STUDIES IN EDUCATIONAL LEADERSHIP 11

Brent Davies
Mark Brundrett
Editors

Developing Successful Leadership

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Developing Successful Leadership

STUDIES IN EDUCATIONAL LEADERSHIP

VOLUME 11

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Brent Davies would like to dedicate this book to Harry

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Dr. Barbara J. Davies has extensive experience in primary school leadership and management. After graduating from Oxford University, Barbara taught in primary schools in Oxfordshire, West Germany and West Sussex. She took up her first headship in West Sussex followed by her second in North Yorkshire. She was a senior lecturer at Bishop Grosseteste College in Lincoln, working in initial teacher education, before specializing in leadership and management in the primary sector at the University of Lincolnshire and Humberside, where she was a course leader for a master's degree in leadership and learning. Subsequently she returned to primary headships in Nottinghamshire and Lincolnshire. Barbara gained a Doctorate in Educational Leadership at the University of Hull in 2004, her thesis focused on strategic leadership and planning in primary schools. She has published a number of books and articles in the field of educational leadership and works as an educational researcher.

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Chapter 1
Introduction

Brent Davies and Mark Brundrett

Purpose

The purpose that we set ourselves, in bringing this book together, was to enable an outstanding set of international educational leadership writers to provide powerful insights on developing successful leadership in schools. The book aims to move away from the simple 'how to' of becoming a Principal in order to focus on the wider issues of becoming a successful leader. In so doing, the text focuses on the issues of how existing leaders can develop their full capacity as well as on enhancing the skills of those new to, or aspiring to, a leadership role for the first time. This text develops the previous work of the editors 'The Essentials of School Leadership' (Davies, 2009) and 'Leadership Development' (Brundrett & Crawford, 2008).

In order to achieve this purpose the text provides insights from a carefully selected group of leading educationalists on key aspects of developing successful leadership based around central themes such as

- The strategic and moral dimensions of leading organizations;
- Developing new skill sets in leadership;
- Effective leadership for instructional and pedagogical success;
- Developing leadership.

In addressing these themes the editors were committed to an integrative and expansive approach and not the mere technical approach of how to undertake the managerial or administrative tasks to developing critical leadership perspectives and skills. To this end the authors have been encouraged to draw upon not only the literature in the field of educational leadership but also the wider literature in the field of business and management. The editors have encouraged writers to deploy their skills carefully in order to ensure that they have employed this diverse literature in a manner that is designed to have appeal to an international audience.

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Context

The importance of leadership is increasingly re-affirmed by government agencies and by research studies. For instance, Leithwood, Harris, and Hopkins (2006) say that there is indisputable research evidence that leadership is second only to classroom teaching in its influence on pupil learning. In a sense, however, it matters little where there is empirical evidence that leadership affects outcomes since a conversation with any practitioner or parent will reveal that leadership does make a difference, not only to results in standardized tests and in final examinations, but to the whole culture and ethos of a school.

Yet, despite this powerful empirical and anecdotal evidence of the importance of leadership in improving outcomes, educational leadership has experienced a turbulent period of development in recent decades. For 20 years educational administration has been in a state of constant change in the shift from a scientific to a post-scientific period that has been termed a 'dialectic era' (Murphy, 2008, p. 179). In part this has been driven by changes in the intellectual and conceptual bases of leadership and management theory but is also a characteristic of trans-national trends that have been characterized by an increasing shift to site-based management of educational institutions. This has created increasing challenges for school leaders who have had to learn new skill sets in areas like financial administration and human resource management. Increasingly the focus has been on what works in practice rather than theory-driven approaches divorced from the reality of school life. This has been reflected in the fact that attention paid to organizational theory has declined in recent decades but there has been a significant increase in publication on 'core technology' topics such as curriculum and instruction, school effectiveness and the management function of school leaders (Murphy, Vriesinga, & Storey, 2007). Nonetheless, the continuing agenda for research in school leadership is to examine and then to bridge the gap between emerging knowledge on teaching and learning and what we know about how school leaders influence classroom practice (Honig & Seashore Lewis, 2007).

During this same period there has also been an ambivalent relationship between educational leadership and management and the wider world of business management. However, the editors are convinced that there remains a strong argument for the integration of selected elements of business models and wider organizational management theory into educational leadership practices (Hallinger & Snidvongs, 2008, p. 9). For this reason the contributing authors have been encouraged to draw on as wide a range of material as possible in their chapters.

The Chapters in This Book

The book is organized into four parts. The first part considers the central challenge of being a leader that of moving from an operational perspective to developing a strategic perspective while also developing a strong ethical and moral basis for strategic decisions. The second part looks at the central purpose of school leadership that

of the learning process with three chapters that consider leadership for learning, instructional leadership and the impact of leadership on student outcomes. This will provide a key developmental framework for the reader. The third part considers three essential leadership skills or attributes of leaders in the current environment. These are developing a wider leadership team to meet the challenge of school leadership, developing entrepreneurial skills to operate in a market environment and making a contribution to the wider education system. The final part looks at developing leadership with three chapters focusing on this topic. This is not intended to be an exhaustive or comprehensive list rather a framework for the leader to consider or reconsider their leadership development needs in some of the key aspects of the leadership domains. A summary of the parts is shown as follows:

Part I:

Developing a strategic perspective
Developing ethical leadership

Part II:

Developing leadership for learning
Developing instructional leadership
Developing leadership to improve student outcomes

Part III:

Developing your leadership team
Developing entrepreneurial leadership
Developing as a systems leader

Part IV:

Developing leadership capital
Developing leadership development
Developing Inner leadership

We will now consider each chapter in more detail.

In Chapter 2 Brent Davies and Barbara Davies develop their ideas on developing strategic leadership in education. They have an international reputation from moving the sterile debate about strategic planning into a dynamic consideration of strategic leadership in education. They argue that one of the key challenges that occur in taking up a senior leadership position is the move from an operational perspective to a strategic perspective. They examine eight dimensions of strategic leadership by identifying characteristics that strategic leaders possess. These are that strategic leaders: are strategic thinkers, strategic learners, exert strategic influence, are strategic talent developers, balance the strategic and operational, deploy strategic planning and strategic intent, deliver strategic action and are able to define strategic measures of success. They put forward the view that by examining these eight factors the reader can assess their own development needs in terms of strategic ability and use the framework for reflection and action. It is this shift from operation detail to creating a strategic framework for action that leads onto the consideration

that this strategic activity must be ethical and morally driven. This is a theme that is developed in the next chapter.

In Chapter 3 Jerry Starratt argues that the development of ethical sensitivity for educational leaders involves three stages. First, building a strong personal foundation for ethical practice through articulating core beliefs and values; second, developing formal ethical perspectives for guiding practice; third, developing specific professional ethical perspectives for guiding action. Jerry maps out a journey to establish a fuller sense of leadership that embraces intentional enactment of ethics of justice, care and critique and moves onto a more challenging set of ethics for the profession of teaching. He concludes that the ethics of the profession needs to be concerned about the ethical management of schools, to be sure; but that does not address the specific good which the management of educational institutions is supposed to support and cultivate, namely, the good learning and teaching. He argues that the profession, by and large, has yet to address that aspect of its ethical concern.

In Chapter 4 Dean Fink starts the discussion of how leaders develop a deeper understanding of the relationship between leadership and learning. He initially builds four concepts of learning: learning to know, learning to do, learning to be and learning to live together, and adds a fifth learning to live sustainably. He argues for developing a climate for learning that encompasses 'slow forms of learning' that are deep and purposeful rather than those that are shallow and not tested to destruction! He then moves onto discuss what leaders of learning need to learn themselves. He creates seven sets of 'learnings' for leaders: contextual knowledge, political acumen, emotional understanding, understanding learning, critical thinking, making connections and futures thinking. He argues that taken together these 'learnings' provide the framework that will enhance the development of the next generation of leaders in our schools. He illustrates these factors in a series of powerful case examples drawn from his extensive international experience. He puts forward a key set of characteristics that should be expected of future leadership candidates. This chapter addresses the critical development needs for the next generation of leaders of learning.

In Chapter 5 Philip Hallinger ties together evidence drawn from several extensive reviews of the educational leadership literature that included instructional leadership as a key construct. This provides a framework for leaders to develop their understanding of the core characteristics underlying the notion of instructional and its reincarnation as 'leadership for learning'. The review that Hallinger produces identifies the defining characteristics of instructional leadership as it has evolved, elaborates on the predominant model in use for studying instructional leadership and reports the empirical evidence about its effects on teaching and learning. Finally, the chapter reflects on the relationship between this model and the evolving educational context in which it is exercised and how this is reshaping our perspective on leadership for learning.

In Chapter 6 Ken Leithwood and Linda Massey review the evidence that leadership development is an effective strategy for improving student achievement. Leaders need to develop their own conceptual model of leadership skill development in their school and the impact it may have on student outcomes. Leithwood and Massey are not convinced that the evidence to date from qualitative and

quantitative studies conclusively proves that leadership development can be directly linked to improved student outcomes. They do however argue that the good news is that there are six features that suggest that the relationship between leadership development and student learning is suggesting promising improvements. They then go on to describe their own research of a major leadership development initiative in the province of Ontario Canada (Leading Student Achievement) aimed at improving the quality of school leadership in order to at least indirectly improve student achievement. A summary of the results of a systematic, longitudinal, formative evaluation are used to argue that leadership development initiatives need to be carefully aligned with other features of the larger reform effort if they are to have significant consequences for students.

In Chapter 7 Mark Brundrett looks at the key challenge of how leaders develop their own leadership teams in schools. He argues that recent decades have witnessed a dramatic shift in perspectives on managing human resources towards new models that embrace notions of collegial or distributed forms of leadership. This change in perspective has been driven in part by an intellectual commitment to more democratic approaches to school organization but also by more pragmatic considerations which underline the need for leadership throughout schools in an era of devolved financial management. Brundrett contends that, while fully democratic approaches to leadership may be untenable because of the constraints of accountability and other legislative strictures, more devolved approaches to school leadership that emphasize leadership throughout organizations are not only advisable but desirable. The chapter draws on extensive research into the leadership development needs of teachers and offers a conceptual analysis of the reasons why devolved leadership is advantageous; the ways in which the 'leadership pipeline' can be developed to enhance leadership capabilities at all levels in schools; and, practical strategies that help to forge leadership teams in order to enhance school effectiveness.

In Chapter 8 Gib Hentschke considers an increasingly important skill set that leaders need to develop that of entrepreneurial ability. Changing patterns of schooling such as Charter schools in the United States and Academies in the UK demand new creative and incoming generating skills and attributes. Hentschke argues that: entrepreneurial leadership can be differentiated from other forms of leadership in the degree to which some attributes are more evident in entrepreneurs than in other leaders, there is a rough, imperfect consensus as to what these attributes are, these leadership attributes are descriptive, not normative, they are not inherently desirable or undesirable qualities per se, while neither 'good' nor 'bad', leaders with these qualities can be more or less effective in different roles and environments, changing roles and environments in education are (only) beginning to favour leaders with entrepreneurial characteristics, but only in a fraction of all leadership roles, these environmental changes attract entrepreneurs to education, but also provide opportunities for experienced educators to behave more entrepreneurially. The value and importance of entrepreneurial leadership in education, unlike other facets of educational leadership, is very context-dependent and is also closely associated with individual personality attributes. As a consequence, development of entrepreneurial leadership requires at least as much attention to the current context of schooling

systems and to the aptitudes of educators as to the curricula of entrepreneurial leadership development. Those two entrepreneur-relevant features are examined here and their implications for leadership development are discussed in the chapter.

In Chapter 9 Rob Higham and David Hopkins make the case that leaders need to develop a clear conceptual understanding of the processes and approaches to school improvement. They go onto link that to a broader system leadership perspective and how that can be used to contribute to system-wide sustainable reform. They use their research into three schools that have been able to sustain educational improvement to draw out the key factors in their improvement as critical improvement lessons. They argue that their research schools, having truly changed the contexts in which their staff teach and their students learn, are contributing to system change: by providing an exemplar of how student outcomes can be improved; and by then sharing this intelligence with other schools locally. They explore in detail how such transformative improvement is being achieved in practice. They locate their argument in the broader school improvement tradition.

In Chapter 10 Brian Caldwell looks at developing leadership capital as a means of enhancing school transformation. Caldwell's chapter draws on the findings of a 3-year research and development project undertaken involving 2700 school leaders in 11 countries which led to the formulation and testing of a model to explain how schools have been transformed, especially under challenging circumstances. Caldwell outlines that the key is to build strength and secure alignment among four forms of capital: intellectual, social, spiritual (defined broadly) and financial, with alignment and a focus on the student achieved through outstanding governance. The chapter goes on to explain that further investigation employed the model to seek a deeper explanation of how whole systems of education have been transformed which employed case studies of secondary schools in six countries. Caldwell draws together the findings for both schools and school systems with a focus on the role of the leader and offers clear guidelines for leaders who are pursuing a transformational agenda.

In Chapter 11 Geoff Southworth draws on all his experience at the National College for School Leadership to examine what is known about the development of successful leadership. Centrally, he argues that we now have ample evidence that successful leadership is developed and leaders are made and not born. He provides an overview of what we know about effective leadership development, especially what works, by drawing upon: recent research in the United States into effective principal preparation; an OECD study across 22 countries; and, the NCSL's own evaluation work and commissioned research over a 5-year period. This huge range of material is drawn on and findings are presented, synthesized and distilled down to their core essence. The chapter then turns to what this means for leadership development designs and processes, including what leaders in schools themselves need to consider if they are to grow tomorrow's leaders today and ensure we have the best possible leadership for twenty-first-century schools.

In Chapter 12 we have perhaps saved the most important chapter to last. Unless leaders can look after themselves, in order that they are able to look after the team and then the school, little of what we have written in this book is sustainable. David

Loader writes a compelling account of the necessity to consider developing the 'inner principal'. David highlights the need to focus on personal development and emotional intelligence which is seen as a key to effective leadership. He ends with a very powerful statement which is useful to highlight here: 'Any good leadership program is going to help leaders to understand that leadership is an emotional activity and that it is OK to be exhausted, emotional, even paranoid and that stress does come with the job. We need more leaders to talk openly about their emotions, demonstrating that it is safe to reveal their inner selves and that it is useful to do so, bringing to the fore emotions that might be blinding the principal to opportunities or deluding them into inappropriate responses. The study of the inner life should be as important a study as new theories of leadership'.

Conclusion

The global reform and restructuring of education has been reflected in a developing agenda for theory and research in the study of educational leadership. This development of theory has responded to and interacted with the lived experience of principals and other senior practitioners who had to respond to the immensely more complex educational world that has evolved in recent decades. It is to the immense credit of such practitioners that they have not shied from such challenges but rather they have displayed a commitment to seize all opportunities to raise standards in order to increase the life chances of students in their care. The editors and writers of this book are aware of this commitment and we feel that the messages in this text will further empower school leaders to undertake the practice of leadership. It has been a privilege to work with the team of outstanding academic commentators in the field of educational leadership and we hope that their individual and combined efforts will influence both theorists and practitioners in years to come.

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Part I

Chapter 2
Developing a Strategic Leadership Perspective

Brent Davies and Barbara J. Davies

Introduction: What Is Strategic Leadership?

One of the key challenges, when taking up a senior leadership position, is the move from an operational perspective to a strategic perspective. The global standards-driven agenda has focused on managerial approaches to put a floor under educational standards. This chapter argues that a strategic leadership perspective is needed to reach the ceiling of educational potential in schools. Readers can use the ideas in this chapter to frame an initial understanding. First it is important to understand that strategy encompasses the following concepts:

- Vision and direction setting
- Broad organizational-wide perspective
- Time frame: strategy takes a 3–5-year perspective
- A template for short-term action
- Considerable organizational change
- Strategic thinking more than strategic planning

In unpacking these ideas it can be seen that essentially strategic leadership is about creating a vision and setting the direction of the school over the medium to longer term. Where the school needs to be and what it needs to provide for its students should be the main focus for the strategic leader. Strategic leaders envisage what a desirable future for the school will be and create strategic conversations to build viable and exciting pathways to create the capacity to achieve that future.

A key shift in the mind-set of leaders, who take on strategic roles, is that they move away from the operational detailed view and develop an holistic and broad organizational perspective. This presents a challenge as staff often want a detailed

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step-by-step explanation of how the school is to move forward when it is only possible to move ahead by developing broad themes and building capacity as the school moves forward.

The time frame of strategic leadership is notable. There is a danger in incremental approaches that take a detailed view of 1 year and similarly build an additional year of detail and then another year of detail on top of that. Strategic leadership takes a step back from that and almost plans backward by looking 3–5 years ahead and identifying major themes or building blocks to be achieved and leaving the detail to the individual year planning. We would consider that it is possible for school development or improvement planning to be effective for a 2- or 3-year period and after that a broad strategic framework needs to be established for years 3–5.

It is a mistake to think that operational and strategic perspectives are isolated from each other or that you do one first and then the other. A more useful perspective is to think that strategy provides the framework or template against which to set short-term activities. Strategy can be seen as providing a set of compass points and direction against which short-term activities can be set. The short-term and long-term should not be seen as sequential, doing one first and then the other; instead they should be seen as parallel actions with one informing the other. Davies (2006) sees effective strategic leaders as being parallel leaders and not sequential leaders. Thus strategic leaders build a strategically focused school that can be defined as follows:

> A strategically focused school is one that is educationally effective in the short-term but also has a clear framework and processes to translate core moral purpose and vision into excellent educational provision that is challenging and sustainable in the medium- to long-term. It has the leadership that enables short-term objectives to be met while concurrently building capability and capacity for the long-term. (Davies, 2006, p. 11).

Strategic leaders are involved in taking their organizations from their current situation to a changed and improved state in the future. Change in both the structure and focus of schools is difficult, especially if it involves a change in the culture of the school. Thus strategic leaders are often ‘change champions’ building coalitions of staff to create conditions for change and embedding new ways of working. In personal terms this often involves leaders in managing conflict and living with the ambiguity of knowing what they want to achieve but not being able to move as quickly as they would like.

Henry Mintzberg (1994) wrote a book called ‘The rise and fall of strategic planning,’ seeing strategic planning at times as an oxymoron. Strategic planning is no more than a rational list of activities to be undertaken. What is more important is the strategic thinking, reflection and strategic conversations that take place to create strategic capacity within organizations. So in this chapter we will use a much broader perspective of strategy when relating it to strategic leadership.

The chapter will now consider a number of key elements that comprise the skills and abilities that strategic leaders need to develop to be effective in the challenging roles that they undertake. The following is a summary of the roles they undertake:

- Strategic leaders are strategic thinkers
- Strategic leaders are strategic learners
- Strategic leaders exert strategic influence
- Strategic leaders are strategic talent developers
- Strategic leaders balance the strategic and the operational
- Strategic leaders deploy strategic planning and strategic intent
- Strategic leaders deliver strategic action
- Strategic leaders define strategic measures of success

Strategic Leaders Are Strategic Thinkers

It is vital to think of strategy as aligned to *strategic thinking* as a means of developing a *strategic perspective* rather than just the traditional view of strategy being linked to mechanistic strategic plans. Unfortunately strategy has become synonymous with strategic planning, which is a mistake since strategy is a much wider concept. This concept of strategy is more of a perspective, a way of thinking about things, which is highlighted by Garratt (2003, pp. 2–3) who gives an excellent definition of strategic thinking:

> Strategic thinking is the process by which an organization's direction-givers can rise above the daily managerial processes and crises to gain different perspectives . . .. Such perspectives should be both future-oriented and historically understood. Strategic thinkers must have the skills of looking . . . forwards . . . while knowing where their organization is now, so that wise risks can be taken while avoiding having to repeat the mistakes of the past.

This definition by Garratt highlights two factors: first, the need to stand above the day-to-day operational issues to look at the bigger picture; second, the need to understand strategy in terms of both where you have been and where you are going. This idea of understanding where you have come from as well as trying to understand where you are going is taken up by Mintzberg (2003, pp. 79–83) who articulates strategic thinking as 'seeing.' This involves seeing where you are going (seeing ahead) as well as seeing where you have come from (seeing behind) and, most significantly, 'seeing it through' to make sure strategy is turned into action. In essence, strategy is the way that we look at the school in the broader context of its current situation and its future direction with the skills necessary to successfully implement any actions.

What are the activities that a strategic leader has to engage in to develop a strategic perspective? The first is *scanning*. This involves scanning the environment in its political, economic, and educational dimensions to identify ideas and trends that will impact on the school in the succeeding years so that strategic leaders can identify them and devise approaches to utilize them and position the school to maximize its future opportunities. Second is *envisioning* a new and desirable future for the school based on the information gained from the scanning process and relating that to the school's capacity to change and develop. Third is *reframing* which is the process of setting the new future in context and finally *making sense* of that for the staff

and students of the school. This often involves engaging in a strategic process and building new mental models.

During this process, of strategic thinking, strategic leaders engage in *synthesis as well as analysis*. The importance of this is not to break everything down into its component parts and risk 'paralysis by analysis' but to see how the components can fit together and build an integrated successful whole. Effective schools have a success culture which is an integration of a number of elements built up over a period of time. It is this synthesis of good ideas and outstanding practice that come together and create a success culture. What is needed, very often, is nonlinear *as well as linear thinking*. Strategic leaders are able to think 'out side the box' and engage in tangential thinking that can incorporate new and innovative ways of doing things. It moves away from the step-by-step incremental approach and breaks new ground by considering different alternative possibilities. Strategic thinking engages *the heart as well as the head*. It involves the values and beliefs of the strategic leader, which are implicit to the way they think, as much as the more public explanations of policy. Finally, strategic thinking can *be visual as well as verbal*. The systems thinking concept of rich pictures (Jackson, 2003) is useful here. What would a great school look like – how could you see it in terms of its buildings and the interactions of its people? One of the key talents of strategic leaders is that they are able to create rich pictures of the future which individuals can see and understand and so become part of the collective imagination of what is possible in the future.

Strategic Leaders Are Strategic Learners

In 30 years of working with leaders all over the world Brent recalls only two conversations that depressed him when talking to leaders. One was with a headteacher in a northern city in the UK, starting a Masters course in Educational Leadership, who asked the question 'Do I have to do a lot of reading on this course? Because I don't like reading'! The second was with a headteacher in a rural county in the UK, thinking of coming onto an MBA in Educational Leadership, with presenters such as Brian Caldwell, Dean Fink, Andy Hargreaves, Michael Fullan, David Hopkins, Alma Harris et al., articulating the view 'I run an outstanding school so I don't think there is anything I could learn from your course.' Clearly neither of them could be described as learners or believers in the importance of continuous learning. In a strategically focused school the strategic leader is also the lead learner! If the leader is not constantly seeking new knowledge and insights, they fail to move the organization on and importantly fail to provide a model for staff and students. Hughes and Beatty (2005, p. 74) adapt work from systems theory and apply it to how strategic leaders can learn. Learning for strategic leaders may involve:

- Looking at the big picture – what can I learn from the broader environment?
- Looking for patterns over time – how can I learn from data and seek patterns in the data so as to extract useful information?
- Looking for complex interactions – how can I synergize and learn from interrelationships?

- Understanding what causes what – learning that it may be more complex than it seems!
- Making time for reflection on models, theories and experiences.

Strategic leaders do not leave learning to chance they set up the organizational framework to ensure it happens for themselves and others. A good way to look at this is to consider organizational culture, structure and systems which support strategic learning.

Organizational culture sets the tone for how learning is thought of in the school. In the two examples at the start of this section, the learning culture, which should view learning as an ongoing journey for all those in the school, the adults as well as the children, can be seen to be constrained by the lack of enjoyment of reading new ideas or the arrogance of the leader who sees there is little that could be learnt by them. The culture should be one where learning is seen as integral to the leadership role in order to develop and improve not something that is a one off and once it has been achieved there is nothing more to learn. Is the learning culture that of knowledge transfer, something that you learn and pass on, or something that you enquire and develop and share? These cultural frameworks often reflect the difference between shallow knowledge and deep learning. The latter encompasses wisdom and understanding.

Organizational structures also strongly influence the learning of the leaders and the staff and children. If the majority of the time leaders and staff concentrate on operational and task issues and do not prioritize strategic and reflective discussions, then clearly little deep learning will take place. Organizational structures such as splitting the strategic and operational functions into different meetings and different review cycles emphasize the importance of the strategic dimension. Often meetings have strategic issues tacked onto operational agendas. There should be a clear strategic meeting and review cycle in schools.

Systems in schools, such as communication systems, need to give attention to learning issues and strategic issues and not just the urgent of the operational demands if staff are to become reflective learners. One of the key leadership concepts is that leaders need first to look after themselves if they are then to look after the team and then the team can look after the organization. The key to looking after oneself is to refresh oneself as a learner and to reflect on future directions and practice.

Underpinning strategic learning at all levels is the practice of strategic conversations. Engaging all the staff in discussions about where the school is, where it needs to go and hence the skills and knowledge we need to learn to achieve progress is a uniting factor. Also by articulating what the strategic leader has or needs to learn is a means of rationalizing key concepts for the leader.

Strategic Leaders Exert Strategic Influence

Strategic influence is based on how leaders gain commitment to the vision and direction of the school from those who work and learn in the organization. If the school is not only to achieve improved outcomes and outputs but to do so in a sustainable way,

then involving others and getting them on board is critical to its achievement. How can strategic leaders influence others to come on the strategic journey of the school? What follows are a number of factors that shape the leader's ability to influence others.

The first part of the influence building process is to consider how people react to the leader and therefore the first stage is for the leader to look at his/her own leadership style and skills. Strategic leaders need to build trust with their colleagues and staff so others can believe in their motivations and their integrity. Important in this is how others perceive the leader and how effective she/he is at communicating those values and attributes. This credibility has two components. First, the credibility that comes from expertise and the ability to do the job. Second, the credibility that comes from the character and integrity of the individual.

Strongly linked to this idea is the leader's own passion for education and the role they can play in enhancing children's learning and life chances. Effective strategic leaders make opportunities to articulate their passion for education and what drives them to create a sense of moral purpose and establish a credibility base grounded on doing what is best for the students and calling on all staff to make a difference in their interactions and role in the school. Moral leadership clearly needs to go beyond the rhetoric. The expression 'see something ~ do something about it' is a leadership value which needs to permeate the behavior of all staff. The leader needs to create a moral purpose that translates ideals into action and is the initial catalyst of influence building.

Influencing others by involving them in the process is the starting place but there are a number of other significant factors. Clearly building a foundation of understanding across the school is based on clear criteria for success but also effective relationships so staff are involved in the process.

The purpose of this is to create a shared language and set of values so that the strategic leader connects to the heart as well as the head. The emotional commitment as well as the logical/rational commitment of staff is vital. However, in leading and managing staff it is important that strategic leaders are mindful of the organizational and political landscape.

This is amusingly illustrated by Baddeley and James (1987) 'as shown in Fig. 2.1' who chose four memorable organizational creatures. They use two dimensions:

1. The extent to which someone is aware of what is going on around them – how well do they spot the clues?
2. How open someone is in their intentions – is it clear what motivations are behind their actions?

We have used this framework with many groups and people readily identify with each of these characters in their organizations. Strategic leaders need to work effectively in the political domain.

Other factors that strategic leaders need to be aware of to maximize their strategic influence will be considered next. Strategic leaders *create and sustain energy*

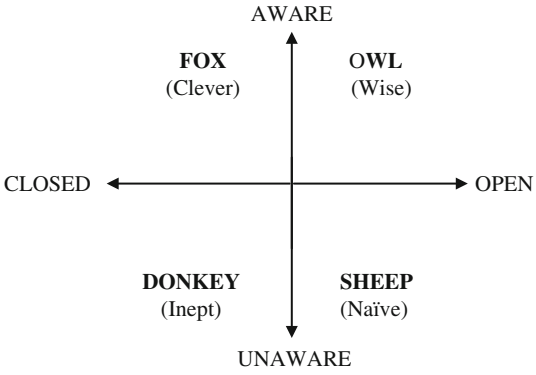

Fig. 2.1 Organizational creatures

and momentum. They are the driving force in the organization. They need to be committed and energized for change or it will not happen or be sustained. They also need to reduce organization tensions and keep the school focused on clear goals. The ability *to meet and minimize crises* is critical here. The colloquial saying 'stuff happens' is a useful expression as it encourages those in school to deal with events and move on instead of turning them into a crisis. Strategic leaders create this adaptive, forward-looking culture. Another key factor in building strategic influence is *setting appropriate expectations and being consistent*. Achievable challenges that move the school on provide an incentive. Those challenges that are unrealistic, or are far too big a leap, may discourage any attempt to improve. Realistic but demanding targets are more likely to enable the strategic leader to develop his influence. Finally, charting improvement and celebrating success is the reward and reinforcement culture that breeds future commitment and success. Adults, like children, welcome positive praise and reward and this is an important way of strategic leaders creating 'buy in' and a high achievement approach. Leaders, above all need positive reinforcement and praise!

Strategic Leaders Are Talent Developers

Talent management is increasingly seen as a critical factor in developing successful organizations and is a strategic priority for businesses. It is just as critical a factor for schools. The growing leadership skill shortage, difficulty in appointing Principals (and other senior leaders) and the work life balance agenda is leading to a shortage of people who are capable of making a difference to organizational performance. A focus on talent management will contribute to other strategic objectives; such as building a high performance learning environment and adding value to the school. This is different from simple succession planning and filling typical hierarchal leadership roles that exist today because it is a process of providing able and talented people who will create new and different leadership roles in the future.

This is particularly important for strategic leaders as they meet the challenge of developing innovative and imaginative leaders throughout the organization to meet the needs of school transformation. Individual schools need to develop a talent pool where staff can be presented with a coherent developmental strategy with planned work opportunities in different contexts. This should provide new staff and middle leaders with institutional leadership opportunities, award-bearing qualifications and in-house development to systematically enhance the talent pool within the organization.

It is not enough to attract people with high potential, there must be a planned strategy for managing their talents which is supported by processes to retain the commitment of talented people and properly use their abilities. The ability to attract and retain high-quality individuals is a key leadership challenge for strategic leaders.

There are many views on the nature of talent, the Chartered Institute of Personnel and Development state:

> Talent consists of those individuals who can make a difference to organizational performance, either through their immediate contribution or in the longer term by demonstrating the highest levels of potential. (CIPD, 2007, p. 3).

Talent management may be organizational specific and dependant on the context but could be defined as:

> The systematic attraction, identification, development, engagement, retention and deployment of those individuals with high potential who are of particular value to an organization. (CIPD, 2006, p. 5).

This is the basis for developing a culture that will provide leaders, not just for existing roles in the school, but for new and exciting ways of leading in the future. Writers in the leadership literature tend to use ideas like those below to articulate the shift in organizational culture: which has been adapted from the work of Tom Peters (Fig. 2.2):

Current development culture	**Talent management culture**
Bench mark current practice	Be ahead of the curve
Reliable employees	Creative, challenging employees
Predictable promotion structures	New and different school structures
A job	A high performance role
Risk adverse	Adventuresome

Fig. 2.2 Changing organizational cultures (Adapted from: Peters, 2005)

In terms of strategic leaders in schools their role should encompass five elements as defined by Cross (2007, p. 26) (Fig. 2.3)

Strategic leadership is about moving the school onto a new and desirable future and this can only be achieved by having great people in the organization. Being a talent manager is the cornerstone of a strategic leader's success.

Fig. 2.3 Talent leadership and management roles (Taken from Cross, 2007)

Role	Leadership challenge
Talent Spotter	What talent do I need and how can I spot it?
Talent Coach	How can I bring out the best in people when it matters most?
Talent Blender	How can I blend the available talent to get maximum performance?
Talent Conductor	How can I create a flow of talented people?
Talent Management	What will attract talented people and keep them for longer?

Strategic Leaders Balance the Strategic and the Operational

There is an assumption that strategy is about the long-term and it is incompatible with short-term objectives. This, we believe, is inappropriate for a number of reasons. The situation should not be seen as an either/or position. It is of little value trying to convince parents that this year their child has not learnt to read but that 'we have plans in place that may remedy the situation in the next year or two.' Most children's experience is short-term in relation to what they do this week, this month or what they achieve this year, and which class they are in next year. Success in the short-term is an important factor in their lives, as is success in the long-term.

There are some basic things that an education system should provide for children. It should provide them with definable learning achievements that allow them to function and prosper in society. Where children are not making the progress we expected for them, they need extra support and educational input to help them realize their potential. This, by necessity, requires regular review against benchmarks. Thus Hargreaves and Fink's disdain for 'imposed short-term achievement targets' (2005, p. 253) is difficult to support. However, we recognize the danger of seeing short-term benchmarks as the outcomes and not indicators of progress. Indeed, if annual tests were seen as diagnostic and generated learning plans for children rather than outcome scores for schools, the problem of testing may be solved overnight. What needs to be done is that the short-term should not be seen as separate from the long-term or as in conflict with it, but as part of an holistic framework where short-term assessments are seen as guides on the long-term journey.

This balanced view of the short-term and long-term perspective can be seen in Fig. 2.4. It is of little use having a long-term strategic plan if it ignores the short-term. The result in the bottom right quadrant will be that short-term crises will prevent the long-term ever being achieved. Similarly, merely operating on a short-term perspective, the top left quadrant, will prevent long-term sustainability ever being achieved. What is needed is a balance between the short- and long term as witnessed in the quadrant at the top right.

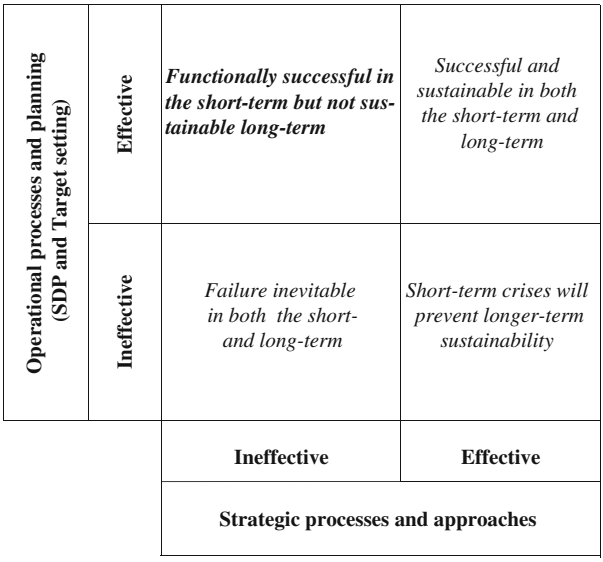

Fig. 2.4 Short-term viability and long-term sustainability (Based on Davies, 2004)

The challenge for strategic leaders is to use the longer term vision as a template or framework for operational shorter term actions. Vision that cannot be translated into action has no impact. Similarly, continuing to manage the now without change and development is not building capacity for the future. We need to balance both the long-term and the short-term approach.

Strategic Leaders Deploy Strategic Planning and Strategic Intent

One of the key leadership characteristics of strategic leaders is that they can appreciate and deploy both strategic planning and strategic intent approaches. Strategic planning is a rational, linear and predictable approach to setting the direction of the school. It assumes you know what you want to achieve and what stages you need to go through and what the outcome will be. This can be summarized as *who?* does *what? when?* and *how?* and *how do we know when it has been done?*. The key for successful strategic planning is a focused approach so that a school concentrates on four or five major themes (Davies, 2006). While this is a valuable approach it has its limitations. Schools deal with some challenges that are multidimensional and complex. While they may know the desired outcome they want to achieve, they may not fully understand the nature and dimensions of the strategic challenge and may need to build a fuller understanding before they can move forward. This is where strategic leaders demonstrate their creativity by setting strategic intents and building capacity to first fully understand the nature and dimensions of the challenge and then seeking

information and examples of excellent practice elsewhere to build and create a new way of tackling the challenge before moving onto a more formal planning state.

Strategic intents are often concerned with raising the achievement of the school in difficult areas which includes deep-seated cultural attitudes in the school. Examples would be moving from a simple incremental school improvement approach to one which creates a high achievement and success culture where students believe they can achieve, where staff expect more of the children and the community and parents are re-engaged into active supporters of their children's education. This involves complex levels of understanding and building a way of moving forward. Effective strategic leaders operate on the rational side by creating strategic plans although adjusting them with emergent strategy insights, while at the same time creating strategic intents which will enable the school to make strategic leaps in performance in areas which need radical reform and change. This can be summarized by the ABCD model (Fig. 2.5):

Fig. 2.5 The ABCD model

Articulate	1	Current understanding and desired new strategy
Build	2	Images Metaphors Experiences of desired new understanding
Create	3	Dialogue & Conversations Shared Understanding to frame new understandings
Define	4	Establish formal plans and frame of reference for the school

The key strategic leadership attribute is to be able to move though the first three stages of building strategic intents before defining the final plan. With strategic planning it is possible to move straight to level 4, however, sustainable strategic change which encompasses complex problems, necessitates building a culture of understanding and involvement before that level 4 planning and implementation can begin. This capacity change is one of the significant differences between strategic and operational leaders.

Strategic Leaders Deliver Strategic Action

Strategy is an attractive concept and plans and documentation abound in schools. However, the basic question to be asked is do they ever get implemented and a second question do they make a difference? In a research interview a very perceptive strategic leader made this comment to us:

> It's not good enough just to do that thinking and reflecting . . . people actually want to see results!

This quotation articulates the critical importance of the strategic leader, to be effective, has to translate strategy into action. Deciding to do something and actually doing something are very different. A school may have eloquently written plans which do not come to fruition. What are the key things that will make a difference? In terms of implementation what are the critical factors that will lead to successful implementation?

First, is to *set clear objectives*. The standard leadership maxim 'more from less' is useful here. Schools should focus on the key things that will make a difference and then deliver on them. The phrase used by Davies and Ellison (2003) 'the thicker the plan the less it effects practice' is very important. The volume of the documentation is less important for success than staff understanding and commitment to the plan. So a sharp and clear set of objectives that staff can understand and act on is vital. This leads onto the second factor, that of the ability of strategic leaders to *align the people, the organization and the strategy*. It is by bringing together these three elements that a strategic leader can translate strategy into action. Very often individuals in organizations can feel that strategy is top-down and that they are 'done to' and can end up 'done in.' What is needed is the way of working where the emphasis is 'done with' so an individual and the organization come together to build the strategy. The third factor is that this can only come into being if *strategy is everyone's job and is a learning process*. The concept of emergent strategy, where reflection and feedback adjust and change the strategy as the school learns new and better ways of doing things is a useful way of thinking. Thus a process needs to be established in school for reflection on the effectiveness of strategic actions. This involves assessing what has gone well and less well and what can be learnt for more effective action in the future.

A fourth factor in translating strategy into action is the effectiveness of *strategic leadership* in delivering strategic change. In doing this strategic leaders need to create the frameworks for other to act. This involves balancing control and autonomy and developing a risk-taking culture where people are not punished for making mistakes but only for repeating mistakes because they have not learnt from them. In terms of their own leadership skills strategic leaders need to assess future courses of action and take reasoned decisions based on evidence and data. However, once a decision is made they need to support it wholeheartedly and convincingly and have the courage of their convictions. In moments of uncertainty in strategic change those in the organization look to the leader and that leader needs to act decisively in the face of that uncertainty.

Finally, it is worth reminding ourselves that there are always many activities and conversations that leaders can engage in with their colleagues but deciding which are the critical ones that lead to translating strategy into action is more difficult. Strategic organizations need three things: *focus, focus and focus!* This means that leaders need to develop both good content questions and good process questions. Working with colleagues, leaders need to define critical areas for strategic

development and then take sufficient time to outline the nature and dimensions of the proposed strategic change, so that a complete picture of the critical factors for implementation can be built up. The other side of the coin to 'what we are doing?' *is* 'how we going about it?' Here leaders need to understand the 'how' of implementation. This involves a process of determining the key factors that need to be communicated in order to gain commitment of colleagues. We suggest that commitment will be more effective if leaders can identify the main elements of the change but also the main implementation points and the possible problems that may arise.

As well as keeping the focus, keeping the implementation process simple is an important contributor to success. This involves both defining and articulating the key stages and significant points of the implementation strategy. Planning the implementation is as important as planning the content of the strategy itself. Clarity of process and establishing definable outcomes along the way are key elements to build into the overall approach.

Strategic Leaders Define Strategic Measures of Success

How would a strategic leader know their school has been successful in 5 or 7 year's time? Clearly, the leader needs to define strategic measures of success. First, the leader needs to establish criteria and second find appropriate measures to assess whether the criteria have been met. The debate that we 'value what we can measure' rather than 'we measure what we value' is a useful starting point here. It draws into the debate the balance between qualitative and quantitative measures.

Clearly it is important to have hard data such as numbers on roll – without students there is no school. Examination and test results are measures and used to assess the school. While the results of responses to standardized tests can be reported in a relatively straightforward way they can be made to be more sophisticated by the use of value-added interpretations. While such results can be indicative of underlying ability, they are only 'indicative'; they do not define deep understanding, motivation to learn or love of the subject area. Other more complex learning, such as social learning, can be witnessed by children's behavior to each other or toward adults. More complex skills such as problem solving, determination and commitment become more difficult to assess.

A core strategic measure of success could be to create active involvement in sustainable learning for each child. This would start with valuing learning within the school community, but significantly, each child would recognize the need to see learning as an ongoing process throughout their life. The current concern in the UK, and many western developed countries, regarding the increase in obesity of children and in adults and the lack of sensible exercise and diet undertaken, is a case in point. The obsession in the United States with team sports and competitive sports, and to a degree the culture of team sports in UK schools, has set up a culture of

reward and success for the few and humiliation for the rest. The success criterion for secondary school sport may not be: 'Did the hockey or football team win the cup?' but: 'How many children are actively engaged in physical exercise 5 years after they have left school?' We would hazard a guess at less than a quarter and that could be an overestimate!

Similarly, with staff, an involvement in active professional reflection and dialogue might have several success criteria such as: 'Are staff reflective practitioners?' – 'Do they stay after school and discuss ideas with colleagues and build professional learning communities?' In terms of organizational learning and development can the school establish a 'no blame culture' where individuals try new things and learn from their mistakes? This learning approach can be extended so that collaborative cultures are established within the school and between neighboring schools where staff share success and failures and learn from others. Building leadership capacity in schools can be seen when individual teachers take more responsibility for their roles – they take decisions rather than having decisions forced on them.

