that, more recently, those studies emphasize the idea of equality and education as a way to promoting social equity. The authors

note, also, that most of the sources surveyed adopt methodological qualitative approaches of the "case study" type. This methodology does not favor more the substantial analyses capable of covering a larger number of individuals, which, in turn, could help to ascertain the true scope of government actions, i.e., the hits and misses of educational policies.

The authors (2011, p. 240) attribute the large number of papers categorized into "intra-school relationships and practices" to the broad scope of the search, because it found that the majority had a diffused focus and presented "generic intentions to analyze what occurs in the school space, the relationship between the school principals/management, pedagogical coordinating committees, parents, students and teachers and/or between units." Regarding the "spaces and channels for intra-school participation" and "theories and concepts," what caught the attention of the authors was that only 85 of the papers dealt with collegiate bodies, which are the legitimate spaces for participation and representation and, supposedly, the main mechanism for participatory management. In most cases, the papers noted that "these bodies do not support democratic practices within the intra-school space and are manipulated by various interests," although they fail to specify "how the interest groups and subgroups relate to each other and/or negotiate internally" (Martins and Silva 2011, p. 241). Finally, an important observation made in this study is that "with few exceptions, […], the school management is commonly treated as an immediate reflection of the broader political, economic and cultural context" (Martins and Silva 2011, p. 242).

The study by Souza (2009, p. 123), though not considered in the research by Martins and Silva, could easily fit within the analysis conducted by those authors regarding the category "concepts and theories," since that author attempts to characterize the democratic management of the school "as a political phenomenon and as a locus for processes of dispute and domination," which lead to a sustained process of "dialogue and in divergence/alterity." Thus, it has an overly generic focus, with an emphasis on argumentation and no data that prove the argument proposed by the author, which is thus restricted to the theoretical dimension. It is important to highlight that Souza's theoretical approach is based, mainly, on three authors: Bobbio, Touraine, and Adorno (Souza 2009).

In a study into participation and education in Brazil, Ghanem (2004) analyzed 60 titles dealing with this issue that had been produced in universities in the Southeast region of the country. The author (2004, p. 183 – emphasis added) found that the studies into participation that did not analyze a specific community group indicated "the negative role of the school system such as the bureaucracy, the importance of the role of the school principal and how he/she is chosen, the need to establish strong political actors and a widespread non-institutionalized participation." Regarding the formal mechanisms of participation, no study was found that questioned its positive character, although, "they attributed the limitation of such mechanisms to mere formality, and, when that does not occur, the measures and means adopted by bodies higher than the school that interfere with this phenomenon." Although the author did not declare the theoretical basis for his analysis, we were able to identify a strong influence of Paulo Freire's thought, since the author (2004)

wrote of the school as a mechanism of social participation and emancipation. That may also be why the asserted that the autonomy of the school unit is strongly related to the "motivations and possible consequences of participation." Finally, it points out several gaps that could be filled with new research, such as sharing functions among different educational agents, the influence of poor job stability and the school staff, the relationship of teacher participation with other groups, and comparisons among schools regarding financial autonomy.

Topic 2: Productive Restructuring

The papers exploring this topic address the changes that occurred in the state apparatus due to reforms implemented in the public service that began in the 1990s. Those articles address the decentralization of the education system as a result of the flexibility of production models, which is reflected in the transition from the provider state to the regulatory state in the 1990s. In general, these studies indicate that "the State, until then bureaucratized and the maximal provider, gives way to a state that is a minimal provider, but that maximizes its regulatory and managerial role. This new role of the State places a need on civil society to organize itself to provide what the State abandons and therefore no longer holds itself responsible" (Michels 2006, p. 408).

> This new regulatory model […] has been achieved through a process of decentralization made up of three dimensions: decentralization among different government agencies (municipalization), decentralization of schools (school autonomy) and decentralization of the market (social responsibility) (Krawczyk 2005, p. 92).

In relation to education, and specifically regarding work in the school, the changing role of the state can be thought of in terms of, at least, two points: (a) the state withdraws from/retracts the provision, highlighting the responsibility of the school unit the education of children, youths, and adults, while maintaining control of what is done by the school by means of assessment (*Sistema de Avaliação da Educação Básica* – SAEB – Basic Education Assessment System; *Exame Nacional do Ensino Médio* – ENEM – National High School Exam; – *Exame Nacional de Cursos* – ENC – National Examination of Courses), and (b) the withdrawal of the state as a provider takes place through the input of civil society in the schools to assist in solving problems, especially through programs such as the *Programa Amigos da Escola* – Friends of the School – and *Programa Adote um Aluno* – Adopt a Student (Michels 2006, p. 408).

For Neto and Castro (2011, p. 452), decentralization is based on "the understanding that it is, preferably, at the local level that the management of the school and the educational process can be best promoted to produce better results" and point out that decentralization has been used not only as a strategy for democratization, but also as "a condition to relieve central government of the education system, which has become overburdened with the growing demands." Hence, Carvalho (2009, p. 1155) states that "operational decentralization increased the responsibilities

of the school, leading the school principal/manager to […] become the central and fundamental figure for directing the participatory process within their school and its integration with the community."

In this scenario,

> The managers need to direct the path of democracy and implement democratic mechanisms that facilitate the construction of autonomy within the school, because guided participation, under the direction of the State, is not consistent with democracy. Managerialism makes use of social control councils, of participatory management and decentralization as a strategy to increase the capacity of parents and students to intervene in the internal policies of the school, thus reducing the influence of teachers and bureaucrats in their corporate practices, enabling the school community to take responsibility for the results achieved. (Araújo and Castro 2011, p. 94)

From this perspective, Araújo and Castro (2011, p. 95) exemplify the findings of the case studies included in the topic "productive restructuring":

> The qualified expansion of collective participation in the collegiate bodies can be understood as a strategy for overcoming the authoritarian forms of administration that previously predominated in schools. However, it is known that any such qualification of the school community does not occur by chance or through the State, it will occur as a result of political commitment on the part of those people responsible for the management via a systematic process of political education through which the school collective achieves a level of consciousness that naturally overcomes any attempt at authoritarian management. In this sense, decision making with respect to accountability, will arise out of awareness, contributing towards the achievement of the purposes of education within a democratic perspective. This is the challenge facing managers committed to socially relevant, quality education.

Firstly, it is interesting to note that the prevailing view regarding decentralization is negative, since it is seen as a way of burdening the school in terms of attributes and relieving the state of control. In general, the papers attempt to achieve a difficult balance between the new roles and responsibilities of the school with the new model of management and control. According to Marques (2006, p. 523),

> School management decentralization policies are presented as "instruments" for building emancipatory citizenship, thus forging a democratic public space. They are not, therefore, in line with /coadunadas to the neoliberal ideal that merely seeks to make the schools more efficient and effective, based on the assumptions of total quality, without concern for the social nature of the school, which is linked to the construction of emancipatory democracy.

Topic 3: Analysis and Interpretation of Government Policy

This topic includes papers that analyzed the consequences of the implementation of public policies such as the reforms to the curriculum and basic education, teacher training programs, the political-pedagogical project (PPP), and the Education Development Plan (EDP). It should be noted beforehand that, since the analyzed policies are based on the same ideology that supports the new public administration, most of the conclusions of the articles deal with the same issue raised in the papers

in the category "productive restructuring," that is, the managerialist ideology and its (in) compatibility with democratic ideals. However, they seek to highlight the detached nature of government guidelines in relation to the real situation of the schools.

In their study, Rozemberg and Souza (2013) considered the effects on the health of the workers arising from the educational macro-policies and suggest the need for a set of measures that modify the organization and working conditions of education professionals. They point out that programs like FUNDEB condition the receipt of benefits and bonuses for the professionals on the absence of health problems in a given period. They also point out that accountability measures generate competition between schools without taking into account the socioeconomic differences between them and the students' prior learning. According to the authors, many of the health problems, mostly mental disorders, faced by the education professionals, particularly teachers, are caused due to their working conditions. This is corroborated in the study by Aguiar (2010, p. 170) that addresses the training programs of education professionals, which states:

> There was an expansion at the legal level of what would be the full exercise of the teaching activities. Now, teaching should include the classroom activities, the pedagogical meetings, participation in school management and educational planning, among other activities. This situation has resulted in a significantly intensified workload and precarious employment relationships, in changes that impact on the identity and profession of teachers.

In their study into the extension of the period of basic education to 09 years, Arelaro et al. (2011) highlight the lack of material and financial resources for such a reorganization of the curriculum. However, even when the material conditions are made available to the school, another problem arises, which concerns the teacher training, as pointed out by Domingos et al. (2000) in their study on secondary school reform. They point out that it is the school board members who should set the curriculum of the school, in order for the school not to merely be a performing unit, but instead a decision maker. Both studies indicate that these policies have not been widely discussed by federal agencies or within civil society, which may have caused the serious problems arising from their introduction.

In this scenario, Hypolito (2010), in relation to curriculum reform, criticizes the attribution of accountability and the performance-related pay model, arguing that it leads to the decentralization of the responsibility/blame for the success or failure of the school (which falls on the school, teaching staff, parents, and students), the preference for individual action and know-how-based knowledge instead of critical and reflective education. This is corroborated by Krawczyk (2003, p. 169) in a study of middle school reform, which concluded that "the current situation of the school encompasses the following paradox: a complex curricular reform together with the depreciation of the intellectual work of the school as a cultural institution."

In discussing the relationship between inputs and outcomes in terms of access to education, Gouveia (2009, p. 471) points out that these indicators should contribute to the development of a methodology for evaluating educational policies, while realizing that the discussion regarding the quality of teaching involves analysis of the pedagogical processes. Given this, it is concluded that these processes are

difficult to measure and that "the indicators for this are not consensual in the area of education." This may occur for the reasons given by Oliveira et al. (2005, p. 127) which show that,

> Within the sphere of public government, there are two contrasting concepts of educational management. One that is managerial in nature (PDE) and another that signals the aspiration of the educational community for a more autonomous and higher quality school (PPP). It shows that some states tend to favor the PDE, to the detriment of the school political-pedagogical project (PPP).

This being the perspective applied to analyze the quality of education, most of the analyzed studies argue that it cannot be reduced to academic production or be taken as:

> Reference for the establishment of a mere ranking of educational institutions. Thus, an education that is social in nature is characterized by a set of factors within and outside the school, related to the students' living conditions and their families, to their social, cultural and economic development and the school itself – the teachers, principals, pedagogical project, resources, facilities, organizational structure, school environment and interpersonal relations in everyday school life. (Dourado 2007, p. 940–1)

However, Dowbor (2007) suggests alternative paths, since, instead of suggesting that it is the general context that must adapt to the school, his analysis argues that the school needs to adapt to the local context. Thus, he states that the educational system and schools, in particular, should act together with other social institutions in order to better insert themselves in the local reality. He argues that it is a two-way process that leads the school to produce people "with a greater understanding of the dynamics existing for future professionals, and on the other, allows those dynamics to penetrate the educational system itself, thus enriching it." This would lead to an upgrading of teachers in that they would have to confront "what they teach with reality as it is experienced" and should take advantage of the breaches in the PCNs to incorporate local knowledge into the school curriculum (Dowbor 2007, p. 82). In this sense, participatory bodies such as the Municipal Education Council, which bring together people with knowledge of the true situation and local problems, can help transform the school system into a "radiating center for the construction of scientific enrichment that is broader than that of the locality and the region" (Dowbor 2007, p. 87).

Also, from a more positive view of management, Ferreira (2006, p. 1348 – emphasis added) highlights the importance of this discipline in the curriculum guidelines of the teacher training courses, because:

> It is administration – management – acting in the classroom, because it contains "at its core" the spirit and content of the political-pedagogical project that expresses the commitments and direction of the school through education management, classroom management, relationship management, the management of the acquisition of knowledge, educational action and deliberate and methodical pedagogical process, built in social, ethnic, racial and productive relations, which influence the concepts, principles and objectives of teaching, which are developed in the relationship between scientific and cultural knowledge, the ethical and aesthetic values inherent in the process of learning, socialization and knowledge construction within the dialogue between different worldviews.

Therefore, in contrast to most of the studies on this subject, Ferreira (2006) and Dowbor (2007) suggest that education management guarantees teaching quality, without conflicting with the human formation of the student. For this to occur, educational content should harmonize with the content of life, and for that, it is necessary for the school to be inserted within the local community as well as for the community to participate in the school. That may be why Ferreira (2006) relates teaching quality to democratic management through productive relations, which are articulated through scientific and cultural knowledge and to ethical and aesthetic values within a framework of a consideration of different worldviews.

Topic 4: Participative Management

Eight (08) papers were found related to this topic, of which three deal with the stakeholders' perception of participative management, while five address the way in which the mechanisms of participative management, such as collegiate bodies and the PPP, affect school management. Thus, this topic includes articles that fall within the scope of reality and intra-school actors and so differs from the previous topics that looked at the school from outside. The topic of participative management is concerned with studies that presuppose the existence of subjects who participate in decision making. This may be due to the understanding that,

> Education for citizenship and for life in a democratic society cannot be limited to the knowledge of laws and rules, or to forming people that learn to consciously participate in collective life. More is needed, there is a need to work to construct moral personalities, of autonomous citizens who consciously and virtuously seek happiness and the good of the collective. (Araújo 2010, p. 24)

Marques (2012, p. 1187–9) analyzed the discourse of school board members and their perception of democratic culture, noting that the school management has come to be structured on democratic practices, since there was a:

> Consensus among the members, that the importance of the school board is in the division of responsibilities, making the relationships within the school more horizontal, forgoing the concentration of power in the hands of the principal. Thus, it seems the concept of the board as an instrument seems to be settled, and more, as a condition for the democratization of management, which is that of collective responsibility and not the figure of the principal. […]
>
> Moreover, in the discourse of the school board members regarding changes in school management, the collective commitment to the institution is also highlighted, which is made possible by participation. Thus, participation also involves the commitment of people to collective projects, in which each one has their responsibilities which, if not met, undermine the work as a whole. Furthermore, participative practice provides for greater integration of parents and the community in the school. In the discourse of the school board members, improved education is also seen as a change arising from the action of the board, which is made possible by a closer contact of the parents with the school, the management, and the teaching staff.

In their study of teacher practices and perceptions regarding the school atmosphere, Brito and Costa (2010, p. 506) state that studies of schools have "highlighted the

figure of the principal as a crucial agent for the existence of a favorable atmosphere in a school," which is supported in their research, given that "the reports from teachers also demonstrate the influence of management in the construction of good working atmosphere." However, the authors call attention to the fact that teachers were unanimous in pointing to family and socioeconomic aspects as being the primary causes of the differences in performance between schools and that school management was second. "The problem with this approach is that, in exclusively attributing the problems faced by the school to external factors, the teacher forgoes any concrete possibility of taking action towards assisting schools with the greatest difficulties" (Brito and Costa 2010, p. 509).

For Martins (2008, p. 204), when dealing with the school context and the dynamics of collegiate bodies,

> Although principals, teachers and administrative staff may feel insecure in situations of conflict generated in meetings of collegiate bodies in institutional processes, the tension can sometimes function as the stimulus needed to introduce common ideas that generate collective projects.

Silva (2010), commenting on self-assessment and democratic management, says that this may constitute a tool for management and participation, to know what types of measures to take in relation to student learning, although the author disagrees ideologically with the way in which the external evaluations are designed. Brooke (2006, p. 398), while agreeing with the logic of accountability policies that aim to achieve improvement through dissemination of results, shows himself to be unconvinced regarding the transparency of such policies, since for him "there are few examples of accountability policies in Brazil, and the cases of Rio de Janeiro and Paraná show the difficulty of legitimizing the procedures used to make the connection between the information system and the consequences for education professionals."

> The resistance of the professionals to accountability systems is based on the argument that the school cannot be responsible for its results if the local authority fails to ensure the necessary conditions to achieve quality work. It seems undeniable that any accountability system also needs to determine the role of the maintaining entity the expected level of performance. This entity is an essential component for the construction of quality schools, and not just an example of evaluation, and should be considered central to any accountability program. A system that creates a burden for the school, in terms of foregone bonuses or administrative measures, will always be seen as unfair in an environment in which bureaucracy is considered inefficient or even inactive. (Brooke 2006, p. 399)

Finally, the last two papers deal with the political-pedagogical project (PPP) and its relation to participative management and school autonomy, noting that "there is no reference to an public policy endorsed by a public discussion on the construction of educational projects" (Monfredini 2002, p. 54).

> The regulation/legalization of the pedagogical project imposes a series of bureaucratic controls at the same time that, within the school unit, the technical team is expected to provide an immediate response to a variety of problems, from those that reflect the serious social and economic conditions in which the students find themselves, conflicts in the schools,

lack of financial resources to develop action plans and even those related to building maintenance. Pedagogical projects in schools, to some extent, reflect the search for solutions to the problems that affect everyone in the school unit. (Monfredini 2002, p. 46)

For both studies, the PPP is closely related with the school's autonomy by allowing it to determine pedagogical guidelines and facilitating the search for solutions to the school context. However, Malheiro (2005, p. 47) warns,

The various highlighted intrinsic reasons […], mainly the lack of interest in building the Political-Pedagogical-Project or the difficulty in relationships within the school community taken together with extrinsic reasons such as lack of time, of school calendar have been shown to be only a consequence and not the cause of the real problem of creating an environment propitious for autonomy. The real cause is the lack of a school environment that fosters motivation for teachers to teach and students to learn and to enjoy school.

Topic 5: The Practices of the Principal

From the 46 papers identified under this theme, only 5 focus directly on principals' practices. Although one of them offers a theoretical discussion on education, politics, and administration, it also provides thoughts on the practice of school management and, therefore, has been included in this topic. Two studies highlight the role of school management in successful experiences, while the other two focus on the figure of the school principal in inclusive education.

Inclusive education aims to consider human diversity and understand and meet the special educational needs of all students and consists of pedagogical practices designed to promote social inclusion. The two PhD theses that were found dealt with the figure of the principal in the construction of inclusive education within the school unit, which is understood as a process that increases the participation of all students in regular education. Both theses originated from the same graduate program and perhaps therefore exhibit many similarities. In both studies, the concern was to try to identify the knowledge and practices necessary for the construction of inclusive education in school. The studies are qualitative in nature, and their field of research was the municipal school network. The main findings of these studies suggest that, despite being aware of the legal aspects surrounding this issue, school managers have encountered many difficulties in attempting to introduce inclusive practices, as their conduct is limited by "bureaucratic issues within schools, by the centralized decision-making and lack of know-how in relation to dealing with the educational needs of students with disabilities" (Carneiro 2007, p. 9). Hence, while acknowledging that the school management is critical to the formation of an inclusive school, they also point out that "pedagogical issues are increasingly distant from their practice, since the administrative aspect is prioritized" (Tezani 2008, p. 266).

However, this is not the view of Aro (2010) in attempting to present theoretical elements that constitute the administrative action of the primary school principal.

The author understands management to be a means of achieving the purpose of the school, considering its political conception and the specifics of the pedagogical process. Therefore, albeit in an implicit way, the author highlights the role of principals as mediators between public policies and their implementation at school:

> The text examines the school administration in both its technical condition, linked to the rational use of resources, which must be consistent with the educational character of its product, as well as in its political status, linked (in the same way) to its product, but mainly the form of social relationship, which is imposed as a democratic relationship. (Aro 2010, p. 763)

For the author, this means that the quality of education "rather than merely addressing the administration of the means, it is necessary to question the very purpose of school and education, if for no other reason, to see if it is indeed feasible and even desirable" (Aro 2010, p. 771). Therefore, the author suggests that the teaching process

> Should adopt the learner as subject, if for no other reason than not to break the principle of adopting suitable means to achieve the ends: if the end is the formation of a subject, the student, whose personality is formed through the appropriation of culture, must necessarily be a subject. Therefore, he is only educated if he desires to be so. It follows that the educator must take into account the conditions in which the student becomes subject. It is not enough, therefore, to have knowledge of the discipline that is to be taught. (Aro 2010, p. 772)

The author is not surprised by the appreciation of the figure of the principal, but is intrigued by "the relative scarcity, in terms of research into the situation of schools in Brazil, of studies and research into the nature and meaning of the functions of the school principal in the light of the educational nature of the institution" (Aro 2010, p. 766). We believe that this quotation from Aro has something to do with the recent concern with principals' professional development, which became an important topic of public policies only in 2005. "There is, therefore, an evident need to reflect on the practices of the school principal", hence, this discussion should be based on "two dimensions that interpenetrate each other, on one side, the explanation and critique of the current role of the school principal, and how school management is exercised, on the other, reflection on alternative forms of school management that take into account the political- pedagogical specificity of the school and the interests of its users" (Aro 2010, p. 775). Aro concludes (2010, p. 776) that:

> The explanation and critique of the current functions of the principal should consider the contradiction existing in having a principal whose training, attributes and practical activity were conceived for the role of a simple manager, without any explanation or reflection regarding the its characteristic as a role political agent, given the position of managing an institution whose purpose is to provide education, which is quintessentially a democratic action. In critical terms, in order to achieve its goal such an institution requires, a *sui generis* administrative mediation, both in terms of the rationalization of the work and the coordination of collective human effort. Due to the peculiarly democratic and public nature of the function, the school principal must be democratic in the full sense of the concept, i.e. the legitimacy of the position is essentially concerned with the free will and consent of those who submit to his/her management/supervision. Hence, we have to think of democratic ways to overcome the anachronistic bureaucratic process of appointment by public examination,

as well as the clientelistic appointment by political parties, both of which usually impose upon the workers in the school and the users of the school a figure from outside the school their unfamiliar with their most legitimate interests.