A good way to think about a success culture is that if you arrived in the school 5 years in the future, what would the school look like? How would it feel to be part of the culture? What success would the school be celebrating? These 'rich pictures' are part of envisaging success that encompasses the hard data of results and the soft data of attitudes and behavior as well as expectations and hopes. A key role of the strategic leader is to give voice to those hopes and aspirations by articulating what success would look like and feel like for the school in 5 years time.

Conclusion

This chapter has put forward insights from our research to define the key attributes and actions of strategic leaders. This should assist those in preparing for the role to consider their professional development needs in the light of these attributes. It should also assist those who are currently in the role to reflect on how effectively they meet the eight factors. The challenge facing strategic leaders is twofold. The first of these is articulated by Hamel and Prahalad:

> So the urgent drives out the important; the future goes largely unexplored; and the capacity to act, rather than the capacity to think and imagine becomes the sole measure for leadership. (Hamel & Prahalad, 1994, pp. 4–5).

Two decades of major educational reform around the world has caused leaders to respond to multiple innovations, especially in the areas of centralized curriculum, assessment and inspection demands from central government. The 'urgent' agenda imposed on heads and the increasing accountability demands for managerial responses leave little time for reflection and strategic leadership.

The second is articulated by Charles Handy:

> We are all prisoners of our past. It is hard to think of things except in the way we have always thought of them. But that solves no problems and seldom changes anything. (Handy, 1990, p. 54).

The first challenge was to find the time to think strategically, the second is to think differently. We hope this chapter will encourage school leaders to do both.

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Chapter 3
Developing Ethical Leadership

Robert J. Starratt

Introduction

To describe the general contours of what constitutes ethical practice in educational leadership is one thing; to construct pedagogy and a curriculum that might cultivate a personal and professional growth in the ethical practice of educational leadership is quite another thing. This chapter will attempt the latter. Earlier works by this author and others have already attempted to map the conceptual and empirical terrain of what constitutes ethical practice in educational leadership (e.g., Enomoto & Kramer, 2008; Foster, 1986; Katz, Noddings, & Strike, 1999; Langlois & Starratt, 2000; Larson & Murtadha, 2003; Marshall & Oliva, 2006; Nash, 2002; Sergiovanni,1992; Shapiro & Stefkovich, 2001; Starratt, 1991, 1994; Strike, Haller, & Soltis, 1998). Martha McCarthy (1999) charted the evolution of university preparations programs and found some recent efforts to include ethics in some university programs, as did Beck and Murphy (1997). Kramer, Paul, and Enomoto (2002), and Young and Laible (2000), among others, have suggested a much greater need to introduce ethical considerations into the preparation programs of school administrators, but conveyed limited information about actual curriculum and pedagogy.

This chapter will attempt to layout an approach to and a rationale for developing with aspiring as well as experienced school administrators a foundation for practicing ethical leadership in their educating roles in schools. The three major divisions of the chapter involve three stages in the development of ethical sensitivities and perspectives:

1. Building a strong personal foundation for ethical practice through articulating core beliefs and values;
2. Developing formal ethical perspectives for guiding practice;
3. Developing specific professional ethical perspectives for guiding practice.

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These three stages describe a developmental sequence moving from reflection on personal experience, to exposure of some formal conceptual frameworks in ethics that might constitute what some would call "general ethics" – the ethics that would guide ethical choices and behavior for the general ethics expected of everyone, to the professional ethics expected of those practicing the profession of education. Although in reality these three stages would overlap and interpenetrate each, the pedagogy and curriculum guiding the movement from one to another would differ. One can construct a curriculum and pedagogy for each of these stages within a university-based preparation program at either the master's or doctoral level, as well as within a formal continuing education program for principals, superintendents, and other administrators within a school system. The three-stage curriculum could also apply to a teacher education program in a university or a continuing education program for teachers. Obviously, the curriculum and pedagogy would need to be adapted for varying age and experience of participants. While the three-stage curriculum and pedagogy for developing ethical practice among educators is designed with ethical educators in the United States in mind, it is assumed that it could be adapted for educators in various countries and regions of the world.

Building a Strong Personal Foundation for Ethical Practice

This first step in the developing of ethical practice for educational leadership assumes that the participants have had little or no formal education in ethics. In my 30 years of teaching in educational administration preparation or doctoral programs, I have found no more than a handful who could converse about ethically charged situations using formal ethical vocabulary beyond what they had learned from their parents or their church, synagogue, or mosque. Most would rely on subjective feelings, the guidance of their religious scriptures, or remembered lessons from their parents. Research tends to bear this out (Nash, 2002).

Research on learning in general and on adult learning in particular suggests that pedagogy of guided reflection on their personal experience is a good place to begin this education in ethical understanding and practice. In other words, start with what they know through personal experience, get them to put their tacit knowledge to work, have them compare their experience with others, find some common ground for a more public *articulation* of core beliefs and values, and see how that provides a workable starting point for exploring the ethical terrain further. This approach suggests beginning with one's own life story, reflecting on the primary influences and influences in one's early and teenage years, who and what circumstances taught how to distinguish between "good" and "bad."

Kohlberg's research on cognitive moral development (Kohlberg 1981) helps to clarify and name the developmental stages in forming moral reasoning. That development moves from simple negative and positive reinforcement of specific behaviors ("Mommy doesn't like it when I do that"; "Mommy gives me hugs when I do that."); to a beginning sense of mutuality ("If I do this for you, you will do that for me"); to a large generalized sense of what is socially approved or disapproved

("Good girls would never do that"; "that's what bad boys do"); to a sense of general rules ("It's wrong to steal someone's property"; "it's wrong to cheat on a test.") that society lives by; finally to a sense that, among the various rules, some are more important to observe than others (one can lie to save someone's life from a killer). Kohlberg's mapping of moral reasoning about the ethics of justice as it develops over time should help in identifying some types of moral reasoning being employed in this stage. It should not be surprising to find some participants exhibiting reasoning from a focus on societal rules, a focus often reinforced by bureaucratic organizational systems. Gilligan (1988) and others have challenged Kohlberg's research as applying more to males than to females whose moral reasoning tends to include a greater concern for relationships and the responsibilities relationships impose. That perspective will emerge below as an indispensable component of formal ethical practice.

Besides stories from one's own experience of being harmed by someone, or being punished unjustifiably, or being helped in time of need – stories from history or from literature can be used to discuss and analyze what would be considered right or wrong, ethical or unethical. As those stories are debated, participants should be pushed to explain their reasoning for arguing the ethical merits of each case. As the group becomes more comfortable with the back and forth, pros and cons of judging the ethical behavior in the case, the material under discussion can shift from general situations to specific situations in the schooling process, again starting from the personal experience of the participants to other "What if this happened?" type of cases.

Obviously, how much time would be spent in these initial discussions would depend on the maturity and professional experience of the group. In any event, this first stage in developing ethical understanding and sensitivity should move toward questions like: Are you better able to say what are your core human values? How are your core values put to use in your work as an educator? How are your core values challenged by circumstances and situations in your work?

During the first stage of developing explicit ethical understanding and sensitivity, various pedagogical strategies can be employed. Obviously, engaging personal reflections through journaling would be called for. Sharing these reflections in groups requires a more public articulation of those reflections where participants literally talk themselves into deeper levels of understanding. Team-building skills would also be developed in this way, including listening skills, empathy skills, skills of arguing one's point of view, finding points of agreement within disagreements and finding points of disagreement within agreements, role-taking and role-playing skills, negotiating agreements across differing perspectives, arguing for mitigating circumstances that would lighten sanctions, and so forth.

Building a Formal Ethical Foundation

The second stage in developing the ethical understanding and practice of educators moves toward a mastery of formal ethical perspectives with an accompanying formal vocabulary and analytical frameworks. Different scholarly schools of thought employ different vocabularies and different levels of abstraction to present their

ethical "systems." Some distinguish between deontological ethics and consequentialist ethics (Strike et al., 1998); some between the ethics of justice, the ethics of care, and the ethics of critique (Langlois & Starratt, 2000; Starratt, 1991); some focus only on the ethic of justice and care (Katz et al., 1999); Others would add the ethics of the profession (Shapiro & Stepkovich, 2001) or others, the ethics of community (Furman, 2002). Still others would ground themselves in critical feminist perspectives (Hooks, 1994).

For our purposes, I propose viewing a formal ethical perspective from three points of view: the ethics of justice, care, and critique (Starratt, 1991, 1994). I would argue that these three ethics complement each other and together form a multidimensional approach to ethics that serves as a theoretical umbrella for a multiplicity of contemporary ethical scholars. A simple positioning of these ethics would suggest that the ethic of caring comes into play predominantly in interpersonal relationships, the ethic of justice comes into play around community concerns, and the ethic of critique comes into play more predominantly within institutional life. Those conceptual boxes convey a convenient focus for each ethic. On the other hand, concerns about justice can emerge in interpersonal relationships (e.g., paying back a loan a friend provided; honoring a business contract to repair a friend's auto; paying your friend for a new pair of goldfish to replace the ones your cat ate). Likewise, in the application of justice, a community should also employ an ethic of care (for example, when adopting a policy of free medical care for children living below the poverty level). Similarly, when applying the ethic of critique in attempting to correct an institutional arrangement that consistently privileges some members and disadvantages others (due to their sex, race, religion, or social class); one may certainly appeal to an ethic of care as well as the ethic of justice in proposing changes.[1]

At this stage, the curriculum should involve exposure to various authors who provide clear treatments of the ethics of justice (Kohlberg, 1981; Nash, 2002; Starratt, 1991; Strike et al,, 1998), the ethics of care (Beck, 1994; Gilligan, 1988; Noddings, 2005;) and the ethic of critique (Foster, 1986; Hehir, 2002; Hooks, 1994; Oakes, 1985; Popkewitz, 1998; Spring, 2004; Starratt, 1991). The curriculum should also include case studies that call for multidimensional analysis using all three ethics to explore potentially helpful ethical responses to the cases.

The pedagogy employed at this second stage should attempt to engage participants in probing discussions of the readings in order to deepen their grasp of the conceptual frameworks on justice, care, and critique. Various cases should also engage the participants in applying those conceptual frameworks to an analysis of the several elements in the cases that suggest a focus on the ethic of justice, others that suggest the application of an ethic of caring, and still others that suggest the need for an ethic of critique to be applied to those institutional structures and processes that are the root causes of the problems in the case. Other applications of the ethic of critique might uncover cultural bias that taints the interpretation of

[1] For a more thorough discussion of the commingling of the ethics of justice, care, and critique, see Starratt (1991).

the players in the case, a bias that needs to be named and shamed through public disclosure.

Applying the ethic of critique may require confronting some entrenched assumptions about the assumed legitimacy of the status quo, and the risk of standing up to superiors who support, even by their own passivity, the status quo. University leadership programs are not known for turning out critics of the school system's institutional structures and processes, let alone for preparing in any substantial way school leaders with a variety of strategic and tactical approaches for changing a status quo that clearly disadvantages some groups of students. Developing the proactive responsibility of future school leaders in preparation programs asks faculty involved in these programs to engage in perhaps the toughest pedagogical encounters with their participants (Buskey, 2009).

Besides the analysis of cases in the literature, participants should be required to look at their own work context and construct cases that describe and disclose ethically questionable practices. This kind of analysis will bring home the realities of ethical challenges right under their noses, so to speak. As the inquiry moves closer to home, the pedagogy should move participants toward addressing the most serious ethical challenges revealed through their applications of frameworks of justice, care, and critique. Participants should not be allowed the luxury of simply identifying ethically questionable practices of injustice, lack of care, or institutional, systemic disadvantaging of some of their students. Rather, they should be required to work out practical, short-term, intermediate, and long-term strategies to change those practices into ethically positive practices. The point is not simply to develop ethical critics, but to go beyond that to develop ethical leaders who will actively counteract and transform their school environments into places that promote just, caring, and critical practice.

Throughout this second stage of developing ethical understanding and practice, the pedagogy of readings, debates, storytelling, care audits, case studies, role-playing and role-taking, empathy exercises, listening exercises, value analyses, and ethical platform articulation should all be carried out in an ongoing environment of dialogue. Participants and professors or facilitators need to constantly test, expand, and deepen their understanding and commitment in a community of dialogue where they learn from each other the skills of group inquiry and negotiating meanings and values within the group. This is not only the best pedagogy for mastering the curriculum at hand, but those skills of dialogue are the very skills they will need on the job to engage their co-workers in developing those very ethical understandings and practices within their schools and school systems.

For many leaders in school systems, the successful mastery of understanding the demands of justice, caring, and critical reconstructing of their school environment would seem to complete the curriculum of their education in ethics. Indeed, were school administrators more adept in these first two stages of ethical performance, the ethical leadership of school administrators would no doubt be raised. On the other hand, the major practice of the educating profession, namely, teaching and learning, would continue to remain outside their purview as ethically problematic. What we need to do is to move to the third stage of ethical development, beyond

the practice of general ethics to the practice of the ethics of the profession of educating.

Advancing to the Ethics of the Profession

Every profession has or should have some sense of the "good" that the professional practice should be pursuing. Medicine pursues the promotion of the good of health. The legal profession promotes the good of justice. The profession of accounting pursues the good of financial transparency. What is the good promoted by the profession of education? The simple answer is learning. In a child's life, however, there are many teachers: parents and grandparents, older brothers and sisters, adults in the neighborhood, newspaper reporters, local clergy, television cartoons, and so forth. Children learn many things from these sources. Nevertheless, there are other adults who are licensed by the state as professional educators whose job is to teach the young the general knowledge and skills required for living and working in society, as well as for the pursuit of higher education. What schools require children and youth to learn in the 12 or more years of their general education has to do with learning how to express themselves linguistically and symbolically so they can carry on the complex communication required in today's world; to understand the world of nature and the environment so as to live in harmony with the natural world in the pursuit of a healthy life and in support of a sustainable environment; to understand the world of culture and its many varieties and expressions so as to participate in and contribute to the cultural life of his or her immediate environment and to live in harmony with people of diverse cultures; and to understand the benefits, challenges, and satisfactions of social life as well as its political and financial aspects so as to participate harmoniously and constructively in the life of the local, national, and international community. The academic curriculum of Kindergarten through 12th grade is intended to provide the knowledge, understanding, and skills to participate in the worlds of nature, society, and culture through exposure to multiliteracy, mathematics, the natural and practical sciences, the social sciences, the humanities and the arts. Academic and technical specialization for careers and professions is left to further education at university or technical institutes. Pre-university general education is intended to provide a sufficient grounding in basic academic skills and understandings so as to enable those who choose to pursue further education. The good of learning in the 12 years or so of general education is to cultivate the filling out of their humanity, their sense of identity, their social and cultural competence so as to be able to participate in and contribute to the adult world of civil society through productive work, political participation, and personal and communal relationships (Noddings, 2007).

The professional practice of teaching should promote the good of this kind of learning, the good of this kind of general education. When the practice of teaching loses sight of the good of this kind of learning, and, instead, promotes a superficial memorization of a lot of academic information to be repeated on tests, then the type of learning being encouraged represents a corruption of the good of learning.

Students need intelligible answers to the frequently asked question, "Why do we have to study this stuff, anyway?" Teachers should be able to answer that question in such a way as to reveal the good to be gained in engaging that material. If teachers cannot answer that question, then why should they be teaching that "stuff"?

This challenge points the way to the leadership work of the ethical educator, namely the work of engaging teachers in discussions about the good which any particular unit in the school's curriculum has to offer the learners. Such discussions should uncover practical connections to the students' experience and to the wider world they inhabit. These connections help the learner engage the material in authentic, not make-believe or superficial ways. Such authentic learning enables the learner to identify some aspect of his or her life with the material under study and thus to understand some new aspect of his or her relationship to the world of nature, culture, or society, thereby re-locating themselves within those worlds as participating members of those worlds. As that sense of being an active member in the world of nature, the world of culture, and the world of society grows, the learner's sense of personal identity tacitly develops, as well as the sense of personal responsibility to and for those worlds (Noddings, 2007).

This sense of the good of learning ultimately leads to the realization that learning has a moral a well as an intellectual character. The moral character of learning carries implications for the learner's identity as a cultural, a social, and a biophysical person: a person who is constituted by culture, by society, by nature; a person whose membership in a culture, a society, a natural world carries benefits and responsibilities. Thus, the learner has to be responsible for what she or he knows, be responsible in using the skills of language, number, symbols in ways that respect the demands and integrity of these worlds.

Understanding the moral character of learning, the good of learning, opens up a deeper appreciation of the moral character of teaching. Usually, educators would assume that the moral character of teaching implies that the teacher observes the ethical standards of justice and caring toward their students in the way they manage the classroom routines of keeping discipline in the class. Obviously, classroom management protocols should indeed be just and caring. However, many teachers would not tend to appreciate that the very activity of teaching the academic curriculum has a moral character to it. The following figures attempts to capture a model of teaching that enacts the moral character of teaching as it attends to and promotes the moral character of learning.

The triangle in Fig. 3.1 suggests that the moral character of teaching involves being present to each student and to each student's experiential background in cultivating the daily working relationship with each student. The base of the triangle suggests that the teacher is also present to the content of the curriculum to be taught, present to how it opens up new aspects to the intelligibility of the cultural, social or natural world, as well as values to be appreciated in those worlds and how the learning that material enhances the opportunities for participating in those worlds. The third leg of the triangle points to the learning activities that the teacher designs with both the understanding of the interests and abilities of the students in mind and the understanding of the curriculum material in mind. The design of those learning

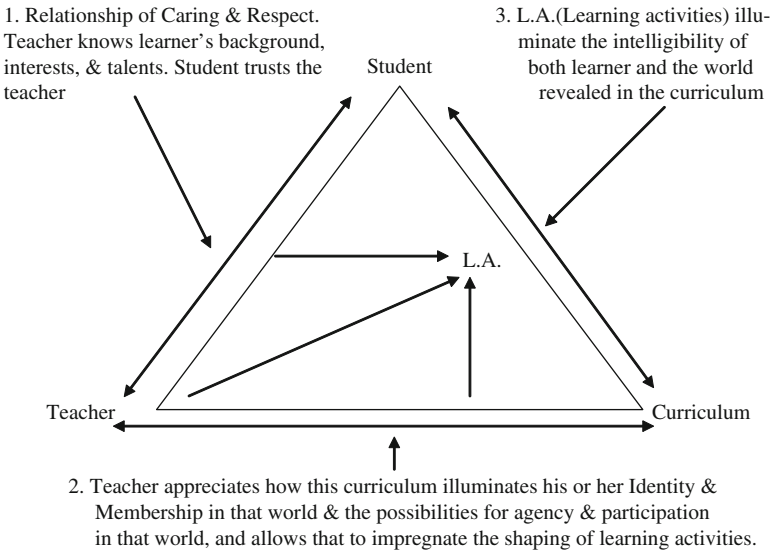

Fig. 3.1 The Moral character of Teaching and Learning (Note the dialogical relationships between the three dyads of the triangle)

activities has to stimulate a dialogue between the learners and the curriculum material, helping the learners to get inside the world of culture, society, or nature in deeper, richer, more satisfying ways, ways that enhance the exercise of their membership in those worlds, in ways that enhance their identities as members of those worlds, in ways that enhance their participating in those worlds as competent and responsible members. Good teaching is not simply about opening up and illuminating the objective intelligibility of the world. It is that and more. Good teaching also involves enabling learners to *participate* in the worlds of nature, society, and culture as members who find their human fulfillment in those worlds, who recognize the dynamics of those worlds inside themselves, in their daily experience, and in the trajectory of their lives. As teachers facilitate this kind of interaction between the learner and the worlds of culture, society, and nature, they fulfill both the intellectual and the moral character of teaching; they cultivate the good of learning in their students.

The model suggests that the moral character of teaching involves three interconnected activities. First, the teacher's relationship with each learner has to be authentic. That is to say it has to be real, not fake or make-believe, grounded in respect and caring. Second, the teacher has to have a sense of the integrity of the subject matter so as to open up its intelligibility and its value. Third, the teacher has to design learning activities in such a way that the learner can encounter the intelligibility and value of the subject matter as it reveals something significant about the natural, cultural, and social worlds.

The point of emphasizing the good of teaching and the good of learning is to underscore a missing ethical dimension in the work of educational leaders. The

moral character of their leadership as educators is to cultivate, promote, support, and reward the moral good in the work of teaching and learning. That involves not only working with individual teachers and groups of teachers to clarify that the work of teaching and learning indeed has this moral character, but to work with the teachers and students to design an institutional environment that supports, promotes, cultivates, and rewards this enactment of the work of teaching and learning (Starratt, 2003).

The curriculum and pedagogy for developing this level of ethical understanding and sensitivity is rarely to be found in university preparation programs for aspiring administrators. In my experience, this kind of moral leadership has to be learned on the job. The work of fusing the moral and intellectual character of learning and teaching has to be developed in dialogue with teachers in schools. The teachers are the ones who, due to their familiarity with the academic subject matter, can, with encouragement and support (especially time) from school administrators, begin to articulate what the "good" in a particular curriculum unit holds for learners. Even in the learning of basic skills in literacy and numeracy, as well as more complex work in social studies, literature, science, and art, teachers can bring learners to exercise those skills and understandings in encounters with the realities in the worlds of culture, society, and nature. In those encounters learners can begin to experience the demands of membership in those worlds, and come to appreciate, however slowly, how participating in these worlds helps to constitute their identity as human persons (Noddings, 2007). Leaders, working with teams of teachers, can begin to redesign curriculum units for this kind of "authentic" learning (Newman, Secada, & Wehlage, 1995; Starratt, 2005). Involvement at this level of working with teachers confirms a deeper legitimacy to the work of administrators *as educators*. They will surely enter into uncertain waters in these attempts, but by genuinely teaming with teachers in the exploration of ways to bring the learners into authentic dialogue with the academic curriculum, they will come to see how this teamwork can bring about amazing results (Robinson, Lloyd, & Rowe, 2008). Feedback from the learners themselves will help to confirm the success of these efforts, lending encouragement to the teachers to continue the work of surfacing the moral character of the learning process.

Summary

This chapter has attempted to map out a journey of growth toward a fuller sense of educational leadership, a leadership that embraces not only a more intentional enactment of the ethics of justice, care, and critique, but which moves into the more challenging ethics of the profession, where leaders commit to working with teachers to surface and promote the moral good of teaching and learning. Over the past decade, more university preparation programs have begun to include formal courses in ethics. In other university programs, many ethical dimensions of their leadership are addressed in courses on social justice and equity, or within courses on curriculum, assessment, organizational politics, school policy, which include analyses of

social justice, equity, and active anti-racism (Marshall & Oliva, 2006; Young & Laible, 2000).

In many state licensure requirements ethical understanding and practice have been added.

Clearly, the field of leadership preparation has been making significant strides. Having said that, this chapter argues that educational leadership and the preparation programs and continuing education of leaders need to advance to a more concerted focus on the ethics of the profession of education which is to promote the moral good of teaching and learning. The neglect of this aspect of ethical educational leadership leaves the teaching and learning process to float free in supposed ethical neutrality. Even though the management of the bureaucratic aspects of schooling may be subject to ethical scrutiny, the core work of the school remains untouched by any ethical reflection or oversight. The ethics of the profession needs to be concerned about the ethical management of schools, to be sure; but that does not address the specific good which the management of educational institutions is supposed to support and cultivate, namely, the good of learning and teaching. The profession, by and large, has yet to address that aspect of its ethical concern.

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Part II

Chapter 4
Developing and Sustaining Leaders of Learning

Dean Fink

Developing a Focus on Learning

The most fundamental question that all educators must ask is, what is our purpose? Most successful organizations are very clear about their purposes, and when difficulties arise they fall back to their essential principles. Sadly in some businesses, purposes may not necessarily be moral – for example, some companies produce life-saving products that cure cancer; others continue to produce products that cause cancer. It isn't good enough to just talk about "moral purposes" without coming clean as to what is meant by the term. When one cuts through a lot of the rhetoric about "world class education" and "no child left behind," many western jurisdictions and their apologists, caught up in the standards/standardization agenda, still define the intent of education in terms of narrow measures of human potential as measured by test scores, or by drive-by inspections, or by parental popularity contests that often have little to do with a school's quality. For me moral purpose includes "convictions about, and unwavering commitments to enhancing deep and broad learning, not merely tested achievement, for *all* students" (Hargreaves & Fink, 2006, p. 28).

A few years ago, I co-authored a book entitled *It's about learning and It's about Time* (Stoll, Fink, & Earl, 2003). I liked the title then and I really like it now, because it goes to the very heart of what education and educational leadership in the twenty-first century should be about. It is about time we focused on learning and not all the artifacts of learning that tend to dehumanize children by reducing them to aggregate and disaggregated numbers, and it is about time we gave students, teachers, and school leaders the time to focus on what their roles are all about.

To expand on our meaning of "deep and broad" learning, Andy Hargreaves and I (2006) borrowed from the UNESCO Commission (Delors et al., 1996) that proposed "four fundamental types of learning which, throughout a person's life, will be the pillars of knowledge" (p. 85). These follow:

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- Learning to know includes the acquisition of a broad general knowledge, intellectual curiosity, the instruments of understanding, independence of judgment, and the impetus and foundation for being able to continue learning throughout life. Additionally, learning to know "presupposes learning to learn, calling upon the power of concentration, memory and thought" (p. 86). To do this, Claxton (1999) explains that students and all other learners need to acquire *resilience*, the ability to "stay intelligently engaged with learning challenges" despite difficulties and setbacks (p. 55), *resourcefulness*, the capacity to use a range of intellectual tools including imagination and intuition to address learning challenges, and *reflection*, the facility to "monitor one's own learning and take a strategic overview" (p. 4).
- Learning to do involves the competence to put what one has learned into practice (even when it is unclear how future work will evolve), to deal with many situations, and to act creatively in and on one's environment. It includes teamwork, initiative, readiness to take risks, being able to process information and communicate with others, and also to manage and resolve conflicts.
- Learning to be addresses who we are and how we are with people. It incorporates our aspects of the self – mind and body, emotion and intellect, aesthetic sensitivity and spiritual values. People, who have learned to be, can understand themselves and their world, and solve their own problems. Learning to be means giving people the freedom of thought, judgment, feeling, and imagination they need in order to develop their talents and take control of their lives as much as possible (p. 38).

The Body Shop, in one of its many publications, captures the need for such learning goals when it declared,

> Let's help out children to develop the habit of freedom. To encourage them to celebrate who and what they are. Let's stop teaching children to fear change and protect the status quo. Let's teach them to enquire and debate. To ask questions until they hear answers. And the way to do it is to change the way of our traditional schooling.
> Our educational system does its best to ignore and suppress the creative spirit of children. It teaches them to listen unquestioningly to authority. It insists that education is just knowledge contained in subjects and the purpose of education is to get a job. What's left out is sensitivity to others, non-violent behavior, respect, intuition, imagination, and a sense of awe and wonderment.

Education is more than preparing students to make a living, although that is important; it is also about preparing them to make a life.

- Learning to live together calls upon students and others to develop understanding of, respect for, and engagement with other people's cultures and spiritual values. It calls for empathy for others' points of view, understanding of diversity and similarities among people, appreciation of interdependence, and being able to engage in dialogue and debate, in order to improve relationships, cooperate with others and reduce violence and conflict. Learning to live together is an essential element of deep and broad learning in an increasingly multicultural world where millions of families and their children have been mired in decades or even centuries of racial hatred, religious bigotry, or totalitarian control. It is truly amazing

how many ways policy makers find to separate students from each other – socio-economically, racially, religiously, by gender, and so on. How can we learn to live together if we never get to know "the other"?

To these four pillars, we added a fifth: learning to live sustainably:

- Learning to live sustainably is about learning to respect and protect the earth which gives us life, to work with diverse others to secure the long-term benefits of economic and ecological life in all communities; to adopt behaviors and practices that restrain and minimize our ecological footprint on the world around us without depriving us of opportunities for development and fulfillment; and to coexist and cooperate with nature and natural design, whenever possible, rather than always seeking to conquer and control them (Hargreaves & Fink, 2006, p. 38).

Let me add one final thought about moral purpose for leaders of learning. In our hurried educational environment, in which performance cultures force students and teachers to cover content in preparation for "high stakes" tests as though education was a series of sprints rather than a life-long marathon, we ignore at our peril the fact that "deep and broad" learning often requires slow knowing. "It is about time!" Psychologist Guy Claxton, in his book *Hare brain, tortoise mind* (1997), says slow knowing is essential for our learning and our lives. It gives depth to our experience and provokes the greatest breakthroughs in human understanding. Claxton makes the case for slow knowing like this:

> The unconscious realms of the human mind will successfully accomplish a number of important tasks *if they are given the time*. They will learn patterns of a degree of subtlety which normal consciousness cannot even see; make sense out of situations that are too complex to analyze; and get to the bottom of certain difficult issues much more successfully than the questing intellect. (p. 4)

Slow forms of knowing

- are tolerant of the faint, fleeting, marginal, and ambiguous
- like to dwell on details that do not fit or immediately make sense
- are relaxed, leisurely, and playful
- are willing to explore without knowing what they are looking for
- see ignorance and confusion as the ground from which understanding may spring
- are receptive rather than proactive
- are happy to relinquish the sense of control over the directions the mind spontaneously takes
- treat seriously ideas that come "out of the blue."

If it is about learning, and it is about time, how do we create an environment and climate in which learning is at the very center of every decision, policy, practice, or custom, and educational leaders are "passionately, creatively, obsessively and steadfastly committed to enhancing 'deep' and broad learning for all students –

learning for understanding, learning for life, learning for a knowledge society" (Fink, 2005, p. xvii)?

Developing a Climate for Learning

Many contemporary approaches to educational change see schools and schools systems as rational organizations, aligned with mechanical precision and driven by forms and functions designed to eliminate the vagaries of human decision making. A more realistic and more sustainable, but much messier way to view educational improvement is to view the school, the locality, and the state or nation as "living systems" interconnected in spheres of mutual influence, each one a network of strong cells organized through cohesive diversity, and with permeable membranes of influence between the spheres. In this approach, leadership is distributed across the various cells that affect a school such as students, teachers, parents, unions, social services, County Hall, and local communities. They come together or drift apart as circumstances and contexts dictate. All living systems, both natural and human, possess two qualities:

1. They are self-organizing networks of communication. "Wherever we see life, we see networks" (Capra, 2002, p. 9). Schools, districts, and indeed nations are organized into a myriad of communities of practice (Wenger, 1998) that can interconnect to move society forward such as the civil rights or the environmental movements, or conversely join together to inhibit changes or block new directions.
2. Creativity, learning, and growth are inherent in all living systems and the appearance of a qualitatively new order of things emerges with the creation of meaningful novelty in the environment. This novelty may be as small as an insightful remark or as large as a new government policy. It can be spontaneous or by design.

Schools, districts, and other educational jurisdictions are ecosystems within ecosystems – classrooms connected to schools, connected to school districts, connected to communities and their agencies, and so on. Like a web of interconnected communities, each has an essential skeletal structure of rules and regulations that frame relationships among people and tasks, distribute political power, and guide daily practice. It is these formal arrangements that appear in seating plans for the children in a classroom, policy documents, organizational charts, written contracts, and budgets. These are the structures, forms, and functions designed by policy makers, leaders, and teachers to provide stability, order, and direction to organizations and classrooms. This ability to design is solely a human function.

In nature all change occurs through emergence, evolution, and the survival of the fittest. It is human design that keeps society from becoming a jungle, and

provides purpose, meaning, and cohesion. Human design taken too far, however, can overwhelm and stifle emergence within the various ecosystems. For it is the informal interconnections and interrelationships among people that cut across formal structures and intersect with an organization's informal structures, "the fluid and fluctuating networks of communications," that give the web its "aliveness" (Capra, p. 111).

> The aliveness of an organization – its flexibility, creative potential and learning capability – resides in its informal "communities of practice." The formal parts of an organization may be "alive" to varying degrees depending on how closely they are in touch with their informal networks. (Capra, p. 111)

Educational change, therefore, is the result of this interplay of the design function, which provides direction, organizational structures, and operating procedures, and emergence, which produces the imagination, creativity, and innovation that drives organizational change. Too much design and little if any emergence will occur; too much emergence and the result is anarchy. Finding the balance that allows systems to allow leadership for learning to emerge is the organizational challenge.

This suggests that leadership for learning when looked at from the perspective of schools and districts as "living systems" operates on a different logic from traditional images. As noted management guru Henry Mintzberg (2004) explains, in a web:

> management has to be *everywhere*. It has to flow with the activity, which itself cannot be predicted or *formalized*. . . . Management also has to be potentially everyone. In a network, responsibility for making decisions and developing strategic initiatives has to be distributed, so that responsibility can flow to whoever is best able to deal with the issue at hand. (p. 141)

Minzberg adds that "bosses and subordinates running up and down the hierarchy have to give way to the shifting back and forth between 'colleagues' on the inside and 'partners' on the outside." Webs need designated leaders to connect and contribute not command and control. "And that means that managers have to get inside those networks. Not be parachuted in, without knowledge, yet intent on leading the team. No, they must be deeply involved; to *earn* any leadership they can provide" (p. 141). He contends that leadership within the organizational logic of a web is

> not about taking clever decisions and making bigger deals, least of all for personal gains. It is about energizing other people to make better decisions and do better things . . . it is about releasing the positive energy that exists naturally within people. Effective leadership inspires more than empowers; it connects more than it controls; it demonstrates more than it decides. It does all this by *engaging* – itself above all, and consequently others. (p. 143)

Developing "Learnings" for Leaders of Learning

Refocusing leadership on learning then will not only necessitate a radically different approach to ensuring a well-prepared and sufficient supply of leaders but also requires a significant rethinking of the demands that are presently placed on leaders. Succession management for future leaders will need to be based on a coherent

and connected set of "learnings" that are consistent across time and space and target student learning as opposed to "laundry lists" of best practice that intimidate and demotivate and include everything that can possibly happen in a school. As my colleagues and I have written elsewhere,

> Leadership for learning is not a destination with fixed co-ordinates on a compass, but a journey with plenty of detours and even some dead ends. Effective educational leaders are continuously open to new learning because the journey keeps changing. Their maps are complex and can be confusing. What leaders require for this journey is a set of interrelated learnings looking at school leadership in a holistic rather than reductionist way. These learnings can be deepened, elaborated, nurtured, abandoned, and connected and related to other learnings as the journey progresses. (Stoll et al., 2003, p. 103)

We identified seven sets of learning that provide a useful organizer for redefining leadership:

Contextual Knowledge

Successful leaders make connections by developing firm knowledge and understanding of their contexts. Context relates to the particular situation, background, or environment in which something is happening. Internal context includes the students, subjects and departments, and the school itself; external context encompass, among other influences, the district or local education authority of which the school is a part, the school's parent and neighboring community, the relevant employee unions, and the appropriate government(s) of the day. The research evidence is fairly clear – schools can only be understood in their context (Fink, 2000; Hallinger & Murphy, 1986; Teddlie & Stringfield, 1993).

Political Acumen

Political acumen is a key "learning" for leaders. At micro-levels, schools are filled with groups and individuals with different interests, and varying degrees of power that occasionally lead to conflict. Leaders use political methods, such as negotiation, and coalition building to move schools toward agreed-upon goals. School leaders also must represent the interests of their school with their governing bodies, communities, and government agencies. Politics is about power and influence, and to ignore political issues or consider that political activity is unworthy of a leader is to leave the school, its staff, students, and parents vulnerable to competing social forces.

Emotional Understanding

"Leaders of learning" learn to read the emotional responses of those around them and create emotional bonds with and among those with whom they interact.

Hargreaves (1998) explains that the emotions of educational change most commonly addressed are ones helping to defuse so-called resistance to change like trust, support, involvement, commitment to teamwork, and willingness to experiment. Leaders with emotional understanding do, however, lead their colleagues into uncharted territory on the change journey through the "impassioned and critical engagement or critique" of ideas, purposes, and practices.

Understanding Learning

Leaders need to have a deep, current, and critical understanding of the learning process to promote learning and support others' learning. Not only do they need to have insight into "deep" learning for students, they must also have a "deep" understanding of how adults learn if they are to support teachers' learning and to mobilize the school's human and material resources to this purpose.

Critical Thinking

What tends to differentiate effective and ineffective leaders is the quality of their judgments: whether their decisions work for the students in the long term. Knowing and remembering to ask the right questions depends on both wisdom and judgment. A significant part of a formal leaders' job is to act as a gatekeeper, to ask the right questions, to know what initiatives to support, what to oppose, and what to subvert. This questions-asking facility is a necessary "learning" to enable leaders to help to develop a school's capacity to deal with change. They need to develop good "nonsense detectors". When policy makers base their arguments on phrases such as "the research says" leaders need to ask questions like the following: Whose research? Who is paying for the research? Who benefits from its results? Who is damaged by the results? Does the research meet the criteria of scholarly adjudication? When "best practices" are advocated, leaders need to ask, "Best practice" in what context? What is the evidence? Who has determined it to be best practice? What is there in this practice that is useful in my context? Innovation and creativity, which are the lifeblood of leadership for learning, require the ability to ask better questions not recycle old answers.

Making Connections

It is also a leader's role to see the entire organization and help stakeholders to view the school in a holistic way. Leaders provide coherence and make connections so others can see the interrelationships and interconnections of the many things happening in a school. The development of a school-wide perspective is an important "learning" to promote positive change. Leaders of learning not only can make connections in space, they make connections over time.

Futures Thinking

Successful leaders must learn how to connect the past, the present, and the future (see Davies, 2006). Leaders' awareness and understanding of forces influencing the life of a school are crucial to shaping a school community's shared sense of vision in productive and inspiring ways. Leaders are also aware of shifting currents of local political, social, and economic forces and help staff to understand the connections between and among global, national, and local forces. Anticipating the future enables leaders to help colleagues act strategically rather than randomly as they journey into the future (Davies & Ellison, 1999).

Developing Leaders of Learning

Taken together, these "learnings" provide the framework, the curriculum, for a succession management program that can provide a pool of qualified leaders of learning. Great organizations look for people with the potential to develop the learnings necessary to provide creative leadership well into the future, rather than the common practice in many public service organizations, such as schools, of hiring people who possess a set of proficiencies required at the moment to do the job. For example, if one were to ask Bill Gates what the software business will look like in 15 years, he could speculate but not be very precise. If you asked him the kind of "learnings" a successful leader in his industry must possess in 15 years to be successful and make his or her company, I suspect he could arrive at a fairly comprehensive list that goes across time and space. What will education look like in 15 years? Who knows? But, I would argue people who have the potential to learn how to analyze contexts, understand learning, think politically and critically, possess emotional understanding, think imaginatively about the future, and make connections can within a well-developed succession management program become leaders of learning who will make a difference to the learning of all students, in ways that top-down policy initiatives never have and never will.

Succession management is more than just an issue of quality and orientation although these are big issues; it is also a question of quantity. Are there enough people with potential who want to undertake leadership roles in the future? It is generally accepted that in both the public and private sectors leadership succession is an urgent issue in most western countries (Earley, Evans, Collarbone, Gold, & Halpin, 2002; Gronn, 2003; Williams, 2001). In education, leadership succession should be a topic of more than passing interest. Not only are there not sufficient numbers of potential leaders coming forward in many school districts as the much smaller Generation "X" replaces the "Baby-Boom" generation, but those that do seek leadership opportunities must address significantly different challenges than the leaders that they will replace. Ironically, a search of the Internet produces a plethora of business-related references and only a few that connect to education or to the public service. The National Academy of Public Administration in the United States defines succession management as

> a deliberate and systemic effort to project leadership requirements, identify a pool of high potential candidates, develop leadership competencies in those candidates through intentional learning experiences, and then select leaders from among the pool of potential leaders. (National Academy of Public Administration, 1997, p. 7)

In simple terms, succession management connects the identification, recruitment, preparation, selection, location, induction, and ongoing support and appraisal of leaders throughout their careers. It goes beyond succession planning, which is ensuring that the right person is in the right place at the right time (Rothwell, 2001, p. 5). The following diagram outlines the cycles of a succession management program with support and appraisal as part of each stage.

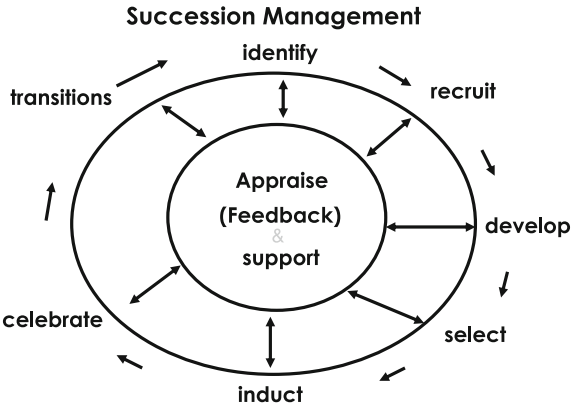

Fig. 4.1 Succession management

Since I have written extensively about succession management elsewhere (Fink, 2005, 2010; Fink & Brayman, 2006; Hargreaves & Fink, 2006), in this chapter I will concentrate on the first three stages in succession management, identifying those people with the potential to become effective leaders of learning, their recruitment, and development. I draw on evidence from the Change Over Time Study funded by the Spencer Foundation (Hargreaves & Goodson, 2003). This study of educational change over three decades in eight high schools in New York State and Ontario, Canada, as seen through the eyes of teachers and leaders who worked there in the 1970s, 1980s, and 1990s is based on more than 250 detailed interviews with present and past teachers and leaders in these varied schools, as well as on observational information and extensive archival and demographic evidence of how the schools have or have not changed over time.

To initiate each interview, researchers invited respondents to talk about the experiences that had shaped their decision to become a teacher and influenced their views on education. A pattern emerged among those teachers who went on to assume leadership roles or had achieved positions of leadership within their schools or school districts. In all cases, they had experienced

- the opportunity to undertake significant and challenging activities early in their careers that "stretched" them intellectually and professionally,
- leadership development opportunities that enabled them to meet these challenges,
- supportive mentors who assisted them as they met their challenges,
- the opportunity to observe and learn from powerful models of successful leadership (and from some negative examples),
- feedback on their performance that was honest and constructive (although not always positive).

Barbara Doubleday, who recently retired as the principal of a very large, quite complex secondary school after many years of successful leadership experiences, traced the roots of her growth as a leader to her very first teaching job at Lord Byron High School with Wayne her new principal, and her department head in the English department Wally. As she explained,

> I had several job offers, but I chose to go to Lord Byron High School because of Wally and Wayne. I liked the interview; I liked the approach. But I particularly liked the way they interacted with me. My decision was based on people not on program. I really had no idea what I was getting into. Wally explained to me that I could develop some courses, which for me at that time would have been of interest anyway. Wally immediately gave me a senior level program to develop called "integrative Canadian literature" – a pilot programme, which probably would have daunted a lot of people nowadays. But in those days, I felt that it was just part of the job expectation. If you had something given to you and it was big, then that was great. So, I took it and spent the summer developing a course. I must have read a thousand novels; that's what it felt like. In fact I judged right. I judged that those people would give me an opportunity and a big time challenge all at the same time. Now being an administrator, I look back at it from my present perspective, and realize that at that time it was a statement of faith. And that was necessary for my growth. If people don't have a statement of faith, then I don't believe people will grow. My role then throughout my career has been to demonstrate to others that I had the faith in them and if they make a mistake that I will stand by them. But they have to try. If they don't try, then they don't grow. It's like the lovely poem, "if you don't start walking, you don't go anywhere."

Barbara provides an example of a teacher who accepted a leadership challenge very early in her career, but a challenge balanced by support from her principal and skill development from her department head, so that she did not become overwhelmed. In a sense she was in "flow" (Csikszentmihalyi, 2004) – intellectually stretched, deeply engaged in meaningful work, but happy in her work. As a result she brought the ideas of challenge and support to her leadership activities over time.

By way of contrast to the informal leadership opportunities Barbara talked about, Ken Sutton described the various formal leadership roles that contributed to his "inbound trajectory." Ken Sutton was the principal of Lord Byron High School in the late 1990s. Lord Byron was his third principalship. Before that he had been a department head and an assistant principal in two secondary schools. He felt his varied experiences in a number of schools enriched his leadership preparation. As he stated,

> From what I've read, the height of your effectiveness (as a principal) seems to be somewhere between the 5 and 7 years period. Then after that it doesn't have the same dramatic rise and

> it tends to level out if you look at a graph in terms of your effectiveness. Going into a new setting is always rejuvenating and for me it was exciting because every school has its own sense of community, its own history, its own way of doing things, and its own ethos. It's very easy to follow into a nice rhythm and routine and just stay where you are. Whereas this forces you to meet new challenges and I learned from every single setting.

Bill, a leading special educator in one of the districts we investigated, described his early challenges as a novice teacher and the role of his mentor, his principal Ron:

> Ron was simply amazing because I think that people in our profession, need to be recognized for whatever they do. Ron was really good at that. He'd pick up on little things. You'd get a note that said "thanks for a great job, I saw you out in the hall talking to that kids and that was really good," or "thanks for your involvement" in this activity or that. So when he needed to make a point with you about something else, perhaps an area for improvement you were on the same level. It wasn't somebody from above saying, "No, this is wrong!" You accepted it more. He was really good at polishing people.
>
> He'd take somebody that was rough like me. I was a rookie teacher. I was raw. I didn't know the things that maybe other teachers knew about special education. But he was really good at polishing raw material like me by saying, "OK. The core is good. What we've got to do is finish the edges." . . . I always look at those eight years as being the basis of building what I eventually evolved into as far as my commitment to special education was concerned.

Joyce provides a fourth example. She not only became a well-respected principal, but at one point in her career she was the first female president of the district's teachers' union.

> I think what happened for me at Lord Byron was that I learned how to learn. I learned that I had to do some of that for myself. I developed a lot of confidence. I learned a lot from Wayne. He and I would be there early in the morning and he would walk into my office with an article and say, "you might like to read this." That was so important to me and we were a big staff. There were a lot of people in that school. But to walk in early in the morning and watch who is there and talk to the young people that were there, and say "what do you think about this?" I often did that as principal. But the whole learning process was the key one. The opportunities to share and to learn new things together were the things I really felt kept me moving and kept us moving at that time.

Ironically, these potential leaders also learned and gained confidence by dealing with some negative leadership examples. As Joyce remarked,

> I learned what a waste of time it is for example to have people working against a principal, which is what we did with Bruce. It was just so much energy that year trying to get Bruce to stop doing something, instead of going ahead and doing the stuff that we should have been doing anyway. But it became a kind of game. It is such a waste of time for people to get caught up in that. And I feel for people now who have to be in that.

The leaders who identified the potential of Barbara, Ken, Joyce, and Bill provided them with modeling and mentoring as well as the challenges and support to achieve success and gain confidence. As Rosabeth Moss Kanter (2004) explains, confidence is contagious and crucial to leadership success.

> Confidence consists of positive expectations for favorable outcomes. Confidence influences the willingness to invest – to commit money, time, reputation, emotional energy, or other resources – or to withhold or hedge investment. This investment, or its absence, shapes the ability to perform. (p. 95)

Their leaders and mentors obviously recognized the willingness of these people in their formative years to learn, take risks, accept challenges, receive criticism, and work hard to improve their craft, and considered that encouraging and facilitating the professional growth of these potential leaders to be an important part of their leadership roles.

All of these successful leaders had demonstrated early on that they would become consummate professional teachers, but would they become effective leaders and leaders of learning? It is a gigantic jump from doing the work oneself to getting work done through others. The challenge of identification of potential leaders, therefore, is to determine who can make this leap from successful "doers" to accomplished "negotiators" who hold the lives of other adults in their hands. Ironically, one of the most perplexing discoveries of people who move from the role of "doer" to that of a leader is that they become less free to act (Hill, 2003). The difficulty for those responsible for recruiting potential leaders is to determine who among the "doers" has the ability, the patience, and the determination to become leaders of learning.

In the cases of Barbara, Ken, Joyce, and Bill, a leader identified their potential and encouraged their professional growth. Identification of potential leaders in education, however, is certainly not an exact science. Traditionally, prospective leaders have signaled their interest in leadership roles by applying for posted or advertised positions, or existing leaders have encouraged subordinates to seek promotion and supported their applications. The process is somewhat "hit and miss." While responsibility for identifying and recruiting potential leaders depends on the governance structure of each educational setting, it is very clear that the psychological and financial support of the governing authorities contribute significantly to producing capable educational leaders for any school jurisdiction (Smith & Piele, 1989). Baltzell and Dentler (1992) contend that the extent to which a school system invests in the preparation of its school heads[1] is a key ingredient of a quality system. A major reason for the perceived crisis in quality and quantity of educational leaders in many jurisdictions, therefore, is the failure of many school districts and Education Authorities and other levels of government over the past decades to invest in leadership identification, recruitment, and preparation, and as a result they do not have a qualified pool of candidates from which to choose when openings occur. Changing times and false economies have resulted in a serendipitous, "fill-the-job" philosophy instead of the "grow-your-own" approach that required all leaders in the system to identify and encourage potential leaders. Regardless of the recruiting system, whether it is school by school or at district or state levels, policy makers need to attend to the urgent requirement for high-quality leaders at all phases of the educational enterprise by developing a pool of well-trained, well-prepared leaders from which schools and districts can draw. "Hire and hope" is not only bad management, but disastrous for student learning.

[1] I have used the terms principal and school head interchangeably.

While, as I indicated, identification of potential leaders is an inexact science, whatever the source, I offer the following questions about potential leadership candidates as an initial guide to determining who should be recruited for leadership roles.

- Does this person genuinely like and respect the students?
- Is this person a dedicated and proficient teacher?
- Is this person committed to learning for *all* students?
- Does this person operate from a life-affirming set of values and have the courage of his or her convictions?
- Has this person initiated professional growth activities to enhance his or her personal abilities – reason, ethics, imagination, intuition, memory, and common sense?
- Has this person the intellectual and relational potential to master the meta-learnings for leadership such as "understanding learning," "critical thinking," "futures thinking," "contextual knowledge," "political acumen," "emotional understanding," and "making connections"?
- Does this person have the organizational skills to manage a school or a department?
- Does this person relate well to colleagues? To parents? To superiors in the organization?
- Does this person have a tolerance for ambiguity?

Once an organization has identified and recruited its potential leaders, it must find ways to attend to their development. Mintzberg (2004) has identified five general approaches to leadership development that apply in business and are applicable in education.

- "Sink or swim" – This is the least expensive approach in the short run, and by far the most prevalent approach to leadership development in education. It identifies leaders and then places them in leadership roles and lets the person "sink or swim." Since leadership development in education is usually considered to be a "cost" not an "asset," schools and school districts find it less costly in the short term to advertise a position then hire and hope that a person works out, than to invest in expensive leadership development processes. The long-term costs of this approach, while hard to quantify, are significant.
- "Moving, mentoring, and monitoring" – There is a general consensus in the business literature that rotating potential leaders through a number of leadership experiences provides a variety of challenges that encompass the spectrum of the company's activities and provides the neophyte leader with the greatest opportunity for learning. McCall (1998) found that prospective business leaders agreed with this approach because it gave them the opportunity to first witness experienced leaders deal with complex issues, and then to address such matters

themselves with the support of their mentors. He provides two rules of leadership development – first, leadership development is a personal responsibility, and second,

> . . . challenge can be provided to encourage this self-development, notably by rotating people through a series of challenging jobs that stretch their abilities: from managing a start-up to learn about "providing strong direction in the face of ambiguity," to managing the turnaround of an existing business to learn about "overcoming resistance and incompetence." (p. 9)

The educational literature is quite mixed on the practice of the systemic rotation of leaders. Aquila (1989) and Boese (1991) contend that the predictable rotation of leaders is necessary to their development. Certainly, one of our Change Over Time respondents, Ken Sutton, felt that his multiple moves had added to his leadership abilities.

> If I were to change schools tomorrow, then I would be able to go into the new school much more comfortably with my ability to be a principal. I would be able to assess more quickly what I believe a school should be about, to be able to talk with other people within the building what the school should be about. Take a look at the reforms that need to be implemented as we go along and move more quickly to making effective changes that we felt were necessary for our school.

MacMillan's (2000) research, however, looked at predictable principals' rotations from a school's perspective and concluded that "the policy of regularly rotating principals within a system is a flawed one." When leadership succession is regular and routine, "teachers are likely to build resilient cultures which inoculate them against the effects of succession" (p. 89). The dilemma in education, therefore, is to determine ways to help potential leaders to experience the kind of multiple learning opportunities that moving from school to school seems to provide, while ensuring some degree of continuity and stability for each school. The important ingredient that makes such moves successful appears to be the opportunity to connect on an ongoing basis with a capable mentor who helps the potential leader to reflect on practice, and provides constructive performance monitoring. As Raeling (2000) argues, "moving alone leaves the learning to the individual, whereas moving with mentoring turns it into a social process, which can make it more effective" (p. 204). McCall (1998) supports this view and reports that having "a good boss seemed to matter most in a manager's first supervisory job and in big scope jobs" (p. 4). Perhaps the answer in education is to view assistant principals as principals in training, and facilitate their moving on a cyclical basis, while principals contract to remain in a school for a minimum of 5–7 years. Alternatively, a lateral move within an organization allows a potential leader to gain experience while ensuring a degree of organizational stability.

- "Spray and pray" – This approach refers to the practice of credentialing leaders through leadership development courses offered by school districts, universities, and private consulting groups. From a system's point of view, these often uncoordinated courses vary widely in efficacy, tend to stress teaching over learning,

and offer generic answers to contextually based issues. As Mintzberg (2004) has observed, "deep managing and deep learning depend on personal engagement, not just on a detached expertise that 'knows better.' So managers learn most profoundly when they have significant responsibility for all aspects of the learning process, including its design" (p. 211). He concludes after years of teaching management courses for potential leaders that "setting out to create leaders in a classroom, whether in a short programs or full degrees, too often creates hubris. People leave believing they have been anointed" (p. 215).

- Learning in action – Positioned somewhere between the context-based "moving, mentoring, and monitoring" and the decontextualized course work of "spray and pray," "learning in action" involves potential leaders in field projects and activities followed by serious reflection that creates a learning laboratory for leaders. Schools and school districts have often organized potential leaders into problem-solving committees to address system's problems. Mintzberg concluded in his critique of action learning that "learning is not doing: it is reflection on doing. And reflecting is not an escape but an essential part of the management process – and probably its weakest part in today's hyper world" (p. 208).
- Corporate academies – There is an increasing trend in the business world for large corporations to establish academies that provide coordinated, contextualized leadership development that focuses on developing leadership potential to ensure a continuing supply of quality leaders. Such companies as Boeing, General Electric Motorola, and even McDonald's have adopted this practice. Perhaps the closest educational equivalent is the National College for School Leadership (NCSL) in the United Kingdom, although various states and school districts support leadership assessment centers and development programs.

Some models are more useful at different stages of a leader's career and some are quite unsuitable. For example, "spray and pray" might be unsuitable for a leader on the way up, but reinvigorating for an experienced leader. All these approaches are based on the questionable assumption, however, that people are interested in becoming or continuing to be leaders and the even shakier notion that they want to be leaders of learning.

The Generations

In the midst of the greatest demographic turnover in educational leadership for 30 years, potential leaders have observed how wave after wave of "reform" has overloaded and stressed existing school leaders and are saying, "thanks but no thanks" to leadership opportunities. This has become more than an issue of finding willing bodies; it is a matter of accommodating different generations. As the baby boom generation retires many of them prematurely due to outside pressures, the talent pool of generation X from which leaders can be drawn is much smaller. In time, the sheer shortfall of leaders may resolve itself, because waiting in the wings to succeed

generation X is the demographically larger generation "Y". Sometimes referred to as the "Millennials" or the "Baby-Boom Echo," this generation is very different from their baby boom parents, and their generation X older siblings. Raised by their optimistic, can-do, "baby-boomer" parents, they have enjoyed having a say in family decisions and expect the same in the workplace. They respond poorly to dictates, and find collaboration, whether face to face or on the net, a natural way to get things done. Millennials are the most technological savvy of any generation and get easily frustrated by the less proficient. This generation includes more women, is more assertive about its own needs, and is more concerned about work–life balance than previous generations (Lancaster & Stilman, 2002).

While the numbers from which to choose new leaders may in the long run be sufficient, large questions will still persist? Are the candidates interested? Will they be ready? Can they be properly prepared? These "supply" side questions have precipitated a variety of activities by policy makers such as the creation of the leadership college and the fast tracking of potential leaders in the United Kingdom, leadership institutes in a number of states and provinces, the creation of executive principals to look after a number of schools, the employment of non-educators to manage schools, and the splitting of leadership jobs among a number of people (Thomson & Blackmore, 2004). The less obvious response to the crisis question is on the "demand" side of the equation – how can leadership jobs be restructured so that the demands on individuals and schools can be reduced while enabling leaders to provide the kind of leadership necessary to respond to the educational issues of a knowledge society.

Young people, millennials, are looking at their leaders and their pressurized 60-h weeks and questioning the wisdom of pursuing a career in leadership. As my own daughter, a very successful and experienced teacher, has said to me when I encouraged her to start on the leadership ladder "Dad, that's your thing, all principals seem to do now is push paper, analyze test scores, and attend meetings, I want to work with children." Human energies are not inexhaustible. If we want to increase leaders' capacity to focus on learning, then we will have to find ways to reduce or eliminate the incessant demands for more accountability, more new initiatives, and politically motivated micro-management.

Elsewhere (Davies, 2007), my colleague, Andy Hargreaves, and I addressed the demand side in some detail in a chapter entitled "Energizing Leadership for Sustainability" in which we addressed three components of what we called resourcefulness: the *restraint* needed to reduce the demands on leaders; the *renewal* required to engage the full potential of a school's leadership capacity; and the *release* of the energies inherent in this leadership capacity to attend to deep and broad learning for all children (Hargreaves & Fink, 2007). In that chapter, we argued that the incessant pressure of the flawed and failing (Coe, 2000; Tymms, 2004; Tymms & Merrill, 2007) mechanical models of change with their short-term targets, standardized tests, and incessant inspections need to stop. In spite of efforts to ameliorate the negative conditions and "collateral damage" (Cassidy, 2007; Nichols & Berliner, 2007) created by this model through workplace renewal such as in England, which in itself places more pressure on leadership capacity,

policy makers need to turn to more sustainable inclusive lateral approaches to goal-setting, accountability, and educational reform.

While leadership capacity in a school or school district is not inexhaustible, it is renewable, and available if recognized, encouraged and engaged. Much has been written recently about distributed forms of leadership (Harris, 2008); some see it as a positive way to go to spread and share leadership across a school, a district, or even across networks of schools (Hopkins, 2007). Like Jim Spillane (2006), I'm an agnostic. It can be good or bad, effective or ineffective, democratic or dictatorial, depending on how it occurs in an organization (see Hargreaves & Fink, 2008; Hargreaves & Fink, 2006). In some settings it can mean the abdication of responsibility by formal leaders, leaving teachers and others to clean up the mess, or it can mean a dumping down by school heads or principals of some of the more onerous tasks like student discipline, or it can mean a genuine sharing of leadership activities in a pursuit of an inspiring vision through inclusive processes. Genuine distributed leadership is complex. It isn't like a cards in a deck that the leader distributes in some predetermined way, but rather it involves the teachers who collaborate to put on a Christmas concert, or the mathematics teachers who work on a unit of study to promote creative approaches to problem solving. Then again it could also be the staff-room lawyers who actively plot to undermine the school's administration, or the disenchanted staff member who discourages the commitment to school activities of younger staff members, and overtly or covertly undermines change efforts. The challenge is how to concentrate all this leadership energy and capacity to address the purposes of education – student learning – learning to know, to do, to be, to get along with others, and to live sustainably. Distributive and other lateral forms of leadership have the potential to release the latent leadership energies of all faculty members and ultimately students, but it won't happen when the goals of education perseverate on short-term imposed targets and politically convenient test scores.

Conclusion

In my travels I have met thousands of school leaders who, in spite of shifting and conflicting mandates, have found creative ways to comply with outside requirements and managerial functions, while still spending a large percentage of their time as leaders of learning. As I stated elsewhere, these leaders are

> ordinary people who through extraordinary commitment, effort, and determination have become extraordinary, and have made the people around them exceptional. Educational leadership is more art than science; it is more about character than technique; it is more about inspiration than charisma; it is more about leading students and teachers' learning than the management of things. (Fink, p. xviii)

Ironically, these leaders are often successful in spite of the system not because of it.

At the same time, I have met with too many paper pushers, intellectual accountants, and compliant messengers who happily, and often successfully in the eyes of their superiors, dutifully deliver the artifacts of learning like good test scores and

inspection reports, and in the process short-change their students of the enriching and stimulating educational experiences they require for changing and challenging times. It is after all far easier, and often more immediately gratifying, to think short term and manage things, than to work to improve the capabilities of a 45-year-old teacher who does not challenge or stimulate his students – but for leaders of learning that's what the job is all about. In my view, if we change the expectations for leaders in ways that I have already suggested, and recruit and train based on their potential to become leaders of learning, and develop the learnings necessary to be leaders of learning, while at the same time exercising restraint on the demands placed on leaders, then the supply side in time should take care of itself.

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Chapter 5
Developing Instructional Leadership

Philip Hallinger

Introduction

During the 1980s an emerging body of research on effective schools (Bossert, Dwyer, Rowan, & Lee, 1982; Edmonds, 1979; Hawley & Rosenholtz, 1984; Purkey & Smith, 1983) focused the attention of policymakers and scholars on the principal leadership. This research asserted that the "instructional leadership" role of the principal was crucial to school effectiveness (Bamburg & Andrews, 1990; Bossert et al., 1982; Dwyer, 1986; Edmonds, 1979; Leithwood & Montgomery, 1982). Earlier efforts to study the impact of principal leadership had begun to identify professional leadership dimensions of the principal's role that impacted school success (e.g., Erickson, 1967; Gross & Herriott, 1965). Nonetheless, it was a key legacy of the effective schools movement to focus global attention on instructional leadership.

At the same time, however, even in the heyday of effective schools, advocacy for principals to exercise "strong instructional leadership" was not without critics and skeptics (e.g., Barth, 1986; Cuban, 1988). They questioned the underlying assumptions of principal instructional leadership and its viability as a dominant paradigm for conceptualizing school leadership. This trend gathered steam during the 1990s as scholars interested in school improvement argued the case for transformational leadership (Leithwood, 1994) and teacher leadership (Barth, 1990, 2001) as alternative conceptualizations. Indeed, by the turn of the twenty-first century, it seemed as if instructional leadership had lost its potency as an organizing concept for school leadership.

Yet, the rise of the accountability movement around the turn of the twenty-first century gave rise to increasing focus on learning outcomes of students and schools. Moreover, this became an international trend riding the rising wave of globalization. This global interest in educational reform centering on student learning led, once again, to a focus on school leadership in general and instructional leadership in

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particular (e.g., Gewertz, 2003; Hunter Foundation, 2005; Stricherz, 2001a, 2001b; Virginia Department of Education, 2004). However, instructional leadership seems to have reincarnated into a new form broadly known as leadership for learning. Ten years later this has become the new paradigm for twenty-first century school leadership.

The purpose of this chapter is to unpack current thinking about instructional leadership and assess its relationship to leadership for learning. More specifically, the chapter seeks to understand what value has been added to conceptions of instructional leadership that have carried over from the 1980s to today. Although the chapter will draw extensively on specific empirical and theoretical papers published over the past 45 years, it will rely quite heavily on findings gleaned from a series of reviews of research on principal leadership conducted from during the 1960s (Erickson, 1967), 1970s (March, 1978), 1980s (Bossert et al., 1982; Bridges, 1982; Firestone & Wilson, 1985; Hallinger & Murphy, 1985; Leithwood & Montgomery, 1982), 1990s (Hallinger & Heck, 1996a, 1996b; Heck & Hallinger, 1999; Leithwood, Begley, & Cousins, 1990) to the present (Bell, Bolam, & Cubillo, 2003; Hallinger, 2003; Leithwood, Day, Sammons, Harris, & Hopkins, 2006; Leithwood, Louis, Anderson, & Wahlstomm, 2004; Marzano, Waters, & McNulty, 2005; Robinson, 2007; Robinson, Lloyd, & Rowe, 2008; Southworth, 2002, 2003; Witziers, Bosker, & Kruger, 2003).

The Instructional Leadership Role of the Principal

A retrospective assessment of instructional leadership yields some general observations about how scholars have conceived of this role over the past 25 or more years. First, with its emergence out of the research on "instructionally effective elementary schools" (e.g., Edmonds, 1979; Hawley & Rosenholtz, 1984; Purkey & Smith, 1983), instructional leadership was conceived as a *role carried out explicitly by the school principal* (Bossert et al., 1982; Dwyer, 1986; Edmonds, 1979; Glasman, 1984; Hallinger & Murphy, 1985; Leithwood & Montgomery, 1982; Leithwood et al., 1990; van de Grift, 1990). During the 1980s relatively little reference was made to teachers, department heads, or even to assistant principals as instructional leaders. There was little or no discussion of instructional leadership as a distributed or shared function.

Growth of Instructional Leadership in the United States

The potency of the instructional leadership imagery during the 1980s was demonstrated in the actions of the Federal government in the United States. During the mid-1980s, the American government initiated the establishment of School Leadership Academies throughout the country with one academy funded in every state. This was an unprecedented step for a Federal government that historically left it for state governments to take the lead on education issues. In retrospect,

this Federal effort to support the development of school leadership assumed its legitimacy from a growing belief that, for the first time, there was a credible knowledge base underlying the *development* of principal leadership (Barth, 1986; Cuban, 1984, 1988; Hallinger & Wimpelberg, 1992). This knowledge base drew largely from emerging research on principal instructional leadership in effective schools which provided a conceptual framework for the Academies' leadership development curricula (Bamburg & Andrews, 1990; Bossert et al., 1982; Dwyer, 1986; Edmonds, 1979; Hallinger & Murphy, 1985; Leithwood & Montgomery, 1982). These academies explicitly fostered an image of *strong, directive instructional leadership* as the normative thrust for school leaders (Bamburg & Andrews, 1990; Bossert et al., 1982; Edmonds, 1979; Grier, 1987; Hallinger & Greenblatt, 1991; Hallinger & Wimpelberg, 1992; Marsh, 1992).

Critics identified the limitations of the underlying research (Barth, 1986; Bossert et al., 1982; Cuban, 1984, 1988), but with limited effect. Policymakers had found a hammer – instructional leadership – and everything related to the principalship began to look like a nail. In the haste to implement leadership development on a large scale and to see results in schools, a "one size fits all" model of instructional leadership was disseminated to practicing and aspiring school principals (Barth, 1986). This model of instructional leadership was disseminated as *the normatively desirable role* for principals who wished to be "effective."

Unfortunately, schools differ widely in terms of their needs and resources, as well as in the type of leadership required to move them forward. This well-established premise of leadership theory was overlooked by policymakers intent on making a difference in schools. Moreover, the drive to turn principals into instructional leaders ran counter to findings from empirical studies and theoretical analyses that sought to account for why most principals did *not* assume an active role as instructional leaders (e.g., Barth, 1986, 1990; Cuban, 1984, 1988; March, 1978; Weick, 1976). These critiques offered a variety of reasons for why it could be unrealistic to expect principals to fulfill this normative model of school leadership:

- At a practical level, principals were required to fulfill a variety of roles (e.g., political, managerial, instructional) and to focus too much on just one of them would lead to dysfunctional consequences (Cuban, 1988);
- Expectations that principals would act as instructional leaders assumed a level of expertise and personal values and ambition that ran counter to the population characteristics and career trends of American principals (March, 1978);
- The daily routine of schools pushes principals toward a set of work activities characterized by brevity, interruption, and fragmentation that is at odds with many of the key activities proposed for instructional leaders (Barth, 1980; Bridges, 1977; Deal & Celotti, 1980; March, 1978; Weick, 1976);
- The "one size fits all" framework of instructional leadership was at odds with multiple constraints that act on the exercise across schools that differ in resources, size, staffing, and student needs (Barth, 1986; Bridges, 1977; Hallinger & Murphy, 1986; Hallinger & Wimpelberg, 1992).

An Emergent Conception of Instructional Leadership: 1980–1990

With these caveats in mind, let us take a closer look at just what this "early model" of instructional leadership looked like. Note that much of the early research on instructional leadership was drawn from studies of urban elementary schools serving poor children. These were descriptions of principals who had somehow managed to turn their schools around. They tended to be highly directive in their leadership styles, using leadership as a driver to move the school in a more productive direction. Thus, these instructional leaders were viewed as a small minority of principals who had somehow managed to overcome the pressures that push principals away from a focus on teaching and learning.

Instructional leaders were viewed as *culture builders*. They sought to create an "academic press" that fostered high expectations and standards for students, as well as for teachers (Barth, 1990; Bossert et al., 1982; Glasman, 1984; Hallinger, Bickman, & Davis, 1996; Hallinger & Murphy, 1985, 1986; Heck et al., 1990; Mortimore, 1993; Purkey & Smith, 1983). They modeled their high expectations and were loathe to compromise high standards.

Instructional leaders were *goal-oriented*. They took the lead in defining a clear direction for their schools and motivating others to give their effort toward achievement. In instructionally effective schools serving underachieving pupils, this direction focused primarily on the improvement of *student academic outcomes* (Bamburg & Andrews, 1990; Glasman, 1984; Goldring & Pasternak, 1994; Hallinger et al., 1996; Hallinger & Murphy, 1986; Heck et al., 1990; Leithwood et al., 1990; Leitner, 1994; Mortimore, 1993; O'Day, 1983). Terms such as vision, mission, and goals became centrally situated in the vocabulary of school leaders who wished to succeed in the evolving environment of educational reform (Bamburg & Andrews, 1990; Hallinger & Heck, 2002).

Crucially, instructional leaders were able to align the school's academic mission with strategy and action. Thus, instructional leaders focused not only on *leading*, but also on *managing*.Their managerial roles included coordinating, controlling, and supervising, curriculum and instruction (Bamburg & Andrews, 1990; Bossert et al., 1982; Cohen & Miller, 1980; Dwyer, 1986; Glasman, 1984; Goldring & Pasternak, 1994; Hallinger et al., 1996; Heck, 1992, 1993; Heck et al., 1990; Leitner, 1994). Thus, instructional leadership did involve considerable engagement with the "technical core" of education: teaching and learning (Andrews & Soder, 1987; Bossert et al., 1982; Dwyer, 1986; Edmonds, 1979; Firestone & Wilson, 1985). Instructional leaders led from a combination of expertise and charisma (Bossert et al., 1982; Purkey & Smith, 1983). These were hands-on principals, *hip-deep in curriculum and instruction* (Cuban, 1984) and unafraid of *working directly with teachers* on the improvement of teaching and learning (Bossert et al., 1982; Cuban, 1984; Dwyer, 1986; Edmonds, 1979; Hallinger et al., 1996; Hallinger & Murphy, 1985, 1986; Heck et al., 1990; Leithwood et al., 1990).

In American schools of the 1980s, this was far from the norm for educational administrators (Bridges, 1977; March, 1978; Wolcott, 1973). Descriptions of these principals tended toward a heroic view of their capabilities that often spawned feelings ranging from inadequacy to guilt among the vast majority of principals who wondered why they had such difficulty fitting into this role expectation (Barth, 1986, 1990; Donaldson, 2001; Hallinger & Greenblatt, 1991; Marshall, 1996).

A Conceptual Definition of Instructional Leadership

Several notable models of instructional leadership have been proposed (Andrews & Soder, 1987; Bossert et al., 1982; Hallinger & Murphy, 1985; Leithwood et al., 1990; Leithwood & Montgomery, 1982; Villanova, Gauthier, Proctor, & Shoemaker, 1981). I will focus here on the model proposed by Hallinger and Murphy (1985) since it is the model that has been used most frequently in empirical investigations[1] (Hallinger, 2008; Hallinger & Heck, 1996a). This model, similar in many respects to the others referenced above, proposes three dimensions for the instructional leadership role of the principal: *Defining the School's Mission*, *Managing the Instructional Program*, and *Promoting a Positive School Learning Climate* (Hallinger, 2008; Hallinger & Murphy, 1985). These three dimensions are further delineated into ten instructional leadership functions (see Fig. 5.1).

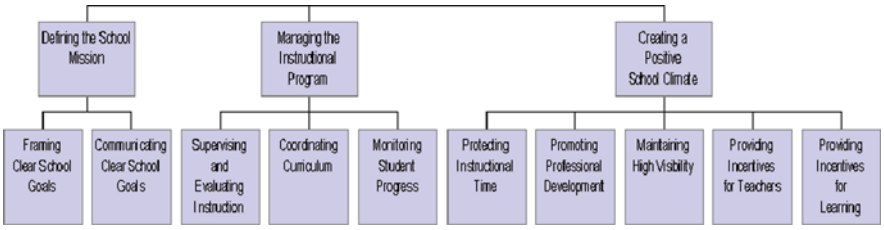

Fig. 5.1 Instructional management framework (From Hallinger & Murphy, 1985)

Defining the School's Mission

Two functions, *Framing the School's Goals* and *Communicating the School's Goals*, comprise the first dimension, *Defining the School's Mission*. This dimension concerns the principal's role in determining the central purposes of the school. The dimension focuses on the principal's role in working with staff to ensure that the

[1] Hallinger (2008) found that the *Principal Instructional Management Rating Scale*, which is based on this framework, had been used in over 125 studies conducted in 14 countries.

school has clear, measurable, time-based goals focused on the academic progress of students. It is also the principal's responsibility to communicate these goals so they are widely known and supported throughout the school community.

Within this model, the *process* of goal development was considered less critical than the outcome. Goals could be set by the principal or in collaboration with staff. The bottom-line, however, was the school should have clear, academic goals that staff support and incorporate into their daily practice. This picture of goal-oriented, academically focused schools contrasted with the typical situation in which schools were portrayed as pursuing a variety of vague, ill-defined, and sometimes conflicting academic and nonacademic goals.

The instructional leader's role in defining a school mission was captured in a study of effective California elementary schools conducted by Hallinger and Murphy (1986). In the course of their study, they observed teachers in their classrooms for several days. One teacher had an affective education activity center entitled "I am . . ." in the back of the room. However, they never saw students working at it. When queried about this, the teacher observed:

> Yes, the affective activity center is something I really like to use with my students. However, this particular class has not made the usual progress in basic subjects, so I've had less time for affective activities. Our focus in the school is on ensuring that every one of our students has mastered basic subjects. We really try to make time for optional subjects as well. However, *our principal expects us to spend as much time on reading, writing, spelling, and math as is necessary to achieve this objective*(emphasis added). So I adjust the time accordingly. (Hallinger & Murphy, 1986)

> Later during one of his interviews, the principal repeated this expectation almost word for world. It was obviously something that had been discussed with and among the staff many times.

This comment captures several characteristics of the instructional leader's role in defining a clear mission. First, at this school the mission was absolutely clear. It was written down and visible around the school. Second, it was focused on academic development *appropriate to the needs of this particular school population*. Third, the mission set a priority for the work of teachers. Fourth, it was known and accepted as legitimate by teachers throughout the school. Fifth, the mission was articulated, actively supported, and modeled by the principal.

Managing the Instructional Program

The second dimension *Managing the Instructional Program* focuses on the coordination and control of instruction and curriculum. This dimension incorporates three leadership (or what might be termed management) functions: *Supervising and Evaluating Instruction*, *Coordinating the Curriculum*, and *Monitoring Student Progress*. Within this model of instructional leadership, managing the instructional program requires the principal to be deeply engaged in stimulating, supervising, and monitoring teaching and learning in the school. Obviously, these functions demand that the principal have expertise in teaching and learning, as well as a commitment to

the school's improvement. It is this dimension that requires the principal to become "hip-deep" in the school's instructional program (Bossert et al., 1982; Cuban, 1984; Dwyer, 1986; Edmonds, 1979; Marshall, 1996).

By way of example, I would again recall the principal in the example cited above. In discussions of how they monitored student progress, several different teachers at this school observed that the principal "knew the reading level and progress of all 650+ students in this primary school" (Hallinger & Murphy, 1986). This particular behavior is not a requirement for instructional leadership. However, it reflects the degree of this principal's involvement in monitoring student progress and in managing the school's instructional program.

It was this dimension of the role that caused the greatest consternation among critics of the instructional leadership model. Even "friendly critics" questioned whether the broader population of principals possessed the necessary instructional expertise or the time to engage this role (e.g., Cuban, 1984, 1988). This was especially the case in with respect to larger schools and secondary schools which typically have a more highly differentiated discipline-based curriculum.

Moreover, the early definition of this dimension placed a stronger focus on *control* of teaching (e.g., evaluation) than on its *development*. This probably reflected the fact that the early research on instructional leadership came from settings that could be characterized as turn-around situations. Subsequent research suggests that for schools more generally leadership that focuses on building teacher capacity through professional learning, be it staff development, peer–peer networking, or peer coaching may yield better results for changing teacher practices and supporting student learning (Leithwood et al., 2004; Marks & Printy, 2003; Robinson, 2007).

The third dimension, *Promoting a Positive School Learning Climate* includes several functions: *Protecting Instructional Time, Promoting Professional Development, Maintaining High Visibility, Providing Incentives for Teachers, Developing High Expectations and Standards, Providing Incentives for Learning*. This dimension is broader in scope and purpose than the other two. It conforms to the notion that effective schools create an "academic press" through the development of high standards and expectations for students and teachers (Bossert et al., 1982; Purkey & Smith, 1983).

Instructionally effective schools develop a culture of continuous improvement in which rewards for student and staff are aligned with purposes and practices (Barth, 1990; Glasman, 1984; Hallinger & Murphy, 1986; Heck et al., 1990; Leithwood & Montgomery, 1982; Mortimore, 1993; Purkey & Smith, 1983). The principal is highly visible on the campus and even in classrooms. The principal models values and practices that create a climate and support the continuous improvement of teaching and learning (Dwyer, 1986; Hallinger & Murphy, 1986).

Implications for Leadership for Learning

This chapter has documented the evolving interest in different approaches to school leadership over the past three decades with instructional leadership holding sway

during the 1980s only to be eclipsed by transformational leadership during the 1990s, and leadership for learning since 2000. Fortunately, the empirical knowledge base that grew around these dominant models of school leadership offers more focused insight into the effects of school leadership on student learning (Hallinger, 2003). This section of the chapter is organized around five questions for which recent scholarship provides some degree of illumination.

1. What have we learned about the size of school leadership effects?
2. What theoretical model best explains successful leadership for learning?
3. Which leadership practices "make a difference"?
4. Whose leadership fosters student learning?

What Have We Learned About the Size of School Leadership Effects?

Over a decade ago Ron Heck and I reviewed the literature on school leadership effects on student learning. We concluded that the effects of principal leadership were largely *indirect*. Principals appeared to impact student learning by creating conditions in the school that would have a positive impact on teacher practice and student learning (Hallinger & Heck, 1996a, 1996b). These conditions consisted of many of the strategic areas that have been discussed in this chapter (e.g., defining an academic mission, fostering capacity for professional learning). The size of the principal leadership effects that we found across studies was statistically significant, but quite small. At that time, we suggested, however, that even a small contribution could be meaningful in the world of daily practice in schools.

More recently, other researchers have conducted up-to-date systematic reviews (e.g., Bell et al., 2003; Leithwood et al., 2004, 2006) and meta-analyses (Marzano et al., 2005; Robinson, 2007; Robinson et al., 2008) of empirical studies of school leadership effects. These reports generally confirm our earlier conclusions concerning both the nature and size of school leadership effects on student learning. Moreover, a larger sample of studies and new methodologies for review allow for a higher degree of specificity in their conclusions and confidence in their interpretation of the evidence than was possible 15 years ago when we began our own review.

What Theoretical Model Best Explains Successful Leadership for Learning?

As noted earlier in the chapter, the pendulum has swung back and forth over the past several decades favoring different leadership models at different points in time. The most recent reviews of this empirical literature appear to confirm that general leadership models (e.g., transformational, path-goal, situational theories) do not capture the type of leadership that "makes a difference for student learning" in schools

(Bell et al., 2003; Hallinger, 2003; Leithwood et al., 2004, 2006; Marzano et al., 2005; Robinson, 2007; Robinson et al., 2008; Southworth, 2002, 2003). Instead the reviewers suggest that successful school leadership must include a core of leadership practices that we may term educational, instructional, or learning-centered.

During the 1990s, Ken Leithwood and his colleagues at the Ontario Institute for Studies in Education in Canada carried out a substantial program of research on the effects of transformational school leadership. Leithwood's (1994) model was adopted from research by Bass (1985) on transformational leadership in the private sector. After more than a decade of conducting empirical studies of transformational school leadership, Leithwood concluded that the model fails to fully capture features that explain successful leadership in school settings (Leithwood et al., 2004, 2006). That is, leadership which makes a difference in learning for students seems to incorporate dimensions that are education-specific and connected to the organizational context in which it is exercised.

This issue was analyzed with great specificity in a recent meta-analysis of school leadership effects studies conducted by Robinson and colleagues (2008). After reviewing studies of school leadership effects on learning using different leadership models (e.g., transformation, instructional), they drew the following conclusion.

> In summary, although caution is needed in interpreting the evidence presented ... it suggests that the impact of instructional leadership on student outcomes is notably greater than that of transformational leadership. It is noted that in general, abstract leadership theories provide poor guides to the specific leadership practices that have greater impacts on student outcomes (2008, p. 22).

Which Leadership Practices "Make a Difference"?

As noted, the preponderance of evidence indicates that school principals contribute to school effectiveness and student achievement indirectly through actions they take to influence school and classroom conditions (Bell et al., 2003; Cheng, 1994; Hallinger & Heck, 1996a, 1996b; Kleine-Kracht, 1993; Leithwood et al., 2004, 2006; Marzano et al., 2005; Robinson, 2007; Southworth, 2003). In their assessment of this literature, Leithwood and colleagues (2006) drew a very useful and in my view central conclusion concerning the interpretation of research findings on effective leadership practices in schools. They noted that effective school leaders tend to enact the "same basic leadership practices" across schools, but in a manner that is responsive to the particular contexts. This conclusion, broadly consistent with general contingency leadership theory, suggests that those who attempt to define successful school leadership practices must be content with a reasonably high level of abstraction.

By way of example, consider one of the most influential avenues of effects that has been identified in the literature on school leadership, shaping the school's mission (Bamburg & Andrews, 1990; Glasman, 1984; Goldring & Pasternak, 1994; Hallinger et al., 1996; Hallinger & Heck, 1996a, 1996b; Heck et al., 1990; Leithwood et al., 2004, Marks & Printy, 2003; Robinson et al., 2008). Creating

consensus around a clear academic mission for the school seems to characterize effective school leadership be it in an elementary or secondary school, a turn-around school, or one with a tradition of success. However, the *specific actions* that leaders enact to create a shared academic vision and motivate staff toward its achievement may look quite different in different school settings.

This conclusion was foreshadowed in our own study of instructionally effective elementary schools in California 25 years ago (Hallinger & Murphy, 1986). This research sought to understand the nature of differences in schools that were instructionally effective for low Socio Economic Status (SES) and high SES students and communities. The research found that defining a shared mission was important in both sets of social contexts, but that the *practice* was enacted quite differently by the school leaders. In the low SES effective schools, clear, specific, measurable goals were prominently displayed around the school and featured in the principal's active efforts to create a shared vision. In the high SES effective schools, interviews with different stakeholder groups revealed clear understanding, as well as strong agreement and support for school's academic mission. Yet, in contrast to the low SES schools, this vision was embedded in the culture of the school, even in the absence of clear, specific measurable goals. The principal's actions involved supporting and developing a strong academic culture rather than "turning around" a weak culture through goal direction.

Whose Leadership Fosters Student Learning?