For Grigoli et al. (2010), school management also plays an important role in the teaching training activities, since the organization of labor involves a collective learning process. We are able to relate this view of the principal's role to the democratization of the school management, since that collective learning process has to deal with the development of teachers' leadership and not only teachers' professional development.

> The difficulties in promoting more human and cooperative relations and solidarity within the school is one of the major challenges faced by managers, who find themselves grappling with a wide variety of problems, such as insecurity, lack of teachers, lack of staff, inadequate buildings and equipment and the lack of financial resources to deal with the numerous shortcomings. Moreover, these difficulties are compounded when schools serve a large number of students. All this pervades the time that could be taken up with activities aimed at increasing the most legitimate and true school function: to promote student learning, a goal that may present additional difficulties due to the characteristics of the clientele. To overcome these obstacles to the democratization of the school, managers committed to continuing education in the school carry out actions that promote an atmosphere of exchange and mutual support among teachers and invest in strengthening the bond between the school and the community and vice versa. (Grigoli et al. 2010, pp. 242–3)

The data presented by the authors indicate that the size of the school and the role of managers are aspects that favor consistent work and further the aims of the school, resulting in a better evaluation at all levels, from the results obtained by the students to the assessment of the school by the community. In a successful case analyzed by Grigoli et al. (2010, p. 252), it was found that there were no contradictions between the statements provided by the managers and the teachers regarding the educational work they do. This indicates that when "the action of these professionals is based on some common beliefs and aims, probably underpinned by a pedagogical project, which is not confined to the bureaucratic files, but incorporated into the thinking of the participants" they build a culture of commitment to the results of the school. The authors conclude (2010, p. 254) that:

> Clearly affirmative action on the part of management: shared commitment, a climate of respect and trust, support for the demands and appreciation of the work of the teacher. These elements are the features of what might be called management of a prospective character. While facing the challenges, the management emphasizes the achievements and engages the school staff in new projects and the search for new solutions, creating a climate of encouragement and belief in the possibility of change. It is clear, therefore, that managers behave as catalysts for the skills of the staff (Thurler 2002) and that the school constitutes as a space for training, not due to external demands, but due to a process of committed insertion in school life, in problematic situations that are challenging for them and in order to equate/deal with them collectively.

Garcia (2011) is the author of the article that best illustrates management practices, since it describes the work being done by all the school staff at the Mauro Gonçalves Faccio Municipal School of Basic Education, located on the outskirts of São Paulo City. The lines of analysis of the work of the school in the paper are the teaching and learning process, school projects, the importance of management

in building a learning environment, and teacher training. The school's success is due to:

> The commitment to aligning the teaching and administrative work, there is effective communication and affinity between the principal and assistant principal, pedagogical coordinators and school staff, which facilitates the cooperation of all in the good functioning of both the pedagogical and bureaucratic aspects, as well as in those related to services. (Garcia 2011, p. 139)

So, it is clear to Garcia (2011) that the principal plays an important role, not only in supervising teachers' and staffs' work but also in engaging them in the pedagogical purpose of the school in order to achieve the proposed results and also to promote citizenship. Regarding project implementation in the school, the author (Garcia 2011, p. 129) is categorical in stating that despite the difficulties related to the lack of material and human resources, an atmosphere of mutual trust, collaboration, and a "concern with the learning and development of students" was gradually being created. That is why, despite the governmental administration and despite the difficulties, the pedagogical coordination managed to "assume the leadership of the process through discussions held in pedagogical meetings and informal gatherings […] that allowed the educators to constitute a group with a certain cohesion" (Garcia 2011, p. 131). Because of this, the educational project of the school is the manifestation "of a desire and a need felt within the school" and was seen as being feasible to meet the "expectations of the group and the institution as a whole" (Garcia 2011, p. 132). This is also due to the efforts of the principal, who is "extremely active and attentive, sparing no effort and enthusiasm to create fund raising mechanisms" (Garcia 2011, p. 138). As a consequence, the performance of students in external evaluations "has been a little above the average in the city"; however, "it is unlikely to achieve a better level, because, despite the moves in the school to improve the quality of teaching, the adverse conditions experienced in the public schools, in general, weigh heavily in the process of student learning" (Garcia 2011, p. 136).

> Finally, given the above, I would like to emphasize that the success of the school, not only among students, but among all those who make it daily and the community in which it operates, cannot be attributed to a single person or action. The four lines that I sought to briefly describe are, in fact, the points of support for the teaching and learning in the school and those responsible for the resulting atmosphere that infects and arouses so much enthusiasm and joy. If examined in isolation, especially with regard to the process of teaching and learning, one can see that not everything is cohesive and harmonious, there are both teaching methods, those consistent with the pedagogical theories currently most appreciated and which allow a great deal of participation, research and creativity on the part of the students, as well as the conservative teaching that is devoid of meaning and purpose, and which exists only to keep students busy and working in silence to carry out orders from teachers. However, as the students are asked and have real possibilities of occupying other spaces and performing other actions that defy what they already know, and because they prove themselves to be very able to learn beyond what is expected of them, the result is always surprising, which does not cease to be a very interesting lesson for those educators that are really concerned with understanding how one learns in school. (Garcia 2011, p. 142)

This research has highlighted that the term *leadership* in Brazil is not usual in the studies on the academic area of education. There is not even a consensus for a definition of *leadership* in the education literature in Brazil. Most of published works

do not use the term. In this sense, the international research about school leadership has not influenced the research in Brazil. Most researchers mainly are not interested or aware of the importance of this subject. However, this does not mean that the research in Brazil has not been influenced by foreign academics, since the majority of the papers deal with the discussion about the legal and political context of education. When discussing this associated theme, we observe the influence of social scientists such as Foucault, Bobbio, Harvey, Bourdieu, Tourraine, Weber, and Weick. Regarding this, it is possible to declare that the discussion in Brazil has some similarities with some education research abroad, mainly those which take a social critical perspective. The researchers in Brazil have focused on doing research in order to discuss the role of schools in providing equal opportunities to people and, at the same time, the perceived need for a greater democratization and a greater participation in the educational public policy, decision making, and school management.

It is important to note, also, that all papers have a qualitative approach, mostly case studies, and that there is a need for more studies with more robust data and methods. Moreover, the Brazilian academics doing research in the field of education do not contribute to theoretical advances in understanding school leadership. Mostly papers are more concern in criticizing the political and government initiatives, rather than discussing how these might influence the school contexts and leadership practices.

Regarding this, it is interesting to note that the majority of papers derive from research developed in public universities. So, academics and policy makers are struggling to influence the regulation of the educational system. On the one hand, government has made advances in some educational policies, for example, the development of evaluation systems, and on the other, academics criticize those polices using only ideological arguments without empirical evidence from accurate data analysis or theoretical formulations. So far, then, the research in Brazil has not focused on collecting and analyzing the realities of schools and school leadership.

In this sense, our chapter points to the need for the further and more rigorous and richer development of research in Brazil, which focuses more directly on head teacher leadership. It also introduces the topic of school leadership in Brazilian academic scene as well as in placing it in early dialogue with the wealth of theoretical and empirical research on school leadership and management internationally.

Research Paths Taken and to Be Taken in School Management in Brazil

In general, then, the studies into school management in Brazil, while highlighting the figure of the principal because he/she is, in hierarchical terms, ultimately responsible for the results of the school, are not concerned with describing what is within his/her scope as manager and his/her role as leader. Due to this bias, which is

common to most of the studies analyzed here, school management is seen in a very general sense, since it is subject to the vagaries of the management of the educational system, which occurs at the government level. This is true in the papers analyzed in the topics "productive restructuring" and "analysis and interpretation of government policy," totaling 30 of the 46 papers included in this study.

We believe that this may have happened because extensive reforms, such as those implemented by Brazilian State, are time-consuming, since it must depend ultimately on a change in management culture which, in turn, depends on the implementation of a new legal approach. In the case of education, the effect of the reforms was to put the principal as central figure in the implementation of this new approach. The problem is that the professional development of schools' principals, in order to mediate policies and schools' apparatus, only became important to public policies almost 10 (ten) years after the reform. We believe that this is the reason why the research about school management in Brazil concentrates much more in the displacement between those policies and the school context instead of these policies and the practices of the principal – since he/she is not properly prepared to implement them.

Many of the studies criticize the educational policies or the wider socioeconomic context and blame them for the failure of the public school in the country. This is due to the reform of the state apparatus that, by allocating institutional control to society, ultimately means nobody is accountable, since responsibility is dispersed and not focused on the figure of one person or body central. At the same time, it serves to ensure that educators evade any responsibility for the results of the learning process. We are able to say so, not only because the number of articles in topics 2 and 3 but also because they depersonalize the blame for the failure of schools' achievement. Furthermore, one cannot ignore the fact that these studies fail to place the students as protagonists of the educational process.

However, those studies that approached the school context – included in the topic "participative management" – and which proposed to analyze the management tools provide some positive contributions to school management, because they address the educational process in the school context. Thus, while acknowledging the constraints of the participative management tools, they are also able to identify alternatives and practices that can be considered within the reality of the schools, provided there is commitment on the part of the school community as pointed out by Silva (2010) and Marques (2012) in introducing the self-assessment and division of responsibilities, respectively. Here there is the suggestion that it is the awareness and attitude of an active subject in the construction of reality that leads to good management practices in the school. This strengthens the commitment to the mission of the school, which is civic education.

This is the line followed by the papers selected in the topic "practices of the principal" because they reconcile the harsh conditions imposed on the school management with the efforts of the educational actors to build successful schools as pointed out by Garcia (2011). This is because they consider the activities means of the principal and all the school staff in building this process.

The analysis of the articles shows there are policies and management tools for the democratic management of the school and that they seek to involve the school community. However, it is also clear that those policies are not producing the desired results and that the tools for participation are not working as desired. Most of the articles are restricted to this point, which may reflect the fact that most educators do not feel responsible for the problems of the schools. Nevertheless, it is exactly by assuming their share of responsibility in the building of a democratic school that educators, by adopting the attitude of citizens, are able to achieve the democratic ideals that they so often preach. Indeed, some articles focus on this issue and therefore are able to identify alternatives and report successful examples. That is, that there are ways of involving the school community, yet, the school community is not called upon to participate.

One conclusion, therefore, is that the lack of articles about leadership in school management in Brazil, considering principals as a person who is able to guide the processes so that school results are achieved. Specifically regarding leadership, it can be seen that the term is rarely used by researchers, who address it indirectly and permeated with the topic of management.

Therefore, with regard to further research in the area, we agree with Martins (2008), when they suggest the need to conduct broader, survey-type studies in order to assess the real effects of educational policies. There is also a need for case studies that share the experiences of implementation of public policies in order to unravel the real particularities of the educational and school management processes in Brazil.

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Chapter 22
India: School Leadership, India at the Crossroads

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Background

Educational History and Current Demographics

India has had a long history of formal education. Even before the birth of a written language there, the Vedas in Sanskrit language were imparted in an oral format for at least 800 years beginning 2000 BC. In later periods, a system of schooling called Gurukul (boarding and learning at the home of the teacher) came into existence. Male children from noble and upper-caste families stayed and learnt at the homes of sages. They were taught a variety of subjects from religious to science education (Prabhu 2006). Until the era of colonialism, however, education primarily catered to the dominant religion of the period (i.e., Hinduism, Buddhism, Jainism, Islam).

With the establishment of British rule in India in the 1800s, the English language and a new system of education that came to be known as the Macaulay system (Thirumalai 2003) were promoted. This was a new type of education "characterized by technology, by a philosophy of the relationships between students and teacher, and by politics of control" (Kumar 2007). Indian scholars who received training in this educational system exercised a distinct influence over how the Indian educational

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system evolved during postcolonial period (Choudry 2008). It was mostly an adoption of the British model with national themes. Remnants of the governance structure, curricula, teaching, learning, and testing methods are in existence even in the twenty-first century Indian educational system. After independence in 1947, each state and the union territory – at that time 14 states and 6 union territories – became responsible for educating its students at the primary and secondary level. The central government coordinated higher education by creating standards for tertiary education. This relationship between central government and the states changed in 1964 when education became the joint responsibility of the state and central governments through a constitutional amendment.

Today, few countries can compare to India in its sheer size of the school-going population and vastness of diversity. Nearly 264 million children attend (National University for Educational Planning and Administration 2012) one of the 1.3 million schools that include 785,000 elementary schools and 172,000 secondary or higher secondary schools (Ministry of Human Resource Development 2012). With its 29 states and 7 union territories, each created within its predominant linguistic and cultural boundaries, India exhibits an enormous diversity. Economic disparity has remained part of this diversity and has hindered opportunities for all children to go to school.

Ever since its independence, India has strived to implement educational policies to accomplish its national goals and to meet regional or local needs at the same time. In addition, the central government and the states have struggled to close the gap among children who are able to get an education and those who are not. A significant effort in this regard is the recent law, *the Right of Children to Free and Compulsory Education* (*RTE*) *Act of 2009*, which was ratified by all states (India Development Gateway 2010). The new law embraces the principles of an existing scheme *Sarva Shiksha Abhiyan* (SSA) that aims to provide useful and relevant primary education for all children in the 6–14 age group and to bridge social, regional, and gender gaps through active participation of the community in the management of schools. Since 2009, the central government has expanded the policies for free and compulsory education scheme to secondary school levels as well. This project entitled: *Rashtriya Madhyamik Shiksha Abhiyan* has been embraced and implemented by states across the country.

Present-day India is witnessing a phenomenal surge at all levels of education, from primary to university education. Thus far, the government has allocated the highest portion of its budget to education (4.5 % of its GDP) and has encouraged the exponential growth of private school sector (The World Bank 2009). About 60 % of the schools in India are government-run schools, while the remaining ones are private aided (PA) or private unaided (PUA). The state governments manage and finance government-run schools, which must follow the academic regulations of the state board of education. PA schools are privately managed, but the respective state government finances 90 % of their budget and requires them to follow state board regulations. PUA schools are the newest and fastest growing ones that do not receive government funds.

Since 1968, the Indian central government has stressed the need for uniform structure of schooling across the country. The most common format that exists across the country is $10+2+3$, that is, 10 years of primary, upper primary, and high school; 2 years of higher secondary, and 3 years of college education (Tyagi 2009). Educational governance structures vary among the states and territories. Although there are differences in the policy formulations, planning, administration, and management, all states and union territories have a department of education. Fifteen states have one department of education that handles primary, secondary, and higher and adult education together, whereas 13 states have separate departments of education for each sector of education (Tyagi 2009). Subsequently, there is at least one minister of education, who is usually an elected member of the state legislative assembly, in each state. Under the control of this minister, there are minimally three divisions: (a) secretariat, (b) directorate, and (c) inspectorate, which are responsible for policies, budget, administration, and supervision of education from primary up to higher secondary levels. School principals at all levels must work in conjunction with these government officials in the management of schools and in achieving India's overall educational goals.

Roles and Responsibilities of Principals in India

In this context, it is necessary to examine the evolution of the roles and responsibilities of a principal in India. The principal, who may also be known as the head teacher, headmaster, or principal teacher, occupies a central leadership role in the modern-day school system in India. Principals are the heads of the school, with a wide range of responsibilities ranging from the management of day-to-day routine affairs to the effective utilization of scarce resources in order to achieve the ultimate goal of providing quality education. The principal or headmaster appeared early in history of schooling in the British India colonies. In larger settlements, where the population necessitated schools with more than one teacher, the principal teacher emerged as one way of coordinating school committees and teachers. The dictates and requests of lay citizens or a school committee could conveniently be given to one teacher, who could then pass this information on to other teachers. It soon became useful for school committees to have one teacher not only pass information onto others but also see that teachers complied with requests and honored recommendations.

The exact character or role of the principal seems to have varied from community to community. The principal seems to have been involved in instructional improvement in some communities, for example, but not in other communities. It was not until the mid-1800s, with the rapid growth of settlements and the emergence of the role of superintendent, that the principal's role began to take on the general character of a school site manager. By the early 1900s, the principal was usually involved in activities such as instructional improvements, maintaining discipline, and requisitioning supplies, and by the 1920s, this configuration of the role seems to have

become a standard. Debates about the exact nature of principalship in India waxed and waned since the colonial period until discussions about the role of the principal intensified in late 1950s. Some saw principals as instructional leaders of the school; others saw them as facilitators for professional staff. A few even saw the role as non-essential. But, the exact role of the principal is a major element in the debate that continues today about improving the quality of educational systems. Many have defined the role in different ways at different times and places. Others, such as reformers and professors, have argued for specific rights and responsibilities for principals. In the recent times, however, there have been more interest and discussions on framing a role and set of uniform responsibilities for principals; these are primarily necessitated by the RTE Act (Saravanabhavan and Chirumamilla 2010).

The RTE Act mandated formation and operation of a school management committee in each school. Seventy-five percent of this committee must comprise parents/guardians with appropriate representation from the disadvantaged groups. Also, the committee has to include elected representatives from the local government bodies. The school management committee should have at least 50 % women. The school management committee is to (a) monitor the operation of the school, (b) prepare and recommend school development plans, and (c) monitor the utilization of grants received from the government, from local authorities as well as from any other sources (Ministry of Law and Justice 2009). In the context of democratization of educational governance, village/school management committees are intended to create community-level participation and decision-making relative to local education. Although there have not been large-scale studies on this topic, the few that have been conducted in a specific state or in a cluster of villages in one district have identified emerging issues related to appropriate engagement (Saravanabhavan et al. 2012). Yet, as the local parents and other members of the public get more and more involved in the management of schools, it is foreseeable that school administrators, such as principals, will need to exercise a more participatory form of governance and minimize their unilateral decision-making and simple monitoring for compliance with rules and regulations.

A judicious balancing act must be performed by the principal today in order to overcome systemic limitations. Despite less than optimal conditions, the principal must still deliver quality and sustain the overall effectiveness of the school's education while continuing to meet the growing demand of continuous societal changes. Introduction of the RTE and the phenomenal growth of secondary education in India furthermore created a huge gap between the demand and supply of qualified administrators, principals, headmasters, and teachers. Thus, the National Knowledge Commission (as cited by Pitroda 2006), in its recommendation on school education, highlighted the need for training talented individuals for the task of school principalship by assigning training responsibilities to existing institutions like the State Council of Educational Research and Training (SCERT) or the State Institute of Education (SIE) and effectively leveraging the expertise available in centrally sponsored schools, like Navodaya Vidyalayas and Kendriya Vidyalayas, and government schools as well as private schools.

Method

With the foregoing background of history of education, demographics, and emergence of the roles and responsibilities of a school head, we now present a survey of research that was conducted mainly since 1990s. At the outset, it should be noted that literature based on empirical studies is limited, and it is difficult to analyze these studies thematically.

Two prominent areas under which we could categorize these studies are principal's competencies and principal's training. While studies conducted in or before the 1980s support a principal's managerial competencies, studies that were published in the 1990s and after are in support of more leadership competencies. On the whole, Indian scholars still appear to be divided between a managerial type of training (MBA model course work offered by business schools) and educational administration/leadership training (M.Ed.) offered by colleges of education.