Discussions of school leadership must not only take into account the practices and effects of leadership, but also the sources. Up until the early 1990s, studies of school leadership focused predominantly on the principal as the source of leadership (Bridges, 1982; Erickson, 1967; Hallinger & Heck, 1996a, 1996b). During the 1990s an emphasis on teacher professionalism led to increased consideration of the role of teacher leaders as well as other sources of leadership in the school (Barth, 1990, 2001; Blasé & Blasé, 1998; Harris, 2003; Lambert, 2002; Marks & Printy, 2003). This led to the explicit reconceptualization of school leadership as a distributed process (Gronn, 2002, 2003, 2009; Spillane, 2006).

Distributed leadership refers to collaborative leadership exercised by the principal, assistant principals, department heads, teacher leaders, and other members of the school's improvement team. The rationale for focusing on distributed school leadership is grounded in the concept of sustainable change (Fullan, 2001). In schools, leadership must be able to create sustainable changes that are embraced and owned by the teachers who are responsible for implementation in classrooms (Hall & Hord, 2001). Moreover, given the observed intensification of work activities of leaders in schools, leadership must also be sustainable for those who lead (Barth, 1990, 2001; Donaldson, 2001). As Hall and Hord (2001) conclude from their research on successful change in schools, "principals can't do it alone." Thus, increasingly, scholars assert that sustainable school improvement must be supported

by leadership that is shared among stakeholders (Barth, 1990, 2001; Clift, Johnson, Holland, & Veal, 1992; Day, Gronn, & Salas, 2006; Fullan, 2001; Gronn, 2002, 2009; Hall & Hord, 2001; Harris, 2003; Kleine-Kracht, 1993; Marks & Printy, 2003; Spillane, 2006).

While this line of theoretical work is very attractive from several standpoints, to date there have been few empirical studies that have investigated the linkages between distributed leadership and student learning. One prominent attempt to study distributed leadership empirically was undertaken by Marks and Printy (2003). Their conclusion highlights the potential of this approach.

> This study suggests that strong transformational leadership by the principal is essential in supporting the commitment of teachers. Because teachers themselves can be barriers to the development of teacher leadership, transformational principals are needed to invite teachers to share leadership functions. When teachers perceive principals' instructional leadership behaviors to be appropriate, they grow in commitment, professional involvement, and willingness to innovate (Sheppard, 1996). Thus, instructional leadership can itself be transformational (p. 86).

More recently my colleague Ron Heck and I completed a study of distributed school leadership effects on student learning (Heck & Hallinger, 2009). This study of 200 elementary schools investigated the effects of distributed leadership on school academic capacity and student learning in reading and mathematics over a 4-year period. The findings from this study are directly relevant to our evolving understanding of school leadership for learning.

First, the results provide specific empirical support for the proposition that distributed leadership can become, *over time*, a sustaining driver for school improvement. Change in distributed leadership in these schools was directly associated with changes in academic capacity of the schools and, indirectly related to growth in student achievement. The alignment of teacher and student perceptions that changes took place in classroom practices reinforced the causal assumption of linkage between changes in academic capacity factor and growth in math achievement.

Second, we found *indirect* leadership effects of distributed school leadership on academic outcomes. This reinforces and extends an important conclusion from reviews of research on school leadership effects cited earlier in this chapter (Bell et al., 2003; Bossert et al., 1982; Leithwood et al., 2004; Robinson et al., 2008; Witziers et al., 2003). Moreover, unlike the cross-sectional research studies that have predominated in school leadership effects research, this study was longitudinal. Therefore, we were able to monitor changes in the schools over time and assess the pattern of changes in leadership with patterns of change in academic capacity and student learning outcomes. This is the first study that has located statistically significant, indirect effects of leadership on student outcomes within a *dynamic model of school improvement*. The use of longitudinal modeling offers greater confidence for the assertion that "school leadership makes a difference" in school improvement.

Third, this study also confirms earlier statements made concerning the need to adapt leadership practices to the particular school context. Evidence in the study suggested different patterns of leadership practice in schools located in challenging environments that had *turned around* and made significant improvements over the

4-year period of the study. It is particularly interesting to note that in these schools it was a combination of principal stability and stronger leadership that was associated with consistent and significant growth.

These findings represent an early contribution to the emerging *empirical* knowledge base on the *effects* of distributed school leadership (e.g., see Marks & Printy, 2003; Mulford & Silins, 2003; Timperly, 2009). The study highlights additional sources of school leadership and explicitly links distributed leadership to capacity building strategies designed to impact teaching and learning.

Conclusions

This chapter has sought to provide an historical context for the current interest in "leadership for learning." This global phenomenon has without doubt evolved out of earlier research and practice grounded in the concept of instructional leadership. It is a credit to the field that current conceptions of leadership have evolved through a cycle of conceptualization, critique, implementation in practice, further research, and reconceptualization.

Based on this review, I would summarize three key areas in which leadership for learning adds value to the earlier conception of instructional leadership.

- Leadership for Learning as an organizing construct for school leadership is not limited to the principal as was the case with instructional leadership. It incorporates the notion of shared instructional leadership (Barth, 2001; Lambert, 2002; Marks & Printy, 2003).
- Leadership for Learning incorporates an awareness that instructional leadership practices must be adapted to the nature and needs of the school's particular context; there is no one-size-fits-all model available for quick dissemination and implementation (Leithwood et al., 2004, 2006).
- Leadership for Learning integrates educational features grounded in conceptions of instructional leadership with selected features of transformational models such as modeling, individualized support, and capacity development (Hallinger, 2003; Leithwood et al., 2004, 2006; Robinson et al., 2008).

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Chapter 6
Developing Leadership to Improve Student Outcomes

Kenneth Leithwood and Linda Massey

Introduction

Leadership has captured the imagination of contemporary policy makers and educational reformers to an unprecedented extent. It is now widely viewed as both a central explanation for school effectiveness and one of the most powerful levers for improving schools. This belief in the power of good leadership has prompted an enormous number of initiatives, in many parts of the world, to improve the capacities of both aspiring and existing leaders. While the "poster child" for these efforts remains England's *National College for School Leadership*, other very ambitious initiatives are not hard to locate in almost all developed countries (e.g., Huber & West, 2002). Belief in the generative power of good leadership has also stimulated and reinforced advocacy for "distributed" (Leithwood, Mascall & Strauss, 2009) and "shared" (Pearce & Conger, 2003) conceptions of leadership. If leadership is such a good thing, many reason, the more people doing "it" the better, whether or not they hold formal leadership positions.

As is typical of most efforts to improve schools, the choice of leadership development as a strategy has been only partly rational. While this choice has been undeniably influenced by research evidence, at least as influential has been the contemporary "romance"[1] with leadership, especially in Western societies, a "bias for action" lionized in popular media and the neoliberal-sponsored "new managerialism" turn in public administration (e.g., Peters, 1992). Almost all planned leadership development efforts, however, consume substantial resources and incur significant opportunity costs. In a more fully rational policy world, those advocating leadership development as a strategy for improving student achievement would more carefully

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[1] We use this term after Meindl (1995) who argues that leadership provides a simple explanation for organizational behavior which actually has multiple, complex causes.

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weigh the relevant research evidence in helping to sort out the pros and cons of placing their bets on leadership development.

In this chapter we argue that the relevant research evidence does not justify leadership development as a stand-alone strategy for improving student achievement. Such evidence does, however, justify including leadership development as a key part of almost any comprehensive large-scale reform strategy. But to realize its potential contribution to an overall reform strategy, leadership development needs to be carefully aligned with other elements of that overall strategy.

We begin the chapter with our own weighing of the leadership effects evidence. Then we illustrate what our argument amounts to, in practice, by describing the main features of an exemplary case of leadership development embedded within, and aligned to, the larger reform efforts of a provincial government. The chapter also summarizes results of an evaluation of this case over two annual cycles, identifying lessons from this case potentially useful in other large-scale reform initiatives which include leadership development among their elements.

Weighing the Evidence for Leadership Development as a Strategy for Improving Student Achievement

The Bad News

Evidence typically cited in support of further developing leadership capacity in schools is predictably less conclusive than such advocacy would suggest. This evidence has been generated by both quantitative and qualitative studies. The sobering news about evidence from quantitative leadership studies[2] is actually pretty obvious. First, although typically the product of large-scale research, almost all this evidence reports *relationships* between some set of leadership practices and a selection of valued organizational and student outcomes. Evidence from such correlational research provides only weak support for the sort of causal claims that are foundational to leadership development advocacy. Second, relationships reported in these studies are typically statistically significant but small. If, as this type of evidence suggests, leadership explains only a small proportion of variation in student achievement, then realistically, how much improvement in achievement can be expected given the marginal expansion of leaders' capacities even when they are involved in the best-designed development initiatives?

Limitations of the evidence produced by qualitative leadership research[3] are equally obvious. While this moderate-sized body of research, unlike its large-scale quantitative sibling, often reports great gains in student achievement over time that are attributable to the efforts of talented leaders, the small-scale nature of the

[2]Much of this research has been systematically reviewed in Leithwood and Riehl (2005) and Leithwood, Seashore Louis, Anderson, & Wahlstrom (2004).

[3]A related series of such studies has been reported in Day and Leithwood (2007), for example.

studies makes applications to other settings hazardous. Additionally, almost all such studies have used relatively weak "outlier designs." Studies using "outlier" design sample only leadership in those schools whose students perform at the extremes of the achievement distribution. Studies using "weak" outlier design examine only the leadership in schools whose students perform at one end of the achievement distribution – the high end. These studies do not produce comparable evidence about how much of what is described as "successful" leadership might also be found in less successful schools. As a consequence, these studies tell us something about the "necessary" but not the "sufficient" practices of successful leaders. Perhaps as serious a weakness, finally, leadership studies using outlier designs begin with the assumption that leadership is a major cause for the improvements in student achievement as has been demonstrated by the exceptionally performing schools selected for study. Sometimes evidence confirming the contribution of leadership is collected from teachers or those in other roles but that is the extent to which this critical starting assumption is tested and often it is not tested at all. There are many plausible explanations, in addition to leadership, for significant increases in a school's performance.

Type of research aside, there is almost no direct evidence linking improvements in leadership, fostered by serious leadership development efforts, to improvements in student achievement.[4]

The Good News

In the face of this sobering news, is there any justification, at all, for using leadership development as a strategy for improving student achievement? We believe that there is, based on six features of the relevant evidence:

- Although typically reporting small effects on – or weak relationships with – student achievement, the evidence *consistently* indicates that these effects or relationships are both positive and significant;
- Leadership effects reported in the evidence are moderate to large on many organizational variables which are themselves strongly associated with student learning (e.g., school culture, agreement about school goals). This evidence is in line with claims that leadership effects on students are largely indirect (Hallinger & Heck, 1996; Leithwood & Jantzi, 1999);
- There are no reported instances, of which we are aware, of a failing school turning itself around in the absence of talented leadership. Leadership effects appear to be largest where they are needed most;

[4]See Leithwood, Riedlinger, Bauer, and Jantzi (2003) for one of the very few exceptions.

- The database concerning leaderships effects is at least as impressive in both quantity (roughly 80 quantitative and many more qualitative studies) and reported effects as are the databases about most other variables selected for attention in school reform efforts – and considerably better than many;
- Borrowing the concept from Creemers and Reezigt (1996), most school and classroom variables have "synergistic effects." That is, considered independently, their effects are small, often not larger than the effects reported for school leadership. It is the coordinated accumulation of these small effects that can add up to large improvements. School leaders are key stimulators of – and coordinators for – these small effects.

Weighing the News

What is the most reasonable conclusion to draw about leadership development as a strategy for improving student achievement from the evidence summarized above? Our own answer to this question is that, as a stand-alone strategy, leadership development is unlikely to produce significant gains in student achievement, however well it is implemented. While leadership development might have large effects in some schools, especially (and importantly) in struggling schools, these effects will not be large enough to influence patterns of achievement across a large educational jurisdiction such as a country, state, or province.

Few educational jurisdictions, however, stake their improvement efforts exclusively on leadership development. But this is not the same as embedding leadership development within, and aligning it with, the more comprehensive reform effort. Since very few jurisdictions have proceeded in this way, the large effects that are possible through synergistic relations across many variables (including leadership), each responsible for small effects, have almost never materialized. Multiple, non-aligned changes in schools have simply produced feelings of confusion, overload, stress, and low morale on the part of school staffs (Leithwood, 2006). These effects are much less helpful than they would be if leadership development were the only game in town.

These conclusions and implications based on the evidence suggest a reform strategy which includes, but is clearly not limited to, leadership development – a strategy in which the parts are carefully aligned (see also evidence reviewed by Levin, in press). To have their greatest effect, leadership development initiatives should be part of a suite of coordinated strategies, not a stand-alone strategy. Relatively new evidence from research on large-scale reform also points toward two additional features of such a comprehensive strategy. First, it now seems clear that unless leadership development is strongly linked to classroom practice, it will not have much impact (a, 2006). Indeed, much earlier evidence from the restructuring movement in the United States, a movement aimed at increasing the power and capacity of school-level leaders, is a case in point (Leithwood & Menzies, 1998; Murphy & Beck, 1995). Second, a comprehensive strategy which includes leadership development should entail the building of community-like cultures within and across schools (Fullan, 2006a; Levin, in press).

The remainder of the chapter describes a major initiative, underway for the past 3 years, in the Canadian province of Ontario, to include leadership development as part of a larger instructionally focused strategy for improving elementary school student literacy and numeracy. The initiative has been the object of ongoing external evaluation, both formative and summative. We describe the provincial context for this initiative, key elements of the initiative itself, the nature and results of the evaluation and some of the lessons we have learned to this point, that are likely to be of use to those involved in other large-scale reform efforts.

Case Analysis: Research – Leading Student Achievement (LSA)

The Ontario Context

In 2003, the provincial government of Ontario, Canada, adopted an approach to school improvement based on building capacity through the "development and use of policies, strategies, and actions that increase the collective power or efficacy of whole groups, organizations, or systems to engage in continuous improvement for ongoing student learning" (Fullan, 2005, p. 210). One strategy of the Ontario government was to set the target that "75 per cent of 12-year olds reach the provincial standard on province-wide reading, writing and math testing by 2008" as measured by assessments of literacy and numeracy proficiency carried out by the Education Quality and Accountability Office (EQAO), an independent agency. The Literacy and Numeracy Secretariat was established to support educators at all levels responsible for improving the achievement of primary and junior students from Kindergarten to Grade 6.

In the spring of 2005, the newly launched Literacy and Numeracy Secretariat accepted a proposal for an educational change initiative, *Leading student achievement: Our principal purpose* (LSA), developed by the three Ontario principals' associations: the Ontario Principals' Council (OPC), the Catholic Principals' Council of Ontario (CPCO), and l'Association des directions et directions des écoles franco-ontariennes (ADFO). The LSA project was designed as a partnership with the Literacy and Numeracy Secretariat (LNS). Curriculum Services Canada (CSC) was contracted to support the project. In funding the LSA proposal, the Ministry of Education expressed its belief in the contribution of leadership to school improvement at the school, as well as the district and provincial levels.

LSA Vision and Framework

The LSA project proposed a vision of principals collaborating in both district-level principal learning teams and school-level professional learning communities for the purpose of improving instructional practice and student achievement. This vision was based on the assumption that, "there is no chance that large-scale reform will happen, let alone stick, unless capacity building is a central component of

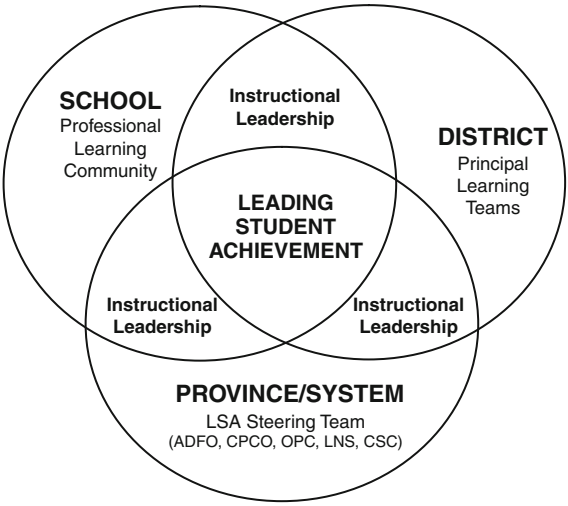

Fig. 6.1 LSA triad: Tri-level collaborative leadership

any strategy for improvement. The vision assumed, as well, that capacity building *throughout the system* at all levels must be developed in concert, and doing this requires powerful new system forces" (Fullan, 2005, p. 10, italics in original).

The LSA project created an infrastructure that integrated "top-down and bottom-up forces in an ongoing, dynamic manner" that encouraged what Fullan has labeled "permeable connectivity." Fullan argues that permeable connectivity occurs when teachers and leaders at all three levels – school, district, and province – interact together to build lateral capacity (Fullan, 2006b, p. 95). The three overlapping circles in Fig. 6.1 suggest a commitment to the permeable connectivity necessary for supporting collective leadership learning on a system-wide scale.

The framework for the LSA project, depicted in Fig. 6.1, indicates that tri-level collaborative leadership is considered central to the operation of the project. At the provincial level, a Steering Team provides system-wide leadership by developing and facilitating a variety of professional learning opportunities for principals. At the district level, principals work in principal learning teams, usually with at least one district leader, to increase their capacities as instructional leaders and as leaders of professional learning communities. At the school level, principals support teacher learning teams in their efforts to improve instructional practice and to raise student achievement. The three circles overlap, acknowledging the instructional leadership roles of principals, district leaders and provincial/system leaders as they work to increase their capacity to meet the provincial achievement target in literacy and numeracy.

Implementing the Vision and Framework

The LSA project was launched in April, 2005 and August, 2008 marked the beginning of its fourth year. Responsibility for the project fell to a 14-member Steering

Team (chaired by the second author of this chapter) representing the five partners: OPC (4), CPCO (4), ADFO (2), CSC (2), and the LNS (2). In Year 1 (2005–2006), 22 of the 72 Ontario district school boards participated in the LSA project. By the beginning of Year 4, 46 districts were participants with 69 supervisory officers, 212 principal learning teams and nearly 1700 principals and their schools involved.

With the support of district leaders, participating elementary principals in each of these districts were organized into principal learning teams (PLTs) with eight to ten principals in a team who agreed to meet at least eight times a year. At the beginning of the school year, each PLT was required to submit a learning plan based on the goals of the LSA project and at year-end to submit a report on the progress of their PLT over the year.

LSA's Leadership Development Activities

To build leadership capacity within schools and across districts, the LSA Steering Team planned and delivered professional development to principals in a variety of formats, ranging from those embedded in individual principal learning teams to externally provided expertise made available to many teams at a time. The Steering Team provided access to the resources necessary to support leadership collaboration for school improvement across the three levels of school, district, and system. Steering Team members visited participating districts to provide consultative support to their planning. As well, each principal association developed an email communication strategy that kept school and district leaders well informed about LSA activities and resources.

As the members of the LSA Steering Team saw it, an essential responsibility of their project leadership was to develop and deliver exceptional professional development opportunities that supported the goals of the LSA project. The LSA vision was based on the premise that all educators at the school, district, and system levels were responsible for improving their knowledge and skills in order to provide the conditions that best supported improved student achievement. The Tri-level Collaborative Leadership Framework depicted in Fig. 6.1 reflected the job-embedded professional learning that was characteristic of effective professional learning communities. Teachers in school learning teams, principals in principal learning teams, and system leaders in the LSA Steering Team have provided each level with the opportunity to design their own professional learning. Supporting the collective improvement efforts of participating districts was a central priority for the Steering Team.

Over the first 3 years of the project, nine leadership development symposia were offered to the over 200 principal team leaders and their district colleagues across the province. These symposia were videotaped and posted on the project website. DVDs with Facilitator's Guides were created so principal team leaders could share their learning experiences with members of their principal learning teams, teachers, and the school community. The project also provided a series of one-day workshops developed by each of the principals' associations and made them available to

participating principal learning teams in their districts. These included workshops on such topics as Implementing Professional Learning Communities, Leadership for Literacy, Leading in Math, Data Driven Decision Making, and Principal Action Research. Web conferences (online workshops) were a popular addition in the third year. Principal learning teams were also provided with articles and books that supported the goals of the project. In addition, the Literacy and Numeracy Secretariat also made available *Student Achievement Officers* (very knowledgeable consultants) to work with teachers in schools on developing specific strategies to raise student achievement in literacy and numeracy.

Sustaining the LSA Project

The LSA Steering Team is now working especially hard at sustaining both the project and the progress being made in schools by project members. As it entered its fourth year (2008–2009), the Steering Teams proposal to the Secretariat for funding included, for the first time, a request for resources to help teachers meet in district-wide networks, as well as a continuation of the ongoing leadership development resources already available to principals in the project. This proposal has been approved.

What motivates the Steering Team and the participating principals of the LSA project to sustain their collective leadership endeavors? A possible answer can be found in the words of Lieberman and Grolnick (1996):

> When networks, coalitions, and partnerships last long enough to create ongoing learning communities, cultures based on mutual knowledge, learning, and collaboration replace the transmission of knowledge from one institution to another. These cultures, focused on critical issues of school reform, place educational practice at their centre, providing the kind of social and professional nourishment that leads many members to invest time, effort, and commitment far beyond what they give to the usual professional development organizations. (p. 41)

The LSA Project Evaluation

Consistent with its commitment to evidence-informed decision making, the Literacy and Numeracy Secretariat appointed an external evaluator (the first author of this chapter) to monitor the LSA project. His responsibility was to help the Steering Team set project goals, and to identify research-supported practices for both leadership development and instructional improvement. The Steering Team has worked closely with the evaluator in response to recommendations arising from annual cycles of data collection. This section of the chapter summarizes the nature of the evaluation and the recommendations that have emerged for the attention of the Steering Team.

Evaluation Design

The LSA project has been evaluated during the last two of its now three annual cycles (2006–2007 and 2007–2008). The two annual cycles of evaluation have much in common, although first-year results suggested some refinements for the second year. This brief description of evaluation methods emphasizes primarily what was common across both years, noting second-year variations only briefly.

Purposes for the evaluation were to answer a series of questions about short-term impact and the effectiveness of project methods, as well as to provide insights useful in refining next steps in the project. Regarding the impact of the project, the evaluation asked about changes in: the leadership practices of participants; the instructional practices of participants' teacher-colleagues; other relevant school conditions or characteristics; and the literacy and numeracy achievement of students in participants' schools. The evaluation also asked about types and effectiveness of learning opportunities provided to participants.

The framework for the evaluation assumed primarily indirect effects of LSA principal leadership on students' literacy and numeracy achievement. Viewed as a series of cause and effect relationships, the framework began with the leadership development experiences provided to LSA participants. These experiences were assumed to influence principals' knowledge, skills, and dispositions – especially those considered relevant to improving achievements especially in literacy but also numeracy. The framework also assumed that additional knowledge, skills, and dispositions by project participants would lead to a change in their overt leadership practices or behaviors. The starting point for what such practices should be was a model of transformational school leadership adjusted to give special weight to the goals of the project. Eventually these were conceived of as team rather than individual leadership practices. More refined leadership practices were, expected to produce positive changes in school conditions, conceived of as features of a professional learning community (e.g., Louis, Marks, & Kruse, 1996) and in teachers' literacy and numeracy instruction, a broadly constructivist view of such instruction receiving substantial support in the reform community (Cohen & Hill, 2001) and enjoying a moderate amount of research support, as well. Changes of this sort were viewed as the proximal causes of changes in student achievement.

Survey data were collected from both project members and a sample of their teaching staff in the fall and spring of each of the two annual evaluation cycles. Mid-year telephone interviews also were conducted with a random sample of about four dozen participants. Measures of the math and language achievement of Grades 3 and 6 students in project member schools were collected from the website of the agency that collects such evidence in all elementary schools in Ontario.[5] Three years of such data were collected for all schools from which responses to the teacher surveys were received. Student achievement was estimated using mean annual achievement

[5]This is the Educational Quality and Accountability Office (EQAO).

scores, as well as change scores over the 3-year period. At the point of writing this chapter (August 2008), only achievement data collected during the first year of the evaluation were available.

The next two sections of the chapter describe the results and recommendations arising from each of the two annual cycles of evaluation. We are more explicit and detailed about results of the second of these cycles because of the cumulative nature of the evaluation results and due to the more substantial influence of second-cycle results on the lessons we have learned that seem useful for those involved in other large-scale reform efforts.

Summary of Results and Recommendations from the First Evaluation Cycle

Results. While few results of this cycle of the evaluation were striking, and some seemed to paint a disappointing picture of LSA's impact, interpretation of these results depends very much on how the purposes for the early stage of the project are conceived. The Secretariat, for example, rightly viewed LSA as one its multiple strategies for improving the literacy and numeracy achievement of students in the province. And it was this conception of the project around which the evaluation was originally designed. Such a conception justifies a primary focus on LSA's impact on classroom instruction and student achievement.

Initial stages of the LSA project also may be viewed, however, as an approach to leadership learning on a very large scale. Evidence suggested that such a view was held by significant numbers of project participants along with considerable numbers of their teachers: it may have been considered the more realistic view by those guiding the project in the three principal associations, as well. This understanding directs attention to LSA's early impact on those leadership capacities and on the organizational conditions likely to support effective teaching and learning, rather than to such teaching and learning directly.

Viewed through each of these lenses, the first cycle of evaluation evidence portrayed LSA's initial accomplishments quite differently. As a strategy for improving classroom instruction and student achievement, evaluation results painted a picture of mixed success, at best. Teachers' literacy instruction changed in the desired direction but teachers' mathematics instruction changed very little, if at all, and there were no significant changes in teachers general instructional practices. Furthermore, no significant relationships were found between mean achievement levels in either literacy or math and teachers instructional practices. If the purposes for the early stages of the LSA project were to improve classroom practice and student achievement, then their success had to be judged as quite modest.

Such was not the case, however, when the project was considered an approach to leadership learning on a large scale. This focus shone a light on leadership capacities and organizational conditions, and directed attention to the evidence of changes in leadership team practices, as well as increased collaboration by both leaders

and teachers in professional learning communities. Evaluation results indicated that teachers perceived those in formal leadership roles (teachers and administrators) to be having a moderate to substantial influence on their work. In addition, results indicated that project participants believed they benefited from their project experiences and that they had become much more focused on teaching and learning in their schools, especially in relation to literacy and numeracy. This evidence also demonstrated substantial increases in leaders' uses of evidence to make decisions about literacy and numeracy instruction and to set targets for improvements in these areas of the curriculum.

Recommendations. The first annual cycle of LSA evaluation results, therefore, led us to conclude that, as a strategy for improving student learning, LSA had yet to demonstrate much impact. But it was unquestionably too early in the life of the project for this to be a reasonable expectation. As an approach to leadership learning on a large scale, however, LSA showed promising signs of making an impact. Furthermore, it was reasonable to expect this impact to have an influence on the quality of teaching and learning in the intermediate term. For this impact to be realized, the evaluation made two recommendations, both of which were adopted and acted on by the Steering Team. The first recommendation involved maintaining and expanding on the initial year's priorities, developing instructional leadership skills, creating professional learning communities in schools and districts, and improving the quality of classroom instruction. The second recommendation encouraged a more focused emphasis on the development of key learning conditions in schools during deliberations in PLCs. Supported by considerable evidence, key learning conditions included: academic press; disciplinary press; collective teacher efficacy; more efficient uses of instructional time; and mutual trust among teachers, students, and parents.[6] Finally, the evaluation drew attention to the importance of highlighting more explicitly the relationship between the project's approach to instructional leadership and a "leadership framework" and "school effectiveness framework" which had also been developed by the province's Ministry of Education.

Summary of Results and Recommendations from the Second Evaluation Cycle

Results. The second evaluation cycle followed the same design as the first, but with data collection instruments modified in recognition of the recommendations prompted by results of the first cycle. The most important results of the second cycle can be summed up as brief answers to eight questions.

1. How well developed were the key learning conditions in LSA schools and did this level of development change over the year?

[6]The call for an emphasis on these priorities was made at the annual LSA convention, supported by a paper written and delivered at the convention by the evaluator (Leithwood & Jantzi, 2007).

Based on survey responses, principals considered all of the key learning conditions to be moderately well-developed at the beginning of the year (between 3 and 4 on the 5-point rating scale) and further development had occurred by the end of the year, significantly so for all conditions except disciplinary climate. Disciplinary climate and time for instruction were considered the best developed, while focused instruction and academic press were rated the least well developed.

Mid-year interviews with principals were less uniformly positive. There was wide variation in the time and attention project members said they were devoting to the key learning conditions. At one extreme, those conditions were a focus of systematic professional development for PLT and PLC members while, at the other extreme, some interviewees seemed to have barely heard of the learning conditions.

Teacher survey responses indicated, in agreement with the principals, that the level of development of all key learning conditions was in the moderate range at the beginning of the year. Unlike principal ratings, ratings of the status of all learning conditions, except uses of instructional time (which increased significantly), declined from fall to spring. This decline was statistically significant in the case of disciplinary climate and trust. Perhaps as teachers learned more about the learning conditions, they became more conservative in their estimates of how well developed they were in their schools.

While these results, as a whole, are difficult to interpret, efforts to further develop the learning conditions seemed warranted.

2. How did LSA principals judge their capacity to further develop the key learning conditions in their schools and did this capacity change over the year?

Principals, on average, were relatively confident about their capacity to improve the key learning conditions at the beginning of the year. This confidence was highest in the case of disciplinary climate and lowest for teacher trust in colleagues, parents, and students. Confidence grew over the year in relation to all key learning conditions, and this growth in confidence was statistically significant for all but disciplinary climate and collective teacher efficacy. This growth in confidence seems inconsistent with teachers' views that the status of the learning conditions actually declined over the year.

3. How did LSA principals judge the status of their principal learning teams (PLTs) and did this status change over the year?

Principals generally rated items measuring their PLTs highest among all items on the survey. At the beginning of the year, the highest of these ratings was awarded to the disposition or attitude, within their PLTs, toward the necessity of continuous improvement, followed by instructional improvement as a solvable problem. Respondents were more circumspect about the knowledge and skills of their PLT colleagues. The perceived status of PLTs remained unchanged or declined very slightly over the course of the year, perhaps a function of the initial high ratings.

4. How did LSA principals assess the contribution to their own leadership of participation in their professional learning teams (PLTs) and did this contribution change over the year?

Principals gave the highest ratings on the survey, as a whole, to the contributions PLT participation made to their own leadership development. But these ratings declined significantly over the course of the year. Perhaps as principals became increasingly sensitized to the specific challenges they faced in their own schools, they also became less optimistic about the contribution PLTs were making to their ability to address those challenges.

5. Was the quality of a professional learning team (PLT) related to its members' confidence in being able to improve key learning conditions in their schools?

Principals' perceptions of the quality and value of their PLTs was weakly to moderately related to the confidence they had in their capacity to improve the key learning conditions, and this relationship strengthened over the year, suggesting that PLTs are considered an important source of support for their members.

6. How did teachers judge the impact of professional learning communities (PLCs) in their schools and did this impact change over the year?

Teachers were moderately positive about the impact of their PLCs, although this variable attracted the lowest set of ratings among all those on the survey. Ratings were highest, both fall and spring, for the impact of PLCs on teachers' own instruction, and more generally, on what they do in their classrooms, along with their commitment to their schools' goals for students. Teachers' perceptions of their PLCs' impact was only weakly related to the status of the key learning conditions in their schools. PLCs were not viewed as reducing the time teachers needed for their own preparation, nor had efforts to further develop PLCs resulted in many teachers observing one another teach.

On average, teachers became slightly but significantly more positive about their PLCs' impact from fall to spring. But this average masks small declines in the ratings of six of the nine items used to measure PLC impact. The notable exception to this pattern was teachers planning together as part of the school day. There was a large change in the rating of this item, from a very low rating in the fall to a mid-level rating in the spring.

According to teachers, then, LSA efforts to further develop PLCs seem to have resulted in improvements in relation to one of a handful of goals for the implementation of PLCs.

7. How did teachers judge the quality of instructional leadership experienced in their schools and did that change over the year?

Teachers' perceptions of the quality of instructional leadership they experienced in their schools had a moderately strong relationship with the status of the learning conditions and a strong relationship with teachers' judgments about the impact of their PLCs. Teachers were moderately positive about the overall quality of instructional leadership provided to them, and this estimate did not change from fall to spring. Of the 17 separate leadership practices assessed, significant changes in ratings occurred for only four practices; this was an increase in two cases and a decrease in two cases.

According to these results, LSA's efforts to extend the development of instructional leadership skills among its members over the year seemed justified but were largely undetected by teachers.

8. How helpful were the supports provided to participants by the project and what else might be useful?

The sample of 40 project members who were interviewed mid-year expressed considerable appreciation for the resources and supports that were being provided by the LSA project. While these principals cited many challenges to the implementation of project initiatives in their schools, they also reported that PLTs, conferences, and other forms of professional development, as well as Student Achievement Officers, a position created by the Secretariat, were of considerable assistance in addressing the challenges. LSA resource materials were widely cited as helpful. Not surprisingly, finding time to meet with their PLC and PLT colleagues remained a significant dilemma for some, one that remained unresolved.

Recommendations. The results summarized above as well as other unreported evidence from the second evaluation cycle led to a series of recommendations about continuing development of the key learning conditions and learning communities, as well as highlighting, for project members, the salience of one underestimated leadership function.

Key learning conditions: The second cycle of evaluation produced conflicting evidence about the extent to which key learning conditions were being developed in project schools. This is not surprising given the relatively short time frame within which such development was measured. In light of the considerable potential these conditions have for influencing student learning, the recommendation was to retain them as a priority for project efforts going forward, and to include further development of the key learning conditions among the central goals for project-sponsored professional development. Evaluation results indicate that such development should focus, in particular, on academic press, focused instruction and trust in colleagues, parents, and students.

Learning communities: The LSA project encouraged school leaders to work together in principal learning teams (PLTs) within their districts and to create professional learning communities with their teachers in each of their schools. Because evidence indicated that PLTs were perceived to be among the most powerful sources of continuing support and learning for themselves by the majority of LSA principals, significant resources, it was recommended, should continue to be devoted to further development of PLT leaders and their work.

Similarly, the effective functioning of PLCs should be retained as a priority for continuing attention, with an emphasis on sustaining already well-functioning PLCs. Evidence continued to indicate that few PLCs had progressed to the point where teachers were observing one another in their classrooms, a critically important practice if PLCs are to have significant consequences for student learning.

Among the persistent and fundamental challenges associated with further developing learning communities for significant numbers of principals was finding time to engage with their colleagues. Many other principals had solved this problem to their own and their schools' satisfaction, leading to the recommendation that principals who are still having difficulty finding time for collaborative work in their schools and districts should be brought together with colleagues who have worked out useful solutions to this challenge. Some cross-district interaction would likely be useful.

While well-functioning learning communities have an important contribution to make to the improvement of student learning, LSA's assumptions about the extent of that contribution appear to have been too optimistic. The combined results of two cycles of evaluation indicated that PLCs were being counted on to carry more of the load for bringing about change in the LSA project than was realistic. Hence, the recommendation that the LSA project should adopt, as part of the support it provides its members, a broader focus on "change agentry." PLCs should be considered just one of the components within this broader focus.

Leadership function. The second cycle of evaluation results indicated that "initiative overload" was a challenge for significant numbers of both principals and teachers. This prompted the recommendation that the project should help PLT and PLC leaders develop "buffering" skills. Buffering is an important, but not well understood, practice of successful leaders. In the Ontario policy context, buffering is likely to entail greater understanding of the coherence and alignment that exists among initiatives in support of the quite small number of overriding provincial goals.

Lessons for Large-Scale Reform Efforts in Other Contexts

Experiences with Ontario's LSA project and its evaluation lend weight to the general argument with which the chapter began. Leadership development is unlikely to be a major force for improving student achievement pursued as a stand-alone strategy. It is, however, almost certainly a critical element of almost any more comprehensive approach to school improvement, providing that it is carefully aligned with that more comprehensive approach. Evidence collected over two annual phases of LSA evaluation also suggests a number of more specific lessons which may be of value to those involved in other large-scale improvement efforts. An initial draft of these lessons was developed by the evaluator. Both the evaluator and Steering Team leader then engaged the Steering Team members in an extended conversation about lessons from their own experiences with the project. The nine lessons outlined in this section are a synthesis of the evaluator's draft lessons and of the Steering Team conversation. Five of these lessons are about the relationship between leadership development and the more comprehensive improvement effort, while four are concerned with the leadership development strategy alone.

Leadership Development and the Larger Change Effort

Expect to make many ongoing refinements of the initial plan: Whatever the initial plan for leader development and no matter how well justified that plan might be, flexibility and adaptation along the way will be a basic requirement for success. An initial plan for leadership development just tells you where to begin.

Enlist the aid of systematic formative evaluation: Including a strong formative independent, evaluation function, as part of the leadership development effort, is

likely to be the most reliable way of figuring out what sorts of adaptations are required. It is also likely to be the source of feedback about progress that is least likely to be biased by the almost inevitable gloss of success which those leading the project come to feel. In most large-scale efforts, there will be many examples of both success and failure. For those sponsoring and leading the effort, the examples of success will almost always be the most seductive. The very strong temptation will be to focus on examples of success at the expense of evidence about what is not working. Yet evidence about what is not working provides the greatest insights about how best to proceed.

The LSA evaluation, for example, quickly became not just formative but highly participatory, with the Steering Team getting involved in reviewing instruments before their use and participating in the interpretation of results. This resulted in Team members having more confidence in the results, and being more inclined to use the results in their decision making. Such participation also kept the evaluator focused on issues the Steering Team felt were critical to its decision making.

Avoid misalignment by not standing still: Part of the need for flexibility and adaptation comes from changes to the overall reform strategy of which leadership development is a part. As the overall strategy changes, so too should the approach to leadership development. Over several years it is not hard to imagine an initially aligned approach to leadership development becoming misaligned by simply not keeping up. In the LSA case, ongoing efforts to remain aligned also meant gradually narrowing the focus of the project so that after 3 years, it was making a unique but realistic and manageable contribution to the overall provincial reform effort.

Insist on dedicated resource allocation: Some of those attracted to participation in the leadership development initiative will not be similarly attracted to, or knowledgeable about, the overall reform strategy of which the leadership development initiative is a part. They will have their own reasons for participating and their participation creates the risk of diverting scarce resources away from the purposes of the larger reform strategy. The distinct possibility of this risk suggests the need to continuously position the purposes for leadership development within the framework of the larger reform strategy and to monitor how project resources are being used at the local level. This lesson, however, is a nuanced one. The LSA experience quite clearly points to the importance of aligning project initiatives with local, as well as provincial, structures, and strategies, providing that long-term goals are compatible in both cases.

Be patient and persistent: Leadership development is not a "quick fix" for improving student achievement, even when it is carefully aligned with a more comprehensive strategy. The central focus for the first 2 years of the LSA project was the development of PLTs in districts and PLCs in schools. By the end of the third year of the project, there was still considerable variation in the development of such learning communities across districts and schools. While significant progress was certainly evident, large numbers of participants were still struggling to develop some of those features of their learning communities most crucial to their contribution to student learning.

For the LSA project, persistence and consistency of purpose were very much a function of the Steering Team whose members remained virtually unchanged,

even as the project entered its fourth year. The Steering Team itself functioned as a learning community, becoming increasingly knowledgeable about, for example, the change process, the nature of successful leadership, literacy and math instruction, and project management. This accumulation of project leadership capacities could not have occurred had the Team's membership been frequently changing.

The Leadership Development Strategy Itself

Focus on mediators. School leadership has largely indirect effects on student learning. So using leadership development to improve student learning means spending considerable effort helping leaders better understand those components of their schools which mediate their influence on student achievement. Many of the new skills leaders need to develop will be about exercising influence on those components. Leaders will need support for their more refined and targeted efforts to: build community in schools, improve teachers' instruction, use instructional time more effectively, foster teachers' collective efficacy, and enhance other mediators of their influence on student achievement.

Catch up new participants. A leadership development initiative as large as the LSA project almost inevitably requires taking on new members in stages. This means that all of the developmental progress made with those involved in the first year of the project must somehow be replicated with those joining the second year, while at the same time helping those who were initially involved to address the new challenges that come with longer tenure in the project. Project leadership becomes extremely complex by the third year and, although the LSA project had not yet begun to consider this problem, there was likely a need to modify the project's management structure to reflect this added complexity and to differentiate the support provided to those who have different amounts of tenure in the project.

Take full advantage of available information technology. Most "large-scale" leadership development projects, almost by definition, will be addressing the needs of a geographically far-flung group of people. This is exactly the problem that video- and web conferencing technology can help to solve. Current information technology can also, of course, make other online learning experiences available to individuals and groups at times convenient to them. This technology, then, dramatically reduces the money and time required to access comparable experiences in alternative ways. The LSA project was a good example of taking full advantage of the available technology, contracting with, and including as part of its Steering Team, staff from *Curriculum Services Canada,* a sophisticated group of educational technology service providers.

Don't confuse means with ends. As early LSA experiences with the implementation of PLCs remind us, in a large-scale development effort it is easy for the mediators of leaders' influence on students to be seen as the end goal. Leaders involved in such development efforts need to be constantly reminded that student achievement is the goal, and everything else is a means to that goal. But there is a caveat to this lesson; it is clearly not helpful to repeat the "it's all about the

student" mantra "ad nauseam," without helping to provide leaders with the means or capacities for reaching that end.

Don't expect "the evidence" to solve your problems. You should never expect research evidence to solve all of your problems. As the lack of a significant empirical relationship between research-based literacy instruction and student achievement in the early stages of the LSA project suggests, for practices guided by such evidence to produce real-world payoff, they must be implemented with a high degree of fidelity, in contexts similar to those in which the research was conducted, and with similar levels of support. Since meeting these conditions is almost impossible most of the time, the leaders' training will need to extend beyond simple knowledge of evidence-based best practices, and include strategies for instructional problem solving, with their teachers taking advantage of evidence-based practices as one of the points of departure.

Conclusion

At the time of writing this chapter (August 2008), the LSA project was beginning its fourth year, and its sponsor, Ontario's Literacy and Numeracy Secretariat, had just undergone a change in leadership, along with the adoption of several new initiatives intended to further help achieve the government's very ambitious literacy targets. LSA's fourth-year plans included the continuation of project priorities along the lines recommended by the external evaluation. In addition, however, LSA's plan called for the use of its by-now considerable collective skills and networks to help the Secretariat implement one of its new initiatives, thereby avoiding misalignment by not standing still. Both the LSA steering group and the Secretariat's leadership were demonstrating patience and persistence. They were both demonstrating considerable flexibility, guided by systematic evidence about what was working well and what seemed not to be helpful.

Well past the point of enjoying the impressive achievement gains that most large-scale reform efforts stimulate in their first few years, both groups, both independently and through their symbiotic relationship, were beginning to chart new reform territory. How successful they will eventually be remains to be seen, but it seems clear that the nine lessons we have drawn from their experiences to date underlie much of what they are doing. Each one of these lessons seems pretty simple, by itself, and we certainly do not claim that any of them are particularly novel. But complexity and novelty are not virtues in their own right. We will settle for what works.

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Part III

Chapter 7
Developing Your Leadership Team

Mark Brundrett

Introduction

Any contemporary practitioner or commentator in the field of education will be aware that recent decades have witnessed a dramatic shift in the way we think about managing human resources from older, hierarchical approaches towards new models that embrace notions of team leadership. This change in perspective has been driven, in part, by an intellectual commitment to more democratic approaches to school organisation but also by more pragmatic considerations based on the need for leadership throughout schools in an era of devolved financial management. At the outset, it is important to say that fully democratic approaches to leadership may be untenable because of the constraints of accountability and other legislative strictures but more devolved approaches to school leadership that emphasise leadership throughout organisations are not only advisable but essential at a time when innovation and change mean that no one person can carry forward a school or school system on their own.

In this chapter I will draw on extensive research into the leadership development needs of school leaders, at all levels in schools, in order to chart strategies that help to forge leadership teams that enhance school effectiveness. In doing so, one central aim is to address Hallinger and Heck's perspective that researchers should engage in 'broadening the scope of research beyond its long-serving preoccupation with Vice-principals and Principals and look at how other leaders make a difference' (Hallinger & Heck, 1999). I will reveal that team building and team maintenance involves a complex process in which the Principal, other senior administrators and team leaders play a key role in interconnecting the various elements that facilitate high-quality leadership learning based on shared aims and values. In doing so, I will explore a series of topics including the reasons why schools need to move from top-down to team approaches; the importance of balancing concern for

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classroom and team roles; developing the team through both internal and external training processes; creating, motivating and balancing teams, within which I will draw on notions of the learning organisation; and maintaining teams. Throughout this chapter I will emphasise that the creation of a team culture never negates nor undermines the role of the Principal and other senior staff; instead it presents new challenges and requires new skill sets and approaches based around a commitment to the co-construction of leadership learning throughout the school.

From Top-Down to Team Approaches: Enhancing Leadership Talent Throughout Schools

Teachers have always known the importance of good leadership. Latterly, national agencies have realised this fact and for nearly two decades the consistent view of governments around the world has been that the leadership, especially the leadership of the Principal, is a key to a school's success. Indeed, the linkage between effective leadership and school effectiveness has been recognised for as long as schools have existed and anyone who has ever been a teacher or other educational professional will readily relate anecdotes about the dramatic effects on behaviour, staff confidence and student outcomes that good school leaders can have (Beare, Caldwell, & Millikan, 1989). Such anecdotal observations have been re-affirmed in recent studies of leadership development (Coles & Southworth, 2005) and there is growing empirical evidence that effective leadership has the potential to impact positively on pupil and whole school performance (Leithwood & Riehl, 2003; Southworth, 2004).

Yet individual school leaders cannot 'turn around' or develop schools on their own and, whilst the focus of leadership in schools has traditionally been on the Principal, there are now strong arguments to support a greater participation in leadership from teachers (Day, Hall, & Whitaker, 1998; Gold, Evans, Earley, Halpin, & Collarbone, 2003; NCSL, 2001). It is clear increasingly that staff need to pool their expertise and co-operate on initiatives in a way that produces actions and benefits that are greater than those each teacher could achieve alone. The leadership development of young teachers is a crucial challenge of the future if we are to overcome the high cost to the profession in failing to identify leadership talent at an early stage which currently blights school systems across much of the western world (Lambert, 2003; Tranter, 2003). If this goal is to be achieved, subject leaders need to take on a dynamic and proactive role facilitating and leading discussions with colleagues as a group in order to ensure that teachers at all levels are contributing to school development and practice.

Recent ideas about building a new architecture of school management based on *distributed leadership* provide opportunities to build leadership capacity (Gronn, 2000; Harris, 2004, Spillane, Diamond, Sherer, & Coldren, 2005). These ideas do not, however, negate the importance of senior leadership and it is implicit that Principals and other super-ordinates retain a key role in building a professional learning community where the sharing of leadership functions is a managed process. Although a small number of teachers may be negative about collaborating with

others (Johnson, 2003), many studies have shown enhanced transformational learning through collaboration, group work and networking (Day, Hadfield, & Kellow, 2002). The establishment of a climate in which open networking between colleagues enables mutual support represents an important function of current leadership in schools (see Bredeson & Johansson, 2000). Underpinning these developing conceptions is a commitment to what Wenger (1999) has labelled 'communities of practice' within which learning is seen as central to organisational goals.

Within such communities of practice the aim should be to build both individual and team skills so that teachers can operate as autonomous practitioners, empowered and confident to take forward both the learning of the students in their care and their own professional development, and be prepared to work with others on both subject specialist and cross-school initiatives. It is because we need to balance the needs of the teacher to act as an autonomous individual and an expert in their subject, that I commence with a consideration of the importance of balancing classroom and team roles prior to exploring the ways in which teams can be built and maintained.

Balancing the Concern for Classroom and Team Roles

Rather like the best jazz music the best teaching requires self-expression but demands mutual collaboration. Before exploring how successful teams can be developed, we must remember that teachers spend the vast majority of their time working as an individual in their own classroom (perhaps 21 h per week). Such classroom teaching may have elements of team activity such as in planning or, increasingly, in teaching as part of a team of professionals or para-professionals. Nonetheless, much of any team focused activities will tend to be outside the classroom and focussed on non-pedagogical activities. The work of teachers acting as autonomous practitioners in classrooms is not to be belittled and remains a critical activity since it is in teacher–pupil interaction in the classroom that key learning taking places. Leaders must help staff to manage both classroom and team roles effectively in order to improve pupil achievement and to raise standards. We may draw on the work of Fleishman and Harris (1972), Blake and Mouton (1985) and Hersey and Blanchard (1982) to analyse some of the tensions of leadership inherent in managing this bifurcation. These classical theorists group two basic tensions between, on the one hand 'concern for task', focusing on challenging, directing and assertive leadership behaviour and 'concern for people' through supporting and co-operative behaviour. We can adapt this model to reveal the tensions between autonomous classroom practice and team activity as represented in Fig. 7.1.

The bottom left quadrant of the Fig. 7.1 demonstrates the worst possible outcome, that is the teacher who underperforms both as the autonomous practitioner and as the team player and so has both 'low classroom' and 'low team' capabilities. In the top left quadrant the teacher is accomplished as a classroom practitioner and has a strong focus on subject and student but lacks team skills – the 'high classroom/low team' teacher. The bottom right quadrant represents the 'high team/low classroom' teacher who will be an accomplished team player, involved in a wide variety of

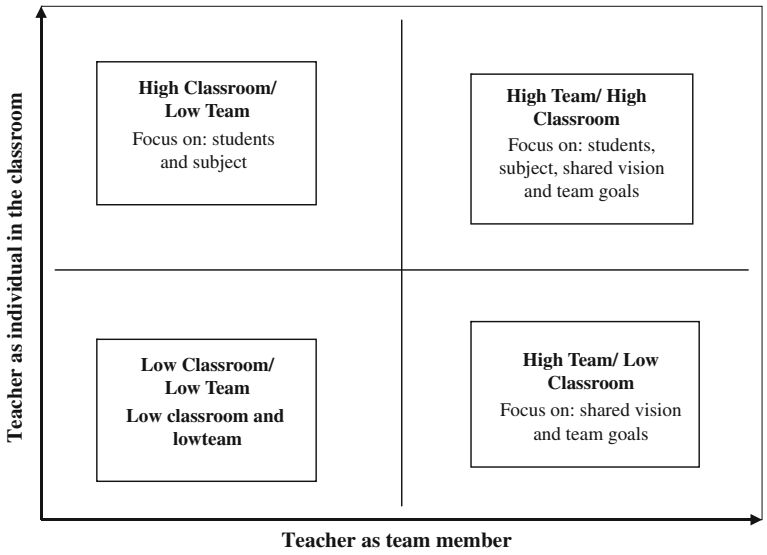

Fig. 7.1 Balancing classroom and team roles

cross-school initiatives, but lack time or focus for subject and individual pupil. Finally, the top right quadrant represents the ultimate aim of leadership development, the 'high team/high classroom' teacher and leader who is equally committed, trained and accomplished in both cross-school team activities and in subject-based pedagogical activities in the classroom. In order to maintain this balance the key strategies that need to be employed are:

- ensuring equal status between teaching and cross-school initiatives;
- professional development opportunities that focus on both subject and team-based activities; and
- an appointments and promotions policy that rewards both teaching and team activities.

This is not to suggest that team and teaching activities are mutually exclusive or antagonistic at their core and it is to models that interconnect these paradigms, into what has come to be known as the 'learning organization', that that we now turn.

Developing Teams Through External and Internal Training and Development Processes

We have already seen that the best ways to enhance leadership skills remain open to debate but one thing that has become increasingly clear is that Principals and other senior leaders cannot move schools forward on their own – they require a

strong team of staff working together to meet shared goals. For this reason the best Principals are committed to developing staff to enhance their subject and team skills. Professional development is regarded as an essential component in maintaining and advancing individual personal and professional abilities, including leadership skills (see Friedman & Phillips, 2001). Gains in professional knowledge may be generated in a number of different ways; for instance, Sugrue (2002) suggests that three broad conceptualisations are identifiable within the teacher professional development literature:

- first, teachers may engage with instruction to inform their own practice;
- second, teachers may modify their practice as a result of reflection; and
- third, teachers may become active in their own learning and the construction of new insights through collaborative learning in groups, communities and networks.

With these facts in mind it becomes clear that teams need both external and internal support. In recent years there has been an increasing commitment to external 'team building' events and exercises. Many of these take the form of brief, often one day, challenges that require groups of educators to work together in the face of some adversity which may be a combination of physical and mental challenges. At best these initiatives encourage individuals to come together to overcome obstacles in a way that will create a cohesive group that will retain its identity when they return to the more mundane, but no less challenging, environment of the school. At worst such events can be the cause of tension amongst teachers who fail to see the relevance of apparently incomprehensible activities that have little connection with the educator's primary role in the classroom.

Recent initiatives in the wider literature have revealed a growing commitment to building 'in-house' leadership programmes (Rothwell & Kazanas, 2000) and it has been suggested that successful organisations serve as models for leadership development because they exhibit strong senior management commitment to the enhancement of leadership support (Bennis, Giber, Carter, & Marshall, 2000; Ulrich, Goldsmith, & Carter, 2005). Such companies develop a strategic framework (McCall, 1997) and use systemic approaches (McCauley & Van Velsor, 2003). These notions are supported by the conception that world-class companies use executive development as a mechanism to drive business strategy and growth rather than viewing such investments as a bolt-on addition to corporate strategy (Bolt & Dulworth, 2005; Cohn, Khurana, & Reeves, 2005). One persuasive metaphor is that of the 'leadership pipeline' which provides an organisational framework that will constantly fill the leadership need, current and not yet envisioned (Charan, Drotter, & Noel, 2001).

In fact external and internal processes need not be mutually exclusive and there has been a notable broadening in theorisation on school leadership development which interconnects a number of factors including the learner, programmes of development, and contextual factors as represented in Fig. 7.2. In this formulation it becomes clear that the learner brings a host of personal qualities based on their life

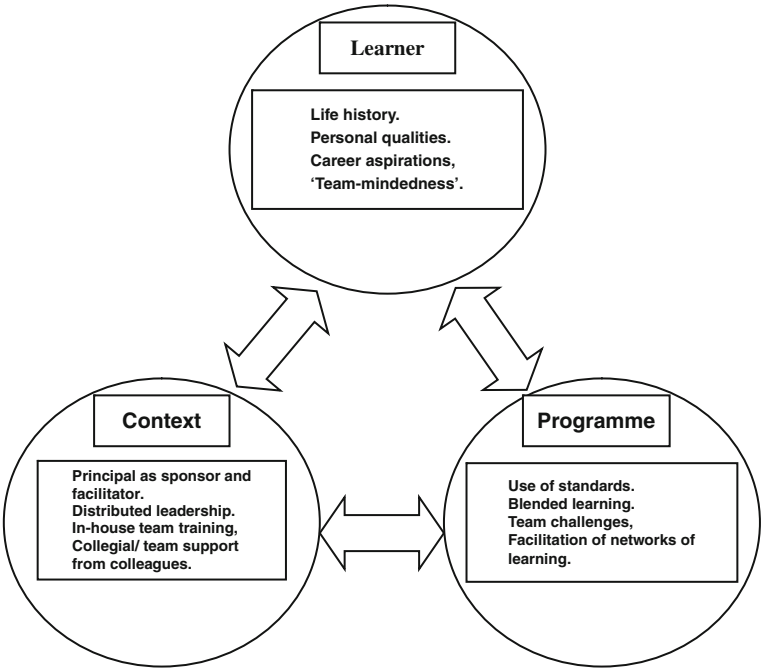

Fig. 7.2 Linking learner, context and programme in team development

history, prior training and experiences; the context of the school is vital in providing in-house training, team support and training opportunities; and carefully chosen external programmes work with these personal and contextual factors to produce training packages tailored to personal and institutional needs.

Principals and other senior school leaders play a central role in the creation of a culture which fosters leadership development by interlinking these overlapping spheres through appointments policies, creating a positive climate that encourages leadership learning, ensuring that performance management strategies are taken seriously, and by facilitating continued professional development opportunities. Such a culture is mediated by the school's overall vision of its preferred future and the match between the school strategic plan and professional development is seen as crucial if programmes are to have their greatest effect (Davies & Ellison, 2003). Impact is most evident where senior school leaders take ownership or, at the very least, have strong involvement in the active commissioning of leadership activities in order to ensure that there is alignment between leadership development and school improvement planning. Davies and Davies (2005, p. 12) suggest that the moral purpose and values of an organisation must combine with the vision and futures perspective of a school in order to create the circumstances where a strategy can emerge. This strategy will, in turn, define the operational planning and current, real time, actions and reactions of the staff. In terms of leadership development these factors are evident in schools where there is frequent and open discussion

about development needs from which formal plans emerge. If this process of sharing visions, which emerge from experience, can become an organic part of school life it is likely to be more successful than change which is imposed (Glatter, 2003).

Developing leadership within schools may be even more complex than is the case in business settings because of the permeable nature of educational organisations which causes multiple and overlapping sets of relationships and accountability structures to be taken into consideration in any initiative, including attempts to enhance leadership learning. Nonetheless, there is ample evidence that successful Principals have an important role in directing school improvement through making crucial decisions about staff development (Collins, 2001). The study elevated the centrality of the role of the Principal in providing a setting which facilitated the successful interplay of forces between programme, individual and school context. Undoubtedly, such intervention can help to ensure a culture which both facilitates and encourages leadership learning and team work.

Creating a Learning Organisation Through Team Work

One of the most persuasive and influential analyses of the way to increase performance remains Senge's concept of the learning organisation (Senge, 1990). Such organisations are places 'where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning to see the whole together' (Senge, 1990, p. 3). The dimension that distinguishes such organisations is the mastery of five basic disciplines or 'component technologies'. These include: systems thinking, personal mastery, mental models, building shared vision, and most importantly for our purposes, team learning.

The task of senior and middle leaders is to establish the culture of continuous improvement based upon the notion of a learning organisation in order to create subordinate units within the school, such as faculties and departments, which are empowered to become continuously improving. Some of the characteristics of a learning faculty or department are (adapted from Brundrett & Terrell, 2004):

- Shared values and beliefs.
- Moral purpose linked to a focus on learning and learners.
- Sharing, collaboration and co-operation.
- Enquiry, reflection and evaluation.
- Criticality and involvement.
- Leadership from different people on different tasks.
- Good interpersonal relationships.
- A sense of direction linked to a sense of achievement.
- Having clear departmental policies and procedures (especially on the motivation and management of pupil behaviour and assessment) that are developed from a clear overall improvement plan.

Organisations that exhibit poor team work can be identified easily by an absence of trust, fear of conflict, lack of commitment, avoidance of accountability and inattention to results (Lencioni, 2002). In the obverse, studies of successful schools show that the culture of the learning department that exhibits strong team work is dominated by a relaxed atmosphere where there is a high level of discussion about learning and learners, common aims and a focus on clear improvement strategies that have been defined collectively (Burton & Brundrett, 2005). In our concern for action plans and tasks to be achieved, we often forget about the process issues such as interpersonal relationships, mutual respect, warmth and so on. In order to avoid this trap, it is important that leadership training should be based on communication skills, social skills, group processes and human relations issues (Brundrett, 1999, p. 7; Morris & Murgatroyd, 1986). This has proved to be challenging not only in schools but also across the broader experience of business and management. For instance, drawing from their research with 120 top teams Wageman, Nunes, Buruss, & Hackman (2008) demonstrate the criticality of such team member competencies as empathy and integrity if you are developing a team that is prepared to engage in the candid dialogue and tough debate that is required for enterprise-affecting decision-making.

In teams that do reach the exemplary status of easy communication through tolerance and debate, new ideas are listened to positively and discussed and decisions are made by consensus building although there may be have to be a degree of compromise and trialling of new ideas in a process where constructive analytical criticism is valued. The journey to this point may be long and complex, depending to a large extent on a variety of contextual factors over which the leader may have comparatively little control when first appointed. Crucially these contextual factors will include the level of motivation of the colleagues in the school or subject area.

Ancona and Bresman (2007) employ paradigmatic illustrations from exemplary organisations such as BP, Merrill Lynch, Microsoft, Motorola, Oxfam, Pharmaco and Southwest Airlines to provide a powerful analysis of the ways in which teams can reach this point of mutual trust. They argue that in order to create effective goals, plans and designs, members must go outside the team by having high levels of external activity since teams combine all of the productive external activity with extreme execution inside the team. Teams develop internal processes that enable members to co-ordinate their work and execute effectively whilst simultaneously carrying out activity. Teams incorporate flexible phases, shifting their activities over the team's lifetime using what they term 'expandable ties' that allow teams to structure themselves. Moreover, exchangeable membership maximises options to include members who join and leave the team as well as to rotate leadership.

The traditional model of the internally focused and self-reflective team works well for groups that do not need to relate to external environmental factors but the number of such groups seems to be decreasing and schools are organisations that need to relate to so many external individuals and agencies that staff teams can never have the luxury of being solely inward-facing. In order to manage the interface with these groups of external stakeholders, highly effective communication, co-operation and collaboration is required between senior leaders and all other staff and middle

leaders, operating as team leaders, have a crucial role to play in the transmission of information both up and down the organisation (Burton & Brundrett, 2005).

Although all of the exemplary organisations that Ancona and Bresman examine are large, I think that much of what Ancona and Bresman recommend – after appropriate modification, of course, can be of substantial benefit to much smaller organisations. For example, they can also engage in relatively high levels of external activity such as forging and then sustaining mutually beneficial strategic alliances. However, as with much larger organisations, these smaller entities must remain committed to 'extreme execution' within the given enterprise each day, even as these organisations proceed through what Ancona and Bresman characterise as 'flexible phases' including exploration, exploitation and exportation that may require them to change what they do and how they do it (Ibid.).

Motivating Your Team

Teams can only reach the point of 'extreme execution' advocated by Ancona and Bresman (Ibid.) if they are made up of highly motivated individuals. Fortunately, teachers are generally motivated to work for the best outcomes for their pupils and any wise leader will attempt to 'bring staff on board' by sharing the development of goals that have clear relevance for the needs of children. Classical theories of motivation are often said to relate back to the work of Maslow (1943) who suggested that it was helpful to think of motivation being related to set of human needs which exist in a hierarchy that ascends through: *physiological needs*, *security needs*, *social needs*, and *ego needs*, to the need to for *self-actualisation*. By this last concept Maslow was referring to the notion that we will remain discontented unless we exploit all of our various talents and potential in an holistic way that may include artistic and creative endeavour. Herzberg (1975) developed Maslow's theories through experimentation and came to the conclusion that the things that make people dissatisfied are related to the job environment. Herzberg terms such environmental issues 'hygiene factors' and these include: organisational policies and administration; management; working conditions; interpersonal relationships; money, status and security. Motivational theorists have been unanimous in giving a place to the need for a sense of achievement (Everard, Morris, & Wilson, 2004, p. 31) but there are those who suggest that the intensity of this need varies from person to person (see, for instance, the work of McCLelland, 1985) thus necessitating different strategies for different individuals. We should remember to use motivators such as people's need for achievement, recognition, responsibility, job interest, personal growth and advancement potential. This principle is as valid for the support staff lady as it is for teaching staff but relative intensity of psychological needs will vary greatly from person to person and over time. This means that we must be careful not to misjudge the needs of others whose attitudes may be caused by personal and social factors such as personal relationships and the home environment as well as professional competence and willingness. For this reason leaders should try to suit management behaviour to both the personality and the situation (Burton

& Brundrett, 2005). The aim should be to enable interpersonal and professional discussion with colleagues that leads to a sense of self-worth and team values.

Balancing Team Roles

Team leaders will motivate the group of people who form their colleagues within the curriculum area that they supervise or for the specific leadership tasks that are allocated to them. Such teams are the essential building blocks of the organisation and the leader will wish to review their progress and strive for improvement in their implementation and development of their task or tasks. Belbin's work (Belbin, 1994) suggests that there is a need for a balance of team roles and uses an inventory to assess the balance between:

- implementers
- co-ordinators
- shapers
- innovators
- resource investigators
- monitor evaluators
- team workers
- completer finishers

More recent work has suggested that teams need the right mix of skills in three areas including: technical or functional expertise; problem-solving and decision-making skills; and interpersonal skills (Katzenbach & Smith, 2003). All three are required to work effectively as a team but different members can have different skills. Nonetheless, teams gel and achieve not by developing 'togetherness' but by tackling and surmounting specific 'outcome-based' challenges. Overall the team leader will need to employ a wide variety of skills in order to develop a team of colleagues. This is a complex task made all the more difficult by the limited amount of time that such a team can spend together and the even more limited resources that a middle leader will have at their disposal. It will be essential that the team leader works closely with the senior administration and especially that the Principal is consulted and informed about what is going on as the individual and team strive to improve the school. It is only through such consultative and inclusive practices that the possibility of building a learning organisation can be achieved

One complicating factor for the team leader is that they rarely have the opportunity to choose their team because they are most likely to inherit or to be allocated the colleagues with whom they will be required to work. It will, therefore, be difficult to apply Belbin's work to a team where, for example, everyone is naturally an 'innovator' and nobody is a 'completer finisher'. Nevertheless, the model is useful in analysing what roles the team needs and what might need to be worked at to improve team performance. Moreover, the serendipity of the skills that staff may

bring to a team emphasises the need for the team leader to spend time in team building. Tuckman (1965) famously suggested that there are five stages in team development that include: 'forming'; 'storming'; 'norming'; 're-forming' and 'performing'. Katzenbach and Smith (2003) extend and refine these conceptions and suggest that the main steps in problem-solving and team building can be redefined as represented in the Fig. 7.3:

1. Establish urgency and direction.
2. Select team members based on skills, not personalities.
3. Pay particular attention to first meetings and actions.
4. Set up some clear rules of behavior.
5. Set and seize upon a few immediate performance-oriented tasks and goals.
6. Challenge the group regularly with fresh facts and information

(adapted from Katzenbach and Smith, 2003).

Fig. 7.3 Main steps in problem-solving and team building (Adapted from Katzenbach & Smith, 2003)

The major point here is the importance of the team's commitment to a common purpose and of the performance goals which define the aspirations of the team having been developed out of the statement of purpose. To become a team, there must be agreement on a common approach which defines how people will work in concert to accomplish their purpose together with the concept of mutual accountability.

Maintaining High-Performing Teams

We have already seen that interpersonal relationships are the key factor in leadership and management at all levels, but it is this area of work that takes most time and energy. Facilitating teams of staff requires skill and professionalism, not least because so much takes place in time-pressured scenarios such as between lessons, at breaks or when students may still require supervision. Issues that may need to be worked on with the team include complex areas like performance and under-performance, disaffection, over-enthusiasm, inexperience, stress, overwork and so on.

The notion of leading others to take leadership roles and work co-operatively as part of a team is an interesting concept, clearly only attained by some. Creating teams is also about creating positive opportunities for people to develop. Coaching, mentoring and acting as an internal consultant to staff are different roles. Whereas, the coach observes and provides, techniques to improve performance, frequently giving feedback on progress the mentor tends to be more advisory and acting in a counselling role. We tend to think of these concepts as comparatively new to education but there has long been a recognition that consultancy, whether internal or external to the school, can span both coaching and mentoring and recommend a variety of approaches that balance being prescriptive with being catalytic.

Fact 1
It is important for a leader to provide clear vision and direction. It is even more important to ensure that all members of the school community share that vision and know what is expected of them in the drive to realise it. A good leader constantly seeks to ensure that all know what is expected of them. This is true of all leadership at all levels in the school.
Fact 2
People are not super human. There will be times when people perform better than at others. There is no problem in asking for clarity and additional support. We should not operate a blame culture, which makes people ashamed to seek help and advice. Good leaders provide systems of support for all members of staff through well-structured line management systems and mentoring and buddy systems.
Fact 3
A good leader recognises the strengths and skills of all members of the department and school community and plays to those. This is vital when allocating tasks to colleagues. Staff who do not appear to be performing well in one role of responsibility may not be suited to that particular role. It may be that they can perform to a high standard in a different capacity. The leader is not the fount of all knowledge. They do not know everything about everything nor should they be expected to.
Fact 4
Praise and encouragement, always seeking to promote the positive, helps people to feel a sense of achievement. A good leader ensures that individual progress in terms of teacher performance and welfare is regularly checked upon. There are several ways to do this including the line management and mentoring systems mentioned earlier. Half hour, fortnightly meetings with co-ordinators and heads of year or department can help. Letting staff know when you will be available for consultation is key.
Fact 5
Knowing who to blame is not much of an insight into how to make things better. If someone is not performing it is up to the manager to find out why before taking action. Some teachers get very stressed out and it has become taboo to admit to suffering from stress. However, early intervention can prevent long-term damage to the teacher and therefore, helps the school. We should seek to problem solve together for the benefit of the whole school community.
Fact 6
As a leader and manager you have a key role in developing and building the common direction. This partly to do with building a joint vision but is also about a sense of community since spirit and being part of a common venture are key. This involves building an attachment and identity with the team efforts. Communicating regularly is vital to this. Novak (2009) developed the notion of ‘invitational leadership’ involving communicating to people that they are valued, trusted and responsible.

Fig. 7.4 Key facts for leaders in developing and maintaining high performance teams (After Brundrett & Terrell, 2004)

Gronn and Lacey (2004) suggest that aspirant leaders require a reflective space to think through their proposed leadership and how this will impact upon themselves and others. But if people are never given the chance to make mistakes, then they can never 'take off' as leaders. Such 'taking off' is facilitated by the type and quality of discourses and experiences encountered by aspirant leaders, on a day-to-day basis, with colleagues so that a new self-conception and new professional identity could be constructed (Wenger, 1999). The processes whereby such sponsorship leads to enhanced effectiveness are complex but it is clear that Principals and other team leaders can empower staff to undertake programmes and support leadership learning through providing access to knowledge, data and power structures within the school (Walker & Dimmock, 2005, p. 89). Improving learning processes and outcomes entails collaboration and school improvement research shows that decentralised and participatory leadership rather than top-down delegation is effective in this process (Harris, 2003; Stoll, MacBeath, & Mortimore, 2001).

In order to maintain and enhance the team, the team leader needs to keep the purpose, goals and approach relevant and meaningful, build commitment and confidence and strengthen the mix and level of skills. Relationships with those outside the team need to be managed and the team leader will work to remove obstacles. In doing these things the leader will create opportunities for others and protect his or her team from external interference or mediate and explain the demands of senior managers. Vitally, team leaders must also be seen to do *real work* as part of the team since all the evidence shows that leading by example is the most effective way of inspiring others (Katzenbach & Smith, 2003).

Overall it is clear that teams which share a common direction and sense of community can get where they are going quicker and easier by trusting one-another. Brundrett and Terrell (2004) offer a number of key facts about leading people in schools. As represented in the Fig. 7.4.

Leaders who keep these facts in mind have the best chance of operating in a way that inspires, motivates and maintains their team.

Conclusion

The processes by which high-performing teams are created are complex and multi-faceted but they coalesce around systems of: enhanced trust leading to the creation of forms of interpersonal intelligence through shared understandings of leadership needs and a culture of collaboration underpinned by distributed leadership. Such reflection enables a return to my key theme which is that many years of leadership practice and even more years of leadership research reveal that the quality and effectiveness of leadership learning is constructed out of the subtle interplay between learner, training and development, experiences and context.

I have argued that there is a close correlation between the impact of leadership development and team building, whether through in-school or out-of-school training and factors such as: the active involvement of the Principal and other members of senior staff in sponsoring leadership learning activity; distributed leadership; and

a culture of alignment between team development and school strategic planning. Teams cannot be created overnight other than as names on a page and high-performing teams need to be nurtured, continually motivated and refreshed through discussion and challenge. However, the effort is worthwhile and teachers working together can achieve more than a series of individuals working alone.

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Chapter 8
Developing Entrepreneurial Leaders

Guilbert C. Hentschke

Introduction and Overview

To be (or act like) an entrepreneur is to see a problem along with a compelling idea for addressing it and to set about its remedy by creating and growing a business.[1] An entrepreneur is thus "a person who organizes and manages an enterprise, especially a business, usually with considerable initiative and risk."[2] Being an entrepreneur ("entrepreneurial leader") may sound vaguely exciting, but, unlike other facets of educational leadership addressed in this volume, there has been no compelling argument why most or even some educational leaders should evidence entrepreneurial attributes – until recently. Why not? For one reason, public school systems in most developed countries have favored other traits in their leaders, e.g., faithfully discharging system responsibilities, balancing competing political demands, upholding professional norms. (Other contributors to this volume have thoughtfully characterized those kinds of values.) For another reason, many educators have been inherently distrustful of entrepreneurs and the private (especially for-profit) organizations that they have created and grown (Chubb, 2006, p. 203; Levin, 2006, p. 166; Wilson, 2006, p. 197).

Entrepreneurial leadership (leaders) is uncommon in education for two additional reasons. First, the value and importance of entrepreneurial leadership depends so heavily on context: the school world has not been a favorable context for entrepreneurs. Some environments attract and grow entrepreneurial leaders, and others do not. It may be argued that other dimensions of leadership are important in education "everywhere and at all times," but for entrepreneurial leadership that argument cannot be made. Its importance can vary from "critical" to "not so much."

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[1] Segments of this chapter have been drawn from two previously published works of the author: Entrepreneurial leadership (2009), and *K-12 Education, The Role of For-Profit Providers*, with Gomez and Hentschke (2009).

[2] Webster's Dictionary as quoted from Leisey and Lavaroni, p. 28.

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Most fundamentally, however, entrepreneurial behavior may be less attributable to behaviors that can be "developed" than to inherent personality attributes of individuals. It is natural for authors who labor in the leadership development field to believe that "leaders are made, not born." Even if this is largely true, it is not entirely true, especially for entrepreneurial leaders. The concept of "entrepreneur" has evolved from its original use in the for-profit sector and today is used in education without much clarity of concept. First used by Richard Cantillon and later made popular by French economist J.B. Say in the early 1800s, "entrepreneur" originally referred to "merchant wholesalers who bear the risk of reselling agricultural and manufactured produce."[3] Later, it represented the individual who "shifts economic resources out of an area of lower and into an area of higher productivity and greater yield."[4] The entrepreneur is, however, not just an innovator, but one who brings that innovation successfully to market (Drucker, 2006, p. vii). Many definitions have been posited in the literature, most of which contain various combinations of the following attributes: recognizing and acting on opportunities, marshalling resources and adding value, taking risks, articulating a compelling vision, initiating ventures, and modifying strategic and tactical plans on a regular basis to adapt to chancing circumstances.[5] These attributes also help to delineate what entrepreneurial leadership is *not*: persons who only give orders or are managers, persons who risk only their capital (they are investors), and "persons who create in a literary, artistic, or dramatic sense, unless the creation is innovative and exploited for gain by their own efforts" (Martin, 1982). At its most general level, entrepreneurship is equated with innovation, which goes beyond discovery or invention and includes implementation and/or commercialization (Schumpeter, 1979). Yes, these are behaviors, but these behaviors are manifestations of personality traits, evident in only a small subset of people.

All of these personal attributes are reflected in the *educational* entrepreneurs whose biographies were captured by Leisey and Lavaroni (2000). They describe "educators who have moved on [from earlier positions in public education] to establish [largely for-profit but also non-profit] educational businesses" (p. 21). The authors track the business lives of entrepreneurs in a wide variety of educational settings, like Jan Davidson, founder of Davidson and Associates, creator of Math Blaster, Wayne Jennings, founder of Designs for Learning, Inc., and Chris Yelich, founder of the Association of Educators in Private Practice. Personality provides the common thread among these biographies – *restlessness* with the current work environment coupled with a *vision* of a new, better mousetrap, coupled with a *compulsion* to create and distribute that mousetrap. *None* of these educational leaders were graduates of entrepreneurial leadership programs, although they would have been worthy instructors in those programs. Entrepreneurism is at least partially

[3] Baumol, 1993, p. 12, quoted from Myung Jae Moon (1999).

[4] Drucker, 1985, p. 21, quoted from Myung Jae Moon (1999).

[5] Kourilsky and Hentschke (2003) p. 117.

ingrained in the person, and is not merely a leadership mantle than can easily be taken on and thrown off depending on the current temperature.

Even in the face of these historic factors that diminish the importance of entrepreneurship in education, the tide is beginning to turn. The context of schools is beginning to foster entrepreneurial behavior (Berger & Stevenson, 2008; Kirby, 2008), and as a result more entrepreneurs are now being attracted into and cultivated within the education sector (Hess, 2006). In recognition of these changes, new programs of entrepreneurial leadership are beginning to take root (Kauffmann, 2009).

Indeed, we would not be examining entrepreneurial leadership today were it not for the fact that increasing numbers of entrepreneurs are creating and growing educational businesses that provide core as well as supportive educational goods and services. While many of them are leading private (non-profit and for-profit) organizations, in our increasingly market-sensitive economy, *public* schooling enterprises are now also requiring entrepreneurial-like talents and skills. Schools are more like businesses and their leaders are more like business leaders – for "better" or "worse." Entrepreneurial leadership *in education*, then, sits at the nexus of a relatively old, established topic (entrepreneurial leadership) applied to a relatively novel setting (compulsory education). This "fit" of educational entrepreneur in compulsory education systems still applies to only a subset of all current educational leaders and what they do. The value of entrepreneurial leadership depends a lot on context.

These opening arguments characterize the bulk of this chapter and rest on several assumptions. (1) Entrepreneurial leadership can be differentiated from other forms of leadership in the degree to which some attributes are more evident in entrepreneurs than in other leaders.[6] (2) There is a rough, imperfect consensus as to what these attributes are. (3) These leadership attributes are descriptive, not normative. They are not inherently desirable or undesirable qualities per se. (4) While neither "good" nor "bad," leaders with these qualities can be more or less effective in different roles and environments. (5) Changing roles and environments in education are (only) beginning to favor leaders with entrepreneurial characteristics, but only in a fraction of all leadership roles. (6) These environmental changes attract entrepreneurs to education, but also provide opportunities for experienced educators to behave more entrepreneurially.[7]

The overarching view of the value of entrepreneurial leadership in education presented here is supported on a three-legged stool. The first leg identifies the personal characteristics that distinguish entrepreneurs from other leaders. The second leg characterizes the changes in education that foster entrepreneurial behavior, pointing out the newer firms and organizational forms that make up education that entrepreneurs have both created and been drawn to. The third leg reflects on

[6]Throughout the chapter we refer to "educational entrepreneurs" rather than the redundant "entrepreneurial educational leaders."

[7]This form of reasoning presumes that educational entrepreneurs are largely "born" and not "made." More accurately, their behavior is motivated more fundamentally by personal values and traits than by professional norms of educational leadership.

the present and future impact of increasingly entrepreneurial education organizations, seeking to identify a strategy for developing entrepreneurial leaders, which capitalizes on this new reality.

Why devote what might be considered disproportionately large amounts of attention to the context of education *organizations* in a chapter (and book) devoted to the study of the characteristics of *people*? In real life it is impossible to separate the characteristics and behavior of individual entrepreneurs in education from the settings in which they exist. We have to address both perspectives here, because self-selection operates, attracting entrepreneurs to entrepreneurial settings. Entrepreneurial individuals seek out entrepreneurial settings, and the growth of those settings attracts entrepreneurs. Each feeds the other, but to start consider first the personality of the entrepreneur.

Entrepreneurial Leader Characteristics – Not Your Typical Educational Leader

Per the classical definition, entrepreneurs are people who take unusual personal risks in creating new enterprises that address unmet needs and new markets. Many fail at this – more than once. In turn, some of them go on to achieve outstanding growth and success. A less disciplined description could ultimately include anyone in any organization that had any idea for doing anything differently. I have tried to err toward the former, more restrictive and distinctive descriptions. But what set of personal characteristics move individuals to take entrepreneurial risks in innovative pursuits? Of what stuff are these entrepreneurs made? These questions can actually be asked and answered in two different ways. What are the important characteristics that *entrepreneurs* believe they do (and need to) possess? Alternatively, what are the important characteristics that *social scientists* (who study entrepreneurs) believe entrepreneurs possess?

It is unnecessary to take the positions that all education leaders can or should have identical attributes, that all attributes are equally valuable in a given setting, or that leadership attributes, like personality traits, can be acquired at will. Rather, some educators are inherently more entrepreneurial than others, and there are proportionately few in the field of compulsory education, where there have been relatively few entrepreneurial opportunities and a preponderance of relatively stable, secure positions.

At least three characteristics together describe and to a large extent *define* entrepreneurial leaders. First, they have a unique idea that borders on a fixation. It may be a solution to a widespread problem, a way to meet a heretofore large, unmet need, or a significant improvement to a widely used product or process. Second, in order to transform their idea into reality, they often have to "go their own way" – to do whatever it takes, raise the necessary social and financial capital, etc., to create a separate enterprise. Third, they then operate and seek to grow the business as the concrete manifestation of their unique idea.

While this captures core behavior, entrepreneurs themselves embody *some* leadership skills more than others. One measure of relative importance is what entrepreneurial leaders themselves (not necessarily in education) believe to be the most important skills that they and others like them possess. Although there is no uniform consensus, certain skills and attributes seem to surface repeatedly. Five skill areas superficially apply to all educational leaders, but upon closer examination are uniquely, strongly associated with entrepreneurs.

When Entrepreneurial Leaders Look at Themselves

People who found and lead organizations have opinions about their particular set of aptitudes and skills.[8] What are the most important in their eyes among a wide range of possible aptitudes? No list is definitive, but the attributes of educational entrepreneurs compiled by Leisey and Lavaroni (2000), themselves two successful educational entrepreneurs who have compiled biographies of educators who left "the system" to create their own businesses, open the bidding for us: "tenacious, optimistic, creative, courageous, persistent, willing to take risks, resourceful, independent, opportunistic, and thoughtful" (p. 28). Were we to ask these individuals what skills, as opposed to aptitudes, were most important to their success, a complementary set emerges.

Financial management is arguably the most important, and actually captures into one bundle several quite distinct skills: developing and selling a business plan, raising financial capital, and spending it "wisely." One entails formulating a coherent, persuasive business plan that succinctly captures all of the elements necessary to persuade others to fund her or his venture, to join it, or to buy from it. The second requires "finding and maintaining adequate financial capital (debt and/or equity) for the business, locating appropriate sources of funding, securing them and maintaining good relations with the source to ensure long-term availability of the funding."[9] While these (and other) aptitudes may be accurately viewed as tasks, they are intended here to convey entrepreneurial aptitudes, i.e., the personality and orientation of the entrepreneur. The precursor to mastery of tasks is an entrepreneurial orientation to the value of these particular tasks. Until quite recently these aptitudes (or skills or tasks) would have been among the repertoire of only a very few educational leaders.

The third, somewhat more common financial aptitude entails "spending wisely," e.g., maintaining adequate cash reserves through anticipating cash needs, controlling spending, collecting receivables, and monitoring cash flow. Even this version of

[8] We///// drawn primarily on the work of Eggers and Leahy (1995)//// here as an illustration of the collective perception of entrepreneurs.

[9] Eggers and Leahy.

"spending wisely" is not required of many educational leaders. Instead, many educational leaders occupy positions where budgeted line items are appropriated to them from an external body, spending is monitored and controlled externally, there is no responsibility for collecting receivables of any magnitude, and, hence, monitoring cash flow is not relevant.

The extent to which *entrepreneurial* leadership is required in an education setting depends, then, in part on the degree to which the leader is required to raise capital and exercise extensive discretion in how it is spent. If the entrepreneur is in a for-profit (as opposed to public or non-profit) enterprise, the skill levels demanded are even higher. The familiarity and use of sector-specific financial concepts and models, for example, EBITDA (earnings before interest, taxes, depreciation, and amortization), balance sheets, or even "top-line" vs. "bottom-line" revenues, add to the requirements of the entrepreneurial skill set.