Professional Competencies for School Principals

Competencies may be defined as a combination of attitudes, knowledge, and skills that allow one to be successful in his or her position. In other words, competencies are descriptions of anticipated performances that combine professional know-how with the "soft skills" that can make the behavior most effective. Competencies are most efficient when specified as a type of performance in a realistic, task-relevant situation that assists an individual in focusing on his or her behavior. Competency statements define the behaviors associated with a desired performance and also describe the on-the-job context within which such behaviors should be manifest. In this way, expectations for performance become clear (Harris and Monk 1992). In the school setting, leadership competency means that an administrator has the knowledge and skills necessary to manage the people and resources to attain the desired outcome of quality education. Having good intentions and being a successful teacher do not necessarily make an individual a competent administrator (Rebora 2009). However, proper training in professional competencies could enable principals in India to more efficiently deliver the quality required and desired in today's educational scenario.

The Principal's Role in the Twenty-First Century

As early as 1975, Pandya highlighted the roles and functions of the principal in curriculum development and overall school improvement. Specifically, the principal should:

- Push teachers to work
- Emphasize production in terms of higher pass percentages

- Foster community relationships
- Prepare appropriate instructional material and aids
- Help improve instruction by encouraging initiative and fostering creativity in teachers
- Organize pilot studies and action research
- Help teachers grow professionally through in-service training programs
- Ensure good relationships and staff morale within the school
- Assist in the organizational development of the school

Principals should also be able to successfully resolve disciplinary problems and give advice and direction to teachers (Sharma 1982).

Ultimately, the principal manages the day-to-day operations and business of the school. Although he or she occupies a unique position in a managerial sense, in order to achieve good governance, the principal must assume roles, responsibilities, and accountabilities similar to those of the chief executive officer of a commercial undertaking. It is important that the principal's delegations of authority are clearly defined and understood. This is because principals play a vital and multifaceted role in setting the direction for schools that are positive and productive workplaces for teachers and vibrant learning environments for children. The ability to take charge and get things done in the face of complex and trying circumstances is the essence of leadership, and this is especially relevant for school leadership in India.

Globally, there is a growing concern that in the twenty-first century, the preparation and in-service development for educational leaders is inadequate (Brundrett and Crawford 2008; Hallinger 2005). This statement is further emphasized by the Organization for Economic Cooperation and Development (2008) "Report on Improving School Leadership" which stated:

> There is a growing concern that the role of school principal designed for the industrial age has not changed enough to deal with the complex challenges schools are facing in the 21st century. (p. 16)

There is an emerging consensus that successful leaders in the twenty-first century will exercise influence on student achievement through two important pathways: (a) the support and development of effective teachers and (b) the implementation of effective organizational processes. Competencies to achieve these objectives can be developed through proper training programs and professional development of school heads (preservice and in-service), and those aspiring to principalship are gaining increased attention. A competent principal should exhibit proficiency in matters related to management and administration of the school as well as exercise his or her instructional leadership in making the school effective.

Relationship of Leadership Style and School Environment

Several research studies conducted in India found a relationship between the effectiveness of the school principal's leadership style, the institutional climate, and overall school performance. This is because an effective principal has to be able to

provide leadership in implementing changes to school programs while gaining support from others to do so. Dhulia (1989) found a positive correlation between the school climate and teachers' job satisfaction. Job satisfaction can aid significantly in fostering positive teaching and learning environments, which therefore leads to a more ready acceptance of proposed changes. Chakraborti (1990) determined, for example, that the leader's personality and his or her behavior contributed to creating congenial and open climates in schools. Despite these types of appeals for openness, however, Vasanta (1989) discovered that school leaders lacked awareness of and encouragement for the use of modern management techniques in school administration with relation to the teachers. In India's largely bureaucratic and "top-down" models of governance and rigid models of leadership continue to be publically accepted. This provides little motivation for school leaders to engage in more consultative processes with staff. These bureaucratic leadership methods stand in contrast to emerging national and state policies that envision a more democratized form of educational governance (Saravanabhavan et al. 2014).

Subudhi (1990) discussed the importance of management training for principals in order to enhance their general administrative capacities and influence their attitudes to bring about desirable changes in their respective institutions. There are specific competencies that can assist in achieving these goals and helping improve the content and delivery mechanisms that principals or headmasters employ to effectively engage with their staff. Sujata (1999) also studied the managerial competencies of effective educational administrators. These included pupil development, personnel management, school-community interfaces, financial management, curriculum development, infrastructure management, and administrative methods. School climate was highlighted as a significant factor for the headmaster's success. Similarly, Konwar (1990) underlined areas such as discipline, performance appraisal, human relations, staff development, and motivation as crucial competencies for school leaders. On the national level, Mukhopadyay and Narula (1990) identified 54 competencies in 8 functional areas that the head of a school needs to possess. The eight functional areas included (a) academics, (b) personnel management, (c) financial management, (d) school planning and infrastructure, (e) linkages and interfaces, (f) student services, (g) methodological competencies related to technique and procedures, and (h) behavioral excellence. In 1994, Deka stressed similar training areas for principals of elementary schools including financial management, general administration, academic and personnel management, supervision and decision-making, institutional planning, and overall leadership.

While competencies of the principal or headmaster are important, the reality is that learner achievement is an indicator for educational success. The operational environment of the school, which should be managed by the principal, strongly contributes to a conducive learning environment. Indeed, Govinda and Verghese (1991) found that the operational setting in which the school functions provides a strong foundation for the internal environment within the school. The internal, operational environment of a school is reflected through: (a) the infrastructure or facilities, (b) its human resources (i.e., teachers and administrators), (c) a teaching-learning process which takes into account the way the curriculum is transacted, and (d) learner achievement. With respect to the organizational climate and leadership

behavior in relation to teacher morale, Jayajothi (1992) found that an open climate was related to the positive perception of a principal's leadership behavior by the teachers. Sharma (1991) also studied the administrative behavior of principals as perceived by teachers in relation to teachers' job satisfaction and student achievement in junior college. The results provided information regarding a positive relationship between administrative behavior, teachers' job satisfaction, and educational attainment of the teachers.

Related to secondary schooling, Kalra (1996) explored the competencies required by these principals for managing their school efficiently. The findings revealed that the principal should possess roles relating to the preparation of an institutional plan, use of administrative powers, academic leadership, staff welfare and development activities, and supervision of financial aspects and audits. It was further found that job success varied as one possessed appropriate manipulative skills, technical knowledge, occupational information, judgment, and morale. Pushpanadham (2006) identified key tasks for school principals including development of a culture of continuous improvement. Related to this was (a) increasing innovation and creativity, (b) enhancing skills and understandings, (c) improving commitment and energy, (d) improving capacity to adapt to changing circumstances, (e) greater responsiveness to the external environment, and (f) more effective school and community partnerships. Together, these professional competencies can help a leader improve the overall quality of student outcomes while influencing change within his or her school.

School Leadership: India at the Crossroads

From the above studies, it is clear that the position of a principal is immensely important in providing for educational standards in Indian schools and making the school most effective. In doing so, the principal must embody various roles: leader, facilitator, motivator, organizer, governor, business director, coordinator, superintendent, teacher, guide, philosopher, and friend. These studies also reveal that in performing or enacting such roles, an effective principal must possess certain cognitive, affective, and behavioral characteristics to be successful. Principals today are required to shift their energies to facilitating and integrating staff work activity. The necessary vision, knowledge, role orientation, goals, and commitment of leaders must be dedicated to school productivity. In short, the successful principal exhibits certain general and specific professional competencies, and such competencies can be developed through effective training and development programs. It was also observed that several commissions and committees in India have stressed the need for capacity building of school leaders through training.

The procedure followed to select principals in secondary schools in India does not currently put the necessary emphasis on elements of experience, training, and development in the field of educational administration and/or management. Hence, it would be wrong to expect the efficient teacher who is promoted to the position of

a school manager (i.e., principal) to be an equally effective administrator. The recent initiative of some state governments with regard to the appointment of school principals is welcome. Prospective candidates must pass a principal eligibility test. This examination is periodically conducted by the state government to assess the applicant's administrative knowledge and pedagogical understanding.

Many general studies in education have revealed that the necessary skills that enhance the professional competencies of a school principal can be imparted through effective training and development programs. The design of these courses should be based upon sound principles of adult education such as modules of self-learning. Additional flexibility through the effective use of information technology could have even greater impact on its targets. However, few universities and management institutes in India currently offer masters or higher-level course work in educational administration. Though the Indira Gandhi National Open University, the National University for Educational Planning and Administration (NEUPA), and a handful of state and private universities have been offering programs in educational administration, they are too few to meet the immense need. In India, "there is not enough accumulated body of knowledge and practice to foster the competencies" (Gafoor and Shareeja 2009, p. 2) of the current generation of Indian educational leaders. Yet, new policies and research on apt models of leadership training are becoming more visible in the recent years. Intellectual discussions on contextualizing "leadership" within the Indian sociopolitical as well global economic bases are under way (Sapre and Ranade 2001; Saravanabhavan and Chirumamilla 2010).

General educational research has shown time and again that access to schooling improves personal health choices and economic choices, and the government has steadily increased the number of primary and secondary schools all over India. Indeed, access to quality education has been a primary goal of the Indian government. In the era of globalization, knowledge has become an essential commodity. Knowledge is at the core of all development efforts in advancing the economic and social well-being of the people. Many nations are now transiting to a knowledge-based society where the quality and relevance of education play a crucial role in economic development. Indeed, education is the primary agent of transformation toward sustainable development, increasing people's capabilities to transform their vision into reality. Quality education has the power to provide children with the protection they need from the hazards of poverty, labor exploitation, and diseases while providing them the knowledge, skills, and confidence to reach their full potential. But, achieving these goals by the schools requires dynamic leadership. The stewardship of the principal is one of the foundations of highly effective schools and is a key to quality educational outcomes.

Creation of educational leadership programs can help the Indian government with its goal of creating a knowledge society. As a nation that is emerging as one of the most powerful economic engines in the world, and as a country with one of the largest youth populations, India is rightfully attributing high importance to quality education and the leadership to direct the educational systems into the future. As a nation with a unique history of paramount reverence to education, India is bound to improve and succeed in establishing a model system from elementary through

university education. Policy makers, educators in schools and universities, professional bodies, parents, and teacher associations will greatly contribute to this cause by envisioning a model to formally train educational leaders such as principals and district education officers.

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Chapter 23
Mexico: Research on Principals of Public Schools in Mexico

Celina Torres-Arcadia, Ileana Ruiz-Cantisani, and José María García-Garduño

Country's School System and Current Challenges

Mexico is the third largest Latin-American country (14th overall) with over 117 million inhabitants distributed in 2 million square kilometers. Its basic education system, from grades K1 to K9, serves a population of over 25 million students, distributed in approximately 227,000 schools (INEE 2012). Each of these schools has a principal, who should play an important role for these schools to work at least 200 days a year. It is the administrative position that represents the most numerous group of administrators in the country.

This section analyzes the performance and challenges of basic education school principals. It describes the public organism responsible for administrating the Mexican educational system, then it characterizes the challenges that educational system faces, and finally it deals with the role of the principal in the educational system from the official approach.

In Mexico, the educational authority nationwide is the Secretariat of Public Education (SEP, as its acronym in Spanish), which administrates the Mexican educational system. In this regard, the SEP is the governmental entity that pursues the objective of creating conditions that ensure access to quality education for all citizens, at the level and mode they require it and in the place so demanded.

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The basic education model is comprised by of the following levels:

1. Preschool. It is meant for children between 3 and 5 years of age. It is a 3-year program; only the last two are mandatory.
2. Elementary school. It is a 6-year program and is meant for children between 6 and 12 years old. It is mandatory.
3. Middle school. It is a 3-year program; it is mandatory, and it is a requirement to continue education in high school.

Mexico, as a member of the Organization for Economic Cooperation and Development (OECD), is pressured to improve its results on the PISA, since it ranks in one of the last places among OECD countries. Therefore, it has designed educational policies that seek to raise the quality of basic education to improve equality in both the teachers and administrators of the system and make them more accountable. In this sense, Hoyos, Espino, and García found that "although Mexico had a significant increase in years of schooling over the last 20 years, the quality of its education system—an important determinant of long term growth—is far from being satisfactory" (2012, p. 783). Thus, in the literature, the figure of the school principal becomes a determining factor in the improvement of school performance indicators (García 2009a, b; Barrientos and Taracena 2008; Cantón and Bezies 2009).

Following the revision of the context and the challenges of the educational institutions and having briefly introduced the role of the principal in the educational system, the next section will delve into how a principal is appointed and this relationship with educational outcomes.

The Principal: Her/His Role in Relation to the Current National Policy and the School System

This section introduces the principal's role in school management as her/his main responsibility and the meaning of school management in Mexico.

The principal is responsible for managing the resources to carry out the social demands in the national development plan as well as to fulfill the administrative matters issued by the Secretariat of Public Education. In contrast to these demands, several researchers found that the principal lacks appropriate training to do her/his job (Aguilera 2011; Camarillo 2006; Cordero et al. s/n; García 2011; García and Aguirre 2009; García and Carrillo 2007; Méndez-Salcido and Torres-Arcadia 2013); there is nowhere to be found a thorough description of the activities linked to the principal's position as well as of the capabilities she/he should have. Only 5 out of 32 states in Mexico have actually defined the functions for such position in the state law of education. On account of the lack of definition for the post, the nonexistence of specific programs that foster professional training for the post is not surprising.

Not only in her/his technical profile but also as the institution's leader, the principal plays a significant role in Mexican school management. She/he fosters the creation of an identity in the school collective (García-Garduño et al. 2009) and her/his decisions will favor or not students' educational outcomes (Barrientos and Taracena 2008; Cantón and Arias 2008). Other factors that frame the importance of the principal are the connections she/he makes with the internal groups of interest as well as with the external community (Valdés 2010), which could extend the scope of the principal's influence.

The principal, along with her/his managing team, is the one who does all of the actions related to school management (Pozner 2009). The Secretariat of Public Education (SEP 2010a) clusters management in four dimensions: (1) curricular/ pedagogical, which refers to the follow-up of the school program as dictated by SEP; (2) organizational, which assures the good functioning of the facilities from the perspective of the human resources; (3) social participation, which considers the social interaction with the different actors of the educational community; and (4) administrative, which refers to the functioning of the school center from the infrastructure perspective.

The principal has the support of two organisms in her/his functions: the advisory technical board and the social participation school board (Barrales and Medrano 2011; DOF 1993), both of which are chaired by the principal (SEC 2011). The school's advisory technical board is made up of the teachers and the principal. They work on the technical scope of management and pedagogy. On the other hand, the social participation school board is made up of the teachers, parents (individually or through the parents' council), alumni, the principal, and the interested members of the community (DOF 1993). At the middle school level, there could be an assistant principal who is the third supporting element, as she/he shares the management functions with the principal even though the latter is still the highest authority in the school (Aguilera 2011). In summary, the Mexican school principal faces different challenges, legally and morally, to do the activities that she/he has been assigned.

Next, we present the methodology by which these topics have been structured and developed. They are introduced as the most critical issues linked to the school principal in Mexico.

Methodology

The research focuses on two questions: (1) What are the main problems related to school principals in Mexico? (2) What gaps do researchers identify so that they become future research lines on this topic?

The first stage consisted in the exhaustive search for articles in Mexican journals. The works of García-Garduño (2004), García-Garduño et al. (2011) and Slater et al. (2008) served as the basis for the initial search on the work produced in Mexico. Although there have been some doctoral theses on the subject, it was only possible

to identify one of them (Fierro 2006). The second stage consisted in classifying articles by relevant topics, finding that in some cases more than one topic was considered, so it was decided that an article might be in more than one category, provided that the information presented was significant. Finally, an analysis of the contents of articles was done, which led us to identify four main topics. These were developed on the basis of the findings in the articles. The literature also helped to contrast and complement the theme from an international perspective. Each of the topics concludes with the remark of the research opportunities that arises from the consulted materials, as well as their implications in the Mexican context.

Research Perspective

In Mexico, there are around 227,000 schools of the basic level: 18.3 % correspond to preschool, almost 57.8 % are elementary schools, and 23.9 % are middle schools. It is assumed that in all of them there is a principal, although at the middle school level there is a post for an assistant principal. Additionally, in these schools there are 180,000 teachers, distributed as follows: preschool 18.9 %, elementary school 48.4 %, and middle school 32.8 % (INEE 2012). It is worth noticing that while preschool and elementary school teachers are appointed to attend to one group during the school year, the middle school teachers are in charge of specific subjects in different groups and even in different schools.

In regard to the principal's profile, it is estimated that around 45 % of the principals are between the ages of 40–49, and around 25 % are over 50. Around 60 % of the principals are male, and 66 % are male principals at the middle school level; this in contrast to the fact that most of the teachers in kindergarten and more than half of the teachers in elementary schools and middle schools are female (OEI 1994), while in 2011 almost 70 % were female teachers (SEP 2013). This pronounced ratio could be even more pronounced if taking into account the 2012 statistics of women who want to become teachers of basic education: 94,000 female students versus 39,000 male students (SEP 2012). Approximately 96 % of the principals hold a college diploma, while only 11 % of the elementary school principals hold a master's degree, a figure that is higher in middle school principals: 28 %. Another aspect worth noticing is that 15 % of the principals have another job (BIE 2009, 2010), which sheds some light in regard to salary dissatisfaction.

As a result of the analysis of the country's specific research on the principal's role, work, and leadership, four relevant topics have been identified in the existing publications: (1) professional development, (2) definition of the position, (3) workload, and (4) work relationships with teachers. Such topics have been studied by researchers with the understanding that the main problems of the group lie in them. In the following section, each one of the topics is developed to show the interrelationships among them and the complexity they entail.

Professional Development

In Mexico, the selection process to appoint a principal is carried out by the National Mixed Commission of Structure (CNME, as its acronym in Spanish), which is made up by two representatives of the Secretariat of Public Education, two members of the National Executive Committee of the National Educational Workers Union (SNTE, as its acronym in Spanish), and an inspector president appointed in agreement by both parties. The selection process starts when a post is available; the CNME calls for participation (Ortiz 2003) and makes known to all interested parties the existence of such post. The selection of the principal to cover the vacancy only takes into account the structural merits of those who decide to participate to earn the post (Silva et al. 2009). The system of structural merits consists of a system of points earned mainly by seniority, academic activities, and training (Ortiz 2003); therefore, it is not a requirement to have professional training to become a principal (Aguilera 2011). Traditionally, the new principal learns by doing and through her/his experience of having observed other practicing principals.

The condition of the poor, scarce training in leadership for the Mexican principal is repeatedly found in the literature (Camarillo 2006; Esparza and Guzmán 2009; Silva et al. 2009; Aguilera 2011, among others). This is due to the little, if any, training to be appointed to the post. Nevertheless, the principals' professional training is a relatively new topic in Mexico, which has become stronger since the educational reforms of the last decade of the twentieth century, when the need to implement strategies to improve the quality of the educational institutions was discussed (Aguilera 2011). In regard to this topic, García-Garduño and Martínez-Martínez (2013) point out that the programs for the principals' development have not been adjusted to meet in a timely fashion the requests established upon being appointed to this position.

In the 1995–2000 program for educational development, the Mexican authorities acknowledged for the first time the principals' lack of preparation, as their appointment had been made through the vertical structure, which in fact did not assure the right profile to assume the responsibilities the post entailed. This first assertion has been reiterated in the following national development programs (Cordero et al. s/n). In this light, it is evident that it is no longer subject to debate whether the principals' training is needed or not. However, the great question is in regard to the processes for this training to be pertinent and articulated to the mechanisms with which the principals have been appointed. Along with these issues, the follow-up to the programs that have emerged is a matter of interest since it is relevant to know how much they have contributed to the educational quality in aligning all the resources of the sector.

On the other hand, the principals have become aware of their lack of preparation and of the demands as by-products of the different programs that required greater involvement from them for academic achievement. In this regard, Camarillo points out the principals' change of attitude concerning their awareness of the need of self-training to do their job, as stated by a principal: "… You study to become a teacher,

but not to become a principal. Therefore, I think that a principal should have this profile, have more knowledge of his functions, not only knowledge but also preparation for the post, which has not happened so far. Truth is, you cannot see it anywhere and so happens in elementary schools, middle schools and pre-schools. You get there randomly…" (Camarillo 2006, p. 92). The principals acknowledge not being prepared to assume the post, that the training they receive on behalf of the Secretariat of Public Education does not meet the job needs, and that when they attend the training called by the SEP, it is more to pursue the goal of getting points for their teaching career (García and Carrillo 2007) than to improve their professional performance.

Some effort has been made to encourage the self-training of the school principals; there have been courses, certification courses, some master's degree programs, and even doctoral programs offered to the principals that choose the teaching career; nevertheless, limited congruency has been reported between the training offer and the general guidelines of the educational policy concerning the updating of school authorities and teachers (Aguilera 2011). For example, the national updating course for principals of basic education was promoted. It included readings and problem-like proposals made independently by principals who do not see it as a real solution to the problem of principal training (Cedillo 2008) but one of many isolated and disarticulated efforts trying to solve the problem of principal professionalization. In this regard, it can be seen that the multiplication of programs oriented to principal training does not come from systematic research nor does it include processes to evaluate results accurately (Cordero et al. s/n). Some research results based on the experience of successful principals in Mexico suggest that training should emphasize order, culture, and discipline (García-Garduño and Martínez-Martínez 2013) and communication skills and inclusive decision-making processes, among others (Torres-Arcadia et al. 2013).

The Organization for Economic Cooperation and Development (OECD) states that even though efforts have been made toward the training and development of principals, these are not mandatory but are still promoted. These are courses that give points to advance in the professional growth. Despite the extensive offer of courses, diploma courses, and master's degree and doctoral programs, only 8.73 % deal with school leadership; moreover, there are statements that question the practical usefulness of such programs. Besides, the system does not consider if the courses taken correspond or not to the responsibilities of those who enroll. After analyzing the courses offered for updating and professional growth, Ortiz (2003) considers it worthwhile to have only one process to certify the professional competences that set the equivalence to the teaching career; this would clarify the relationship between such training and the education and development of the defined profile, which has not been clarified either. In summary, the training and development offered has been oriented more for the teacher than for the educational leader. Additionally, this is more identified with a part of the vertical structure rather than with a direct opportunity to enrich job performance. Under this context, the OECD points out: "Until recently, attention to school leadership has not been a high priority in Mexico" (2010, p. 127).

In relation to the professional preparation of the practicing principals, the Bank of Educational Indexes (BIE, as its acronym in Spanish) found that almost 98 % of elementary school principals had undergraduate degrees, while only 11.4 % had graduate degrees, which were not necessarily linked to her/his functions as a principal (BIE 2010). In this regard, Aguilera (2011) points out that the proposal for educational quality requires a professional principal with the right competences to do her/his job, not sufficing that she/he is a teacher with graduate studies: training related to the post is required.

The practice of the vertical structure has limited the principal's selection and training processes. Lately, it has been suggested that this practice be removed on account of the recently passed General Law of Education (LGE 2013) that complements the General Law of Professional Teaching Service (LGSPD 2013). In this, a 2-year training period is established after which an evaluation should determine if the post is granted or not to the candidate. This legal change, although representing a great advance in terms of the professionalization of the principals, is still far from becoming a reality. Matters such as the definition of the principal's profile, the training programs, and the way to evaluate such a profile are nonexisting resources. Today, as mandated by these laws, it is SEP that facilitates the process to implement them as well as to call the different instances to define the mechanisms.

Under the LGSPD, the norms should condition the principal's appointment to the post only after she/he has received the proper training, leaving aside the vertical structure model as explained in Article 27: "In Basic Education, the promotion to a post with principal's functions will lead to an appointment, subjected to a period of induction with a duration of 2 years in a row, time in which the personnel should take programs to develop leadership and school management skills determined by the local educational authority. During the induction period, the local educational authorities should provide orientation and the pertinent resources to strengthen the leadership and school management skills. At the end of the induction period, the local educational authority will evaluate the personnel's performance to determine if they comply with the demands of the managerial position. If the personnel so complies, she/he will receive the definite appointment. When in the evaluation the level of performance in management functions is found insufficient, the personnel should return to her/his teaching function in the school she/he has been assigned" (LGSPD 2013, p. 15). This law establishes the apparent end of the vertical structure as well as the definite appointment that had prevailed in Mexico for over 80 years. It would be expected that this law is a framework to give new sense to the teaching career and to be even more aligned to the educational objectives.

In agreement with this new legal disposition, Aguilera (2011) has argued the need to develop a management model based on the required profile and to tailor training to meet the profile. Such training should be contemplated even before accessing the post and during its exertion. Training should not be isolated and should be oriented to the practice and regulations, considering the job of supervisors as a key piece for their orientation and their capacity to diagnose the principals' needs in regard to the competences to do their job. On the other hand, the OECD (2010) recommends reviewing the age ranges and number of principals to know

where it is more productive to invest: in the initial training of principals or in the training of principals who are already in the post, since "the current challenge of leadership … is not only to improve the quality of the present leaders, but also to develop clear plans for future leadership and effective processes for leadership succession" (Pont et al. 2009, p. 16). The challenge seems to lie in arriving at a consensus about what it means to be prepared as a principal (Esparza and Guzmán 2009).

Definition of the Principal's Professional Profile

As mentioned, teachers have traditionally served as principals. They are appointed to the post by means of the structural system that has prevailed since 1973. In this model of appointment to the post, the candidates are not evaluated based on merits related to the post for which they are competing, and neither is the permanence in it conditioned; therefore, once the principal assumes the post, the appointment is permanent. This panorama could be favored by the lack of institutional definition of the principal's professional profile, since, even though there are several definitions, there is no consensus about the required specificity needed to determine the processes to train and select candidates nor a systematic way to evaluate their performance once they are in functions. The following paragraphs describe these problems and some possible solutions based on the recently approved General Law of Professional Teaching Service (LGSPD 2013).

The principal's position was originally defined as "the first authority responsible for the right functioning, organization, operation and management of the school and its annexes." This definition was only stated at the level of agreements, as an incipient effort to clarify that this appointment was authorized by the SEP, but not by union action (Chap. IV, Article 5, SEP 1982). It is not until the publication of the General Law of Education that the definition and responsibilities of the post are raised at the law level (DOF 1993). Some of the designated functions according to the regulations introduced by the SEP at the moment were as follows: channel the functioning of the school within the current legal, pedagogical, technical, and operational framework; organize, lead, coordinate, and evaluate the activities done in the school; represent the school technically and administratively; spread and enforce SEP's dispositions; solve any problem; make a work plan; and look after and manage the school's resources, among other functions. Fernández (2001) summarizes them from the classical management theory approach of planning, organizing, leading, coordinating, and controlling. It is worth noticing that the definition granted the principal a mere administrative role to manage the school's human and material resources. It was not until the administration of the National Evaluation of Academic Achievement in School Centers (ENLACE, as its acronym in Spanish) in 2006, a test that made evident the students' low academic achievement, that further responsibilities were added, such as a follow-up of the students' performance. This gave the principal administrator the image of an instructional leader. Despite this advancement in what denoted a fledgling sketch of the principal's profile, there was

no meaningful progress in the congruency of delegation of responsibility in management on behalf of the federal government (OECD 2010).

Soon after, there was an additional advancement toward the definition of the principal's post when the Technical Norm for Work Competence was prepared for the basic education principals. Such initiative was made in the framework of the Quality Schools Program (PEC, as its acronym in Spanish). The PEC was instituted in 2001 as an initiative to reform school management. The norm would integrate three competences that school principals should have: the elaboration, execution, and follow-up and evaluation of the schools' 5-year strategic planning. Even though the program is still in use, there is no evidence that the norm was used for what it was intended: to be the beginning of the certification of the school principals (OECD 2010). It seems evident that to reach this goal, not only the government's will but also that of the union and the civil society all together are required.

Another effort to clarify the definition of the head's function may be found in the assessment process of professional performance when the principal decides to participate in the teaching career (TC). The TC is a voluntary mechanism at the margin of the vertical structure, with which the teachers and principals receive economic incentives as a result of introducing performance and training evidence. In this program, the evaluation of the principal's performance entails the introduction of evidence that the principal participates in the following activities (Ortíz 2003):

- Planning school work
- Development of activities (technical and pedagogical)
- Development of school activities
- Diffusion and link with the community

Despite these attempts and that there are national and some state norms, it has become evident that having a norm has not sufficed to properly define the principal's professional profile, a core matter for the principal to do her/his job and to be evaluated (Aguilera 2011). In this sense, society in general perceives a prevailing incongruity between the demands of the educational reform and the profile of those who have been appointed to high administrative positions in the schools.

As part of a foreseen breakup and even struggling against the union's opposition, the General Law of Education (LGE 2013) was recently approved; it includes the General Law of Professional Teaching Service (LGSPD 2013). This law states a more thorough and integral definition of the personnel appointed to an authority post in a school center as cited below:

> That who does the planning, programming, coordination, execution and evaluation of the tasks for the well-functioning of the school in accordance with the applicable legal and administrative framework and has the responsibility to generate a school environment leading to learning, organizing, supporting and motivating teachers; does the administrative activities effectively, leads the school's continuous improvement processes, fosters communication with parents, guardians or other agents of community participation and develops all other tasks needed to achieve the expected learning. (p. 3)

It is worth noticing that this definition ratifies the principal as an academic leader, being the center of all performance in the administrative and in the linking parts.

Besides defining the post of the school principal, the LGSPD officially states that the definition of the principal's professional profile is the foundation to select, train, and evaluate the aspiring candidates to be appointed to those posts. It is also relevant to mention that this basic requirement had repeatedly been described in the literature, as asserted by Aguilera (2011). The author mentions the importance of defining the kind of school principal needed and then to be in the right position to set training programs. These last issues had been developed but were unsystematic and occasional. Another relevant aspect of the LGSPD is that it grants SEP the responsibility to determine such profile as well as the power to define the selection criteria and the training programs.

In this new context, the definition of the principal's profile should lead to setting guidelines for performance in the post, aimed at increasing the probabilities to improve the school's educational level (Méndez-Salcido and Torres-Arcadia 2013). While there is no clarity in regard to the ideal profile of the school principal in Mexico, it will be difficult to set the competences or standards to train and select the educational leaders needed to achieve the educational quality expectations that are so present in the national discourse. The need to determine what is expected and needed from the school principals based on the practice and with the support of research is clear. Based on these agreements, it would be feasible to implement the competence system to shed light on the role the school principal plays and to give legitimacy to her/his appointment, an appointment that so far has happened through the vertical structure and that has been evidence of its fruitlessness, jeopardizing the success of any quality educational program, regardless of how well this has been articulated. Therefore, it is necessary to tailor programs to meet the profile and to be careful that such definition does not match past needs (Pont et al. 2009).

Principal's Workload

One of the worldwide concerns about the role of the principal is the workload, which has intensified due to the high expectations of the present society swirling around educational institutions (Pont et al. 2009). These expectations originate in the drastic changes the world is going through and thus the need to develop the capacity to adapt quickly and to create. These entail the need to have leaders that train change leaders in a sustainable and ethical environment.

Among the problems detected in this concern is that in Mexico, the working day is not long enough for the principal to do all the functions she/he is supposed to do (García 2007). Therefore, a principal faces multiple activities and interactions that go beyond her/his working day. Besides, she/he does not have the proper training to handle all the responsibilities of the post as pointed out before. There are assertions that apparently contradict the principal's lack of time, since Antúnez (2002) points out that it is the principal who has more time to visualize the school's needs. Nevertheless, García (2007) highlights that the activities related to management "exceed the [principal's] working day" (p. 7).

Several factors contribute to the principal's lack of time to perform satisfactorily as the institution's leader. For example, the responsibility of administering the institution's resources and staff requires a great part of her/his attention because of the paper work, management, and account rendering instead of investing in a balanced journey with the teaching/learning processes (Pont et al. 2009). For example, the principal's activities could include recreational ends or school activities of civic formation and even the role of discipline guardian, whether it is directly with the students or through the teachers (Pastrana 2002). In this sense, the functions related to the different interactions that the principal develops in and out of the institution require an important investment of time, relations with supervisors, educational authorities, peers (principals of other educational institutions of the sector), parents, students, and teachers. On the other hand, the need to do other professional activities to complement her/his salary is represented by 15 % of the principals (BIE 2009, 2010), which means that besides the activities she/he already does, she/he has in mind other priorities that make her/him end his work day to continue with other professional endeavors.

In accordance with what has been stated before, recent research has found that the main source of the principals' problems is the lack of time to do administrative work, mainly involving completion of formats and the elaboration and follow-up of the school project; the lack of support from the authorities such as the inspectors who see the principal as a report supplier has also been noted (García-Garduño et al. 2010; García-Garduño et al. 2009). It is interesting that the authorities that coordinate the principals, inspectors and supervisors, did not have the right training for the job either. Therefore, their actions are unplanned and affect the work of the principal by asking for the completion of tasks quickly and with no previous notice. The OECD (2010) has reflected on this overload of paperwork and control and suggests that the principal change her/his administrative role to an academic one so that her/his main concerns become "teaching effectiveness and the child's performance" (p. 138). Actually, the new school management states that the principal should devote less time to administrative activities. Even though there has been no change in the administrative demands for the educational institutions and their personnel, it adds importance to doing the academic and linking functions (Vallejo 2011). In this sense, the authors pointed out how the interaction of principals with the teaching body about pedagogical aspects is limited because of the principal's traditional role: the principal responds to administrative and bureaucratic requirements and continues his work managing the school's infrastructure (Zorrilla and Pérez 2006; Canales and Bezies 2009).

An important observation of what this challenge represents is the principal's level of frustration due to not fulfilling all of her/his duties properly. Besides, she/he considers that she/he lacks knowledge and abilities to develop her/his duties timely and adequately. There is also great ambiguity in the functions and activities she/he has to do. Pont et al. (2009, p. 22) comment that the principal's stress "could diminish her/his capacity to work the best possible, and within time it could erode her/his engagement to work." Finally, the impact of the principal's lack of accomplishment and her/his stress and frustration affect the teaching morale, thus affecting the

teaching/learning process. It is worth clarifying that regarding the efforts made by SEP in the framework of the Quality Schools Program (PEC, as its acronym in Spanish), it is stated that the principal's role is strategic as it facilitates the definition of strategic goals and encourages and fosters their fulfillment through teamwork, empowerment, and follow-up. Nevertheless, reconsidering the matter of principal training to develop these competences requires training aligned to these roles and functions, which is not present today.

Working Relationship with Teachers

A relevant aspect of school leadership is the principal's ability to develop interpersonal relationships with different interest groups: parents, teachers, students, other institutions, school authorities, etc. Among these, one of the high priorities is the relationship with the teachers of her/his own institution to coordinate the teaching work and to have effective school management. Besides, the environment's demands and challenges have an influence on the principal to encourage collegiate work and to participate in the decision-making processes, delegating certain activities (Aguilera 2011). In this sense, Ezpeleta (1990) studied the hierarchical-bureaucratic structure of the technical board (committees that regulate and make decisions about the academic affairs of the school, formed by the director and school teachers). The study recommends the implementation of radical transformations in the structure and management of the technical board. Related to this subject, Fierro and Rojo (1994) carried out an action research that was meant to transform the technical board in a space for teacher training and strengthening of educational tasks.

Even the technical board offers an opportunity to promote academic interactions between teachers and the principal. There are different elements that constitute the framework of the relationship: working days with schedules, the leave of absence permits, unauthorized absences, supervision, and encouragement for performance. The principal faces loyalty dilemmas with pairs, which orient the decisions and management actions leaving aside the educational perspective and the focus on students, severely compromising educational quality and equality (Fierro 2006).

In general, the literature indicates that the main problems a principal of basic education institutions faces with teachers are as follows: (1) the relationship through the National Union of Education Workers, (2) the lack of time to foster the relationship with teachers, and (3) the scarce follow-up to provide feedback in pedagogical work. In the following paragraphs, each one of these will be presented in more depth.

Mexican principals face the union's intervention in teacher management (Aguilera 2011; Camarillo 2006). An example of this is the case of absenteeism: the principal has no right to reprimand a teacher who was absent because the union defends even negative actions such as absenteeism (Ezpeleta and Weiss 2002). Another difficulty the Mexican principal faces is the lack of support from the educational authorities (Aguilera 2011; Camarillo 2006; García-Garduño 2009),

which generates an absence of autonomy in her/his decisions. Likewise, the lack of support from the educational authorities and the meddling of the union affect the principal's legitimacy, required to fulfill the establishment of the school's path. All these translate in a lack of authority within the academic community members who should see her/him as a leader.

García-Garduño et al. (2010) found that the second most important problem principals face after the lack of time is the relationship with teachers. The most important issues in this regard are as follows: maintaining the school operation with incomplete staff due to the authorities' delay in the replacement or substitution of teachers on leave or who have retired; the administration of paid leaves, since teachers have the right to take short paid leaves of absence during the school year; and the nonfulfillment of working schedules from teachers who feel the protection of the regulations and the union. According to regulations, if a teacher is late three times, the teacher should be discounted 1 day off his salary; however, not all principals are willing to enforce the regulation to avoid tension with the teachers. Indeed, this action works against the acknowledgement of the principal's authority. In light of the newly accepted General Law of Professional Teaching Service (LGSPD 2013), greater support could be expected in attending to the cases of teachers arriving late or missing work without justification. This law contemplates the dismissal of those who miss work 3 days in a row. This course of action had not been contemplated in previous norms and policies even if it affected the principal's authority and above all the educational quality.

Finally, another way the principal establishes relationships with the teachers is the follow-up she/he does or does not do regarding teachers' performances. In this regard, the LGSPD (2013) contemplates the internal evaluation that should lead to continuous improvement. It is the principal, along with the teachers' active collaboration, who should coordinate and lead this evaluation. This interaction is very important because one of the evaluation processes is on teachers' performances. From this perspective, it is the principal himself who should propose crosswise growth for each one of the teachers according to the results of her/his evaluations. These new additional functions in SEP include incentives that benefit their professional advancement.

Based on the above context of teacher-principal interaction, one of the difficulties pointed out in the literature is the lack of constant follow-up to provide feedback in the pedagogical practice (Aguilera 2011). This lack of attention from the principal is due to the fact that his attention is steered to more bureaucratic activities than to such an important relationship (Ezpeleta 1990). The lack of feedback affects the teacher directly in her/his personal motivation regarding the uncertainty surrounding her/his performance, without taking into account the search for improvement under any criterion set because of the lack of follow-up and evaluation. In this regard, it is important to specify that the principal's work should be more than just supervising teaching actions; in fact it should be more of a guide and facilitator for the teacher to seek continuous improvement in the teaching/learning process. The educational authorities in Mexico specify that the principal's functions should be to supervise the teacher in the classroom. (This hardly ever happens because the

principal lacks time to do so.) These functions should instead become motivational and give feedback, allocating resources for the fulfillment of teaching projects that they suggest developing.

Conclusions

In Mexico, the principals of basic education institutions are the largest group of administrators. However, it is the group that faces the most challenges to achieve success in the development of its functions; the challenge of improving the students' learning achievement is the most compelling and difficult. It has become evident in the international setting that the principal's role is fundamental to increase the educational quality in her/his ability to influence the school culture (Fullan and Stieglbauer 1997) and to generate an environment that influences the students' performance in an important way (Leithwood and Montgomery 1984). It is the principal who sets the pace and the agenda to achieve educational development (Møller et al. 2009). In this regard, Day (2009) highlights the principal's responsibility for creating trustworthy conditions that should reach the whole organization. Therefore, examining the principal's role in a specific way within school management is justified, and its study is relevant because it could provide knowledge that helps improve her/his performance and thus the school's results. In this context, the most relevant findings in the revision of the literature are presented below.

The mechanisms that show the centralization of the Mexican educational system were explored. The Secretariat of Public Education (SEP) is the federal entity that possesses the responsibility for making education accessible to all Mexicans and grants limited autonomy to the states to operate according to the entity's needs. On the other hand, the National Educational Workers Union (SNTE) has been a relevant political force with significant influence over the educational system and the author of the mechanisms with which it operates. This is illustrated by its open influence in the appointment of principals through its participation in the National Mixed Commission of Structure as well as in the direct intervention to support the teacher, even by defending punishable behavior and thus undermining the principal's authority in her/his function as a leader and manager.