C*ommunication* skills are likely to be seen as important for all education leaders, but the founding CEOs interviewed in a recent study[10] focused as much on the content as on the skills (e.g., large and small group, listening, one-on-one). The most successful CEOs reported the importance of communicating the company's vision, mission, and strategies in a way that inspires understanding and action among employees, customers, and vendors. Entrepreneurial leaders, more than most, have to rely on personal persuasion, rather than tradition, existing policies, formal organization, and historically shared understandings, to move the people in their organization. Often, those other structural supports are simply not sufficient or widely shared. While all leaders need to be good communicators, it is more likely to mean the difference between success and failure for an entrepreneur, because so much rides on the entrepreneur's ability to communicate. In the early stages of invention, it is often the only asset that the entrepreneur has to call upon.

Closely related to that particular element of communication is the importance CEOs attach to the skills of being able to *motivate others* (develop their employees into teams that both understand and support the organization's mission), to have a *vision* (create and communicate a clear direction for their companies), and *motivate themselves* (a passionate commitment to action combined with a competitive attitude of "can do"). These last three may be seen as important for all educational leaders, but in the context of undertaking new, untried ventures, assuming new risks, and creating wholly new enterprises, even these characteristics take on added meaning. New ventures are, by definition, smaller than existing organizations, and the founder may be the sole visionary and motivator. Private businesses are on average smaller than public organizations, especially early in their life, and the founder may be the sole visionary and motivator. While for many leaders the abilities to communicate and motivate are "important," for the entrepreneur they are "vital."

[10]Eggers and Leahy.

When Social Scientists Look at Entrepreneurial Leaders

Just as we might describe ourselves and our peers in ways, which are distinct from the way a clinically trained social scientist would describe us, so too the most important self-described traits of entrepreneurial leaders differ from those identified by social scientists who study entrepreneurs.[11]

Whereas entrepreneurs see their primary aptitude as financial management, social scientists see entrepreneurs' most distinctive aptitudes as *tolerance for risk*. Although it is fashionable to treat tolerance for risk as a generalized leadership virtue, entrepreneurs take this to a level not common to most educational leaders. Entrepreneurs are willing to place their *personal* economic as well as professional well-being at risk to achieve their aims. *Business* success or failure is much more closely associated with *personal* success or failure. In one study of company founders, entrepreneurs raised start-up capital through a variety of leveraged *personal* assets, e.g., by borrowing the limit on their credit cards, mortgaging their houses, and borrowing money from family and friends. They pledged personal assets to guarantee business loans. This is a level of risk tolerance that, until recently, has been unheard of among leaders in education. Yet, it is a recurrent theme in the biographies of Leisey and Lavaroni's (2000) entrepreneurial educators, who were "not afraid to put everything on the line."

Where others see problems, these educators see opportunities. They began their businesses with little more than a good idea and a strong determination to make the idea work. To finance the establishment of their businesses, these individuals withdrew retirement funds; took out second mortgages on their houses; spent their children's educational funds; borrowed money from banks, relatives, or friends; and employed other forms of creative financing. Generally, they kept their "day jobs" while testing the waters of education entrepreneurism by working on their new business ventures in the evenings, weekends, or during summer recesses. After they were able to eke out a living from their new ventures, they plunged into their businesses full time, successfully growing them [p. 29].

Perhaps more than any other aptitude, entrepreneurs are distinguished from other leaders by their willingness (some would say compulsion) to take risks from which many of their peers would recoil. But in those instances, entrepreneurs tended to discount or rationalize their risky behavior in a variety of ways, including confidence in themselves and in the inherent value of their venture, the availability of fallback positions in case of failure, and perhaps even a sense of general invulnerability coupled with support of close friends.

Closely allied with these levels of risk tolerance is *desire for control*. Entrepreneurs are willing to risk a lot if they believe that they have sufficient control over the factors that are critical to the success of their venture. Desire for control

[11] We draw here on the work of Hatch and Zweig (2000) to illustrate the major characteristics of entrepreneurs identified by social scientists.

also can originate from other sources, including strong personalities, high self-confidence, lack of experience in working for anyone but themselves, low tolerance for direction by others, etc. Often it is frustration over lack of control that causes entrepreneurs to depart secure, highly constrained positions in order to jump into the icy waters of new venture creation. In large doses, strong desire for control (and the flip side, aversion to highly constrained environments) is not entirely compatible with some notions of shared decision-making and empowerment so popular in general management and educational leadership literatures. In their intense desire for control, perhaps more than in any other way, entrepreneurs are distinct from other leaders in education.

Other characteristics which entrepreneurial leaders appear to have in greater than average proportions are *ambition* (relentless pursuit of success), *perseverance* (managing through setbacks), and *decisiveness* (making decisions quickly alone or with modest amounts of advice). These aptitudes sound moderately attractive for all leaders, but for entrepreneurs, they constitute critical survival skills.

When we look closely at people who have started successful educational enterprises, we see people who evidence this particular bundle of aptitudes. A recent study of the stories of charter school founders, for example, conforms to the characterizations of entrepreneurs above and differentiates them from many other school administrators.[12] These entrepreneurs appear to be attracted to founding charter schools despite the additional work and fewer resources, because it gives them a "chance to play" on their own terms. They are willing to invest more of themselves in their jobs in part because they have both more decisions they *have to* make and also more decisions they *can* make. Their enthusiasm, beliefs, and prior experience play a more important role in their survival than professional preparation in "educational administration." (Many do not have any coursework in traditional educational administration programs.) They are not afraid of taking on problems and adversaries in their work, and view their roles as "a contact sport." They seek to build consensus, but also realize that to achieve their goals they must also engage in "tussles" with others who oppose them. Relentless optimism, unbending ideologies, pragmatic approaches, and pride are at a premium for these leaders.

The goal here is not exhaustively to examine all of the complexities and characteristics of the entrepreneurial leaders, but to suggest, instead, that some aptitudes and personality traits are more characteristic of *entrepreneurial* leaders than they are of other leaders. This applies as much to education as to other sectors of society.

The Compulsory Education Industry: What Attracts Entrepreneurs and Entrepreneurial Behavior – And What Does Not

What are the characteristics of education that have attracted most current educators to it? What are the characteristics of other fields that were not attractive to educators?

[12] Deal and Hentschke (2004).

These interesting, but unaddressed questions provide the backdrop for the main question of this section: What characteristics of the education attract people with entrepreneurial instincts, and what characteristics of education are *not* particularly attractive to those people?

The compulsory education industry has a variety of historical circumstances – barriers to entry – associated with it that influence its attractiveness to educational entrepreneurs who seek to create productivity-enhancing innovations and to bring them to market (Hess, 2006). On a personal level, one negative is that superior performance is not rewarded (uniform annual raises), and one positive is relative job security. At a more macro-level, education is not a hospitalable market into which to try to create and sell innovative goods and services (American Enterprise Institute, 2009). "Entrepreneurs who recognize the need to create a system that better serves the needs of individual learners find there are simply more barriers than incentives" (Vander Ark, 2009). Like the flow of entrepreneurial talent, the flow of investment capital into K-12 education is inhibited and for similar reasons. The large size of the market belies other features, which are unattractive to entrepreneurs and their investors. In the United States, this market is highly fragmented. Innovations at a large scale are also limited by the reality of selling into 50 states, 15,000 school districts, and over 100,000 schools. Relatively few of firms are large enough to staff a national sales force, and therefore even the best solutions from the largest firms are rarely marketed across the entire country.

Fragmentation is compounded by internal complexity of the education market. School districts are characterized by extensive intra- and inter-organizational compartmentalization. For example, schools often have different buyers for basal texts, supplementary services, testing, data management services, teacher professional development services, leadership training, after school programming, and other goods and services. In addition to segmentation by item of purchase, buying *authority* is often organized by funding sources coupled to policy initiatives, e.g., Title I, e-rate, state categorical grants. Thus, providers face multiple, poorly labeled, shifting sets of buyers, each of whom may buy on average relatively small quantities. Indeed, whether a particular good or service "qualifies" for funding from a given source is often unclear and a matter of judgment. Despite these and other challenges of the educational marketplace, educational entrepreneurs are developing a growing variety of innovative goods and services.

These kinds of structural realities in schools reflect the larger environment within which schools operate. School practices depend substantially on decisions made at higher levels of government.[13] As agencies of state governments, most schools and districts are subject to oversight by higher levels of government through two mechanisms: the rules imposed on schools and districts by higher levels of government (governance) and the amounts and conditions placed on money provided to schools (finance). As a consequence, changes in school governance and finance

[13]Despite this fact, growing privatization of the education industry is likely to accelerate the emerging role of the types of for-profit education firms discussed in this chapter. See Hentschke and Wohlstetter (2007).

affect and are reflected in the goods and services that are (and are not) sold to schools and school districts. In various combinations, rules and money shape demand.[14] Entrepreneurial behavior is fostered when financial, human, and material resources can be reconfigured in new and innovative ways; and, conversely, it is discouraged when they come with multiple strings and constraints that significantly reduce their inherent value.

As rule-makers, -changers, and -enforcers, higher levels of government do not just impose constraints – they create entrepreneurial opportunities as well. Superordinate bodies, like state and federal agencies, provide three kinds of regulations: required ("you must"), permissive ("you may"), and prohibitive ("you can't"), or some combination. State textbook adoption policies, for example, usually stipulate a list of approved texts from which schools and districts can choose. They are either prohibited from purchasing texts not in the lists or do not receive financial support if they do purchase them, and so the market for innovative texts is not robust. On the other hand, requirements in the federal legislation No Child Left Behind (NCLB) have significantly increased demand for student information systems, assessment and testing services, materials in reading and math that are linked to standards, and supplementary services for low-performing students. Entrepreneurial opportunities for innovation have been greater in these areas.

What is true for entrepreneurs seeking to sell into schools is also true for entrepreneurial school principals seeking to assemble resources to undertake innovation initiatives and purchases. The money that enables schools and districts to enter the marketplace reaches them though a large number of separate "buckets" which differ from each other in at least three respects: (1) the amount (including more or less from year to year in any bucket); (2) the degree to which the money can only be spent on pre-specified goods and/or services (categorical vs. general operating and/or block grants); and (3) the degree to which all possible recipients are to receive like amounts (entitlements vs. competitive grants). Categorical money is not fungible; controlled amounts are aimed at limited categories of purchases. The general operating budget of school districts and schools is usually locally generated and spending discretion is largely circumscribed by labor agreements. Even general operating funds are not protected from "encroachment" of new requirements from higher levels of government and are (must be) used to pay for them. Because school people operate within generally fixed (zero sum) budget constraints, new regulations change the shape of demand curves for *all* goods and services being sold to them. While increasing demand for some goods and services, NCLB has simultaneously *softened* demand for others, e.g., supplementary materials (but not supplementary services) and non-core subject matter curricular materials, and other goods and services typically purchased from the general operating budget. There is little room for innovative or entrepreneurial initiatives that require significant resources.

[14] For a more extensive form of this analysis, see Hentschke (2007).

Yet, in other ways governments have also fostered entrepreneurial behavior, especially through enabling legislation which has legalized the creation and finance of alternative forms of schooling associated with home schooling, charter schools, vouchers, contract schooling, private schooling, education tax credits, virtual (online) schooling, and the like – these new forms of schooling share two characteristics. First, they legalize and/or subsidize increased consumer choice and demand in the schooling marketplace. Virtually all of these new forms cut into the historically protected geographic markets of traditional public providers making room for entrepreneurs to enter. Second, these new forms foster the growth of provider options, i.e., they reduce the barriers to entry for entrepreneurs who seek to create additional schooling options (Berger & Stevenson, 2009).

Each of these newer *forms* of schooling is in various stages of early growth. During the 1980s and 1990s home schooling flipped from a prohibited practice to one that is now legal in all 50 states, and enrolments have grown from virtually 0% to between 3 and 5% of all students. Charter schools, legalized first in a few states in the early 1990s, have grown from 0 to over 4000 schools across 40 states and the District of Columbia, serving more than 1.2 million students.[15] Virtual schooling, voucher and other choice initiatives, proprietary schools and contract schooling through education management organizations have all grown rapidly but from very small numbers over the last several decades.

The *uneven* growth of the US charter school movement illustrates the central influence (positive and negative) of government rules of the game on entrepreneurial behavior. Enabling charter school legislation has been created in 40 of the 50 states. Most of the nearly 4000+ charter schools in the nation did not exist 10 years ago and are the creatures of entrepreneurial leaders. In states with high proportions of charter schools the "rules" are relatively hospitable to enterprising educators. For example, they do not limit the number of charter schools that can be created, they have multiple authorizers, including some that are not in direct competition with charter schools, they get full control over their own budgets without the school district holding the funds, and they are automatically waived from most state and district education regulations. In these states charter schools are flourishing.

At the other extreme, charter laws in other states are rife with rules that make creating a charter school a much less attractive and more onerous undertaking. For example, in some states the charter school is not guaranteed the same per pupil funding that is available to other public schools in the school district, they gain very little legal and operational autonomy, and the categories of individuals or groups that may apply for a charter are limited to existing school personnel, and sometimes limited to the district. It is no surprise that those states have a miniscule fraction of these new enterprises and that educational entrepreneurs are underrepresented there (Allen & Mitchell, 2006).

Despite this dramatic unevenness, the general trend in education is toward a more entrepreneurial behavior in a more entrepreneur-friendly (and investment-friendly)

[15]Charter School Facts, from www.edreform.com, accessed March 22, 2008.

environment. More new firms are coming into existence, many of which are small – one-school businesses, ten-person tutoring businesses, two-person professional development businesses – created by entrepreneurs like those reported by Leisey and Lavaroni (2000) and by Deal and Hentschke (2004). Others include larger, publicly traded or privately held corporations whose primary mission is whole-school operations. Entrepreneurial leaders founded these as well, including, for example, Chris Whittle (Edison Schools), Wade Dyke (Chancellor Beacon Academies), Gene Eidelman (Mosaica Education), John Huizenga (National Heritage Academies), Jack Klegg (Nobel Learning Communities), Elliot Sainer (Aspen Education Group), and Mike Feinberg and Dave Levin (KIPP). The firms created by these eight entrepreneurs together operate, manage, or provide core education services to many hundreds of schools and many hundreds of thousands of K-12 students.[16]

While some entrepreneurial leaders have created schools, others have created less visible, but equally important niches, including publishing and related (basal, supplementary, and reference); computing and related (enterprise resource planning, student information systems, data warehousing, and systems integration); testing and related (testing services, test preparation, tutoring); and procurement. The names (brands) of some of these firms are more recognizable than others: Kaplan, Sylvan, Kumon, Princeton Review, Tutor.com, TutorVision, Harcourt Educational Measurement, Pearson Educational Measurement, CTB/McGraw-Hill, and Riverside Publishing. Others are less well known because of their newness, small size, or specialized focus, e.g., Best Practice Network, eduTest, TestU, Smarthinking, TeachScape, and LessonLab.

These and hundreds of other education firms[17] have been created by entrepreneurial educators whose sense of a problem and opportunity resulted in one or more products/services being brought to the educational market place. New schools increase the variety of curricular, content, and scheduling choices for students and their families. Other businesses bring to market innovative instructional materials, assessment and reporting services, distance delivery of specialized courses (synchronous and asynchronous), information management capacities, technological upgrades, and professional development programs.

Demand for innovation drives the creation of these new services and goods and suggests opportunities for especially robust entrepreneurial activity in education going forward.[18] Growth will continue, however, to depend on corresponding changes in the rules of schooling. Hill (2003), for example, suggests that, as laws

[16] In 2005–2006 Edison Schools alone estimated that it served more than 330 students in 25 states, the District of Columbia and the United Kingdom.

[17] Precise counts are difficult to ascertain. Per one recent estimate by the Education Industry Association of//// approximately 15000 "educational learning centers and tutors in private ownership" currently operate in the United States. Among these, however, about one-half are "educational consultants," about one-third "tutoring," and the remainder divided between "educational service business" and "reading improvement instruction."

[18] For an in-depth discussion of these opportunities for educational entrepreneurs, see Hill (2003). Entrepreneurship in K-12 Public Education, in Kourilsky and Walstad (2003), pp. 65–96.

permit more school aid to follow children and more schools to make spending decisions, opportunities for entrepreneurial innovation will grow in the provision of support services, managing human resources, delivering complete courses, and operating whole schools. Does all of this new business creation activity lead us to conclude that entrepreneurial leadership is relevant only in creating new, private education businesses? Not necessarily.

Developing Educational Entrepreneurs by Changing the Rules of the Game and Managing Talent

Entrepreneurs are heavily attracted to and associated with private businesses and new business start-ups, because those organizations, on average, offer conditions which reward entrepreneurial activity. Most of the foregoing examples illustrate this. It does not automatically follow, however, that all other education organizations are hostile to entrepreneurs or that entrepreneurs cannot thrive in other kinds of organizations. In fact, there are many entrepreneurs who exist, act, and thrive inside large, nominally bureaucratic organizations (Perlmutter & Cnaan, 1995). They are identified as a special category of entrepreneurs – "intrepreneurs."[19] Indeed, one recent study "demonstrates that there are many entrepreneurs working in public organizations" (Cagnon, 2001, p. 348). The basic argument still applies – that entrepreneurship is fostered in those organizations where the rules of the game support entrepreneurs.

Fostering entrepreneurial leadership in education organizations requires more emphasis on changing the rules of the game there than trying to change the mind set (and personalities) of those who currently work there. Entrepreneur-friendly organizational characteristics are more a matter of degree than of kind in education as elsewhere.[20] When one scans external environments, traditional educational organizations focus on threats to their systems. Entrepreneurial organizations, on the other hand, identify opportunities for innovation, growth, and development (defensive vs. offensive posture). *Strategy* differences reflect these defensive vs. offensive postures. *Control systems* in traditional educational organizations are limited largely to budgets, whereas entrepreneurial educational organizations rely additionally on business plans and forecasts. The *structure* of traditional educational organizations is characterized by formal lines of authority, centralization, and specialization, in contrast to entrepreneurial organizations where staff have incentives to act more pragmatically. *Communication* is limited to formal channels in traditional organizations vs. getting information to those who need it when they need it, regardless of the formal channels. Perhaps most fundamentally, *creativity* in traditional organizations may be encouraged in classrooms, whereas it is encouraged throughout the more entrepreneurial educational organization. Finally, the *organizational culture* of the traditional organization serves to protect the system in which it operates, whereas it

[19] Pinchot III (1985).

[20] This and the following arguments are drawn in large part from Brown and Cornwall (2000).

serves to foster innovation in more entrepreneurial organizations (see, for example, Maranto and Maranto, 2006).

These characterizations are "soft" in that they are difficult to measure with any reliability or validity. Any entrepreneurial innovator will likely confront problems of innovation both within and outside existing organizations.[21] Plus, most educational organizations are not easily categorized. They fall *between* the extremes of traditional-to-entrepreneurial, and the "room" for entrepreneurial educators probably depends as much on local circumstances (e.g., boss, peers) as on broad structural differences. Nonetheless, apart from magically doing away with all of the structural challenges discussed earlier, there are at least two, tangible, structural features in organizations that seem to foster entrepreneurial activity, regardless of type of organization. One is internal to the organization, and the other joins the organization to its external environment. For convenience call the first *revenue center organization* (internal) and the second *strategic alliance formation* (external).

Entrepreneurs act more entrepreneurially when they have incentives to do so. Many educational leaders currently receive lump sum appropriations from a higher-governmental body and then set about the business of "giving away" their services free to clients (students, schools, other departments). When they do, they work in an organizational *cost center*, where they are monitored for spending behavior from above but have no incentives to provide what clients actually want. Clients typically get what the cost center is providing, whether they want it or not. The "good news" for the clients is that they get it for free. The "bad news" is that it is rarely as useful as it might be. Some educational organizations have changed the incentives of cost centers by *converting* them *to revenue centers.*

Higher-government bodies achieve this by, in effect, diverting their appropriations directly to the clients, granting them the rights to purchase (within parameters) the goods and services that *they* value most from a variety of providers. The old cost center reluctantly becomes one of the providers competing for the clients' business. By forcing the old cost center to earn the client's business, i.e., to become a "revenue center," the incentives to provide highly valued, newly demanded services (innovations) increase significantly. Just as clients can now purchase services from other providers, newly converted cost-center providers can invent new services and often are encouraged to sell them to new clients. (Conversion from cost-center to revenue-center status inside of an organization is a special version of the historical alternatives of hierarchies and markets as ways to organize a business.)

As discussed earlier, educational organizations increasingly are pursuing new forms of external financial support, but the benefits of such activity extend beyond money and what it might buy to include human and social, as well as financial, capital. Organizations that seek to innovate and grow their overall capacity explore and often create *inter-organizational strategic alliances* to solve problems and innovate on a large scale. Alliances form where complementary organizations agree voluntarily to an exchange relationship, commingling their resources in a particular way.

[21] See Christensen (1997).

These exchanges occur only when *both* organizations give up something they value less for something they value more.[22]

Educational organizations with revenue centers and a propensity for strategic alliances, all else equal, provide more fertile grounds for entrepreneurial educational leaders. Schooling organizations with these characteristics, however, do not, as they say, "grow on trees." They require the initiative of entrepreneurial leaders to create those and other related changes. As a consequence, some educational organizations will grow more entrepreneurial over time, and others will not.

What are the implications of this perspective for educational leaders who seek to develop *entrepreneurial* leadership within their organizations? The most obvious, first-to-mind tactics for developing entrepreneurial leaders are likely to include the "direct approach" of modifying, developing, and offering professional development programs with "entrepreneurial" content (e.g., capital markets, marketing strategies) and pedagogical practices (e.g., business plan contests, internships with entrepreneurs). These are inherently reasonable, in part because they can be addressed at the micro-level, e.g., by organizations such as associations of educators and educational foundations, by schools and departments of business and education, and even by individuals such as consultants and faculty. There is a small but growing number of organizations at this micro-level that have indeed begun to take on tangible initiatives to develop educational entrepreneurs (Kauffmann, 2009; Hess, 2008).

The risk inherent in focusing exclusively on this micro-level of "curriculum" is that it tends to ignore the importance of rules of the game (both in the macro-education environment and within each education organization) and their influence on attracting (and repelling) educators with entrepreneurial instincts. Given the inherent importance of context in entrepreneurship, the direct approach may be the more visible, but less impactful tactic for developing entrepreneurial leaders. "Talent management" will take on a meaning in education which is more in line with what it means in other industries – attending to the long-run in- and out-flow of an organization's human capital as well as to the development of those employed there currently (Gergen & Vanourek, 2008). Programs like Teach for America, New Leaders for New Schools, and The Broad Foundation Leadership Academy function as pathways into education for new, more enterprising individuals than has been the case along the traditional pathways of most teacher education and administrator preparation programs.[23] The "indirect" approach of altering the rules of the game will arguably do more to increase traffic on these new pathways than will in-service staff development programs on entrepreneurial leadership.

Does that imply that formal development initiatives are not important? No. While not sufficient, they are necessary, in part *because* entrepreneurship remains such a minuscule, informal, less-than-fully recognized part of educational leadership. That

[22]For examples, see Davies and Hentschke (2006). Public-private partnerships in education.

[23]For elaboration on these programs see www.teachforamerica.org, www.nlns.org/ and www.broadfoundation.org.

will change and not just because individuals with entrepreneurial aptitudes are now being attracted into education. Increasingly the view of entrepreneurial leadership as an individual trait – "slightly mysterious, . . . gift, talent, inspiration, or 'flash of genius'" – is giving way to entrepreneurial leadership as a managerial practice that "can be organized . . . as part of an executive's job" (Drucker, 2006, pp. vii–viii). While the vast majority of "school leadership" programs still devote little attention to entrepreneurial behavior, most schools of business *do* and have for decades. As two factors change, however, the curriculum for school executives may be expected to change.

First, as the entrepreneurial forces, forms, and firms in education continue to emerge and grow, more individuals with entrepreneurial aptitudes and interests in providing public goods ("social entrepreneurs"[24]) will consider education as a career option. The licensing barriers to entry into educational management as well as organizational barriers to entry of educational enterprises will continue to fall – growth will generate acceptance, which in turn will permit more growth. Second, as more of these entrepreneurs enter education, the skills and behaviors associated with entrepreneurial leadership will become more manifest, visible, and more highly valued. As a result the discrepancies between entrepreneurial behavior and the behavior of graduates from traditional programs in educational administration will become more apparent. "Ed admin" programs will evolve and/or more educational leaders will seek graduate work in schools of business. Both self-selection by entrepreneurs into education and the growth of enterprises within education will drive professional development programs in educational administration toward more thorough treatment of entrepreneurial leadership. Somewhere down the road, entrepreneurial leadership will be an integral part of the educational leadership's "mainstream."

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[24] See Bornstein (2004) as well as Kourilsky and Walstad (2003).

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Chapter 9
Developing as a System Leader

Rob Higham and David Hopkins

Introduction

Principals of schools that have sustained their own improvement over a number of years, in our experience, are increasingly taking on roles that put their moral purpose and strategic intent to the task of improving the wider system. These roles have recently been described as "system leadership" (Fullan, 2004) which, put simply, refers to headteachers or senior teachers who work directly for the success and well-being of students in other schools as well as their own (Higham, Hopkins, & Matthews, 2009). To take this step, and before such system leaders fully engage externally, they appear to first develop a deep and rigorous understanding of improvement in their own school. Without the core currencies of pedagogy, curriculum, and student well-being, many would question whether they could lead improvements across the wider system. In this chapter we develop this argument about the link between school improvement and system leadership and in particular how do leaders work across a wider system context. We consider how leaders work across wider contexts with reference to three in-depth case studies of schools serving disadvantaged urban areas.

The significance of these particular schools is twofold. First, with each having sustained improvement in student outcomes for about a decade, they are part of a small but increasing number of schools in challenging circumstances to have bucked the traditional trend toward lower educational attainment, attendance, and progression. We argue that, in having truly changed the contexts in which their staff teach and their students learn, these schools are contributing to system change: by providing an exemplar of how student outcomes can be improved and by then sharing this intelligence with other schools locally. We explore in detail how such transformative improvement is being achieved in practice. We locate our argument in the broader school improvement tradition.

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Second, and importantly for our argument here, each of the three schools is now taking on wider system roles. We are interested in why these schools have taken on other roles and what it is that each school brings to the task. In short, we provide a perspective on how school-led system leadership roles come about. The nascent literature in this area suggests that system roles demand capacity and readiness at various levels in a school, rather than simply heroic leadership ("super-heads"). We seek to advance and deepen this analysis by proposing a set of capabilities that these schools and leaders hold in common. Finally, it is confirmed that undertaking wider system roles on the one hand and sustaining school improvement on the other hand will probably become mutually reinforcing – with the caveat, particularly for schools in challenging circumstances, of an ongoing replenishment of internal capacity.

School Improvement

From its roots in debates about whether "schools make a difference" – relative to external socio-economic contextual factors and, in particular, the family – the literature on school improvement and school effectiveness has explored the internal components that characterize improving and/or effective schools. These components have been shown to include a positive "ethos," defined as the cumulative characteristics of values, attitudes, and behaviors (Rutter, Maughan, Mortimore, & Ouston, 1979), an emphasis on the curriculum and teaching (Purkey & Smith, 1983) as well as shared vision and goals, high expectations, and the monitoring of student progress (Sammons, Hillman, & Mortimore, 1995). Summarizing these school-level components and updating them from our contemporary research on school improvement, we propose nine key elements that need to be worked on at the same time. In no particular order, these are set out in Fig. 9.1.

We may correctly postulate that the majority of reliable or high value-added schools will have these practices in place (or will be working toward any remaining). Such an approach to understanding school improvement, however, is open to two important criticisms. First, it can culminate, essentially, in a list so that little clue is given as to how each component is developed in practice. In this way, how an improvement trajectory is sustained or what challenges schools face along the way can remain underexplored. We often do not gain a perspective on how different components interact with each other as a part of a whole-school approach. How this interplay occurs will be constructed differently, of course, in each school. Our research suggests, however, that where this is a purposeful and coherent process and where staff are encouraged to engage in such "systems thinking" (Senge, 1990), the school is more likely to be able to diagnose its strengths and weakness and to work for improvements in teaching, learning, and student outcomes. Where this interplay is absent or less developed, it appears more likely that a school's most effective work will be limited to several innovative departments.

The second criticism of the "key components" approach is that it has paid too little attention to the external contexts that schools serve. This is the argument that

Teaching & learning:	that is consistently good or better, with high expectations in the classroom, a shared 'good lesson' structure, a high proportion of time on task and use of assessment for learning to plan lessons and tailor tasks to individual needs.
Curriculum:	that is balanced, interesting and active, with strategic planning to integrate core skills, breadth and cognitive learning, with interventions for catch-up and/or enrichment and mentoring.
Behavior:	that promotes order and enjoyment, with consistent rules for conduct and dress, and with consistently applied sanctions for infringement.
Attitudes to learning:	that promote achievement, with high attendance, the celebration of success, accessible pastoral care and the voice of students valued in decision-making.
Leadership:	with a clear vision that is translated into manageable, time-bound and agreed objectives, with commitment established and data used to tackle weaknesses and internal variation.
Learning community:	with staff sharing experiences of improving practice, dedicated time for a range of CPD opportunities and a focus on identifying individual needs, especially where weak teaching exists.
Internal accountability:	that 'empowers through a culture of discipline' rather than prescription, with agreed expectations for teaching, quality assurance and peer observation and the tracking of individual student achievement, attendance and behavior.
Resource management:	that is student-focused, with a creative use of funding streams, and workforce reform and an environment that supports learning and well-being.
Partnerships:	beyond the school that create and extend learning opportunities, with parental engagement, and school-to-school collaborative work, and the support of external agencies focused on whole school priorities.

Fig. 9.1 Components of an effective school

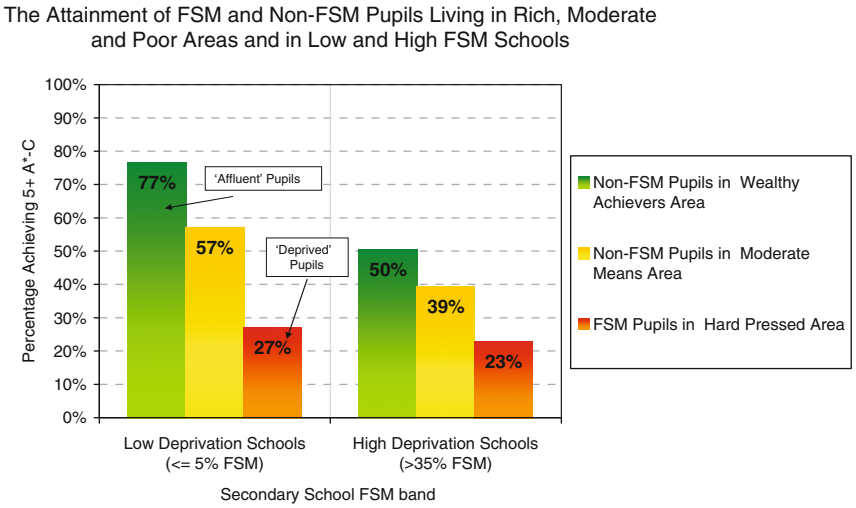

Fig. 9.2 Student attainment, socio-economic background, and school mix

challenging circumstances can hinder a school's ability to improve (Whitty, 2001). The related objection is that the school improvement tradition has focused too heavily on generic practices that school staff should implement rather than on the specific challenges that they face in doing so (Thrupp, 1999). Lupton (2005), for instance, argues that schools in more challenging contexts face above-average difficulties in staff recruitment and retention, significant pressures on teaching and management and a lack of resources, which reduce their capacity to respond to more complex social problems.

That multiple contextual disadvantages do, indeed, create additional challenges for schools, seems irrefutable when one considers the impact of socio-economic background on student achievement. Feinstein, Hearn, and Renton (2007) analysis of the 1970 British Cohort Study, for instance, shows significant inequalities in early cognitive development between socio-economic groups. School effectiveness studies have shown that social background factors explain over half the overall variation in pupil achievement (Reynolds, Hopkins, Potter, & Chapman, 2001). Our own analysis, set out in Fig. 9.2, suggests, on average, that both the achievement of pupils eligible for free school meals (FSM) from "hard pressed areas" is significantly below average in all schools, including in low-deprivation schools and that contexts of high deprivation have a depressing impact on all students, including those from more wealthy backgrounds.

While we are still learning, as Levin (2006, p. 399) suggests, "to understand how such contextual factors affect the work of school improvement," the literature is more advanced than its critiques allow. Gray et al. (1999), for instance, provided a range of case studies of improvement efforts and strategies in different contexts and at different "stages of development." More recently, Harris, Chapman, Muijs,

Russ, and Stoll (2006, p. 412) have drawn on contingency theory to suggest that "improving schools need to find a best fit between their internal conditions and the external contingency factors they are confronted with."

In this chapter we seek to contribute to these debates. We analyze effective strategies for improvement in the face of social disadvantage. We provide a very detailed perspective on the processes of initiating, developing, and sustaining a journey of improvement (rather than solely the components of an improved school). We then consider how this has led into, and enabled the schools to take on, wider system leadership roles.

To select schools that had sustained improvement over a long period, we sampled by GCSE, contextually value-added data, and Ofsted judgments on the quality of leadership, teaching, welfare, and behavior and attendance. Those in challenging circumstances were subsequently selected with reference to Ofsted's most recent description of each school, the percentage of students eligible for free school meals and qualitative intelligence. The research was undertaken in one whole-week research visit to each school. The research included semi-structured interviews with the headteacher, a group of governors, members of the senior management team (SMT), several middle leaders, and a number of teachers who had been at the school for a significant time. We also held group discussions with teachers and, separately, students, and we observed a number of lessons.

Sustaining Improvement over the Long Term

Over a decade ago the schools Plashet, Robert Clack, and Greenwood Dale had all the problems of very low-achieving inner-city schools, including low expectations of and for students; a poor environment, with graffiti and dilapidated buildings; very poor behavior, with little responsibility taken by senior leaders; a lack of direction and unity among staff; a significant financial deficit. Plashet School was in less visible crisis but had an ingrained culture of complacency. This underpinned teaching that was predominantly judged as only just satisfactory rather than good, a lack of challenge or differentiation for students, and few systems or shared practices that were organized for improvement.

All three schools continue to face very challenging circumstances. Robert Clack is a community, mixed comprehensive school and science college and serves an intake drawn from two of the most disadvantaged wards in the country. Greenwood Dale is a foundation, mixed comprehensive school and technology college. Unemployment in the inner-city area it serves is high and there is a range of socio-economic inequalities. Plashet is a community, comprehensive girls' school serving an urban area. Over half of its pupils are eligible for free school meals and the proportion of pupils for whom English is an additional language is over 90%.

In the early 1990s, however, a new headteacher in each school provided a significant impetus for change, following their predecessors' retirement or early retirement. At Plashet, the successful candidate was a recently appointed new deputy head who told governors she wanted the school to be a place where she would send

her own teenage children. At that time, she said, she would not because students were underachieving within a "sympathy model" from which few with the potential went on to higher education. At Robert Clack the successful candidate was also promoted internally, from a head of department post. The local authority felt this was a significant risk, but the governors were convinced by both his vision for the school and the success of students within his history department, which had consistently performed well above the school's average. At Greenwood Dale, the new headteacher was appointed from a deputy's post in another school. His clear and pragmatic vision for the school impressed parent governors who remember being desperate for stronger leadership for their school.

Following these appointments that were made between 1992 (at Greenwood Dale) and 1996 (at Robert Clack) each school sustained improvement over a decade or more. Robert Clack increased for 11 consecutive years the percentage of students achieving at the GCSE benchmark, from 17% in 1996 to 82% now, with 50% including English and mathematics. The school received a grade 1 in every category for consecutive Ofsted inspections in 2004 and 2007 (except for attendance in 2007). Greenwood Dale had narrowly escaped going into special measures during the early 1990s when 13% of students achieved at the GCSE benchmark. Now 80% do; 51% with English and mathematics, and the school has a contextually value-added (CVA) score of 1068. Plashet School now has 72% of students achieving at the GCSE benchmark, 66% with English and mathematics and a CVA score of 1019. These sustained improvements are demonstrated in terms of overall student attainment at GCSE in Fig. 9.3.

We turn now to what happened next during these improvement journeys. We are concerned with the contextual challenges faced by each school, the responses they developed, the improvement activities implemented, and the leadership challenges

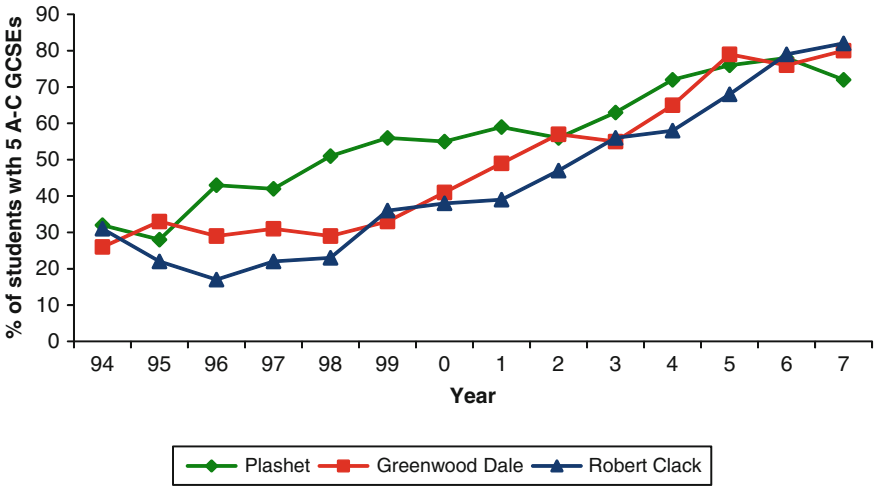

Fig. 9.3 Student attainment at GCSE for the three schools since 1994

in sustaining and evolving these activities. We find some significant similarities across the schools that coalesce around four main stages:

– narrative for improvement;
– organizing key improvement activities;
– putting professional learning at the heart of the process;
– changing dominant institutional cultures.

We consider each of these in turn, while also detailing the specific features of each school. There is some temporal sequencing, but also some overlap.

(a) *Narrative for improvement*: Perhaps still clearest in the memory of staff present at the time is an initial phase in which each school laid the foundations for improvement. This included issues of behavior, community engagement, and teaching and learning. We focus here on three key elements to summarize these early actions.

First, in all three schools, the need for change was relatively plain. The challenge was to *translate a new mission into clear principles for action* and urgency for change. At Robert Clack, the new headteacher set out in his first week that "this is going to be a very good school, serving the local community, focusing on success and building not just high aspirations for students, but high expectations of the school." The principles for action were focused on ending abusive behavior and creating a safe place to learn and work. This involved confronting a threatening minority of students and parents, writing new and clear school rules, permanently excluding a dozen seriously offending students and initiating pupil and parent contracts with the clear message that "if you deviate from agreed rules, these are the consequences and they will be applied." This was hard work that demanded a steely will from staff, leaders, and, ultimately, the headteacher and governors to face up to aggression and demand that students change or leave. The school also worked to building a more positive external image since it was derided in the community. To alter this perception, the new leadership team worked to bring parents and the wider community into the new improvement project, including through celebrating student successes at school events and in the local press. They also sought to manage the local community's experience of students' leaving time each day with senior leaders traveling on local buses, speaking to shopkeepers, and taking action on poor behavior where necessary.

Second, the need to *increase examination results and tackle weaknesses* in the quality of teaching was all too clear. At Greenwood Dale, the new leadership team was quick to act. Clear expectations were set out, "can't do" attitudes were rejected and, in the first term, a curriculum and staff review was undertaken as part of the legal requirement related to redundancy procedures. This culminated in a quarter of the staff leaving the school in the first year and continued with half the school's middle leadership leaving over the next 3 years. Such a significant loss of staff could have created a de-motivational effect for those that remained. However, staff present at the time remembered a realization that the new leadership team would stick by them and take personal responsibility for key challenges. This included teaching the

lowest ability sets in core subjects as well as supervising all breaks and student transfers on the school's small site (practices that continue to date). Another strand was to tackle the inherited £200,000 budget deficit that resulted from student numbers falling to about 500. A reduction in staff was part of the strategy, but the leadership team also felt it needed full decision-making control over resources. This led to the school becoming Grant Maintained in 1993. In the longer term, the school reflects, this created a difficult relationship with the local authority, but this was balanced by the school developing, at an early stage, a freedom from external bureaucracy, a clear focus on its own priorities, and the head's mantra that, "If it is not statutory, we don't do it (unless we want to)."

Third, *a clear reform narrative was developed* with work to ensure that this could be seen by a majority of staff to be consistently applied by the school leadership. At Plashet this meant a whole-school commitment to the eradication of the coasting culture and complacency. This was led by the new headteacher and two deputies who all taught and were reported by Ofsted to provide an excellent model for other teachers. Key appointments were made at middle manager level with the goal of moving from individual teacher to departmental schemes of work, appropriate textbooks, and common assessment. Managed carefully and transparently, teachers responded with hard and effective work. Some reported overload, especially in terms of increased paperwork and accountability. But the majority remember feeling this was more than compensated for by the emerging evidence of a greater impact on student achievement. A culture of "doing one's best" had started to develop and was being passed on to students. The school worked hard to change perceptions in their predominantly Muslim community in which too few parents had shown any initiative in their daughters' education. This included parental curricular evenings to discuss coursework and to communicate the principle that girls had a right to learn at home (rather than to be, often, Mum's helper). Undoubtedly, the role (model) of the new headteacher was highly significant here. She had become the first female Muslim headteacher in the country when she took over at Plashet. She visibly challenged the low traditional attainment of some minority ethnic groups and, in particular, British Pakistani and Bengali girls. She sought to communicate a message that combined an expectation for girls to compete and gain high core qualifications within a multi-cultural environment in which a range of religions would be openly discussed. Girls were encouraged to develop self-worth, both as part of a community and through their own individuality.

(b) *Organizing the key improvement activities:* Building on these foundations, each school increased student attainment in the first few years of the new headship. They all then entered a period in which student attainment remained static or, at least, increased significantly less rapidly. During this phase, the schools can be seen to have developed and implemented whole-school activities and systems that would sustain further improvement. We summarize these activities as three central themes.