The lack of principal training has become critical in the last decade in the sense that the principal in Mexico changed from an administrator of human and material resources to an academic and social leader. Nowadays, the quality improvement programs demand the pedagogical follow-up of programs through the tutoring to teachers and the school's connection with parents and other members of society, together with an overload of administrative paper work, a product of the bureaucratization of the educational system. The principal has become a supervisor of report submission instead of a manager who supports and facilitates strategic work.

Perhaps the most important matter to solve is the need to define the Mexican school principal profile. It would shed some light on the ideal competences and make them susceptible of being evaluated and developed in both aspiring candidates

and practicing principals. Throughout the recent history of the Mexican educational system, the unequivocal requirement of providing specific training for those who manage schools has increased. In this concern, different initiatives and programs, with fewer or greater results, have been analyzed; but because of the scarcity of political will, they have lacked the right articulation to favor their implementation, evaluation, and follow-up of achievements. If there is no evaluation of what is done, there is no way things can be improved. The recent reform to the General Law of Education (LGE 2013) and the new General Law of Professional Teaching Service (LGSPD 2013) are introduced as a convincing answer of the federal government to channel the educational system toward a stage of more transparency, based on the establishment of profiles, parameters, and indicators of the General Law for the Professional Teaching Service, all of which are nonexistent today, with the already mentioned consequences.

The methodology used for this investigation was to identify the literature related to the principal in Mexico and to identify the common issue; later these were compared and contrasted to obtain the common findings and the implications for the principal's practice. The main topics found in the literature were as follows: (1) the ambiguity in the definition of the position, (2) the lack of professional training for the principal as an academic and administrative leader, (3) the insufficiency of the work day, and (4) the deficient relationships with teachers.

In regard to the documented research in Mexico about the principal, it was found that it is scarce, and, therefore, the development of educational researchers is compelling: researchers who can document their findings and favor the development of knowledge in the field are needed. The research lines derived from this analysis were as follows:

> There should be more studies of the professional and personal profiles of the Mexican principal, not only in the international research but also in studies done in Mexico. The specific issues in the different settings should be considered in this profile. The definition of this profile should include the system of competences, knowledge, and values as well as the functions and roles. Analysis and evaluation of the different training and development programs for school leaders should also take place. This analysis should include the kind of support required in the different professional stages: candidates, beginners, experienced, and those nearing retirement. There should be agreement between the available training and the expectations of the principal's position.
>
> There should be more analysis of the context from the perspective of the current educational policy, emphasizing the management of change processes needed to favor the evolution of the principal from a mere practicing administrator to that of an academic and social leader.

More studies are needed on the principal-teacher relationship with an approach to empower, give feedback, and participate. This could aim to be a positive influence on educational quality.

Throughout this chapter, the literature about school principals has been presented, covering the topics that seem to focus attention on Mexican researchers, as well as the administrative and legislative educational authorities in Mexico. The information included sets the frame for the presented findings and includes chronological and statistical data to explain the most recent initiatives. The synthesis of the

research done in Mexico about principals is expected to be used by other researchers interested in the topic and even by the principals, principal educators, and authorities responsible for legislating in this regard.

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Chapter 24
Saudi Arabia: School Leadership in Saudi Arabia

Deena Khalil and Muna Karim

This chapter is a brief snapshot on the evolving stages of the principalship of the Kingdom of Saudi Arabia. In the era of economic globalization, new alignment of nations and its politics, and the rise of religious fundamentalism in and around their nation, the principalship in the Kingdom has evolved since the country's inception in 1932 and been challenged as the country's social institutions experience fundamental change. This chapter analyzes school leadership literature from past and current studies conducted primarily by Saudis in higher education institutions in English-speaking countries such the United States, Canada, Australia, and the United Kingdom. Due to the scarcity of relevant literature, a few additional studies written in Arabic and conducted in Saudi Arabian universities were appraised. The literature review in this chapter seeks to disseminate the role of a principal across three domains: as an instructional leader, an operational leader, and a community leader. The chapter ends with a summary of current reform efforts intended to improve the overall quality of K–12 schooling in the country, with particular emphasis on the additional responsibilities facing school leaders in an effort to raise student achievement and thoroughly prepare future citizens of the Kingdom with a rigorous and comprehensive academic foundation.

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Saudi Arabia's School System: Past and Present

The Kingdom of Saudi Arabia is one of the largest countries in the Middle East with a landmass of 2,240,000 km^2 (7,349,081,376 ft^2; Abdulkareem, n.d.). The size of the country provides its population with opportunities to grow and its cities the potential to develop. Saudi Arabia was founded by King Abdul-Aziz Ibn Saud in 1932. The capital, Riyadh, is located in the center of the Kingdom. The population of 26,534,304 includes 5,576,076 noncitizens (Royal Embassy of Saudi Arabia 2013).

Saudi Arabia is divided into 13 administrative provinces. The Saudi king heads the government and is also the commander in chief of the military. The king appoints a crown prince to help him in his duties. In addition, there are 22 government ministries responsible for sectors such as education, commerce, finance, and foreign affairs (ibid).

While formal education began when Saudi Arabia gained its independence in 1932, education in the Arabian Peninsula is a rich tradition steeped in recitation that includes verbal sparring, poetry, and oral history. Beautiful calligraphy was taught to students as a means to preserve the most valued oral traditions and divine scriptures, namely, the Quran. Before the formal establishment of the current industrial model of schooling, education in the Arabian peninsula was a decentralized model that included (a) the *halaqah*, which means semicircle, and portrayed pupils gathered around a teacher to listen to stories, usually in a place of worship; (b) the *kuttab*, who were tutors brought to pupils' homes and villages; (c) the bookstores in central cities, which were not only places to sell and buy books but were considered a central location for lively gatherings where people could debate certain topics; and (d) the Badiah, the desert where Nomads are set up, was a place where students can sharpen their equestrian skills and strengthen their command of formal Arabic (Abdulkareem n.d: Al-Salloom 1996). Education was informal and rooted in the tradition of oral storytelling, religion, and language. However, citizens did not all receive an equitable education. Instead, education was a privilege for males from wealthier families who could afford to do without their labor contribution during their education.

The discovery of oil led to the urbanization of the Kingdom and the establishment of a formalized system of education with the Ministry of Knowledge (est. 1954) for boys and the General Presidency of Girls (est. 1960) for girls. Both ministries depended on four characteristics that still characterize the current education system: Islamic emphasis, a centralized educational system, a strict separation of the genders, and a financial system based on national/state support (El-Sanabary 1994).

By 2003, the Ministry of Knowledge and the General Presidency of Girls merged into the new Ministry of Education (MOE), which is responsible for the education of both genders. The MOE summary statistics for SY 2011–2012 show that Saudi Arabia has even more schools for girls (18,710) than for boys (16,039); thus there are more female school leaders than male school leaders. However, in these 34,749 schools, slightly more boys (2,628,319) than girls (2,559,179) are educated.

The total number of K–12 teachers is 501,111 for the nearly five million Saudi public school students, thereby setting approximately a 1:10 teacher to student ratio (Ministry of Education 2013).

Since its inception, the Saudi education system has been highly centralized; the MOE is responsible for all educational decisions, including policies, planning, program implementation, and professional development. To execute these functions, the MOE utilizes 42 education directorates for male pupils and 41 for female pupils. The directorates are located in different provinces and major cities throughout the country. Each of these directorates is directed by men and oversees hiring, training programs, and resources, including new facilities and technologies. This top-down centralization has the effect of limiting the school leader's responsibilities and authority (Alsharari 2010).

Saudi Arabia's educational system strives to improve its educational quality. Despite the MOE's estimated budget approximating SR210 billion for one school year (5.6 % of the GDP), student achievement is still low (Jadwa Investment 2013). In 2013, Saudi Arabia ranked 50th out of 110 countries for educational achievement worldwide, up from 64th the previous year. Though this indicates progress, the ranking remains low when viewed in relation to GDP, as Saudi Arabia has the 19th highest GDP in the world (Soldatkin and Astrasheuskaya 2011). Another metric for the country's educational quality is its high unemployment rate. Many stakeholders, including scholars, parents, journalists, and businessmen, posit that the country's poor educational quality and its subsequent low student achievement is the cause for the alarming unemployment rate among Saudi citizens. In 2012, the reported unemployment rate was 10.5 %; the nonreported unemployment rate was estimated to be higher (McDowall 2012). However, it is difficult to discern to what extent the high unemployment rate is a result of the educational system as there are other factors that contribute to each system.

In an effort to improve the country's educational system, King Abdullah Bin Abdulaziz in 2007 called for targeted education policies aimed at increasing student achievement to a level that is comparable to other developed countries. To that end, King Abdullah ordered the launch of new plans to improve the educational system by focusing on students, teachers, and schools (Abdul Ghafour 2009). As a result, the MOE is now focusing on its role in improving teacher and leadership quality, the development of standards and curricula, and the provision of resources and tools to districts and schools.

More specifically, due to the King's call for change, several new initiatives have been established, including (a) incentives like the Education Excellence Award for excellence in teaching practices; (b) assessment benchmarking through a new national testing center that seeks to build a robust data system that tracks Saudi Arabian students' performance on national and international tests; (c) evaluative studies to monitor the changes occurring in the education system; (d) training of more than 400,000 teachers (approximately 90 % of the current teaching population) in areas such as school management, educational supervision, computer science, and self-development skills; (e) standardizing teacher certification; (f) a general directorate for educational technology that develops educational materials, trains

senior staff, and establishes computer laboratories and Internet connections in over 24,000 schools; and (g) the King Abdullah Public School Development program *Tatweer* (Abdul Ghafour 2009).

One of the most significant new educational initiatives launched by King Abdullah Bin Abdulaziz is the Public Education Development Project (*Tatweer*). The *Tatweer* initiative incentivizes highly effective principals with autonomy, recognition, and financial support. In 2007, the proposed budget for implementing *Tatweer* was approximately SR9 billion to be spent over the course of 6 years (Ministry of Education and Ministry of Higher Education and Vocational 2008). One of *Tatweer*'s main initiatives is King Abdullah's 'Developed Public Schools', where Developed Schools are to "reform public schools operating in a traditional way into schools that prepare open-minded and enlightened students who are able to interact effectively within the 21st century's globalized society" by developing "the Kingdom's education system making use of the successful experiments in other countries, such as the United States, South Korea, Singapore and Finland" (Abdul Ghafour 2009, p. 2).

Tatweer touts the success of its Developed Schools in that the pilot has been expanded to include 900 schools in 13 districts located in 8 provinces (Tatweer 2013). These schools were chosen in specific locations because of the need for urgent changes in those areas and the high potential of the Developed Schools to have a positive impact. One key component for the success of Developed Schools is qualified, high-quality, effective *school* leadership, the topic to be discussed below.

The Principalship in Saudi Arabia

When the Kingdom of Saudi Arabia was established in 1932, it was a country made up of tribal regions that had their own micro-economies, governance, and schooling. Over two-thirds of the country lived a nomadic lifestyle, and a fifth lived in cities—mostly around Mecca and Medina, the two holiest cities that are Islamic pilgrim sites. Soon after the Kingdom's establishment, oil was discovered, and the country experienced a continually upward economic and social swing as city infrastructure grew exponentially with the arrival of migrants and immigrant employees (Al-Abdulkareem 2004).

With the increase in city dwellers, industrial school systems were established in the early 1950s to educate the masses. The Saudi school system mirrored that of Egypt, which was based on the British model of common schooling for the industrial age (Al-Salloom 1996). This model, also utilized in the United States' "egg-crate school" buildings in the early 1900s (Tyack 1974), is characterized by standardization of a curriculum across all schools, synchronization of the scope and sequence of classes and schedules, and specialization of teachers for subject areas, all of which are controlled through a centralized system, where decision-making is at the ministry level as opposed to the school level.

The move from the one-teacher model of the *Halaqah* or *Kuttab* to the industrial school system called for a ready supply of teachers and administrators; initially, this supply came from the more established areas of Egypt, Lebanon, Syria, and Palestine (Abd-el Wassie 1970). For example, the first general director of the Saudi school system was from Syria. As immigrant teachers and administrators were recruited into the Kingdom, King Abdulaziz made a point to send Saudi students abroad to gain their tertiary degrees, especially in education, and establish the country's first universities: King Saud University and King AbdulAziz University in 1957 and 1967, respectively. More recently, KSA is continuing to expand its tertiary system and has more than tripled the number of universities in the last decade to a current total of 24: twenty Government Universities and four National Universities. There are also several dozen teacher colleges, and an additional SR16.3 billion has recently been appropriated for the Ministry of Higher Education's further expansion. This is in addition to SR22 billion allocated annually for scholarships for over 185,000 Saudi students to further their education abroad.

Leadership Quality and Qualification

Prior to the establishment of the MOE in 2003, the sole requirement of the prior two ministries (Ministry of Knowledge and the General Presidency of Girls) to qualify a candidate for principalship was their teaching experience. As a result, any teacher could apply to be a principal. Most principals, however, were vice principals first; many were appointed as an administrator with only minimal teaching experience as their only qualification (Aldarweesh 2003). According to Dr. AlTayar at the Ministry of Education, the normal channel for becoming a principal of a school is serving as a vice principal for a few years. Indeed, Mathis (2010) found less than a third of her sample became principals without first serving as vice principal.

The lack of formal leadership training is further exacerbated by the fact that to be a teacher in KSA, and most of the Middle East, one only needed to attend a Normal School for 2 years of postsecondary education. While this level of training was the norm in the first half of the twentieth century in many countries across Europe and North America, this level of training was acceptable in KSA until the twenty-first century. Thus, most school principals hired prior to the establishment of the MOE in 2003 did not have an undergraduate or advanced degree (Aldarweesh 2003). Moreover, their education was not one that prepared them for rigorous competition of job recruitment and placement, as they are the first generation of Saudis who replaced the expatriates who first staffed the Saudi education system (Al-Rasheed and Vitalis 2004).

It is important to note that there are now required qualifications for principals. Due to the new policy of *Tatweer*, principal candidates are required to have a bachelor's degree and 8 years experience either as a teacher or administrator, with a preference for hiring assistant principals in light of their on-the-job training (Mathis 2010). Mathis (2010) reported that 9 of the 12 principals she had interviewed had

bachelor degrees, and 3 of the 12 had only diplomas. More recently, Karim (2014) found that the majority of principals of the newly reformed *Tatweer* Developed Schools do indeed have a bachelor's degree; more specifically, she found that over 90 % (*n*=164) of principals held a bachelor's degree and 7.22 % (*n*=13) held a master's degree.

Karim (2014) tempered the progress of this new finding by reminding readers that despite the advances in principals' education level, many principals are still not prepared for leading, as "[t]hey may not have studied educational leadership in their schooling, since not all Saudi universities include educational leadership or professional administrative [courses] in [their] bachelor's programs" (p. 123). In other words, raising the qualification standard to become a principal in KSA to include a bachelor's degree, while progress, may not be sufficient if the undergraduate degree does not include leadership and administrative courses.

The need for principals to obtain professional or graduate education is now recognized and addressed in *Tatweer*'s vision; in addition to offering some local and global scholarships for principal candidates to study for their master's or doctoral degrees, *Tatweer* offers the opportunity to attain a certificate of educational leadership in a few Saudi universities (MOE 2013). *Tatweer* also focuses on improving the quality of current school leaders by allowing all of them the opportunity to attend professional development courses, obtain certifications, or seek training that specifically focuses on leadership skills (ibid).

Challenges to Improving Leadership Quality

Lack of Sustainable Training and Professional Development Soon after the education reform (*Tatweer*) was mandated in 2007, the general directorate for planning reviewed the MOE's vision and strategies and issued a New Vision that outlines educational reforms needed to make the Saudi educational system competitive with those of developed countries. While the MOE has since began to provide some training programs for the different governing arms of its ministry, recent studies show there is still a need for more sustainable training programs. For example, in a description on the principal attributes that may influence institutional performance in secondary schools in the Eastern Region, Nasser (2011) found his entire sample of 90 principals reported they lacked the appropriate training to improve their performance, despite their willingness to attend if opportunity arose.

Similarly, Karim (2014) reported that while most principals of Developed Schools (85 % of the 180 principals surveyed) have attended four or more training sessions, only 35 % of the principals had training for more than a week, with the majority having attended 1-day programs or 2–3-day trainings. Mathis (2010), in her qualitative study of 12 principals in Eastern KSA, translated what this lack of capacity building and training may mean in practice. She revealed that a newly appointed principal reported she had not received any training or even a job description for her work as a principal. This new principal turned to searching online

to self-educate and create a school execution plan, while relying heavily on other principals to help her define what her other leadership responsibilities may be.

Although many school principals in Saudi Arabia having been learning on the job "what" their job entails, there is a dire need to learn the necessary "how to" knowledge and tools to formulate and implement a twenty-first-century school vision and improvement plan, particularly with regard to information technology, communication, administrative requirements, staff development, student affairs, and leadership behavior and theory (AlSharari 2010; Badawood 2003).

With the goal to work towards this implementation phase of training, the Saudi MOE has partnered with Oxford University in the United Kingdom. For example, a partnership has been developed with Said Business School (SBS) at the University of Oxford that puts SBS in charge of infusing research-based best practices and strategies in KSA leaders' training project. Another recent partnership is the partnership between Singapore's National Institute of Education (NIE) and MOE, where NIE will now serve as a destination for over 3,000 educational leaders to further develop their professional practices (Karim 2014). Saudi Arabia interestingly marries best practices from the Far East and Western countries to conceptualize practices that might best serve them. Ultimately, the goal for the Ministry of Education is to have a cohort of educational leaders who may serve as clinical practitioners within KSA's professional programs, thereby providing the basis to create a sustainable leadership pipeline within the country.

Limited Training Centers in a Gender-Segregated Society Despite the obvious need for school leadership training, the MOE's training initiative has faced many challenges. Several recent studies have outlined the obstacles principals experience in accessing the training sessions. One main obstacle is the limited number of training centers available through the MOE; in addition to their limited number, they are located only in the major cities of Saudi Arabia. These limitations, coupled with Saudi Arabia's system of gender segregation, causes a particularly low turnout of attendees among female attendees, with mostly male teachers participating in training programs (Baki 2004).

Baki (2004) explained how gender segregation in education mirrors gender segregation in all sectors of public life, including gender-segregated training sessions, malls, universities, and places of work. If women were to venture out in KSA, they must have a male relative to escort her. Thus, once the MOE secures each gender's instructor for the training sessions (a feat in and of itself due to the low numbers of experienced leadership administrators), a female principal must have access to a chauffeur and/or escort to *get* her to the training sessions, as these sessions often happen in the larger cities that require travel, and women are socially and legally constrained in traveling to areas that are at a distance.

For example, according to Al-Kinani (n.d.), the director of the educational training department of the general directorate of education, some workshops are held in only two cities. In order to comply with Saudi tradition and law, a female participant has to leave her children at home with their patriarch, if any, as well as travel with one of her male relatives. Not surprisingly, these logistical difficulties result in low

attendance among female educators, which then affects the educational reforms and student performance of girls more than boys.

Another obstacle to principals' access to quality training is MOE's lack of specificity on school leadership training. Due to the lack of skills and knowledge among many branches of the MOE's governance, principals, central office administrators, and regional supervisors, all attended the same training, thereby diminishing the possible influence and benefit such trainings may serve principals (Alyawar 2010). Alyawar's (2010) questionnaire of 166 education leaders also revealed the mode for these training sessions was outdated, the evaluations of such training sessions ineffective, and the trainers themselves often lacked qualifications. The researcher concluded with a call for (a) more training programs to enable all branches of the MOE to perform their work professionally; (b) offering the training sessions through 21st methods such virtual reality, multimedia, training through Internet, and simulation in training; and (c) opening the training sessions to different education personnel including teachers from private schools and graduate students majoring in education.