First, there was *a whole-school focus on developing the quality of teaching and learning*. At each school the headteacher and members of the SMT told us that staff had expressed concerns that context and the background of students rendered the school's expectations for student learning and exam results unrealistic. The

unanimous response of SMTs was that they would work to remove any barriers to teaching and learning that staff identified but, in return, they would expect, as one put it, "quality teaching delivered regularly by motivated teachers with well planned lessons." At Robert Clack, this focus included the school's "good lesson guide." This was based on the headteacher's and key colleagues' diagnosis of best practice in the school, combined with an analysis of Mortimore's (1998) principles for improvement. At its heart, the guide echoed the National Strategies' priority for clear learning objectives, differentiation, and a plenary. Associated teaching skills were discussed in twilight in-service meetings and all new staff went (and still go) on induction weekends. Relatedly, teaching quality was regularly reviewed by the SMT through lesson observation and the monitoring of student work to ensure a whole-school focus. The SMT reported that teachers who were having difficulties were given extra support, but this was and remains a tricky balance to strike. Indeed, some staff felt that the weight of such accountability made them wary of admitting weaknesses for fear of the intensity of the subsequent response from the leadership. It was thus vital to this approach that middle leaders bought into the internal accountability system, and worked for it, upholding a consistent message with the SMT. This was frequently achieved by heads of department at Robert Clack who acknowledged the pressure but said they motivated staff by keeping focused on improving the value-added data and by explaining increased achievement in terms of improved classroom delivery.

Second, *improvement activities are regularly reviewed, evaluated, and redeveloped if necessary.* At Greenwood Dale, this was vital. Following the introduction of whole-school strategies to increase examination results (including a focus on borderline students), the percentage of students achieving at the GCSE benchmark increased from 13% in 1992 to 27% 2 years later. Following this initial success, this measure of school improvement plateaued at around 30% for the next 4 years. Of course, as Elmore (2004) argues, plateaus can be entirely expected, with gains in performance being followed by a period in which teachers consolidate new skills and identify the next barriers. This appears to have happened at Greenwood Dale. A number of ways of working, which subsequently helped the school move off the plateau, were being developed and institutionalized. The school looked to build the cumulative effect of consistently doing several key things well. In a context of fragility, this included whole-school regularities in roles, teaching, marking, behavior, and support. These were codified in the staff handbook and supported by in-service training so that all staff knew what they were being asked to do and how this fitted together within the school's strategic plan. Some might have said that they were "over-managed," but this enabled the SMT to decide on priorities and ensure that everyone knew what was expected. A substantial commitment was also made to curriculum development within a wider debate about what worked best for the school's context. The focus was on developing exciting schemes of work to engage and motivate pupils better. This included, in the mid-1990s, the combination of English with media studies to provide, alongside key texts, a wide range of film, TV, journalism, and, more recently, internet resources.

Third, there was *the development of highly reliable school systems and clear leadership roles* that supported improvement activities. At each school, the focus on improving student outcomes was supported by an internal accountability system. At Plashet, at the start of the academic year, each head of department was expected to provide a detailed report on outcomes (by teacher, set, and social factors) to the SMT. This would lead into analysis, for instance, that in the mathematics department there was a need to target lower achievers in Key Stage 3 because, while progression from level 4 to 5 and from 5 to 6 was good, progression from level 3 to level 4/5 was below the national average. Targets for the following year would then be set. Progression throughout the year was monitored by a tracking system (initially for every class, and now for every student). Students were tested every half-term, data were recorded in a standard record sheet, and the heads of department were responsible for identifying (a lack of) progress against individual targets. From a culture of complacency, where a lack of progress might have been explained away (with reference to text books, a lack of support, or the students themselves), these changes represented a very different approach and some teachers reported feeling a lack of trust and "very accountable." But supported by clear data for challenging practice, a willingness to back up targeted change with resources and with the principle of "no blame, but concern if there is an emerging pattern," the school leadership sought to create a culture of openness where difficult staffing issues were responded to professionally.

(c) *Professional learning at the heart of the process:* Permeating these activities and their organization, a third set of strategic practices focused on professional learning within the improvement process. In part, this happened within the work already described, especially where, as in the first example below, professional learning was needed for the implementation of new practice. This also developed, however, so that professional learning came reciprocally to inform practice and contribute to furthering the improvement process – as in the second and third examples below.

First, *the improvement strategy identified professional development needs*. At Robert Clack, running parallel to the school's "good lesson" guide, twilight in-service training focused on what an outstanding lesson looked like and how this could be combined with new ideas about how pupils learn effectively. This led into on-the-job learning. Teachers were given opportunities to diagnose peer strengths and weaknesses through informal lesson observation (using Ofsted criteria). Middle leaders were coached in leading teaching, learning, and curriculum organization and development. The SMT portfolios moved round periodically so that members came to know what each role demanded and the school gained the related professional development and capacity-building benefits. Distributed leadership thus became an increasing feature of professional development, but with the caveat that responsibility was distributed only when the SMT felt sufficient capability was in place.

Second, there was *the emergence of innovation.* As the schools institutionalized new minimum standards and systems across a majority of departments, many had

already started to innovate. This was not normally innovation that produced radically new or alternative solutions. It was predominantly practical and incremental in nature. Indeed, as members of each SMT acknowledged, the schools would not even now be at the very vanguard of individual advances in, for instance, ICT or workforce reform, but they would be solidly placed in many developments and would be proficient at exploiting the links between them. At Greenwood Dale, in response to the very low and variable prior attainment of its students that came from 23 different primary schools, a Year 7 base was built and staffed by a strong mix of experienced and innovative teachers. This underpinned the provision of a common teaching approach to reading, knowledge, and skills in Year 7 and the ability to instill the school's particular ethos of behavior and expectations. The school also committed £280,000 per annum to support literacy in primary schools and student transition. The guiding innovation was to develop transition and Year 7 provision that could be increasingly responsive to individual students' learning needs. Professional learning was also placed at the heart of externally driven curriculum development. Both the National Literacy and Key Stage 3 Strategies were implemented at Greenwood Dale, but only after a significant rethink by all teachers to take key changes on board while keeping their own established good practice. This developed a culture of rigorously analyzing what worked best and then sharing this with colleagues, both informally and, more recently, within best practice seminars organized by a deputy head to be short sharp inputs of "radical and effective" practice that could then be followed up internally. This was supported by the early introduction of ICT, so that now departmental schemes of work are available to all staff on their own networked computers.

Third, *effective practice is increasingly shared internally*. This was perhaps most developed at Plashet. It commenced with the SMT working to transform what had become cumbersome, departmental, and administrative in-service training so as to make it more responsive both to staff needs and the school improvement plan. This was combined with an opening up of more debate about external practice, with those attending external CPD events 'cascading' feedback on their return and with the SMT organizing whole-school workshops on particularly interesting and relevant external courses. Over time, the school became an "increasingly safe" place to share practice, with a majority of staff willing to run in-service and peer training and to work with others outside their own department to jointly improve teaching strategies. The co-construction of practice also became a key focus of professional development within departments. For instance, the science department challenged itself to make learning more fun. To do so, the team researched and bought new resources and activities, integrated these into their existing schemes of work to ensure pace and differentiation, hired an IT consultant to put the outcomes together onto the school network, and then observed and coached each other across a range of key lessons. This was supported by timetabled planning meetings for each department every week. While, initially, this had been focused on administration, there was always now an agenda item on new skills, equipment, and so on. The headteacher saw that collaborative professional development had played an important

Fig. 9.4 Ofsted judgments on the quality of observed teaching over three inspections between 1993 and 2005

	1993	1999	2005
% of teaching satisfactory	88	97	99
% good or better	42.4	73	80

role in improving the quality of teaching and learning which, as set out in Fig. 9.4, has been clearly demonstrated by Ofsted's inspections.[1]

(d) *Institutional cultures are changed*: The fourth and final set of improvement practices we identified concerned how values and an ethos that supported effective learning and professional development were established in the schools. These included:

First, *positive attitudes to learning*. At Robert Clack, teachers commented that the "culture had changed, from about 50% of students wanting to learn to over 90%." As we have seen, consistent discipline was crucial, with all staff expected to undertake roles in reinforcing calm and with high pupil awareness of what was (un)acceptable. But, over time, this was subtly married to a culture of listening to students and trying to understand perceived injustice, emphasizing praise for social responsibility as well as achievement, and underpinning this with a staff ethos that: "If you give students respect, you get it back from them." At Plashet, where there had originally been less disruptive behavior, staff reported a slightly different transformation in learning attitudes: from a majority of quite sheltered girls who learnt passively to much greater student confidence with more willingness to take chances and be imaginative in the classroom. This also fed into an expectation by students for progression to college, with about 98% now doing so. In all three schools, however, the achievement of high value-added outcomes could also be connected with some teachers feeling that they had to "spoon-feed" students. There was the sense that they did not instill a full range of independent learning skills and experiences that would enable students to fully access the wider curriculum (and lifelong learning). In part, staff explained this as resulting from wanting the best for students, providing them with a wide range of resources, stimuli, and support, and students coming to expect this and not thinking sufficiently for themselves. A number of staff suggested that, if they did not work in these ways, they would be worried about the impact on student attainment, especially in coursework, and the consequences for their own accountability.

Second, *a culture of professional action* reduced the need for excessive managerial pressure and control. Pressure remained, but the need for senior leadership

[1] Ofsted changed its definitions of what constitutes satisfactory, good, or better teaching during this period, but not to a degree that would significantly alter the data quoted for the school.

intervention decreased. At Plashet, for instance, the school is now open from 8 a.m. to 5 p.m. every day and on Saturday mornings for clubs, booster classes, and extra-curricular activities. As teachers reported, "If the kids ask, the school will try" and the SMT will always explore opportunities to support these activities creatively with resources. To provide these activities as well as high quality lessons, teachers in all three schools felt that they worked very hard, and often harder than colleagues in other schools. Successive good Ofsted inspections and good appointments had developed a stable staff, high morale, and healthy competition in the professional pursuit of excellence. This was supported by good school development planning, with a focus on students and based on a deep and wide consultation with teachers, governors, parents, and students on the strengths to hold on to and the weakness to resolve. Each school also surveyed the forthcoming local and national policy landscape with openness to new ideas but a rigorous analysis of the evidence and implications for practice. In doing so, the schools have developed the confidence to define what they wanted to do and to filter external initiatives, aligning those that were important to internal priorities. As professional communities, each school had learnt to reproduce what it knew to be important to its own success.

Wider System Roles

These cases provide a rich seam of evidence of how schools work in challenging circumstances to sustain improvement. While contextually different, a high degree of similarity existed. As significantly, each school has also continued its improvement journey by taking on wider system roles *that share their knowledge and practice with other schools*. Indeed, this finding is all the more striking given that no criterion on "undertaking a wider system role" was included in the sampling process. To explore these emerging roles and the challenges they bring, we turn to the experiences of the three schools, before considering the broader themes to which these point.

At Robert Clack, over time, the school's clear focus on engaging the local community in its improvement developed into a wider role beyond the school. In 2004, Robert Clack's headteacher took on an ad hoc consultant leader role to a neighboring school. This began when the local authority contacted Robert Clack in the July to ask how it could help improve a local school that had gone into special measures, lost its headteacher and was unable to recruit a replacement. The model Robert Clack's headteacher proposed was to support an acting headteacher promoted from within. The rationale was that, led by an acting head, and hence supported rather than "taken over" by another school, the local school's staff and leadership would be more deeply involved (and motivated) in developing its own capacity to improve.

It was a big commitment. Detailed plans for the following term were developed during August. These included:

– diagnosis of the key practices the neighboring school needed to develop;

– clarity on Robert Clack's teaching and learning and behavior systems;
– a visit to Robert Clack for 30 of the school's staff in September to witness the behavior management, assemblies, and teaching and learning in action;
– the export to and refining of key systems into the partner school, employing key Robert Clack staff to deliver, in particular, Ofsted's requirements for immediate improvements in behavior.

A pattern of 2 days a week consultant leadership by Robert Clack's head then developed. This included hands-on support for the implementation of the behavior system. The outcome was that, at the first special measures monitoring inspection the following January (2005), Ofsted affirmed significant progress had been made. In Ofsted's judgment, the presence of a consultant and other senior leaders attesting to improvement and demonstrating continued commitment was important. After this success, and in agreement with the local authority, the acting headteacher was handed overall responsibility. The consultant role reduced to one of advice. Later that year the school came out of special measures and, subsequently, appointed a new headteacher.

There were also benefits to Robert Clack, as the "lead" school, including:

– confidence for the leadership to know what needed to be done to get another school out of special measures;
– a contribution from staff both to help another school through a situation many had faced themselves and to gain unique leadership development;
– the overall experience which led into Robert Clack's current roles as a mentor school for the other schools in an improvement project called "London Challenge" and as a lead school in the Specialist Schools and Academies improvement network.

The flip-side was that Robert Clack needed to be willing to put the school's resources to the test. Indeed, with hindsight, Robert Clack's head acknowledges that he was fortunate to have had key logistics in place before taking on a wider improvement role. These included being in a local situation in which everyone, from the local authority, the partner school's governors and staff, and the wider community, was committed to the same key outcomes. The experience has given the leadership a clearer sense of Robert Clack's potential to undertake further system leadership. They evaluate that the headteacher has the capacity to advise and, from time to time, make strategic visits, which could be supported by several experienced teachers, to transfer and refine best practice. But to sustain Robert Clack's own improvement the school would need to be resourced to backfill.

Issues of capacity were also evident at Plashet. The school's well-developed systems and its culture of sharing best practice internally provided strong foundations for the school to take on wider system roles. Its actual moves to do so also reflected a deeply ingrained and deliberate planning culture. The SMT took 2 years to consider how to continue to raise achievement while, at the same time, taking on wider

local system roles. The leadership was clear it would neither put Plashet under pressure nor act before bringing a majority of staff on board. There were several steps.

First, in 2002, Plashet became a Beacon school with four themes of: leadership and management; gifted and talented provision; special educational needs; extra-curricular provision. Each theme was led by a head of department responsible for organizing all interaction with other schools. Initially, a number of staff expressed concern about an increase in workload and a decrease in results. They were given assurances by the SMT that, if Beacon status produced either, the school would come out of the program. A review at re-designation showed staff had been paid for extra time, results had gone up and a range of staff had gained significant professional development. More qualitatively, there was a growing confidence to analyze and share practice with colleagues. At first, there had been a common belief that "the school was good because of the girls, and thus how could teachers share practice with schools that had poor behavior and less committed students." Beacon status developed processes of self-evaluation to enhance skills in identifying and sharing more effective practice.

In 2004, Plashet became a Leading Edge school with three themes: leadership and management; provision for gifted and talented students; a school ethos to promote high achievement from low prior attainment. Building on Beacon status, Plashet developed as a "lead" school. Many departments developed the capacity to work externally and a number could identify that their wider work and output came back to Plashet as expertise in the longer term. A key principle remained – that of also maintaining the school's capacity in the shorter term. To do so, Plashet kept half of the £40,000 it then received as a Leading Edge school. After covering travel and supply costs, the residue was made available for curriculum development.

Finally, the school's development of wider roles led to the headteacher becoming a school improvement partner (SIP) in 2005. A number of key issues had already emerged. First, Plashet's headteacher found it essential to have her own school ready to act as a "lead." For example, following SIP discussions concerning underperformance in another school's science department, she offered a visit to her own highly improved department. The visiting headteacher and head of department discussed and viewed with Plashet's science staff the online curriculum, schemes of work, and teaching resources, as well as observing Plashet's approach to active teaching and learning in the classroom. This direct and ongoing sharing of best practice was considered invaluable. It also enabled Plashet's headteacher to focus on sharing what works within a SIP model of support and challenge rather than being cast as an inspector. For her, this differentiation was crucial to her success. Second, there was again a focus on maintaining capacity at Plashet, with the SIP resources being used to upgrade several SMT members who took on additional roles within the school. While this was secure, Plashet's headteacher did have concerns for the growing role of acting as a SIP in relation to both the National Strategies and Ofsted reports. Since she was a SIP of three schools, with formal and informal responsibilities, the local

authority wanted a commitment of 13 days for each school. This, she considered, was a maximum.

Experiences of wider system roles at Greenwood Dale started when the headteacher was seconded for a year to work as Head of School Improvement in Walsall Education. Having returned to Greenwood Dale, this led into several local roles to support lower achieving schools. In each case, it was the headteacher who agreed to take responsibility for providing support, but it was one of the deputy heads who led the project on a day-to-day basis. The first was River Leen School where, during 2006/2007, Greenwood Dale worked to help develop a number of improvement strategies including in mathematics, whole-school tracking, and targeting of student progress and support for Year 11 students. One Greenwood Dale deputy head spent 4 days a week at River Leen, two assistant heads worked there part time, other staff provided support when needed and River Leen staff were mentored by their peers at Greenwood Dale. River Leen improved from 23% of students gaining 5 A∗–C grades in 2006 to 41% in 2007.

The second school was Elliot Durham, a close neighbor of Greenwood Dale, that serves a community facing severe social and economic disadvantage and with students entering with exceptionally low prior attainment (according to Ofsted's inspection in 2007). It is a small school of just 430 students with failing roles. Since 1998, student achievement at GCSE hovered around 10% gaining 5 A∗–C grades and more recently it had had a number of changes in leadership. At the local authority's request Greenwood Dale supported the acting headteacher in particular to help the school avoid going into "special measures." Five weeks later, Elliot Durham was deemed "satisfactory" by Ofsted and the partnership support recognized in the inspection report. Another of Greenwood Dale's deputy heads, having worked with the acting headteacher as an associate head during this time, took over himself as acting head in 2007/2008. Greenwood Dale's headteacher acted as the informal executive head of the two schools. This was formalized when, as part of the first cohort in 2007, he became a national leader of education (NLE) and Greenwood Dale a national support school.

Plans for a more formal support partnership had existed from before receiving NLE status. This was initially for a hard support federation. However, as detailed project planning developed and discussions were held with local and national government, the concept of a 3–18 Academy started to emerge, with the willing inclusion of a local primary school. By September 2008 this proposal had been backed by the city council. The Academy will have three sites with, respectively, 3–15 provision, 11–18 provision, and 15/16–18 provision. With a projected total of 3520 children it will become the biggest school in England. It will also become the first Academy to be sponsored by a state school, in this case by Greenwood Dale. A local employer, Experian, will become the business supporter and bring experience of building projects and IT infrastructure. Greenwood Dale has raised £60 million for rebuilding the sites and redesigning the educational offer. Central government has pledged £45 million to pay for the secondary dimension, with the city council providing £10.5 million for the primary side.

The whole Academy will be led by one executive leader – likely to be Greenwood Dale's current headteacher – who, with a central team, will oversee standards, finance, and personnel. Three heads of school – likely to be the two Greenwood Dale deputies and the exiting primary headteacher – will take responsibility for the day-to-day running of each site. This "schools within a school" model is designed to ensure pupils are taught in smaller units rather than in one very large organization. The proposed opening dates for the new Academy will be September 2009 (in existing buildings) and 2011 in new or refurbished buildings on each site.

Conclusion – Institutional Capabilities

Continuing to sustain school improvement on the one hand and undertake wider-system roles on the other hand does appear to be potentially reinforcing. The important caveat is that this necessitates sufficient whole-school and leadership capacity. We have demonstrated here that schools, and particularly those in challenging circumstances, will as a priority want to remain vigilant about sustaining their own school's improvement. Equally, we have also seen that sustaining improvement can help to develop the skills and capacities required for wider system roles, even in challenging circumstances. This is an important finding as it tests the thesis that system leadership can extend from schools serving disadvantaged communities. The counter argument that system leadership is an elite activity serving the financial and professional interests of schools in leafy suburbs – that will inevitably (re)produce a two-tier education system – appears unfounded. While we are attentive to reproducing such inequalities, the argument does not do justice to the work of schools like Robert Clack, Greenwood Dale, and Plashet.

In seeking to capture these findings conceptually, and by way of concluding this chapter, we propose below a set of five hypotheses about (what might best be called) the *institutional and leadership capabilities* that these schools brought to the task of their emerging system leadership roles. The purpose here is to hypothesize how school improvement journeys can aid and contribute to a school's ability to take on wider system roles.

First, as we have seen, the leadership teams explicitly organized their schools for improvement. They did so by providing a clear reform narrative, seen by a majority of staff to be consistently applied, and by strategically linking together whole-school improvement activities that were supported by clear leadership roles. A key leadership challenge was that, after improvement gains, plateaus in performance could be expected. Leaders needed to ensure complacency did not set in and encourage teachers to consolidate new skills and identify the next barriers to progress. In this way, the first hypothesis to emerge is the ability of system leaders to *determine the capacity needed to undertake other improvement activities*. This

includes intelligence about what is important for success, associated skills of planning, implementing, and monitoring change, and the leadership acumen to ensure that one's own capacity to deliver core day-to-day tasks is not undermined.

Second, as one deputy head argued, the schools created clarity (of key whole-school systems they established), consistency (as these systems spread across the school), and continuity (of the systems over time). A key challenge for the schools was that, while they had succeeded in the face of significant socio-economic challenge, they remained constantly aware of their fragility, given the contexts they served (especially at Robert Clack and Greenwood Dale). Clear systems had been developed and refined over time, a very high percentage of staff knew and implemented their responsibilities, and each school's leaders provided a visible presence in tackling key issues. The second hypothesis this develops for wider roles is the importance of *understanding the regularities needed to sustain improvement in a school* and the ability to decide on and deliver priorities.

Third, the leadership in each school was focused on improving the quality of teaching, learning, and student well-being to ensure that every learner became inspired and challenged to achieve and also to reduce identified barriers to achievement. To do so, the schools had gone some way to balancing the development of literacy and numeracy skills for all students with a broader curricular offer and differentiation in the classroom. Sometimes the achievement of high value-added outcomes had been connected with teachers' feeling that they had to "spoon-feed" students. This was an ongoing professional challenge, as teachers worked hard in the pursuit of both high-achieving and well-rounded young people. The third hypothesis is that wider system roles were aided by an already *ingrained ethos of high expectations* for students and of teachers so that institutional values supported professional development and a culture of motivation and goodwill among staff. This was vital to sustain the "beyond the call of duty working" that appeared to be necessary to achieve long-term improvement and to take on wider system roles.

Fourth, internal accountability was a feature of each school. As a consequence, some staff "felt very accountable" and, in a few cases, reported negative effects where pressure for student attainment had led teachers to be less creative in teaching and curriculum planning. However, over time and where successfully implemented, most crucially by middle leaders, the schools had nurtured, to different degrees, a dominant culture where professional action reduced the need for excessive managerial pressure. In particular, regular peer observation and collaborative planning helped to create a shared language about what was being found effective in engaging students in their learning. The fourth hypothesis is the importance of a widely developed ability to *identify and transfer or co-construct practice* internally that, in turn, provides the potential for schools to work externally to share systems, skills, and experience with other colleagues.

Fifth, and importantly for our concerns at the start of this chapter for the impact of socio-economic context on school improvement, the leadership of all three schools shared an aspiration to "change context" as a key component of their improvement strategies. To do so, and as we have seen, they looked outward to developed educational strategies that were explicitly responsive to their localities, to engage parents

and the wider community in the improvement project, and to build partnerships for high aspirations and student well-being outside the school's gates. This was challenging and time consuming. Yet, our case study schools all showed significant changes that they had led in partnership with their communities. So, the fifth hypothesis is that this provides the necessary experience of *working, negotiating, and building networks of stakeholders*, including local schools, parent bodies, and governors, as well as local authorities and national agencies, that are all essential to sustaining improvements in student attainment and well-being.

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Part IV

Chapter 10
Developing Leadership Capital

Brian J. Caldwell

Introduction

The purpose of this chapter is to describe and illustrate a new framework for leadership in education. The framework is based on research in six countries (Australia, China, England, Finland, United States and Wales) in the International Project to Frame the Transformation of Schools. Transformation is defined as significant, systematic and sustained change that secures success for all students in all settings. The findings of the project as a whole are reported by Caldwell and Harris (2008) with separate reports containing the findings for each country (Douglas & Harris, 2008 for Australia; Egan, 2008 for Wales; Goodfellow & Walton, 2008 for England; Saarivirta, 2008 for Finland; Zhao, Ni, Qiu, Yang, & Zhang, 2008a for China and Zhao, Ni, Qiu, Yang, & Zhang, 2008b for the United States). This chapter describes the breakthrough in understanding leadership that was made in the project.

The centrepiece of the project was a study of secondary schools that had been transformed or were progressing well in their pursuit of transformation. It was found that each school was adept at creating and strengthening four kinds of capital – intellectual, social, spiritual and financial – and aligning and sustaining them to achieve its mission. Creating, strengthening, aligning and sustaining the four forms of capital do not occur by themselves; outstanding governance is required. Central to the purpose of this chapter, outstanding governance calls for outstanding leadership.

The starting point is a description of the International Project to Frame the Transformation of Schools with particular attention being given to indicators of the four forms of capital and to noteworthy illustrative practices in different countries. The concept of 'capital formation' is explained. Detailed illustrations are then provided based on studies in exemplary settings in Victoria, Australia, one at the school

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level (Bialik College) and one at the system level (Hume Region of the Department of Education and Early Childhood Development). The framework for leadership as capital formation is compared to other frameworks and its relevance to current efforts to set standards for school leadership is explained. Principles of sustainability in capital formation are illustrated in reference to Australia's Futures Focused School Project. The chapter concludes on an optimistic note by contending that all schools can be transformed, with leadership as capital formation being central to the effort.

International Project to Frame the Transformation of Schools

The purpose of the International Project to Frame the Transformation of Schools was to explore how schools that had been transformed or had sustained high performance had built strength in each of four kinds of capital and aligned them through effective governance to secure success for their students. The project was framed by the model in Fig. 10.1, developed earlier from 2004 to 2006 (Caldwell & Spinks, 2008). Particular attention was given to secondary schools in systems where there was a relatively high level of school autonomy.

Intellectual capital refers to the level of knowledge and skill of those who work in or for the school. Social capital refers to the strength of formal and informal partnerships and networks involving the school and all individuals, agencies, organizations and institutions that have the potential to support and be supported

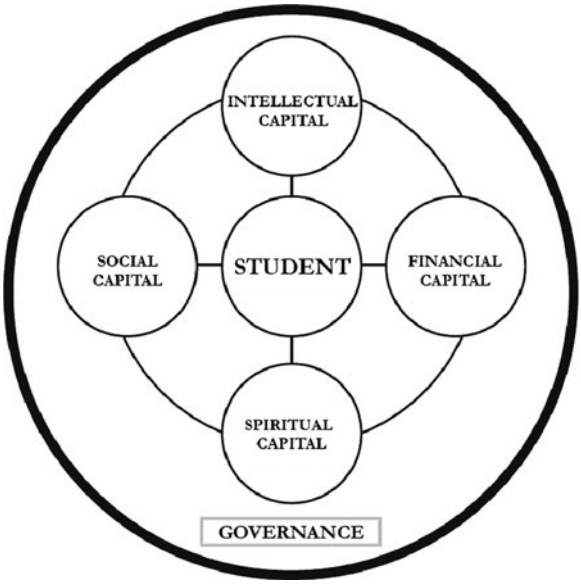

Fig. 10.1 A model to frame the transformation of schools (Caldwell & Harris, 2008; Caldwell & Spinks, 2008)

by the school. Spiritual capital refers to the strength of moral purpose and the degree of coherence among values, beliefs and attitudes about life and learning (for some schools, spiritual capital has a foundation in religion; in other schools, spiritual capital may refer to ethics and values shared by members of the school and its community). Financial capital refers to the money available to support the school. Governance is the process through which the school builds its intellectual, social, financial and spiritual capital and aligns them to achieve its goals.

The model in Fig. 10.1 was the starting point for the project that was conducted in 2007. There were two stages. The first called for a review of literature on the four kinds of capital and how they are aligned through effective governance. An outcome of this review was the identification of ten indicators for each form of capital and for governance. The second called for case studies in five secondary schools in each of six countries: Australia, China, England, Finland, United States and Wales (the Australian component also included a primary school and a network of primary and secondary schools). The project was carried out by Melbourne-based Educational Transformations with different components conducted by international partners with funding from the Australian Government and the Welsh Assembly Government.

Capital Formation

The concept of 'capital formation' is proposed as a helpful way of describing the work of the leader in achieving transformation. It is a concise way of describing the framework for leadership that emerged in the international project. According to the Merriam-Webster online dictionary, capital refers to 'accumulated goods devoted to the production of other goods' or 'a store of useful assets or advantages'. Intellectual capital, for example may be viewed as 'accumulated goods' ('the level of knowledge and skill of those who work in or for the school') devoted to the 'production of other goods' (state-of-the-art curriculum and pedagogy leading to 'success for all students in all settings'). High levels of capital in each of the four domains constitute 'a store of useful assets or advantages'.

The focus of this chapter is the role of the leader in creating, strengthening, aligning and sustaining the four forms of capital. 'Formation' is a single word that captures the essence of the role, with the Merriam-Webster online dictionary referring to 'an arrangement of a body or group of persons or things in some prescribed manner or for a particular purpose'. The Merriam-Webster online thesaurus refers to 'the way in which something is sized, arranged or organized'. The purpose is the transformation of schools.

The framework does not replace existing frameworks that have stood the test of time or are currently showing promise for the leadership of schools in the 21st century. Rather, it complements and in some instances extends them, as shall be demonstrated in another section of the chapter.

Indicators

Indicators were devised for each kind of capital and of governance. They served as a guide to researchers in each of the six countries in the selection of schools and to help build a common understanding of what was meant by each concept (intellectual capital, social capital, spiritual capital, financial capital and governance).

The 50 indicators – 10 for each kind of capital and for governance – are listed below. Thirty were demonstrated in each of the 30 schools in the study; all were demonstrated in at least one school. General findings are briefly summarized after each list along with noteworthy approaches in particular countries.

Intellectual Capital

1. The staff allocated to or selected by the school are at the forefront of knowledge and skill in required disciplines and pedagogies.
2. The school identifies and implements outstanding practice observed in or reported by other schools.
3. The school has built a substantial, systematic and sustained capacity for acquiring and sharing professional knowledge.
4. Outstanding professional practice is recognized and rewarded.
5. The school supports a comprehensive and coherent plan for the professional development of all staff that reflects its needs and priorities.
6. When necessary, the school outsources to augment the professional talents of its staff.
7. The school participates in networks with other schools and individuals, organizations, institutions and agencies, in education and other fields, to share knowledge, solve problems or pool resources.
8. The school ensures that adequate funds are set aside in the budget to support the acquisition and dissemination of professional knowledge.
9. The school provides opportunities for staff to innovate in their professional practice.
10. The school supports a ‘no-blame’ culture which accepts that innovations often fail.

The study revealed a range of practices to build intellectual capital. The education system in Finland has been highly successful in its aim of providing equitable access to high-quality education for all students in all settings. Not only does Finland perform at a high level in international tests such as the Programme for International Student Assessment (PISA), it also has one of the smallest gaps between the achievements of high- and low-performing students. Schools are focused on the recruitment and retention of high-quality teachers. All have a capacity to select their own staff. Principals are able to interview staff and recommend their selected candidate to the local education board, which is responsible for the employment of teachers. Schools in Australia and England are able to recruit, select and manage their own staff.

The level of qualifications for teachers and school leaders varied between the countries. In Australia, England and the United States, teachers are required to complete at least an undergraduate education qualification. Teachers in Finland are required to hold a master's level degree. School leaders from each country are expected to have some practical knowledge and training in educational administration.

Schools from each country described mentoring programmes for newly qualified teachers. The Australian schools indicated that their long-serving staff are highly valued for their knowledge and experience. In many of the English schools, the mentoring of new teachers was one part of the staff professional development programme. These schools reported that less experienced teachers are able to develop personalized development programmes with their mentors.

It is immediately apparent from a review of the indicators listed above and the illustrative noteworthy practices that outstanding leadership that is deeply distributed at the school and system level is required. A pre-eminent capacity to create and sustain intellectual capital is a requirement for educational leadership in the 21st century. Symbolically, that is why intellectual capital is positioned at the top of the model in Fig. 10.1.

Social Capital

1. There is a high level of alignment between the expectations of parents and other key stakeholders and the mission, vision, goals, policies, plans and programmes of the school.
2. There is extensive and active engagement of parents and others in the community in the educational programme of the school.
3. Parents and others in the community serve on the governing body of the school or contribute in other ways to the decision-making process.
4. Parents and others in the community are advocates of the school and are prepared to take up its cause in challenging circumstances.
5. The school draws cash or in-kind support from individuals, organizations, agencies and institutions in the public and private sectors, in education and other fields, including business and industry, philanthropists and social entrepreneurs.
6. The school accepts that support from the community has a reciprocal obligation for the school to contribute to the building of community.
7. The school draws from and contributes to networks to share knowledge, address problems and pool resources.
8. Partnerships have been developed and sustained to the extent that each partner gains from the arrangement.
9. Resources, both financial and human, have been allocated by the school to building partnerships that provide mutual support.
10. The school is co-located with or located near other services in the community and these services are utilized in support of the school.

Schools in each country indicated the importance of involvement in networks, which may include relationships with other schools or education providers, including members of the local community, businesses and other organizations.

The support and involvement of parents in school life is highly valued. Parents participate in a number of ways including school activities, parent–teacher meetings, in the school decision-making processes, volunteering and through the school's provision of information sessions for parents.

Schools have fostered strong links with other schools. These may include schools in different countries, which may be linked through international 'sister school' programmes, as well as local networks. Links with other schools may include sharing teachers and resources. The sharing of teaching staff is common, especially in Finland, particularly in specialist subjects such as music and foreign language teaching.

Networking is included in the list of indicators for both intellectual capital (indicator 7) and social capital (indicator 7). While networks are often relatively informal in nature, with fluid membership and shifting purposes, leadership is required to create and sustain them. For the most part this leadership may be informal, but it will be more formal when participation is included in roles and responsibilities and when money is committed in a budget.

Financial Capital

1. Funds are raised from several sources including allocations by formula from the public purse, fees, contributions from the community and other money raised from the public and private sectors.
2. Annual planning occurs in the context of a multi-year development plan for the school.
3. The financial plan has a multi-year outlook as well as an annual budget.
4. Allocation of funds reflects priorities among educational needs that take account of data on student achievement, evidence-based practice and targets to be achieved.
5. There is appropriate involvement of stakeholders in the planning process.
6. Appropriate accounting procedures are established to monitor and control expenditure.
7. Money can be transferred from one category of the budget to another as needs change or emerge.
8. Actual expenditure matches intended expenditure allowing for flexibility to meet emerging needs.
9. Educational targets are consistently achieved through the planned allocation of funds.
10. The funds from all sources are sufficient and sustainable to meet educational needs.

Although schools regard financial capital as important, they did not believe that it was necessarily the most important resource for the improvement of student outcomes. While each received government funding, all were actively involved in seeking additional support. Additional money was raised through school fees in some instances and a range of local fund-raising activities. Schools in Australia, England, the United States and Wales reported that their leaders devote time to preparing applications for additional government grants. Schools in England are exemplars of entrepreneurial leadership and report high levels of success in seeking external funding including cash or in-kind support from corporate bodies. These were among the more than 90% of secondary schools that offer at least one specialization. There is a requirement in England that specialist schools secure cash or in-kind support from a business or other organization in the public or private sector whose work is related to specializations offered by the school.

All schools have some freedom in the allocation of school finances across budget categories. The schools regard this ability to move funds to be important in order to meet the educational needs of their students. There is freedom to manage the budget but within a framework of accountability to the sources of funds.

At first sight this form of capital is more closely connected to management than to leadership. Educational leadership is important to the extent that exemplary schools are adept at connecting financial capital to the other forms of capital. For example, indicator 4 in the above list is explicitly related to the allocation of money to priorities among educational needs. The achievement of educational targets (indicator 9) is dependent to a large extent on teachers and others having knowledge and skill (intellectual capital). There is a leadership component to the involvement of stakeholders (indicator 5) (social capital).

Spiritual Capital

1. There is a high level of alignment between the values, beliefs and attitudes about life and learning held by the school and members of its community.
2. The values and beliefs of the school, including where relevant those that derive from a religious foundation, are embedded in its mission, vision, goals, policies, plans and curriculum.
3. The values and beliefs of the community are taken into account by the school in the formulation of its mission, vision, goals, policies, plans and curriculum.
4. The school explicitly articulates its values and beliefs in publications and presentations.
5. Publications and presentations in the wider community reflect an understanding of the values and beliefs of the school.
6. There are high levels of trust between the school and members of its community.
7. Parents and other stakeholders are active in promoting the values and beliefs of the school.

8. The values and beliefs of the school are evident in the actions of students and staff.
9. Staff and students who are exemplars of the values and beliefs of the school are recognized and rewarded.
10. The values and beliefs of the school have sustained it or are likely to sustain it in times of crisis.

All schools in the study had clearly defined values, which are frequently promoted through the school and local community. Each aimed to align its values and beliefs about life and learning with the values held by the local as well as wider community. These may be cultural values, such as the emphasis on education and equity in Finland. Alignment may be more difficult to achieve in communities with high levels of cultural diversity. Schools in Australia, England and the United States that serve diverse communities have been generally successful in managing this alignment through high levels of consultation with the community and the promotion and understanding of different cultural traditions.

Schools reported a continuing movement towards holistic educational approaches and a focus on student welfare. Schools in Finland have created strong networks with other social service agencies, including hospitals, psychologists and police, to assist students with social and emotional difficulties.

Leadership in the creation of spiritual capital in both religious and secular senses is evident in the more detailed illustrations in the next section of the chapter, with the former particularly evident at Bialik College (Jewish) and throughout the Hume Region of the Department of Education and Early Childhood Development in Victoria (a system of state/government/public schools). Values and beliefs underpin the achievement of success in the transformation of schools. This is why, in a symbolic sense, spiritual capital was positioned as the foundation in the model for transformation in Fig. 10.1.

Governance

1. Authorities, responsibilities and accountabilities of the governing body and professional staff are clearly specified.
2. Mechanisms are in place to ensure that obligations in respect to legal liability and risk management are addressed.
3. There is a clearly stated connection between the policies of the school and intended outcomes for students.
4. Policies have been prepared after consultation with key stakeholders within the school and the wider community.
5. Policies have been formally approved by the governing body.
6. Policies are consistent in their application across the school so that students with the same needs are supported in the same manner.
7. Data are used in making decisions in the formulation of policies and making judgements about their effectiveness.

8. Data are gathered across the range of intended outcomes.
9. Information about policies and their implementation is readily available to all stakeholders.
10. There is a strong sense of commitment to policies and their implementation on the part of all stakeholders.

Certain features of governance were evident in all schools in the study. They had developed structures to suit the needs of their local community. These structures were considered to be a significant factor in their success. All have some form of distributed leadership. Although schools have developed different governance structures, all members of the governing body were aware of their particular roles and responsibilities.

Schools are led by inspiring leaders who articulate a strong vision. Principals were described as leaders of teaching and learning within their school and were deeply involved in school improvement. Schools formulated innovative and entrepreneurial plans and were active in gathering data to monitor, evaluate and improve their practice. Leaders have a high degree of freedom in day-to-day management.

Conducting an Audit

One outcome of the International Project to Frame the Transformation of Schools was the development of an instrument to guide a school audit (the instrument is contained in Caldwell & Harris, 2008). For each indicator, respondents are invited to provide ratings of (1) importance in the context of your school, (2) how well your school is performing and (3) the priority you attach to further development.

The instrument may be used in a range of situations. Its main use is to frame an audit of a school's capacity to achieve change on the scale of transformation or to sustain high levels of performance. It may be completed in the school setting by a leadership team or a group of staff working in the same area.

The instrument travels well across international borders. To date it has been used in workshops in Australia, England, Malaysia, Mauritius, Netherlands, Philippines, Singapore and Wales. Participants have not baulked at the inclusion of any indicator and have been able to work through the entire set in the context of their own schools or school systems.

Leadership and Capital Formation: The Case of Bialik College

Located in an inner suburb of Melbourne, Bialik College is a K-12 single campus independent Jewish school (see Douglas & Harris, 2008 for a detailed account of how the four forms of capital were developed at this school). It has been transformed from a small school that struggled to find its identity, and which at

one time was about to be taken over by another school, to a leading school that consistently gains outstanding results in the Victorian Certificate of Education (VCE). Enrolment has increased from about 350 to about 1050 over the last 20 years. The school is located in attractive spacious grounds with state-of-the-art buildings and high levels of security. There is no selective intake at any level.

A major investment in intellectual capital was associated with the adoption of the Reggio Emilia approach in the early years. A small team of teachers and the school architect visited Reggio Emilia in Italy to gather information before adoption. The principal visited the city 2 years later and groups of teachers continued to make the journey each year. Adopting the approach was a significant decision as it required additional staff to provide two teachers in each classroom, and new facilities. Thus, the school went from investigating what was seen then as a novel and untried approach to early childhood learning in Australia to a fully fledged approach in a purpose-built facility.

Another major investment in building intellectual capital was the school's involvement in the 5-year Cultures of Thinking project in collaboration with the Harvard Graduate School of Education and its Project Zero programme. All teachers are involved but in varying degrees, with many choosing to participate intensively by joining focus groups and participating in regular meetings. Teachers could nominate to be in a focus group involving a cross-section of staff from different disciplines and ages. At least two such groups have been established each year since 2005 with original groups still meeting. The focus groups follow a protocol consisting of professional development in thinking routines, teacher-led action-research projects involving their classes for 6 months and teacher visits to each other's classrooms. The high cost of the programme, which includes visits by a team from Harvard two or three times a year, has been supported by generous benefactors. There have been significant benefits of developing the school's intellectual capital in this manner. Moreover, some of the barriers to learning between early learning, primary and secondary appear to have been broken down.

These and other initiatives were responses to insightful staff identifying and recognizing the needs of students and a council that trusted its principal and allowed her to lead the school with relative autonomy. Genia Janover led the school for more than 20 years, retiring in mid-2008. She described her role as that of a culture builder and a risk taker. She knew every student and every family.

To assist with harnessing and mobilizing the social capital of the school, it has an important resource in the form of a development manager. Her roles are numerous, ranging from fund-raising; publicity, media and special events coordination; and liaison with parents and former students. Her formal networks include a large number of Jewish and non-Jewish organizations and schools. She is regarded as a 'face of Bialik' in the wider community; a vital part of her work is 'friend-raising'.