AlSharari (2010) had similar findings in his mixed methods study and recommended three solutions to the obstacles that challenge improving leadership quality: (a) increasing the number of training courses in the case a female principal misses a session, (b) conveniently locating the trainings in the towns of residence of female head teachers, and (c) providing incentives to female principals given the extra effort it takes for them to attend the training programs. Mathis (2010) reported that a member from the ministry indicated that new principals are formulating professional learning communities by visiting other more experienced principal for mentoring as a kind of ongoing training. Finally, Karim (2014) recommended that ministry of education provides each principal with a list of the required training programs they should pursue and financially supports them to attend such trainings, in addition to having them attend conferences and enroll in new courses to continually update their skills with the latest leadership best practices.

Principal as an Instructional Leader

Principals should be the key cornerstone in developing a learning environment that improves student performance and achievement. For over the last three decades, many studies have called on school leaders to be instructional leaders (e.g. Hallinger and Murphy 1985; Heck 1992; Hallinger 2009). The idea that school leaders act as instructional leaders has roots in the industrial education system; the move from a one-room schoolhouse to an industrial school building highlights that many school leaders were initially teachers, who were promoted to their leadership roles based on their teaching tenure as "head teachers" or "master teachers" with administrative responsibilities. The rationale for this career ladder is that a master teacher will have the necessary instructional experience to lead the next generation of teachers.

All principals in Saudi Arabia began as teachers who were promoted to leadership positions based on their merits as teachers. Thus, most principals embrace their

duties of lesson planning with teachers, observing classroom teaching, analyzing students' data, and collaborating with central office content area specialists on curriculum implementation. Other duties school principals fulfill in their instructional leadership role include: contributing to the professional growth of the teachers and ancillary staff through identifying their training needs, proposing appropriate programs, and teaching when there is a shortage of teachers in accordance with the regulations (Alsharari 2010).

Challenges to Instructional Leadership

Centralization The primary challenge principals encounter as they seek to accomplish their tasks as instructional leaders is centralization. The strong influence of centralization shapes every principal's decision and practice. For example, Mathis (2010) found that principals do not have the ability to implement supplemental curricular choices and extracurricular activities or influence teachers' professional development programs without acquiring permission from several central office administrators. Bureaucratic processes hinder the scope and timeliness of such activities (Alfozan 1989; Mathis 2010).

In one case study, Ashkar (2006) reported how a content area central office administrator attempted to prevent a principal from implementing a new initiative because it was perceived to have the possibility of increasing the principal's supervisory duty. One principal "kept doing the activities" despite a lack of permission, and when asked to stop the extracurricular activities, she found "something else" to start (Ashkar 2006, p. 42). Thus, even though in theory the ministry of education delegated some freedom and autonomy for principals to act as instructional leaders, the policies in practice did not dictate principals' specific responsibilities.

Lack of Input in Hiring Another challenge that impedes principals' abilities to instructionally lead is their lack of agency in hiring decisions. Central office administrators and directorates have control of teacher hiring and thus the overall teacher quality in schools. Additionally, of the 42 education directorates for boys and 41 for girls located in different provinces and major cities, all of them are directed by men—thus limiting female input at the central level where hiring occurs.

Principal as an Organizational Leader

Principals in Saudi Arabia, like school leaders in other countries, spend most of their time managing the day-to-day operations of their schools. In fact, the word for principal in Arabic is *Al-mudeer*, which literally translates to "the one who steers or manages," and for much of the past eight decades, this describes the role of a school leader in Saudi Arabia. The Saudi MOE outlines the operational duties and

responsibilities of school principals, with emphasis placed on the following: admitting new students, overseeing student attendance, preparing class schedules, assigning tasks to staff, disciplining students, preparing the vice principal to take on the role of school principal when needed, following up with teachers, and managing some committees. Other organizational roles the principals play as reported by Alsharari (2010) are as follows: (a) creating a healthy learning environment to promote student growth; (b) supervising the school facilities and equipment including the mosque, laboratories, learning resource centers, school cafeteria, recreation areas, first aid room, and air conditioning; (c) making the necessary arrangements to the school schedule and organizing the work distribution to the schools' staff; (d) participating in meetings, committees, and training programs; (e) overseeing and evaluating the extracurricular and non-curricular activity programs; (f) overseeing financial matters at the school according to the rules and regulations; (g) overseeing the daily work of all school staff; (h) inspecting the school environment, ensuring school safety regulations such as an evacuation plan, and having the initiative to inform the ministry of the existence of any risks posed by structural defects; (h) responding to correspondence received for the care of school and observing the accuracy and clarity of the information; (i) and reporting to the MOE and preparing final reports.

Challenges to Organizational Leadership

Unclear Performance Criteria   With the numerous responsibilities and roles principals implement as organizational leaders, there are many challenges that impede their roles effectively. While some principals delegate tasks to their staff and teachers, other studies report that principals spend much of their time responding to faculty, staff, parents, students, and the central office and the ministry of education's demands. The main demands that take principals' time are students and teachers' problems and telephone calls. Some principals criticize the absence of clear and accurate job descriptions for all school personnel and the lack of administrative capacity as an obstacle to perform effectively (Karim 2014; Nasser 2011).

Rapid Expansion of Schools and Educational Policies   Several researchers criticize the constant rollout of systemic educational policies that may define an end (e.g., raising student achievement) without a clear means to arrive there. These researchers point to the lack of guidelines from the MOE to implement new policies (Karim 2014). Many principals, practitioners, teachers, and other educators felt there was a gap between the policy expectation of *Tatweer* and the needed resources and support for its implementation. Thus, while the Saudi education system has seen a dramatic expansion in the last three decades in the number of schools, teachers, and students it supports, there is now a need for further developing practices

(such as quality pedagogy, curricula, and standards) that may support school leaders' implementation of the numerous policies envisioned by the MOE (Al-Abdulkareem 2004; Jamjoom 2010; Ibrahim and Ghanem 1994; Al-Sadaawi 2010).

Difficulty Balancing Management Versus Leadership Mathis (2010), in her qualitative study of 12 Saudi female principals, connected a principal's age, years of experience, education, and major field of study with their perception of their roles as effective operational leaders. On the one hand, younger principals in the study reported feeling that their role as a school leader was to lead by influencing, encouraging, and convincing teachers to change and develop. Older principals, on the other hand, described themselves more as a manger rather than a leader. The principal respondents felt that because the MOE defined a principal's duties in advance, it restricted their power to implement changes or new procedures. There are several studies where principals corroborate such sentiments and indicate their lack of autonomy has limited their organizational leadership capacity (Aldarweesh 2003; Alhgeel 2002; Alsufyan 2002; Fahmy and Mahmoud 1993; Mathis 2010).

Centralization and Lack of Autonomy The centralization of many school operations has created cumbersome bureaucratic procedures that hinder most principals' efforts to implement changes and improve the day-to-day practices in schools. Principals' lack of autonomy due to centralization has had serious consequences. For example, a principal could not hold any event or extracurricular activity without getting approval from the MOE. The principal said, "I wish to be able to have an open 'free' day full of activities for students, including Physical Education (PE), vocational training, and public speaking training." Another principal expressed her frustration with central policies, since lining up outdoors is not always ideal—especially in inclement weather (Alsharari 2010). As the previous example illustrates, the lack of context in the decision-making authority has had dire consequences on the principal's ability to be an organizational leader.

More recently, the ministry has sought to decentralize many procedures that impact day-to-day school operations. Mathis's (2010) study indicated some changes the principals in her study implemented. For example, one principal hired a cleaning company, and another principal provided her schools with new computers. Karim's (2014) study demonstrated that most principals at Developed Schools emphasized that they have authority to implement new programs and new technologies, apply new values and knowledge, and involve teachers and staff in understanding and practicing the New Vision and implementation plans, but most importantly, over 75 % agreed they can make quick decisions to solve problems. However, since some of the principal respondents were not sure about the level of their authority and did not know if they had the power to utilize it, *Tatweer* needs to clarify or redesign the Developed Schools job description for school principals and specify the parameters of their authority. This lack of a clear system of authority has only affected principals' roles more negatively.

Procedures for Supervision and Evaluation Another challenge to principals' organizational leadership is their supervision by the department of school supervision and general management. Each regional area in KSA has an assigned representative, where their main occupation is to supervise local school principals and teachers. While the relationship between principals and supervisors may vary, Ashkar (2006) noted some principals objected to this top-down supervision, as they did not know the exact responsibilities of the supervisors. They reported their understanding of the role of their regional supervisor was acquired by asking their fellow principals.

Another common complaint principals had with their assigned supervisors is their roles as evaluators rather than supervisors, assuming evaluators offered critique, while supervisors advise. If principals did receive a poor performance evaluation, Ashkar (2006) reported the consequences could include a warning, further investigation, or a salary deduction. Not surprisingly, these principals described their supervisors' visits as ineffective, as it led to feelings of fear, anxiety, and confusion. Another study however described each regional educational supervisor's practices as variable depending on the school or region, with some principals looking to their superintendents for what they lacked in knowledge (Fahmy and Mahmoud 1993).

Principal as a Community Leader

A principal's understanding and embodiment of Islam is integral to establishing a successful community culture in Saudi schools. Islam is not only the religion of Saudi Arabia, but it is also the source of political legitimacy, the basis of the judicial system, and the moral code of society. The morals, values, and ethics of Islam are interwoven into all areas of Saudi education and provide the basis for community and school culture. The higher committee on educational policy formulates Saudi education policy and philosophy with the following aims: (a) strengthen faith in God, Islam, and the Prophet Mohammed; (b) provide holistic education; (c) emphasize that life is a stage of work in which believers invest their full understanding of faith and in eternal life; (d) proclaim the message of Mohammed; (e) instill Islamic ideals; (f) engender faith in human dignity; (g) reinforce the duty of each Muslim to obtain an education and the duty of the state to provide education for all life stages to the extent its resources allow; (h) incorporate religious education and maintain Islamic culture at all educational levels; (i) integrate into the curricula an Islamic orientation in the sciences and other fields of study; (j) stimulate human knowledge through Islam to raise the nation's standard of living; (k) foster fundamental beliefs; and (l) teach the importance of Saudi history (State University n.d). Thus, preparing students to be proficient in Islamic principles and law, along with understanding the Quran, is fundamental in all Saudi schools (State University n.d).

From national visions and by-laws to school policies, the role of a principal as a community and religious leader is reiterated. The general directorate for planning reviewed MOE's vision and strategies and issued a New Vision that outlines educational reforms needed to make the Saudi educational system competitive with those of developed countries. The New Vision postulates that school leaders will prepare:

> Graduating male and female students with Islamic values, appropriate knowledge, and experience. These students will have acquired practical knowledge, skills, and attitudes; they will be able to positively react to and face modern changes; they will be able to apply advanced technologies with efficiency and flexibility and to compete internationally in scientific and applied fields. (p. 12)

Moreover,

> Students will be (a) proud of their religion and heritage; (b) responsible citizens who know their rights and responsibilities to their country; (c) proficient in Arabic; (d) able to build and sustain relationships with their peers, their families, and the community; (e) team players with good collaboration skills; (f) possessing transferable 21st century skills, such as critical thinking and problem solving skills. (p. 5)

Thus, students are to have Islamic values and manners both inside and outside of school (Tatweer 2013). King Abdullah, in a statement to educators about the goal of King Abdullah's Public School Development program (*Tatweer*), said, "I hope you will inure such responsibility seriously and provide the present and future generations charity, equity, and justice to serve the region and state patiently and continually" (Ministry of Education and Ministry of Higher Education and Vocational 2008, p. 26). *Tatweer's* aim is to develop open-minded and enlightened students who are able to interact effectively with global partners as honorable citizens equipped with scientific knowledge (Tatweer 2013). *Tatweer's* vision goes beyond the academic aspects of learning to emphasizing students' physical attributes, mental predispositions, civic responsibilities, and ability to engage positively in the labor market. For example, students need to practice building and sustaining relationships with their peers, family, and community. In addition, they need to be able to collaborate with teams, be capable of managing their time and lives effectively, possess positive attitudes toward learning and work, and acquire transferable twenty-first-century skills, such as critical thinking and problem solving (Tatweer 2012).

Across all ages and genders, nearly 95 % of principals in *Tatweer's* Developed Schools agree that they were implementing strategies to teach their students the correct values, knowledge, and practices of Islam (Karim 2014). In contrast, 5 % ($n=9$) of principals were not sure if they implemented the strategies associated with this aspect, and less than 1 % ($n=0.56$) of principals disagreed about accomplishing this goal. Even among Western principals in Saudi's International Schools, being an ethical leader was emphasized (Hudson 2012).

As a community leader, several principals described their role to include raising students to have good manners; posing as a good role model and not discriminating; having a big heart; being fair, honest, and equitable while implementing school rules; and to lead with a strong personality all educational, administrative, and

social affairs (Mathis 2010). Ibn Dohaish et al. (2005) indicated several other responsibilities principals shoulder including:

1. Adherence to Islamic regulations, instructions, rules of conduct, and ethics
2. Gaining full knowledge and understanding of students' characteristics according to the education policy in Saudi Arabia
3. Strengthening the role of the school health and social care service and opening prospects for cooperation and integration between the school and the mothers of the students and others who have the capacity to contribute to achieving the goals of the school
4. Forming close relationships with students' parents and inviting them to review their childrens' situations (school level, behavior, attendance, health status) and consulting with them to solve problems their children might face

Challenges to Community Leadership

Lack of Discretionary Funding The challenges associated with posing as a community leader in Saudi Arabia stem from a lack of finances to establish community events that are extracurricular and critical in gaining parent and community support and involvement. Despite the large education budget at the national level, the centralized control over the education budget allows very limited discretionary funds for principals. Moreover, Saudi principals' primary source for discretionary funds has historically come from the school commissary; however, today the school commissary and cafeteria is now slowly phasing out and being outsourced to commercial businesses, thus depriving principals from their main source of discretionary funds. Several Saudi studies have emphasized principals' advocacy for more discretionary funds so that they may have the capacity and resources to implement extracurricular activities (Ashkar 2006; Mathis 2010).

Gender Segregation Gender segregation in all social institutions, including schools, means that mothers may not visit their son's schools and fathers may not visit their daughter's schools for school events, thus lessening the idea of an integrated community or family event per se. When school events may occur, it is so rare that parents seldom attend (Ashkar 2006).

Balance of Religious School Culture and Curricular Reform Religion influences many aspects of Saudi Arabia's community culture, including its schools; not unlike other religions' historical influence in school systems in the United States (Ravitch 2000). In the Kingdom, Islam is not only the governing constitution but is also the philosophical basis for all social institutions; thus schools play a large role in educating its citizens and framing people's morals, values, attitudes, and behaviors. However, during the past 20 years, this role has dissipated due to the incorporation of many new educational policies encouraging global standardization, coupled with schools' reactions to other culture's xenophobic misunderstandings of Islam and

its tenets. For example, the Kingdom's National Solidarity Campaign Against Terrorism, which also included symposiums, public announcements, and other sponsored activities, has directly influenced the role of Islam in schools (Ansary 2008). To this end, the MOE has audited school textbooks and curricula, removing any ideas that may be misinterpreted and lessening the amount of content allocated to religious classes (Jamjoom 2010). The MOE also has provided training for Islamic studies teachers to further promote thinking tolerantly of other religions (ibid); with failure to comply with this policy leading to "several teachers [being] fired or subjected to punitive action" (Ansary 2008, p. 12).

Accordingly, for fear of repercussions, there is now less of a commitment to the full vision of the Islamic framework, as "Saudi Society is polarized over religious interpretation and political aspirations" (Al-Rasheed 2007, p. 13). This has caused a tear in the school community fabric, with the new generation of students not wholly understanding the collective vision and culture held previously that had shaped the Saudi citizenry's identities, experiences, and beliefs for generations. While a separation of state and religion has not occurred, the blurred lines and weakened philosophical framework have challenged principals to lead in their communities as they have done in the past.

Principals in the Kingdom: Promising Development and the New Vision

The twenty-first century has made globalization and economic competition a priority for all of the world's citizens—parents, politicians, policymakers, and the subject of this chapter, principals. With this need to have a workforce that can compete has come the rise of standards, accountability, and scrutiny of all student academic achievement. Because one of the most important predictors of student achievement is school leadership, it is no longer enough for school principals to manage their organization; they must now also lead their teachers instructionally to look at their students' data formatively, manage their school organization within a system of accountability, and engage their parents and community members in a culturally-responsive way.

The evolving role of the principalship in the Kingdom of Saudi Arabia is a useful example of how a nation that is focused on building capacity can move forward in their efforts to enhance global competitiveness through the strategic allocation of resources during a rapid period of improvement and changes. The current barriers facing Saudi educational leaders can also be instructive to other nations seeking a more efficient path to a modern educational system transitioning from the industrial age to the information age. In addition, the research conducted in Saudi Arabia can inform the international research community on the limits and possibilities of a single-sex education system, which could apprise researchers interested in evaluating

single-sex education as a possible educational policy lever, especially in light of the difference in attitude and achievement between boys and girls.

This chapter has highlighted how Saudi Arabian principals develop their students as instructional leaders, organizational leaders, and community leaders. The literature discussed the roles and responsibilities of a principal in each capacity and the challenges associated with each role. While the principalship in Saudi Arabia is similar to many school systems based on the industrial model of centralized education, the need for educational improvement has led to two notable policies: the New Vision and the King Abdullah Bin Abdulaziz's Public Education Development Project (*Tatweer*). As a result of these policies and subsequent specific goals, a new system of schools, known as Developed Schools, has given rise to a new cadre of principals who have more autonomy, vision, and knowledge to optimize their leadership skills.

The findings in this literature review suggest that there is a need to continually address strategies that can operationalize the new policies in the Kingdom. It is important for policymakers in Saudi Arabia to explore how other countries implement their policies and strategies for transitioning from the past industrial age to the current information age. The Saudi Arabian education ministers constantly and consistently seek different strategies to benefit from current global research and successful experiences of the more developed education systems. For example, the Ministry of Education has visited and hosted several different developed European and Asian countries's lead researchers, to observe their latest strategies in educational research, policies, practices, and reform. Moreover, consultants from several of these countries were also brought to Saudi Arabia to conduct a needs assessment and suggest new strategies for the implementation of the New Vision and *Tatweer* policies. However, there is still a need for large-scale studies on Saudi school leadership that can benchmark the current status quo; such studies are needed to shape the necessary curricula that may systemically address the school leadership profession, as well as help gauge the progress on further development.

Recent studies on school leadership preparation and training suggest that a residency model is key to practitioner-based education. With the recent opening of the new universities in the Kingdom, the goal is to augment the large number of graduate Saudi students in different international universities who are conducting educational research to further develop their country's education system. *Tatweer* is also offering some local and global scholarships for principals to obtain their master's or doctoral degrees in leadership. However, in order for school leaders to continue to initiate positive change in their school environments, leadership's continuation of professional development courses and sustained in-service are vital to support positive change in K-12 schools (Ministry of Education 2013).

As globalization is realized as a worldwide way of life, both economically and socially, Saudi Arabia's visionaries are appreciating that it is not enough to be educating today's child with the goal of educating them to be a citizen of the Kingdom but a citizen of the world's democracy. To that end, school policy reforms aimed at building capacity at every level, including effective school leadership for the Kingdom of Saudi Arabia, have the potential to improve student achievement, raise community morale, and improve the quality of life for all the country's citizens.

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Chapter 25
South Africa: Research on South African Public School Principals, an Uncompromising Desire to Improve the Quality of Education

Johan Beckmann and Keshni Bipath

The contribution of school effectiveness and school improvement to raising educational standards has been well documented in the USA, the UK and Canada. Recent educational leadership reform in South Africa suggests that we have struggled to cope with a number of emerging school leadership, governance, policy and contextual challenges. However, many South African researchers have carried out a plethora of school effectiveness and school improvement studies regarding the principalship and educational leadership, and this chapter describes the South African education system and the position of the principal in the public school system and examines recent South African research on public school principalship and principal preparation training, a new leadership reform towards school effectiveness and improvement.

Our research shows out that South African principals find themselves in a rather unique position in light of their relationship with and accountability to two agencies, namely, the provincial education department by which they are employed and the school governing body of which they are ex officio members.

There is no coherent national strategy for the preparation of principals for their jobs. They are working in a system which is in flux and everybody expects them to move their schools in the direction of more functionality and greater excellence. However, they have to cope with the shortage of physical resources and professional support from other agencies within the education system and have to work with school governing bodies which are not all used to or equipped to contribute to the success of the school in the manner anticipated in education policy and legislation.

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Our research confirms that principals are key figures in the transformation of the education system. It is also worth mentioning that there is no minimum qualification for the principalship with which principals have to comply. There are some principals who have no leadership and management training, while others have formal qualifications in leadership and management ranging from undergraduate diploma and certificates to doctoral degrees.

Debates on the roles that principals can play in education are, since the advent of democracy in our country, being influenced significantly by research in countries such as Australia, the UK and the USA (including Canada). Studies on the principalship in South Africa, including large-scale government projects and collaborative international projects, all show the influence of well-known scholars in the countries mentioned above. It is from these countries that a number of concepts have been introduced into the discussion on the principalship, including distributed or shared leadership, transformational leadership, transactional leadership and the idea of the self-managing school.

South Africa does not participate in some international benchmark studies such as OECD's (Organisation for Economic Co-operation and Development) Programme for International Student Assessment (PISA). The SACMEC (the Southern and Eastern Africa Consortium for Monitoring Educational Quality), TIMMS (Trends in International Mathematics and Science Study) and PIRLS (Progress in International Reading Literacy Study) studies show up the dismal results of South African learners and emphasise the need for South Africa to focus on school improvement and school effectiveness. International studies have drawn well-defined portraits of effective schools, and this has led to increasing knowledge of school improvement, especially principal effectiveness.

Research on the principalship in other countries differs significantly from studies in South Africa primarily in the sense that the concept of the principalship is a homogeneous and well-defined concept in most countries, whereas it is very difficult to compile a clear profile of a South African principal. This is due to differences in academic and professional preparation and work environments, differences in community involvement in schools, geographical factors such as proximity to universities and government departments and the amount and quality of professional development and support that they have received or are receiving. It is also clear that South Africa is still in the process of defining what a well-functioning school is and what the factors are that contribute to the functionality of a quality school.

What South Africa has in common with most other countries is the desire to improve the quality of the education available to learners and to improve the capacity of principals and the rest of the professional management team and educators. In addition there are also efforts to develop school governing bodies among others to attempt to schools into more functional institutions that will serve the needs of the country and of the individual learners better transform.

Research Conducted and Published Regarding Principals' Preparation in South Africa

How the Research Was Selected

Desktop research was done on the principalship and educational leadership in South Africa for the period 2003–2013. Electronic databases were searched. A total of 118 theses and dissertations were recorded for the period, and 42 peer-reviewed articles were accessed on the electronic database SABINET (an online library product and service provider). A range of South African education policies and legislation was also consulted. We selected research that pertained to principals' preparation and functioning in SA (South Africa) over the past decade. We preferred Ph. D. dissertations to master's dissertations and also focused on larger-scale research, typically research funded by a donor body or the government and we restricted ourselves as far as possible to the work of well-known and highly rated researchers.

Structure of the Chapter

> In many instances […], headteachers come to headship without having been prepared for their new role… As a result, they often have to rely on […] experience and common sense […] However, such are the demands being made upon managers now, including headteachers, that acquiring expertise can no longer be left to common sense and character alone; management development support is needed. (Tsukudu and Taylor 1995: 108–109)

According to Bush and Heystek (2006), 66 % of principals "have not progressed beyond their initial degree, while almost one third are not graduates". Van der Westhuizen et al.'s (2004: 1) investigation in the Mpumalanga province shows that "wide-ranging changes in the education system have rendered many serving school principals ineffective in the management of their schools. Many of these serving principals lack basic management training prior to and after their entry into headship". In 2004 the then Minister of Education, Ms. Naledi Pandor, expressed her concern about education leadership: "We have a (school) leadership that cannot analyse, cannot problem-solve, cannot devise strategic interventions and plans and cannot formulate perspectives that are directed at achieving success*"* (Business Day 2004).

The South African Department of Education proposed a new threshold qualification "for aspiring school principals as part of its wider strategy to improve educational standards. This links to concerns about the disappointing learner outcomes in national tests, and the belief that raising leadership quality would lead to enhanced learner performance" (Bush et al. 2011: 786). Bush et al. (2011: 798) correctly claims that most schools in South Africa serve "deprived township and rural communities with high levels of poverty, unemployment, child-headed families, drug and alcohol abuse, and teenage pregnancy. This provides an unpromising context for learner achievement". Given the "unpromising context" in South Africa,

one may rightfully ask whether the training available to school principals enables them to deliver on expectations.

This chapter is structured as follows: the South African education system and current challenges, the position of the principal in the public school system, the training of principals in South Africa, the challenges in leadership and management practices in South Africa, the experiences of new principals, the research carried out and published regarding principal preparation in South Africa, the content and context of leadership developmental programmes and the ACE programme offered by the University of Pretoria.

The South African Education System and Current Challenges

Diagram 25.1 below shows the South African *education* system, while diagram 25.2 shows the *school* system. Although the diagrams are self-explanatory, one needs to point out that South Africa represents neither a federal nor a unitary system of government. It has a co-operative government system with three spheres of government that are cooperative, overlapping and mutually supportive. South Africa does not have provincial (state) departments that are subservient to the National Department of Basic Education but one national department (of basic education) with nine provincial departments.

In terms of the Constitution of 1996, education in schools is a sphere of concurrent legislative authority of the national and provincial spheres – both may make legislation on schools. However, the national sphere is mainly confined to policy-making and the setting of norms and standards on certain defined issues, while the provincial sphere has to provide school education. Understandably, such overlap can lead to conflict, and the functioning of the system is hard to understand – even for some officials within the system.

Some Challenges

When the new education dispensation was introduced in terms of inter alia among the Constitution of 1996 and the South African schools, 84 of 1996 (SASA), the challenges mainly involved equality, redress and quality. Some progress has been made, but the following issues still need concerted and urgent attention:

> Although the problem of access to school education has been largely solved, the challenge of quality education for all remains a serious concern. Up to 70 or 80 % of the country's schools are regarded as under-performing or even dysfunctional. In the main, these low-performing schools serve the previously disadvantaged parts of the population and huge disparities remain (Beckmann and Prinsloo 2008). Indeed, one may speak of two different school systems in the country: one a well performing system that delivers quality education, the other a failing system which is dysfunctional and which does not meet the needs of the learners it serves.
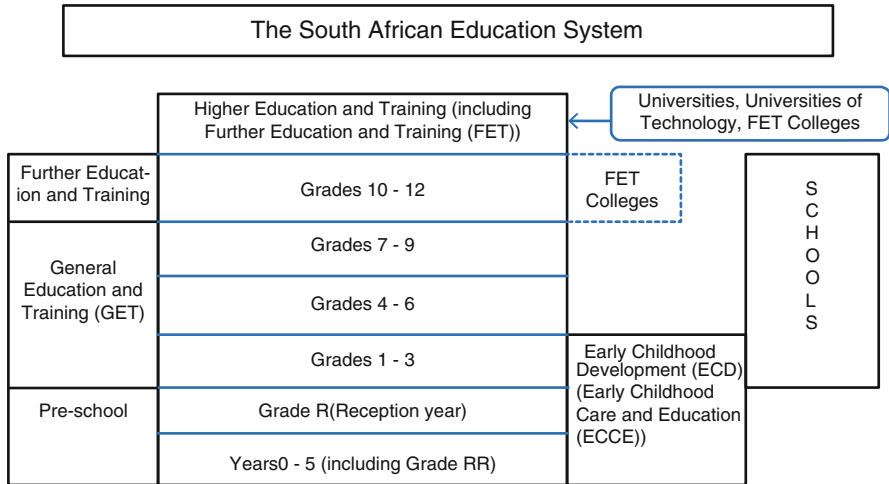
Diagram 25.1 The South African education system (FET colleges are colleges for Further Education and Training (vocational post-school education))
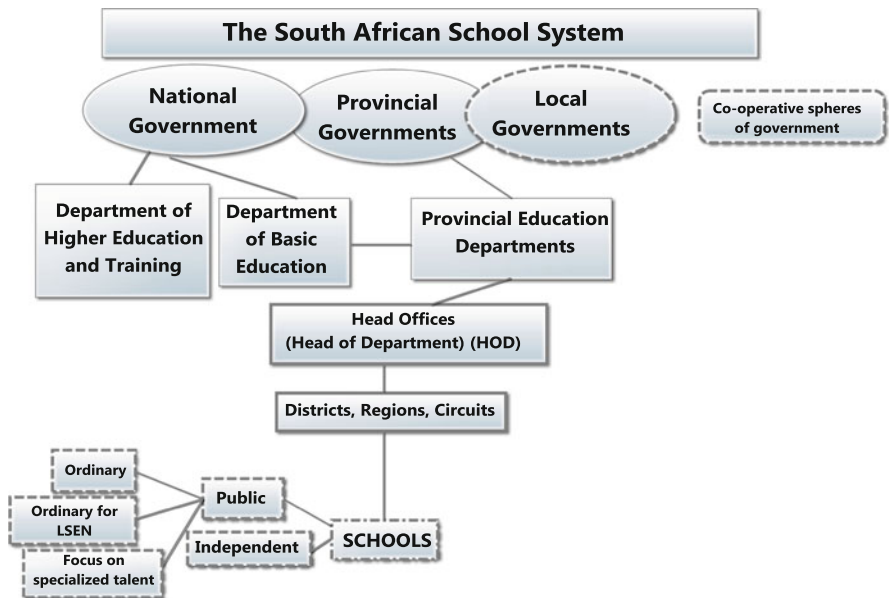

Diagram 25.2 The South African school system (The local sphere of government (municipalities) has no authority regarding the provision of education)

More than 50 % of the learners who enrol in Grade 1 drop out of the system by the time the final school-leaving examination (called "matriculation") is taken at the end of Grade 12. At present they are unaccounted for and no efforts of scale are made to trace them and bring them back into the ambit of the education and training system. The dropout figures seem to peak at the end of Grade 10 which is the time when compulsory school attendance stops.

In terms of an analysis published in the government's National Development Plan 2030 (National Planning Commission 2013), South Africa is currently beset with two main problems: poverty and inequality. They encompass (among other things) poor education, a high burden of disease (caused mostly by the prevalence of HIV, AIDS and tuberculosis), a decreasing economic growth rate and crumbling infrastructure. Redirecting the country towards prosperity and equity will require (among others) quality education, quality healthcare as well as improved state governance. Regarding the demand for quality education, it goes without saying that school principals will have to play a major role in leading schools to be able to play their role in meeting these expectations.

Many teachers are not adequately trained for their work and principals do not receive specific training for their assignment as principals. Induction and support opportunities for newly appointed principals are limited (Bush and Oduro 2006: 259; Kitavi & van der Westhuizen, 1996:253).

Many schools are not safe places for learners and teachers – in both a physical and emotional (psychological) sense. This indicates a lack of discipline at schools (Maphosa and Almon Alman 2010; Rossouw 2003; Mokhele 2006; Joubert and Serakwane 2009).

Although the decentralisation of governance to the school level in the form of school governing bodies[1] (giving a distinct voice to parents in education) was a laudable and brave move, the majority of these bodies (30–80 %) are underperforming (Department of Education 2003).

There is widespread concern about the fact that the biggest teacher union, the South African Democratic Teachers' Union (SADTU), seems to be playing a disruptive role in school education (Beckmann and Fuessel 2013; Prinsloo and Beckmann 2012; Horsten and le Grange 2012).

The Position of the Principal in the Public[2] School System

Diagram 25.3 below indicates that the principal of a South African public school is employed by a provincial education department in the person of the Head of the Education Department (HOD) of the specific province. As an employee of the provincial education department, the principal's line of accountability runs through the substructures of the districts, circuits or regions. In South Africa, the principal's

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[1] See the discussion of school governing bodies in paragraph 3.2 below.

[2] Note that South African non-private or non-independent schools are referred to as public schools and not as state schools.
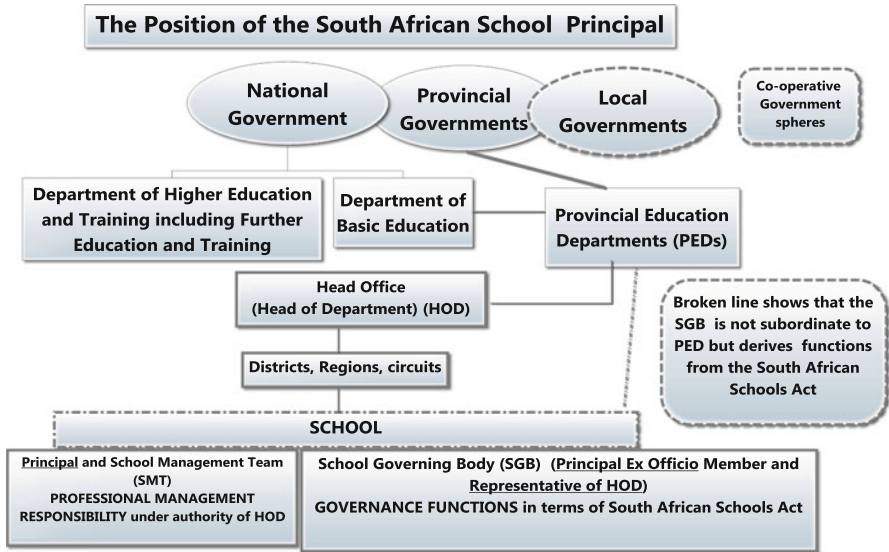
Diagram 25.3 The position of the principal in the public school system

work is defined by legislation such as the National Education Policy Act (NEPA), 27 of 1996; the South African Schools Act (SASA), 84 of 1996; the Employment of Educators Act (EEA), 76 of 1998; and the Personnel Administration Measures (PAM) under the EEA.

In many education systems this description of the principal as employee of some authority would have been largely sufficient to capture her[3] work and position. However, the discussion above refers to only one of the two major roles of a South African pubic school principal, namely, professional management, which is carried out under the authority of the provincial HOD (Sect. 16 (3) of SASA). In addition to this role, the principal also has a formal role as school governor as an ex officio member of the school governing body (SGB) (Sect. 23 (1) of SASA) and as representative of the HOD on the SGB (Sect. 16A of SASA).

School governing bodies (SGBs) are creatures of statute written into SASA to give expression to the notion of decentralisation of authority to the lowest possible level and affording parents a voice in certain defined matters. SGBs consist of members elected by parents (always the majority), educator and non-educator staff and learners (of secondary schools). SGBs perform the functions allocated to them in SASA, including:

- Adopting a code of conduct for learners (which gives them the power to suspend learners and/or recommend to the authorities the expulsion of learners for serious misconduct)
- Making policies pertaining to admission, religious observances and language

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[3] The masculine form includes the feminine form and vice versa.

Section 19 of SASA enjoins principals to assist SGBs as much as possible. This charge is in addition to the "normal" responsibilities of principals such as leading and managing schools to optimally achieve their aims with regard to the education of learners. Section 20 in turn requires the SGB to support the school and the teachers.

This dualistic role of the principal to assist the SGB in its functions as well as to carry out his/her duties as government employee can foreseeably lead to conflict and require difficult and unenviable choices from the principal. For example, if the SGB has carried out its functions and compiled an admissions policy for the school, the principal cannot act against such policy, even under instruction by the employer.[4] Section 16A (3) of SASA, which deals with the work and responsibilities of the public school principal, requires him/her to assist the SGB in carrying out its work and responsibilities. Such assistance may however not be in conflict with instructions received from the HOD.

The principal may therefore quite often find himself/herself caught between the HOD (the employer) and the SGB. This invidious position (which is viewed as a possible unfair labour practice by Van der Merwe (2012)) could very well deplete the precious time that the principal could otherwise have spent on promoting the interests of the school (in particular the learners). To compound the matter, the principal is compelled (in terms of Sect. 16A (2) (k) of SASA) to do "whistle blowing" and report on any maladministration or financial misadministration to both the SGB and the HOD.

The Training of Principals in South Africa

Challenges in Leadership and Management Practices in South Africa

General

According to Ngidi and Qwabe (2006: 529), some of the challenges in leadership and management practices involve "poor management of schools by principals such as poor administration, poor time management, poor school organisation, poor timetabling, and inadequate staffing". A qualitative study by Kamper (2008) investigated

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[4] The SGB's authority to make policy is original and is captured in SASA (a national law). In this regard SGBs are not subject to the supervision of education departments. Yet there are examples of departments wanting principals to act against SGB policies regarding, for example, admission such as in the so-called Rivonia case (The Governing Body of the Rivonia Primary School) v MEC (Member of the Executive Council of the Provincial Government) for Education: Gauteng Province (161/12) [2012] ZASCA (the Supreme Court of Appeals) 194 (30 November 2012). The Supreme Court of Appeals ruled in favour of the school (SGB) and the Constitutional Court ruled in favour of the province, implying that provinces may in future overrule school and school governing body admission decisions provided it is done in close consultation with the school.

effective leadership in some high-poverty schools in South Africa and discovered that poverty-related challenges can be overcome through (1) energetic, (2) compassionate, (3) innovative and (4) empowering leadership. M Christine de Vita, President of the Wallace Foundation, cited in Robertson (2007: 2), remarked on the complexities of the principalship by saying: "…they need to be experts, disciplinarians, community builders, public relations experts, budget experts, facility managers and expert overseers of legal, contractual, and policy mandates and initiatives".

A study by Zellner et al. (2002) examined ways to improve the recruiting and mentoring of new principals as well as ways to support experienced ones. They discovered that unsuccessful schools can also be attributed to principals' lack of:

- Ability to disseminate leadership throughout the school
- Experience in problem-solving
- Reflection on leadership practice
- Experience in keeping the school's vision as a target
- Experience in self-initiated leadership activities
- Opportunities to be mentored and supported

Mestry and Singh (2007) emphasise that the task of being a principal is demanding and that it requires energy, drive and many other personal qualities and attributes. Principals who are involved in the day-to-day management of their schools need to take time to reflect on their personal growth as leaders and managers. The demands made on principals have moved away from management and control towards a need for an educational leader who can foster staff development, parent involvement, community support and learner growth and who can succeed despite major changes and expectations. Developing principals and providing them with the necessary knowledge, skills, values and attitudes become increasingly important as the dynamic and changing educational culture becomes increasingly difficult. The question is "Does the currently available training of principals deliver on its promises and expectations?"

Creating a Functional School Culture

Creating a functional school culture is critical to the success of a school. However, the principal must first be able to identify the symptoms of a dysfunctional school culture before she can attempt to transform it into a functional school culture.

Bipath (2008) differentiates between a functional school and a dysfunctional school in South Africa (Table 25.1).

A strategy that could support increased success in schools involves defining the role of the school principal to create a culture that enhances school functionality (Bipath 2013). Bipath's article reports on an investigation into what constitutes culture-creation mechanisms (primary embedding mechanisms and secondary reinforcement mechanisms according to Schein 2004) in a functional school. She tries to answer the question, "What is the role of a principal in creating a functional school culture?"

Table 25.1 Differences between a functional and dysfunctional school

School of functionality	School of dysfunctionality
The best of emotional intelligence	The worst of emotional intelligence
Epoch of optimism	Epoch of pessimism
Season of teamwork and collaboration	Season of absenteeism and defiance
The spring of hope	The winter of despair
Principal able to create a positive organisational culture	Negative principal who plays the blame game
Matriculants (learners in Grade 12) going to university	Matriculants failing and deprived of a future

Bipath (2008: 57)

In order to arrive at a possible explanation, she conducted 4 weeks of observation and interviews with the principal and staff in two schools within the same socioeconomic environment. The aim was to identify and articulate the differences in the culture-creation mechanisms between principals. The differences in the behaviour of the two principals provided evidence that the role of the principal in occupying his/her space as a leader and being proactive in the creation of culture caused a school to be more functional.

Like Bipath (2005), Niemann and Kotze (2006) also examined the relationship between the leadership practice of the principal and school culture. They provided recommendations regarding the skills that principals need to establish a school culture conducive to teaching and learning. Two standardised questionnaires were used to measure the existing leadership practices and organisational culture in 30 schools. It was found that each of the leadership practices tested was positively related to either of the two main elements of organisational culture – sociability and solidarity.

From the results of the investigation by Niemann and Kotze (2006), it was evident that principals should undergo leadership assessment to determine whether they practise the leadership dimensions implied by the Leadership Practices Inventory (LPI) of Kouzes and Posner (1995). The LPI measures leadership practices and reveals the leader's behaviour concerning challenging processes such as inspiring a shared vision, enabling others to act, modelling the way and encouraging others.

This instrument was chosen because it has been widely used to measure the success of leadership in organisations, for example:

- Setting a shared vision and mutual goals and ensuring commitment to them.
- Perceiving and approaching opportunities as challenges. This implies that principals may even need to take risks and must be visionary and innovative to approach changes positively.
- Fostering collaboration by building trust and promoting co-operative goals.
- Sharing a vision and role modelling how mutual interests can be met through commitment and enthusiasm.
- Empowering their staff members to become competent in what they do and strengthening them through capacity-building workshops.

The above practices are those that appear to have the strongest relationship with the cultivation of a sound organisational culture. However, other aspects (as measured by the LPI) also need to feature in the leadership qualities of the principal, as they have a significant influence on the organisational culture of the school:

- Knowing when to reward staff members for initiatives and work well done
- Providing staff with the necessary authority and confidence to execute their tasks effectively
- Leading by example by acting in accordance with the values, traditions and beliefs of the school
- Planning small wins that will promote consistent progress and build commitment
- Providing the necessary support to the staff

Niemann and Kotze (2006) warn that the above leadership qualities may remain only an ideal if a school looks for all these characteristics in one person. However, this does not mean that a continuous and purposeful attempt should not be made at cultivating and developing the type of behaviour of principals that will ensure the establishment of a school culture in which both sociability and solidarity thrive.

School-Community Relationships

Prew (2007) explored the role and skills a principal needs to succeed in a transforming South African township school[5] environment. He studied four principals and the innovation to which they exposed their schools and found that:

> In contrast, the two successful schools developed complex relationships with their communities based on growing trust. Where the school ignored its community, or eroded the nascent trust that was growing, the community naturally opted out. This posed scant problems in the *apartheid* era when schools were divorced from, and often set against, the community around them. However, in the modern era the importance of community trust in the school's principal appears to be paramount.

Prew's (2007) paper shows that, once these relationships of trust and mutual benefit have been established, they have a positive effect on parental engagement with the core function of the school in ways that no longer upset the teachers. Not surprisingly, the matric[6] results in the successful schools improved. It was noted that the successful township principals were open, confident and inclusive. They were also effective at working with the surrounding community (based on the community's understanding of its own needs and nature), as well as with the education district office.

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[5] A township school is a school in a former separate Black area attended almost exclusively by Black learners.

[6] National Grade 12 (school-leaving) examinations.

Prew (2007) came to the following conclusion:

> In many schools a management style more in tune with a Botha[7] style still predominates. This authoritarianism is reflected in the culture and climate of these schools, which are all too often unattractive environments, not conducive to learning. It appears from this study that principals who have absorbed the lessons and mores of the prevailing political management styles – Mandela/Mbeki leadership norms – were more successful in managing innovation and their schools during change, than those that clung to traditional Botha-like norms of management.

Prew (2007), Niemann and Kotze (2006) and Bipath (2005) recommend that the school principal needs to create a culture of involvement with parents and communities in order to confront the education challenges in South Africa. Disruptive behaviour in South African schools has been reported widely and encompasses among other learners armed with dangerous weapons, learner-on-learner violence, learner-on-educator violence, vandalism and theft and learners in possession of prohibited substances such as drugs and alcohol (Health24 19 August 2008).

A learner code of conduct has become obligatory in terms of Sect. 8 of SASA and seeks inter alia to normalise such school environments. A code of conduct for learners is a form of subordinate legislation that reflects the democratic principles of the Constitution of 1996 by supporting the values of human dignity, equality and freedom. The code of conduct spells out rules regarding learner behaviour and describes the disciplinary process to be implemented in the case of transgressions by learners (Department of Education 2008: 1). Rossouw (2007: 82) makes the point that a code of conduct is a consensus document and its drafting process should be characterised by the involvement of parents, learners, educators and non-educators at the school.

Best Practices and the "New Principalship"

Botha (2004) presents a review of the literature on the principalship and makes conclusions based on recent "best practices" with regard to excellence in school leadership and the so-called new principalship. He also attempts to raise and answer some questions concerning new demands on the professional principalship in a changing South Africa where educational reform is the norm rather than the exception.

Botha (2004) describes a professional school principal as the educational leader and manager of a school who is responsible for the work performance of all the people in the school (i.e. both staff and learners). Studies of effective and excellent principals reveal that the major reason for principals' failure is an inability to deal with people. If the people perform well, the school performs well; if the people do not perform well, the school does not either. In this sense, the leadership task of school principals is of the utmost importance and constitutes probably the most

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[7] The late Mr. PW Botha, an apartheid-era President of South Africa.

important element of her role and/or task. School principals are essential to the success of schools of all types and sizes, says Botha.

Some key observations emerge from Botha's (2004) article:

- The vitally important role of the principal as a professional leader
- Ownership of and involvement of relevant role players in the process of evaluation and improvement (particularly ownership at the school level where the real action and responsibility take place)
- The importance of strategic thinking on the part of the school leaders and their staff

The Era of Enhancing Professional Standards for Principalship

"In this new era of accountability, where school leaders are expected to demonstrate bottom-line results and use data to drive decisions, the skill and knowledge of principals matter more than ever" (Hess and Kelly 2005: 2). What is certain is that things will not get easier. Principals will continue to find themselves constantly struggling to make the best of funding mechanisms, to ensure that professional standards are enhanced and to manage their multifaceted jobs.

The Experiences of New Principals

In South Africa, many new principals take up their posts without any meaningful induction and without being adequately prepared for their responsibilities. Requiring principals to embark on such a demanding career without dedicated preparation "is a recipe for personal stress and system failure, and also has serious ethical implications" (Bush and Heystek 2006). Kitavi and Van der Westhuizen (1996: 253) describe the world of novice principals "as one filled with considerable anxiety, frustration and professional isolation […] an increasingly clear picture shows new principals who cannot serve as instructional leaders, who tend to seek moral and ethical identities and suffer from feelings of stress associated with their new roles".

The Education Management Task Team (EMTT) and the South African Standard for School Leadership (SASSL)

Moloi (2007: 463) examined three main issues that are directly linked to school management developments in South Africa since 1994: school leadership and management, the professionalisation of the principalship through the South African

Standard for School Leadership (SASSL) and leading and managing the learning school. The aim of her research was to establish "what is known" and "what still needs to be known" about educational leadership, management and governance in South Africa. She also drew upon the work of the South African Schools Act (SASA) and, specifically, the recommendations of the Educational Management Task (EMTT) (1996). The brief of the EMTT was to develop a policy framework for school leadership and management development, training and implementation and to devise a local standard for school leadership that would inform professional educational leadership programmes and lead to a National Professional Qualification for Principalship (SANPQP). The South African Standard for School Leadership (SASSL) would provide a clear role description for principals, set out what is required of principals and identify key areas of the principalship (Moloi 2007: 463).

The South African Standard for School Leadership (SASSL) (Department of Education (DoE) 2005) clarified exactly what the education department expected of its principals, namely:

- Leading and managing the learning school
- Shaping the direction and development of the school
- Assuring quality and securing accountability
- Developing and empowering self and others
- Managing the school as an organisation
- Working with and for the community

Moloi (2007) highlighted a number of important areas of school leadership and management practices. She demonstrated the need for in-depth research to inform policies and practice at national, district and school level, leading to the creation of "grounded theory" to explain and interpret practice. In her opinion, South Africa needed detailed and empirical evidence on the effectiveness of its transformation policies and initiatives since 1994 and the impact of these upon all schools and learners – especially those in historically disadvantaged areas.

The Advanced Certificate in Education (ACE) (School Leadership and Management)

The Department of Education (DoE) (DoE 2004, 2005) clearly intended to emphasise the professionalisation of existing and aspiring principals of all government schools. In particular, the development of the new professional vocational programme – the Advanced Certificate in Education (School Leadership and Management) (ACE) – was indicative of the department's renewed commitment to more "efficient and cost-effective capacity building in leadership and management" to achieve its stated objective. The DoE's fundamental aim was stated as promoting effective teaching and learning and building excellence throughout the South

African education system, rooted in the needs and contextual realities of local schools (DoE 2004).

Mestry and Singh (2007) explored the rationale for school managers in South Africa to enrol for a new practice-based qualification. They also used a qualitative paradigm to determine the perceptions of principals on how the ACE programme had influenced their leadership style and concluded as follows (Mestry and Singh 2007):

> All the principals interviewed confirmed that the ACE course had effectively promoted their professional growth and given them a better understanding of their role in the school. The quality which underpins the sense of development in principals is a greater confidence, a stronger sense of assurance, and the expert knowledge to undertake important tasks.

Principals interviewed in Mestry and Singh's (2007) study greatly appreciated the facilitation sessions presented by the programme mentors. The sessions helped the students to see problems from a different perspective, as it often emerged from discussions that they or their colleagues had to deal with similar situations. In these sessions, principals shared their experiences, challenges, struggles, frustrations, opinions and perspectives, and they shared solutions and practical ways in which they had overcome such challenges and struggles. The principals' on-the-ground experiences highlighted the sad reality of many dysfunctional schools in South Africa.

The Mpumalanga Study

Van der Westhuizen et al. (2004) wrote an article based on a case study of a so-called "cascade model training programme" run in Mpumalanga (one of the nine provinces in South Africa). They stated that the wide-ranging changes in the education system had rendered many serving school principals ineffective in the management of their schools. Many of these principals already lacked basic management training prior to and after their entry into headship. Changes in education further increased their problems and caused untold harm to the education of the learners.

Their research dealt with the perceptions of 172 principals and 28 district/circuit managers in Mpumalanga on their satisfaction with the training programme and its effectiveness in facilitating learning. Questionnaires were used to collect data that was subsequently analysed by using mean scores, frequencies and percentages. Responses from open-ended questions, in addition to the structured questionnaires, were recorded and categorised for the purpose of qualitative analysis. The study showed that principals and district/circuit managers were satisfied to very satisfied with the quality and adequacy of their training and agreed that the training was effective to very effective. A general tendency of higher mean scores among district/circuit managers than among principals was observed. Findings from the qualitative analysis supported and augmented the findings of the quantitative data.

Some of the findings were that the design and content of training programmes should be geared towards developing requisite skills and knowledge. This would

enable trainees to transfer the skills and knowledge to both new and existing situations. Training should be well planned and not be initiated merely for the sake of training. The article by Van der Westhuizen et al. (2004) also points out problems with the training that often occurs in South Africa. Many times training is initiated when money is available or when some departmental functionary has failed to plan properly and at the last minute hurriedly commissions a training programme to meet his/her budgetary expenditures. Training programmes need to be evaluated properly in advance and they should not happen arbitrarily.

The findings in the Mpumalanga study nevertheless indicated a measure of satisfaction among trainees concerning the quality of the training provided. The fact that students considered the training as useful and able to influence the performance of their institutions positively showed that the cascade model accomplished a measure of success. The utilisation of peers with a status not higher than that of the trainees enhanced the probability that the cascade model would achieve the desired results.

Van der Westhuizen et al. (2004) suggested that qualitative methods be used in conjunction with a structured questionnaire to evaluate training programmes. They believed that the inclusion of open-ended questions was not only particularly helpful as part of the feedback concerning human attributes and judgments but also rendered important data generated outside the parameters of a structured questionnaire. The evidence showed that the respondents were especially eager to share their hardships in managing schools.

It is worth mentioning that the cascade model training programmes were not obtained from abroad. They were developed by local experts to suit specific South African conditions, situations and needs. It is in this sense that continuous research on education management development is of value and can contribute significantly to future programme design and presentation. The Mpumalanga research has explicit and implicit meaning for the proper planning of training programmes that include rigorous assessment of programme success.

Other Possible Research Focus Areas

Steyn (2008) attempted to identify possible areas of investigation to establish the influence of preparation programmes for school managers. She concluded that there are three major focus areas for assessing the influence of preparation programmes: setting a course, developing people and developing the organisation. She also agreed with Southworth and Du Quesnay (2005) that "[t]he longevity of leadership development rests, in large part, on being able to describe the differences leaders make in terms of improvements to school and students' performance". The "unpromising context" of South African schools either dampens the expectations and promises of principal preparation programmes or heightens the performance of principals on the programme.

The Content and Context of Leadership Development Programmes

Mestry and Singh (2007) postulate that "[r]ecurring budget shortfalls, the complex needs of learners and the cry for higher standards and achievement are only a few daily realities that principals face". According to Mestry and Grobler (2004) and Steyn (2008), the challenging tasks of a South African principal include the following:

- Complying with a plethora of ever-changing legislation, regulations and policies
- Establishing or restoring a culture of teaching and learning
- Improving and maintaining high educational standards
- Collaborating with parents
- Dealing with multicultural school populations
- Managing change and conflict and coping with limited resources
- Ensuring more accountability to their respective communities
- Coping with factors outside schools that may impinge on their jurisdiction

As stated earlier, these taxing demands compelled the Department of Education, in conjunction with higher education institutions, to introduce the ACE (School Leadership and Management) programme to empower school principals and other school managers by developing the skills, knowledge and values needed to lead and manage schools effectively. One of the requirements in the programme was to develop a portfolio to demonstrate acquired school leadership and management competence. The module required school principals to compile, over a 2-year period, a reflective portfolio with evidence of competence in school leadership and management. Portfolios are increasingly being used for documentation of professional competence in education programmes and have been found to be a useful learning and professional development tool (Orland-Barak 2005; Tillema and Smith 2007).

The Use of Portfolios in of ACE Programmes

Chikoko et al. (2011) argue that there is still much debate about what constitutes effective leadership development. They explored the ACE School Leadership and Management portfolio as an instrument for change in school principals' leadership learning. Working within an interpretive research paradigm and employing a qualitative methodological approach, a sample of 18 portfolios out of a possible 88 was selected using stratified random sampling. In analysing the portfolios, a multilayered approach was employed based on a manifest to a more in-depth or latent interrogation of the evidence in the portfolio. Their findings indicated that the portfolio is indeed a tool for effecting change regarding principals' leadership for learning.

However, Chikoko et al. (2011) found lacking in almost all the portfolios were comments to show how the evidence relates to the outcomes of the modules. For example, in terms of the outcome "Monitor and evaluate teaching" (in the module "Manage teaching and learning"), schedules from the Integrated Quality Management System (IQMS) were enclosed without any reference to their relevance to the outcome. Furthermore, almost all portfolios were silent on the processes involved in arriving at the evidence produced. In leadership learning, processes are just as important as the products. It is in the processes that one learns, hence the term "leadership learning". For example, for the outcome "Manage the planning and implementing of teaching" (in the module "Manage teaching and learning"), students furnished teacher allocations, teacher period loads and phase timetables as evidence. While this evidence is indispensable to the planning and implementing of teaching, it does not focus on how the evidence was arrived at. In teacher deployment within the school, the processes are important. One would have expected the school principals to have indicated what policies and legislative frameworks were consulted. Was it a process performed by the school principals themselves or was it a consultative process? Comments on how they ensured allocative efficiency are important.

Chikoko et al. (2011) therefore proposed that two forms of evidence be required: product and process evidence. The former refers to a tool such as a vision statement or a timetable, and the latter refers to how the tool was built. The dearth of process evidence in the portfolios that they studied suggested that the authors of the portfolios did not invest enough time in thinking through the product evidence, and perhaps also that limited guidance was given by those who taught in the programme.

The Case of the ACE Programme Offered by the University of Pretoria

In the ACE programme offered by the University of Pretoria, school principals are required to compile a portfolio that records all evidence relating to the following five core modules that constitute its qualification:

- Leading and managing people
- Education leadership and management
- Managing organisational systems and physical and financial resources
- Education law and policy
- Managing teaching and learning

The portfolio contains a comprehensive record of all the evidence produced in the course of completing the five core modules of the programme. Such evidence includes completed assignments, work-based projects, school visit instruments, reflections on each lecture as well as each school visit and facilitation sessions by

a mentor. The portfolio also contains relevant evidence that school principals may have produced during the execution of their regular school leadership and management functions.

Lecturers set the stage for knowledge development during formal lectures (20 Saturdays over a 2-year period), while facilitation sessions with mentors involve working towards the personal and professional development of the principal. During such facilitation sessions a mentor talks to a group of five to six mentees about solutions to school problems and assists them with assignments. Institutional development takes place at the school itself as the mentor (normally a retired school principal hired by the university) visits the principal with an assessment tool. Three visits per semester per school are expected, and assistance regarding the invitational climate and school functionality is deeply probed and developed by mentors. A guideline of 2 h per school visit is stipulated by the university.

However, due to an inordinate focus on the development of white teachers during the apartheid era, the ex-principals chosen to act as mentors by the University of Pretoria (based on their history of professional excellence) are mostly from the former Transvaal[8] Education Department (TED), while the principals enrolled in the university's ACE programme are from rural, disadvantaged schools. The principals are usually young black females and males and the mentors are elderly white males. Tony Bush (2009), in a paper delivered at the Education Management Association of South Africa (EMASA) conference in Pretoria on 8 August 2009, criticised the racial and gender mismatch between the mentors and mentees in the ACE SL (School Leadership) programme used by the University of Pretoria.

Even so, Bipath (2010) argues that these white mentors provide excellent support for their black mentees and see "beyond race" when it comes to support and guidance. The black mentees also commend the commitment and dedication of their mentors to improving their (the mentees') schools and professionalism. At the University of Pretoria, the success of the ACE School Leadership programme relies to a large degree on the mentoring relationship. The friendships forged and the deep personal and professional changes witnessed in the participants are the result of the choices of mentors.

Mentees report that positive changes have occurred in every school as a result of the committed, dedicated work of the white mentors. The latter's efforts have blended into an "eagerness to learn and change and perform effectively" (Bipath 2010: 167) attitude shown by the participants in the programme. The delicate "dance" that juxtaposes group norms, societal pressures and expectations with individual personality characteristics has shown that collaboration and harmony between races in this fashion have mutual benefits. The mentorship aspect of this ACE School Leadership programme has shown positive personal, social and school improvement as well as an ability to work together – despite the inherent power dynamics that still frame race in the South African context (Bipath 2010).

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[8] One of South Africa's 4 pre-democracy provinces.

Conclusion

This chapter confirms a profound need for preparing principals for the challenges and opportunities they face in South Africa. The literature also shows that existing professional development programmes for principals in South Africa tend to:

- Be fragmented and that the various universities emphasise different points of interest
- Contain modules that are sometimes not co-ordinated and sometimes irrelevant
- Overload students with assignments and portfolios do not have product and process evidence
- Fail as prolonged interventions (after graduation, principals find themselves alone; there is also a lack of continual support from the departmental officials and circuit managers; universities do not have a principal networking website)
- Lack of ownership of assignments at the school level where the real action and responsibility take place
- Lack of strategic thinking on the part of the school leaders
- A possible mismatch between mentors and mentees and lack of understanding contextual issues
- Leadership programmes' emphasis on policy more than practice
- Lead to principals having more knowledge of leadership and management than their superiors

According to Mestry and Singh (2007), programmes offered by universities or other service providers sometimes have little or no relation to the actual realities in schools. Nonetheless, the ACE School Leadership programme was the first concrete step taken in South Africa towards implementing a compulsory professional qualification for principalship. South African studies have provided evidence that leadership programmes have influenced the principalship peripherally (principals now have a better understanding of their legal, policy and management skills). The core of principalship (decision-making, strategic management, leadership innovation and creativity) still leaves much to be desired in leadership preparation, and departments of education, together with universities, need to collaborate to ensure that training enables principals to deliver on government's promises and meets the expectations of the community.

As stated in the beginning of the chapter, "it takes capacity to build capacity" (Hopkins 2012). This chapter contributes to the educational leadership knowledge regarding the South African education system and the position of the principal in the public school system and highlights some principalship studies in a developing country. The conundrum created in the chapter is the need for leadership effectiveness and improvement in South Africa to be enhanced by the horizontal (principal networking) and vertical (education departments and universities collaboration with schools) connections. Given the contextual challenges and the unique situations faced by South African schools, the horizontal and vertical connections will enhance the capacity of the policy makers as well as the training designers and deliverers of

principal preparation programmes. Principals need to show a willingness to accept responsibility for change by involving the community more, seeing school as community property and striving for quality that is not dependent on what the government prescribes but what principals proactively desire and set out to achieve.

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