As far as financial capital is concerned, the growth in student numbers, together with donations and other fund-raising, has ensured financial stability. A restructure of federal government funding has meant the school receives less money than in the past from this source. The main source of income, however, is through the fees charged to parents. Many families (about one in five) are either fully or

partially subsidized. In addition, a number of bursaries and scholarships are offered. The school attracts benefactors from the parent and grandparent community which may come in the form of donations towards a new building or a new educational initiative.

With a flat leadership hierarchy and a consequent reduction in costs, the school was able to improve the teacher–student ratio to the current 1:8, regarded as a key factor in securing good student outcomes. There is a line in the school budget of about 8% that is kept solely for educational innovation. The link between the school's academic success and its financial capital is thus very strong.

Spiritual capital is strong. Both Jewish and universal human values are fully integrated into the school programme and complement each other. The curriculum, both formal and informal, reflects the democratic and multicultural ethos of the wider community. As Bialik has grown from a small school with a largely academic focus to a much larger school, so too has there been a marked increase in the emphasis on the spiritual side, in particular, its Jewish identity.

Governance is provided by a council of 18 that meets monthly. Several members are long-serving with a Life Governor and two designated Governors. Care has been taken to ensure that council is 'take-over proof', with four senior council members elected in rotation every 4 years. Most members of council are parents of current or former students. Teachers from the school are not included on council. The Bialik College Council operates as a Board, and its functions are to provide general direction for school policy, control of school finances, public appeals and public relations. No major decision is made without council approval. An executive of six, including the president, vice-president, secretary, treasurer, finance manager and principal, meets fortnightly, taking care of the day-to-day affairs of the school on behalf of council.

Bialik College has been transformed from a struggling school to one that has sustained its success by building strength in each form of capital and aligning them through good governance. A feature was continuity in leadership by a long-serving principal in whom the governing body had invested considerable trust with the passage of time. It is a remarkable example of leadership as capital formation.

Leadership and Governance: The Case of the Hume Region

Bialik College is an example of a private school that has successfully created, strengthened, aligned and sustained the four forms of capital through outstanding leadership and governance. The Hume Region, also in Victoria, Australia, is an example of a state/government/public system that has done the same, achieved in part through outstanding system leadership, in the traditional and contemporary sense. Hume is one of nine regions in the Department of Education and Early Childhood Development (DEECD). It is a rural region of about 160 schools in North East Victoria.

System leaders in a traditional sense include the regional director Stephen Brown and his leadership team at the regional office. System leaders in the contemporary sense now include principals and other school leaders who assume certain responsibilities across the system (see Hopkins, 2007 for an explanation of this new view of system leadership). In Hume, as in other regions in Victoria, these additional responsibilities are exercised through networks of which there are now 70 across the state (see DEECD, 2008 for an explanation of these networking arrangements). Each network has a Regional Network Leader, usually a former principal.

Educational Transformations was commissioned to study the state's regional effectiveness model as implemented in Hume. The eight elements of the model are professional leadership, a focus on learning and teaching, strategic stakeholder partnerships, shared moral purpose, high expectations for all learners, a focus on continuous improvement and strategic use of resources. Each network in the region includes several clusters of schools. It is expected that principals of each school share responsibility for all students in their cluster to the extent that professional knowledge is shared, issues of common concern are addressed and resources are pooled wherever possible.

Principals and other school leaders in the Hume Region are participating in a common professional learning programme focused on building knowledge and skills as well as a shared language on matters related to learning and teaching. This is known throughout the region as 'the common curriculum'. It is a coherent and comprehensive programme for creating and strengthening intellectual capital. There has been powerful impact, with the following drawn from the report of the study (Educational Transformations, 2008) that drew on a state-wide survey, interviews with regional leaders and school principals, and case studies in a sample of schools.

All schools reported high levels of involvement in their clusters and networks. The high expectations in the region for all school principals to be dedicated, focused and professional, for example, have resulted in increased professionalism in all network and cluster meetings. Principals reported that their meetings are now more strategic and are focused on areas that can assist all schools. Representatives from each school are actively involved in professional learning communities in their cluster that target a focus area of either literacy or numeracy. Principals reported that their networks also provided resources and support for other forms of professional development. A high level of social capital has been created in the process.

Principals described how the regional director had made all processes in the regional administration more transparent. Schools in networks and clusters are more willing to share ideas, experiences, information and even their own school data. One principal indicated that members of the cluster share 'warts and all' information about the success of their changes and have arranged to share equipment, facilities and staff members.

Each principal has been extensively involved in implementing change at the regional, network or cluster level, in addition to the changes that have been adopted in their own schools. School leaders demonstrated a passion for and commitment to implementing changes to improve student learning at every level in the region, which they suggest have filtered down from the regional director. Principals have

been spending more time focused on processes at the cluster, network and regional levels than ever before. This passion and commitment are indicative of the high levels of spiritual capital that have been created across the region.

The perceptions of principals reported above, based on interviews and case studies with a sample of principals and schools, are consistent with views across the region. Each year the Department of Education and Early Childhood Development (DEECD) conducts an online survey of principals and personnel at the regional and central levels to seek their views on a range of matters. The survey is known as *Your Job, Your Say* (YJYS). In the survey of May 2008, the percentage of principals in the Hume Region giving favourable ratings was higher than given by their counterparts in other regions for 9 of the 14 themes addressed in the survey. Percentages in the Hume Region giving favourable ratings were higher than the state-wide percentages for the remaining five themes, differing by only 1 or 2% points from the region giving the highest ratings in four of these five instances.

Principals in Hume gave the highest or equal highest percentage of positive ratings to 81 of 168 items (48%) in the survey. There are nine regions and if each region was to have an equal share of the number of items for which highest ratings were received, then this proportion would be 11% or 18 items. It is clear that the Hume Region is performing very well in the eyes of its principals. In no instance did Hume principals give the lowest percentage of positive ratings. The following are ratings that are particularly relevant to networking in the region and the formation of capital. The percentages are of respondents giving a positive rating and these are the highest in the state for these items.

- There is close collaboration among principals in your network (92%).
- Collaboration between other schools is encouraged in your regional office (92%).
- You have the opportunity to collaborate with other principals in your region (99%).
- You feel that the people in your network are passionate about what they do (96%).
- You are proud of what your network does (95%).
- Your network demonstrates its commitment to continuous improvement (97%).
- Your network is contributing to the 'greater good' of the development and education of children (99%).
- Decision-making processes are efficient in your network (92%).
- In your experience, people in your network actively encourage the sharing of information (94%).
- Your network has enough people to get the job done (54%).
- In your network the workload is divided equally (57%).

At first sight there are tensions between traditional organizational forms in systems of education and new forms in which networks are a major feature. Can schools meet expectations through formal or informal lateral networks without the need for hierarchical forms of organization with formal vertical lines of authority, responsibility and accountability? What should be the balance between the two forms?

This is a false dilemma for there is either a need for both or they operate in complementary fashion, and networks are thriving within more-or-less traditionally organized systems of education, providing there is flexibility in the latter and different approaches to leadership are devised to complement those already in place.

Principals in the Hume Region gave the highest ratings among principals in the nine regions in Victoria for the work of Regional Network Leaders in respect to the following:

- communicates a clear vision for the future (92%)
- builds proactive stakeholder relationships (90%)
- is held accountable for the results of their actions (87%)
- communicates very well with you (96%)
- encourages teamwork (97%)
- gives serious consideration to the opinion of people within your network (93%)
- makes himself/herself accessible to you (97%)

Regional Network Leaders are system leaders in a contemporary sense as are principals and other school leaders. All are exercising leadership in the formation of capital. Particular mention was made in the study to the leadership role of the Regional Director, Stephen Brown, who was seen by principals as a driving force and inspiration for the effort.

Breakthrough

The findings in the International Project to Frame the Transformation of Schools and the more focused study in the Hume Region by Educational Transformations yielded a breakthrough in understanding governance which, in turn, provided the breakthrough in understanding leadership.

A review of recent literature reveals an increasing number of reports and recommendations on governance. Most suffer from a significant shortcoming in their preoccupation with structures, roles, responsibilities and accountabilities. Questions addressed include ‘How should parents be involved in the decision-making processes of the school?’ or ‘Should a school have a governing body that includes representatives of different stakeholders, and what should be the role of the principal in such an arrangement?’ ‘Should the governing body set policy and approve the budget for the school?’ ‘Which of the various arrangements are likely to have a direct or indirect effect on improving the learning outcomes of students?’ ‘How should meetings of the governing body be organized?’ ‘How are legal obligations to be met when the governing body has the powers of a board of directors?’ Securing answers to such questions is necessary if governing arrangements are to work. While these may be necessary tasks they are far from sufficient. The breakthrough in governance is to adopt the broader view of governance as the process through which the

school builds its intellectual, social, financial and spiritual capital and aligns them to achieve its goals.

Different models of governance are emerging. In England, for example, there are federations of two or more schools as well as Academies. In Canada and the United States there are Charter Schools. These involve new structures, roles, responsibilities, accountabilities and funding arrangements. While comprising a small minority of all schools, they constitute a break from more than a century of standard approaches to the governance of education in the public sector. While there is no one best way as far as governance is concerned, as was found in the International Project to Frame the Transformation of Schools, they have one thing in common. Each is attempting to get the best configuration of arrangements to build intellectual, social, spiritual and financial capital and align them to achieve the goals of the school, which in most instances is to secure success for all students in all settings. Transformation may occur when success calls for significant, systematic and sustained change.

The findings in the International Project to Frame the Transformation of Schools suggest a breakthrough in leadership in similar fashion to what was described above in regard to governance. Good governance no matter how it is configured does not occur by itself. Good leadership is required. Conceptualizing leadership as capital formation complements and extends other conceptualizations and frameworks. Two illustrations are offered, based on the work of Sergiovanni (1984) and Bolman and Deal (2003).

Frameworks

Sergiovanni (1984) provided a view of leadership that has proved helpful over the years. His pioneering publication was in some respects a response in the field of education to what Peters and Waterman (1982) had provided for the corporate sector in *In search of excellence* which attracted extraordinary attention in management circles at the time. Sergiovanni suggested that five leadership forces should be addressed, ordered in a form of hierarchy as technical, human, education, symbolic and cultural. Where technical and human leaderships were evident but little more, a school may well avoid being ineffective. To be effective, educational leadership was required. However, to be an excellent school, both symbolic and cultural leadership had to be strong. This was a breakthrough at the time, for the leader in education had barely heard of let alone understood and developed practice in symbolic and cultural leadership. It was then and remains now, a helpful way to analyse the work of a leader and, to some extent, provides a framework for leadership development. Each form of capital is evident in its application.

Another helpful way of framing leadership was proposed by Bolman and Deal and, in its own way, this provided a further breakthrough. They proposed four frames or lenses: structural, human, symbolic and political. They demonstrated how the same phenomenon could be understood in different ways, depending on what frame was employed, and proposed that leaders develop a capacity to frame and reframe

a problem, drawing on the repertoire. The breakthrough here was the concept of reframing but also the inclusion of the political frame. This was novel for many leaders who were well aware of the internal and external politics in their school, but this was seen as dysfunctional or something to be avoided. Some scholars, notably Cheng (2005), combined the Sergiovanni and Bolman and Deal frameworks to good effect.

The model for transformation illustrated in Fig. 10.1 with its four forms of capital, each created, strengthened, aligned and sustained through good governance, is another frame or lens. Adoption does not constitute a rejection of others. Rather it complements, extends and in some respects enriches the others. Moreover, the dimensions in the Sergiovanni and Bolman and Deal frames may be required to address each of the strategies implied in the indicators identified in the International Project to Frame the Transformation of Schools. For example, each has a technical requirement; most have a political dimension; and many, especially those concerned with spiritual capital, are concerned with symbolic or cultural leadership. It is better to frame or reframe in this way rather than try to fit new insights and understandings into a single frame.

Standards

There is increasing interest in setting standards for school leadership (see Ingvarson, Anderson, Gronn, & Jackson, 2006 for a critical review of developments in different countries). In most instances, standards are expressed in the form of particular roles that the leader is expected to play and detailed specification of the knowledge, understandings and skills that are required if these roles are to be performed well. The importance of the intellectual capital that is formed in school leaders is immediately apparent. A review of the roles in the various sets of standards indicates that most can be included in a framework that sees leadership as capital formation.

National Standards for School Leadership are under consideration in England in an initiative of the Department for Children, Schools and Families and the National College for School Leadership. These standards are intended to apply to leaders at all levels and to 'withstand the test of time'. Consistent with the findings of the International Project to Frame the Transformation of Schools, they take account of different contexts in which schools work, the diverse nature of schools, the range of school leadership structures and the variety of leadership roles within the school workforce (DCSF & NCSL, 2008a). The standards to be examined in a national consultation lay in five areas as set out in Fig. 10.2 (DCSF & NCSL, 2008b).

The statements in Fig. 10.2 have a counterpart among the indicators of the four forms of capital, with most being specifications of the particular knowledge and skill that are required to secure success for all students in all settings (indicator 1 for intellectual capital). There is a high level of congruence between the five domains in Fig. 10.2 and one or more forms of capital and governance. For example, there are strong themes of spiritual capital for leading strategically ('the vision should be underpinned by shared values, moral purpose and principals of sustainability');

financial capital and governance in leading the organization ('improve organizational structures and functions so that the school remains fit for purpose', 'ensuring resources are effectively and efficiently deployed') and social capital in leading in the community ('working with the community and other services', 'placing families at the centre of services', 'be aware that school improvement, community development and community cohesion are interdependent').

Capital Formation in the Futures Focused School

A critical aspect of capital formation in any setting is sustaining the level of capital that is required for success. This was explicitly included in the description of a capacity to create, strengthen, align and sustain the four forms of capital through outstanding governance and outstanding leadership. It is explicitly included in the description of transformation: significant, systematic and sustained change that secures success for all students in all settings. It is implied in the description of leading strategically in Fig. 10.2

> Leading strategically – Creating and delivering a shared, corporate strategic vision, which motivates and inspires pupils, staff, governors and all members of the school community is critical to school leadership. The vision should be underpinned by shared values, moral purpose and principles of sustainability. It should drive the strategic plan and subsequent actions to secure continuous school improvement and quality outcomes for all pupils.
>
> Leading teaching and learning – With the whole school workforce, school leaders play a central role in raising standards of teaching and learning. School leaders have a responsibility to set high expectations, create the conditions for effective teaching and learning to flourish and to evaluate the effectiveness of learning outcomes. Leaders acknowledge the high status, value and importance of teaching and learning and in creating a learning culture which enables pupils to become effective, enthusiastic and independent, life-long learners.

Leading the organization – School leaders should ensure that the school, with the people and resources in it, are organized and managed to provide an efficient, effective and safe learning environment. Using self evaluation and problem solving approaches, school leaders should also seek to improve organizational structures and functions so that the school remains fit for purpose. School leaders should build successful organizations by working collaboratively with others, building capacity across the whole workforce and ensuring resources are effectively and efficiently deployed.

Leading people – As school leaders work with and through others, building and sustaining effective relationships and communication strategies are important. School leaders seek to improve their own performance through professional development. To enable others to develop and improve by creating a professional learning culture within the school. Through performance management and effective professional development practice, school leaders support all staff to achieve high standards. School leaders take account of issues surrounding work-life balance.

Leading in the community – With schools at the centre of their communities, school leadership has a crucial role to play in working with the community and other services to improve outcomes for, and the well being of, all children. Placing families at the centre of services, schools and leaders should work with others to tackle all the barriers to learning, health and happiness of every child. School leaders share responsibility for the leadership of the wider educational system and should be aware that school improvement, community development and community cohesion are interdependent.

Fig. 10.2 Fig. 10.2. Illustrations of capital formation in standards for school leadership (DCSF & NCSL, 2008b)

These attributes are central to the Futures Focused School Project undertaken in Australia by Educational Transformations in partnership with Teaching Australia (Australian Institute for Quality Teaching and School Leadership), the centrepiece of which is a series of workshops in every state and territory to build capacity for futures thinking and strategic planning in Australia's schools.

A description of a futures focused school was adopted in the project (drawing in part on insights in Beare, 2001; Caldwell & Harris, 2008; Davies, 2006; Loader, 2007; Mintzberg, 1995). It included the following

> A futures-focused school 'sees ahead', but it also 'sees behind', honoring and extending its accomplishments in the past. It 'sees above' in the sense of understanding the policy context. It 'sees below', demonstrating a deep understanding of the needs, interests, motivations and aspirations of students and staff. It 'sees beside' by networking professional knowledge to take account of best practice in other schools in similar settings. It 'sees beyond' by seeking out best practice in other nations and in fields other than education. It is consistent and persistent; it 'sees it through'. The metaphor of 'sensing' is also helpful given that 'seeing' refers to what is already in place or is projected. A futures focused school is alert to signals in its internal and external environment that may influence what may occur in the future and that may subsequently be 'seen'. These signals may be strong or weak and a high level of sensitivity is required to distinguish among them (Caldwell & Loader, 2009).

Creating capacity of the kind described here is part and parcel of creating intellectual capital in school leaders.

Conclusion

A review of developments in recent years reveals that particular strategies have taken their turn in moving to centre stage and then retreating as others are spotlighted. One might be a curriculum for the 21st century which enables every student to find a pathway to success at the same time that the needs of society are addressed. Another might be pedagogy, taking up the extraordinary advances in scholarship about how the brain functions and young people learn. It might be a matter of money, because quality and equity cannot be addressed without appropriate allocation of funds to schools and within schools. It might be to attract, reward and sustain the best teachers and other professionals. It might be to replace the rundown and obsolete stock of school buildings that are no longer fit for learning and teaching if there is to be success for all. It might be to build the support of the community for public education. It is all of these strategies and more, and the key to success is to bring them together and make them effective. Leadership is required at all levels – for a system of schools as well as within schools. New concepts of leadership are emerging – system leadership, but not in its traditional form, and distributed leadership, but not constrained to a simple sharing of tasks to make lighter the work of the principal. Outstanding governance is also required, but there must be a breakthrough in how we understand the concept. It is time to draw together what has been learnt from schools that have been transformed. The outcomes of the International Project to Frame the Transformation of Schools, as reflected in the 50 indicators of the four

forms of capital and of governance, show how this can be done. Outstanding leadership drives the enterprise and this is why a framework for leadership as capital formation is helpful and timely.

Enough is now known about what makes a successful school that no nation or system of education should settle for less than the best. This conclusion can be drawn when the findings of the International Project to Frame the Transformation of Schools are combined with those in contemporary research and the landmark report by McKinsey & Company in *How the world's best-performing school systems come out on top* (Barber & Mourshed, 2007). A key finding was that 'The quality of an education system cannot exceed the quality of its teachers' (Barber & Mourshed, 2007, p. 16). This finding extends to school leaders and highlights the pre-eminence of intellectual capital in those who work in or for the school who must in turn create, strengthen, align and sustain the capacities for transformation, conceived in this chapter as the four forms of capital that underpin the effort to secure success for all students in all settings.

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Chapter 11
Developing Leadership Development

Geoff Southworth

Introduction

Cultural analysts in years to come will no doubt look back on the last two or three decades and note that, across the world, leadership was one of a handful of issues which caught the attention of so many people. Indeed, this book is another manifestation of the way leadership has captured our imagination.

If leadership is a fascinating topic and this decade a "golden age" (Mulford, 2008) for seeking to understand it, then we need to think not only about "leadership" as a concept but also about how we develop leaders. There seems little point in looking into leadership unless we can also increase our understanding of how to grow leaders today and for tomorrow. The authors in this volume rightly look at leadership from a range of perspectives, but we all need to do more than delve into the mysteries of management and leadership; we should also use this knowledge to improve how we develop ever more successful school leaders.

In this chapter I shall draw on two sources to provide a personal view of what school leadership development should address and how it should go about producing high-quality leaders. The two sources are:

- What recent research and the literature on leadership development has to say about the issues and processes;
- My own work in leadership and management development over three decades and what this has taught me, including my work at the National College for School Leadership (NCSL) in England.

The NCSL is a national agency, funded wholly by government, to support and develop current and future school leaders. As such it commissions major development programs, such as the National Professional Qualification for School

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Leadership (NPQH). It was created in 2000 and has drawn on a wealth of experience and expertise inside and outside education, in England and internationally. Wherever relevant I shall draw on the research NCSL has commissioned.

Throughout this chapter I take the stance that school leadership development should focus on leaders, their schools, and the system. Leadership development contributes to enhancing leaders' performance, improving their schools, and reforming school systems. We need to keep all three in mind because while development activities can and do make individuals better equipped and prepared for the challenges they face, and leadership can help to move their schools forward, we also need these two changes to lead to a third – the transformation, over time, of the system.

In today's world expectations and hopes for public services keep on rising and changing. Citizens want governments to provide services responsive to the customers and clients. Although schools remain the unit of change we also need to recognize that trying to change 23,000 schools in England needs to go on alongside efforts simultaneously to reform the system. Moreover, such a change process is less about government mandates and more about school leaders playing a fuller and more energetic part. One possibility in the near future is that public sector reforms will be less "top-down" and more about policy makers and practitioners working together. If this is right, then the way forward would be about the profession being involved, engaged, and taking responsibility for developments.

Those responsible for school leadership development face many questions but for the purposes of this chapter I shall focus on four:

1. What do we know about successful school leadership?
2. What do these findings imply for school leadership development?
3. What are the most effective processes for developing school leadership?
4. What does all this add up to in terms of framing how we should develop school leaders today?

I shall use these four questions to organize and structure the discussion that follows.

What Do We Know About Successful School Leadership?

This question seems to me to be the logical starting point for any discussion about school leadership development. Unless we know what successful school leadership looks like it will be very difficult, if not impossible, to develop school leaders. We must build on what we know works. However, the nature of "what works" is likely to be contested and subject to considerable debate. Some of that is evident in the chapters in this book where authors may not disagree about the broad outlines of leadership, but do place different emphases upon particular aspects of leadership.

Although successful leadership is a contested notion, there *is* increasing agreement about the key characteristics of successful school leadership. Leithwood and Reihl (2003) produced a useful summary report in which they outlined two core

functions of leaders: providing direction and exercising influence. Leaders mobilize and work with others to achieve shared goals. From this the authors go on to identify a core set of leadership practices which form the "basics" of successful leadership which are valuable in almost all educational contexts. This core set includes: setting directions; developing people; and developing the organization (Leithwood & Reihl, 2003, pp. 5–8).

Leithwood has continued to work on this summary and more recently, in association with others has produced seven strong claims about successful school leadership (Leithwood et al., 2006). These claims are drawn from a review of the literature and they find support in varying amounts of robust empirical evidence. They are:

1. School leadership is second only to classroom teaching as an influence on pupil learning
2. Almost all successful leaders draw on the same repertoire of basic leadership practices
3. The ways in which leaders apply these basic leadership practices – not the practices themselves – demonstrate responsiveness to, rather than dictation by, the contexts in which they work
4. School leaders improve teaching and learning indirectly and most powerfully through their influence on staff motivation, commitment, and working conditions
5. School leadership has a greater influence on schools and students when it is widely distributed
6. Some patterns of distribution are more effective than others
7. A small handful of personal traits explains a high proportion of the variation in leadership effectiveness (Leithwood et al., 2006, p. 3)

This list provides a useful synthesis of what research tells us about school leadership. Another is the one NCSL produced after 5 years of active investigation and knowledge creation when they collated the findings that had emerged and summarized them (NCSL, 2007a). Drawing together commissioned research, evaluations, practitioner enquiries, seminars, and think tanks, as well as literature reviews and work outside England and education they produced their own findings. This work drew upon Leithwood et al.'s work and can be used as a companion piece to it. That there are overlaps between them is both understandable and reassuring. Understandable because they draw upon similar but not identical sources. Reassuring because coming from different angles they nevertheless produce similar conclusions. The key points from NCSL's summary, which are again organized under seven headings, are shown in Fig. 11.1.

It is neither the intention nor place to discuss these findings in any detail here. Nevertheless, there are a few points to be made before looking at their implications for leadership development. The first thing to note is that together these three reports create a good summary of what we know. Second, having established these insights they should provide researchers in the future with foundations to build on. Undoubtedly some readers and scholars will quibble with the language, not least

What We Know About School Leadership

Key Points

1. **Context matters**
- Effective leaders know and analyse their contexts: they are contextually literate
- Leaders should act in ways which meet the needs of their schools
- It is ***how*** leaders operate that demonstrates responsiveness to their contexts

2. **The core tasks of school leaders are clear**
- Build vision and set directions
- Understand and develop people
- Redesign the organisation
- Manage teaching and learning
- Leaders should be optimistic, positive and improvement oriented

3. **Learning-centred leadership is critical**
- Lead by example
- Monitor pupils' achievements, progress & quality of teaching
- Use data to analyse & evaluate performance
- Generate & sustain discussion about teaching & learning
- Sustain school improvement
- Create school structures, systems & processes to enable all of this

4. **Distributing leadership matters**
- Distributed leadership makes a difference to school & student performance
- Co-ordinated patterns of distribution are more effective than others
- Distributing learning-centred leadership matters most
- Heads & senior staff must develop leadership in others

5. **School leadership is hard work *and* rewarding**
- Leadership is complex, accountable & relentless
- Leadership needs specialist support (e.g. administrative, bursars, HR)
- Leadership actions can produce multiple outcomes
- Rewards include seeing children achieve, developing others, improving results

6. **Leadership in schools is changing**
- New models of leadership are emerging
- Many leaders are working beyond their schools, supporting others
- Multi-agency & federated schools, plus system leadership are evident
- New models highlight different skills required now and in near future

7. **Leadership development and succession planning have never been more important**
- Succession planning is essential, as part of improved talent management
- Identify talent early, fast-track those with potential, mentor & coach individuals
- Opportunities to lead schools should be increased to build self-confidence, increase first-hand awareness of different contexts & knowledge of schools
- Ensure leadership is seen as positive and rewarding

Fig. 11.1 What we know about school leadership (NCSL, 2007)

because Leithwood's study originally drew on the North American literature while the NCSL synthesis targeted a UK audience and therefore sought to anglicize its terminology. Nevertheless, we should try to avoid moving further into "adjectival leadership" (Mulford, 2008, p. 38) where scholars in all branches of leadership – education, health, military, and business – have tended to produce more and more

variants while at the same time implying theirs is the best or only way to label and classify leadership.

Given Leithwood's and NCSL's reports provide a baseline of what we know, then we should use them to inform the nature and content of leadership development. Those tasked with developing leaders and leadership should work toward producing leaders who can apply this knowledge.

What Do These Findings Imply for School Leadership Development?

There are five implications I will concentrate on here. The first is whether what we now know about leadership means we should develop leaders who look like that? The idea that there is one "model" of school leadership is a contentious viewpoint. Some leadership centers do take this view. They have a very clear stance on what kinds of leaders and leadership they wish to develop and stick to that perspective throughout their training and development programs. Such a stance has been adopted by some educational centers as well as corporate organizations. For example, according to a study McKinsey's did for NCSL in 2007–2008 the Toyota Motor Company has a clear and distinctive view of leadership and train and prepare their managers and leaders to this specification.

The most likely contender for taking a singular approach to development is the instructional leadership model, or as it is called in the UK the leadership of teaching and learning. The reasons for focusing explicitly on this model are strong as a number of authors in this volume show. Indeed, I too believe school leadership should focus on teaching and learning which is why I have long been interested in learning-centered leadership (Southworth, 2004; NCSL, 2004a, 2004b, 2006a). However, we also need to acknowledge that school leadership today is more than any one thing. Leadership is not singular, it is multi-faceted and polyphonic. Attempts to fasten leadership to one outlook run a number of risks. For one thing they impute that there is a one size fits all approach to leadership. For another, they might fail to take account of contexts and change.

The latter point leads onto the second implication, which I offer as a question: Is the knowledge that we know what effective leadership looks like a fixed and unchanging perspective? To avoid fossilizing leadership we must accompany any summary of what we know with a sense of this knowledge evolving over time. It is hard to "future proof" leadership, but trainers and developers nevertheless need to try. Leadership development should always include attention to the horizon as well as looking at one's next steps. For some this is "strategic leadership," for others it is about identifying trends and emerging patterns in their contexts. The English school system is a fast changing one and leaders have to be alert to the change forces at work upon them and their schools. They have to be contextually literate and at both the micro- and macro-levels – the school and the national context. This suggests that we need, in addition to all that has been outlined in the previous section, school leaders to be "adaptive leaders" (Heifetz, 1996; Heifetz & Linsky, 2002).

The attributes that this conception implies are the ability to live with uncertainty and learn from mistakes, agility, and adaptability, work across boundaries and build trusting relationships (Glatter, 2008, p. 2).

A third implication is that there is much in the previous section which demonstrates the importance of having a clear vision, being aware of one's moral purpose, and the fact that leadership is so value-laden. This has been known for a long time but we should never forget it or ignore it. It is essential that leaders examine their values, surface their professional opinions and understandings, be ready to challenge their assumptions and to consider alternatives (see Southworth, 2008b). Unexamined leadership is not worth following since it could be the practice of prejudice. Examined leadership is the only way to proceed, and leadership development activities must encompass opportunities to look at one's professional and social values and beliefs.

Fourth, the idea that there is a small handful of personal traits which explain a high proportion of the variation in leadership effectiveness is an insight both intriguing and challenging. Leithwood and his associates say that

> The most successful school leaders are open-minded and ready to learn from others. They are also flexible rather than dogmatic in their thinking within a system of core values, persistent (e.g. in their pursuit of high expectations of staff motivation, commitment, learning and achievement for all), resilient and optimistic. (Leithwood et al., 2006, p. 14)

If this insight is accurate then it raises questions as to whether and how developers might respond to it. Should they attempt to select and assess candidates for these traits? Should they focus training on these characteristics alone? I am of the view that some attention should be placed on these traits. Participants need to know the significance of them and be encouraged to focus on them as they exercise leadership. Diagnostic assessments and 360 feedback should also attend to these traits, while coaching could also keep them under review. This interpretation of these findings is informed by two things Hartley and Hinksman (2003) say in their review of the leadership development literature: first that we must ensure trainers do not cling to outmoded views of leadership; second, that leadership development may occur through human capital, as well as social capital routes. The human capital route involves developing individual's skills and abilities. Typically this has meant developing interpersonal and influencing skills. However, Leithwood's analysis points not only to those forms of development, but also to more introspective ones as well. Perhaps we should, and more than previously, now help individuals understand themselves and their motives, personal characteristics, and the strengths and weaknesses of these, as well as how they project themselves and influence others?

Fifth, what we know about leadership shows us that leadership development needs to concentrate on three things – the leader, the position, and leadership (Hartley & Hinksman, 2003). The leader because agency matters as the discussion around the fourth implication supports. Therefore, dispositions, professional and

social values, vision, and moral purpose, as well as skills and abilities should all fall within the purview of leadership development.

Position needs to be taken into account because it is important to prepare individuals for senior roles and high-profile accountability. There is a substantial body of evidence that shows the step from a senior leadership position to headship remains a big one (Earley & Weindling, 2004; Weindling & Earley, 1987) and that individuals need to be prepared for this move. This is why many countries devote resources to preparing leaders for headship and principalship (e.g., England; New Zealand; Scotland; Singapore; USA) some have worked hard at developing a system-wide approach to leadership development (e.g., Victoria [Australia]; England, OECD, 2008a, pp. 179–214). Moreover, with the advent of system leadership and more diverse roles post-headship we also need to support and develop leaders to take on these positions as well. System leadership is proving to be an important deployment of experienced and expert leaders, often supporting colleagues facing difficulties and challenges. At the same time as securing benefits from the deployment of effective leaders they, in return, are finding this use of their skills and wisdom developmental. The OECD (2008a) strongly endorsed system leadership when it said that such leadership can build capacity, share expertise, and improve leadership and spread it more widely. It recommended that system leadership should come from principals themselves and we should let leaders lead (OECD, 2008b, p. 11).

None of this should overlook the fact that in England we have other leadership positions for which preparation and training are needed. School business managers, middle leaders (e.g., heads of departments, subject leaders), and deputy and assistant headteacher roles are the three most common examples today.

Leadership also has to be added to the mix. From what we know about successful leadership we can see that what "works" more often than otherwise is not heroic leaders, but leadership which has breadth and depth. It is leadership which matters – having leaders at all levels, who share the tasks and their expertise and who together, can meet all the demands now placed upon their schools and teams. Leader*ship* moves us away from an individual perspective to a collective one.

If we seriously think that it is leadership which matters, rather than the leader, and that leadership is distributed and shared rather than centered on one person then we should encourage not only a team-based approach to leadership, as we can see in many schools today, but also a greater appreciation of what team-based leadership adds up to. What matters in schools is what the whole team of leaders do. We should now be asking what is the sum total of leadership in any given school and how might this be enhanced? This is a new question as we move away from heroic constructs of leadership. As Warren Bennis says (see NHS, 2006):

> None of us is as smart as all of us. The Lone Ranger is dead.

What Are the Most Effective Processes for Developing School Leadership?

Given all of the foregoing it is now appropriate to ask what are the most effective designs and processes for developing school leaders and leadership? While in one way this whole book answers this question, here I want to add my views to all those included within the covers of this volume.

While we know a lot about leadership, we do not know as much about how to develop leadership. As a Wallace Foundation study found

> Much of the literature about leadership development programmes describes programme features believed to be productive, but evidence about what the graduates of these programmes can actually do as a result of their training is sparse. (Darling-Hammond et al., 2007, p. 5).

Other studies have been critical of leadership development programs, most notably Levine's (2005) enquiry into school leadership development provision in the United States. One of Levine's conclusions was that "the current grab bag of courses that constitutes preparation for a career in educational leadership must give way to a relevant and challenging curriculum designed to prepare effective school leaders" (p. 66). However, not everything was gloomy. Levine found two (out of a sample of 25) strong university-based programs in the United States and believed the NCSL in England to be the "most impressive educational leadership programme" identified in his study (p. 57) because he judged the college as excelling in six of his nine criteria (one of which did not apply to NCSL):

- Clarity and consistency of purposes and goals
- Creation of curricula and methods of instruction rooted in the needs of leaders, schools, and children
- Integration of theory and practice
- A professoriate accomplished in both academics and practice
- High quality, focus, and dissemination of research
- Self-assessment and continuous improvement efforts

I list these criteria here because they pave the way for what we do know about school leadership training which makes a difference. From research and evaluation we know that the following characteristics are keys toward ensuring effective development programs:

1. *A guiding vision of powerful school leadership*
    - Focusing the program – what makes a great principal
    - Moving forward in a focused direction
2. *Invest in being selective*
    - Recruitment
    - The screening process

3. *Develop a meaningful, relevant program*
    - Create a partnership structure
    - Develop a standards-based curriculum
    - Base the instructional design on adult learning theory
    - Begin with an intensive and highly focused induction experience
    - Develop a supportive cohort structure
    - Include a school-based practicum with expert mentors
4. *Build and sustain over time*
    - Assess candidate performance
    - Assess program performance

(US Dept of Education, 2004, pp. 9–30)

These points are echoed in the Wallace study referred to previously which found evidence indicating that effective preparation programs have:

- A comprehensive and coherent curriculum aligned with standards which emphasize instructional leadership
- A philosophy and curriculum emphasizing leadership of instruction and school improvement
- Active, student-centered instruction that integrates theory and practice and stimulates reflection. Such instruction includes problem-based learning, action research, field-based projects; journal writing, and portfolios that feature substantial use of feedback and assessment by peers, faculty, and the candidates themselves
- Faculty who are knowledgeable in their subject areas, including both university professors and practitioners experienced in school leadership
- Social and professional support in the form of a cohort structure and formalized mentoring and advising by expert principals
- Vigorous, targeted recruitment and selection to seek out expert teachers with leadership potential and
- Well-designed and supervised internships that allow candidates to engage in leadership responsibilities for substantial periods of time under the tutelage of expert veterans

(Darling-Hammond et al., 2007, p. 6)

Darling-Hammond's list complements and supplements the US Department of Education (2004) study's findings. The emphasis placed on field-based projects, internships, learning in authentic settings, problem-based learning, the importance of the cohort and mentors and advisors is stronger in the Darling-Hammond study than in the US Department of Education's report. At the same time, both stress the need for participant selection and candidate assessments. Together these studies offer a firm outline of what effective programs need to encompass.

However, more recent thinking is asking whether leadership development programs, while necessary, are actually sufficient. According to Fullan (2008) the

development of rigorous programs designed to produce candidates who promise to make a significant difference in school improvement is a step in the right direction, but this alone will not be sufficient to make a difference. Such programs represent individual but not organizational development

> Individual leaders, no matter how great, can carry the day . . . It may be possible for this or that heroic leader to change the organization for a time, but it won't happen in numbers. The culture of the organization is too powerful for even one or many individuals to overcome. (Fullan, 2008, in press)

Fullan believes we need to do two things and that we should never do one without the other, that is, we need to have individual leadership development programs and strategies focusing on changing the culture of schools and school systems.

In other words, unless we change the environment in which leaders operate then changing individuals is never enough. In a way this is the old lesson about taking an individual out of a school, training and "changing them" only for them to return to an unchanged setting, with the result that we rarely see the settings change and the individuals all too frequently returning to their former ways as if they had never been "out". That is why, according to Fullan "our efforts to reform school systems are doomed unless we can combine and integrate individual and organizational development."

What Fullan points to is not the failure of leadership development activities, but their limitations. In rethinking leadership development we should not try to make the next "programmes" more of the same only better, but different and more powerful.

In England this means a number of things. First, as argued above, developing leaders, preparing and supporting them for their respective roles and positions and developing leadership – making leadership much more about teams, and high-performing teams at that. We may still be too focused on individuals and not enough on teams, especially so-called top teams. Developing high-performing leadership teams may now be something we really need to take seriously and move to scale in providing. If we do this, then leaders and the teams of which they are members have a good chance of changing and improving their schools as learning environments for pupils and adults alike.

Second, making more use of effective leaders to prepare, train, and coach other leaders. Third, involving successful school leaders in improving the school system. In England, our school system has improved over the last two decades, but there also remains too much inconsistency within schools and across the system. Closing the achievement gap between the lowest and highest performing schools and students is a priority for just this reason. Using some of the very best and most experienced school leaders to influence and improve significant sections of the system is an important way forward and the signs are that such system leadership – of leaders working beyond their own schools – can and does make a difference (Hill & Matthews, 2009).

These three elements – leadership, coaching, and system leadership – give us a good chance of strengthening leadership in schools, of teams improving their schools and of leaders changing segments of the system.

We should also not ignore what leaders themselves say about their development. The NCSL has been investigating how effective leaders became so successful. Using a life history method the college surveyed 500 leaders of whom 313 replied (response rate 63%). This initial sample was then followed up by in-depth interviews conducted with 20 leaders to explore further some of the key issues and insights from the survey. The college found that respondents' personal beliefs, philosophies, and sense of vocation were classed as the highest factor influencing their career development. This resonates with comments above about vision and values and is borne out in current thinking about passionate leaders (Davies & Brighouse, 2008).

Another finding was that the workplace plays an important part in learning to lead. The OECD (2008a) comparative study across 22 countries also shows this. It is increasingly accepted that school leaders learn to lead on-the-job (OTJ). Moreover, in my experience and personal research into school leadership almost all of those leaders I have interviewed attribute their development to experience and OTJ learning. They learn to lead through their practice of leadership and from watching others exercise leadership, as well as by seeing and hearing what followers think of such practices. Leaders it seems learn by doing, rather than by study. Yet, at the same time, there is substantial awareness that OTJ learning is greatly enhanced when supported by additional activities, usually off-site, when individuals have time to:

- reflect on their experiences of leading and others' leadership;
- add to their theoretical knowledge of leadership and gain new and deeper ways of analyzing leadership in action;
- work with others in learning cohorts, so they can share experiences and widen their knowledge.

Such off-site activity is important, perhaps vital for many because "learning from experience differs from having experience" (Shulman, 1997, p. 92).

Moreover, from experience at NCSL it looks like OTJ learning requires:

– the workplace needing to be the learning workshop;
– development being systematic, formal, and explicit, as well as ad hoc, opportunistic, and implicit;
– task-based learning with specific responsibilities used as *learning assignments* and where the outputs and changes are used to judge leadership effectiveness and success;
– 360° assessments being a feature of assessment and development;
– coaching having a vital role to play in supporting and challenging development;
– placements – both short and longer term – being used to supplement leaders' learning and growth by extending knowledge of other settings: in the schools where they already work; in other schools; and in other organizations.

However, OTJ learning also rests on identifying the most effective features of formal programs of leadership development and figuring out how these can be integrated with experiential elements.

Nor should we overlook the probability that although the case for situated learning is strong, too many schools remain "weak" leadership learning environments for those who aspire to leadership. For example, a report by Ofsted in July 2006, based on a survey of school's arrangements for the professional development of their staff and drawing on visits to 29 schools whose previous inspection reports identified strong practice in this area noted "much that needed to be improved for CPD," while acknowledging that there was also much good practice. In other words, while these strong schools were doing some good things, even they needed to improve; thereby implying that in less effective schools CPD is likely to be quite weak, if not poor. Moving to school-based learning and development which is performance based, systematic, and rigorously assessed is not going to be easy.

Yet, if it can be achieved then this should make a difference to the quality of schools as workplaces and learning environments for staff and students. And there are other factors to take account of too. The Training and Development Agency (TDA) is rolling out a Masters in Teaching and Learning which aims to be practice-based, focused on the improvement of pedagogy, and uses coaching as a key ingredient. This development will make a difference to school-based CPD and if it is accompanied by leadership development which follows similar principles the two together will reinforce one another.

If all of the foregoing can be implemented effectively then we may have created the conditions for leadership to have been developed and schools and the system also improved. This is the prize which awaits us if we can reconfigure along these lines.

Of course, this is not everything that could or should happen. Blended learning involving IT enables just-in-time and on-demand learning which will suit many individuals and teams to learn when they want. Visits and exchanges, particularly internationally, but also more locally have a place in the curriculum, as might secondments, and new tasks such as occur when leaders work beyond their own schools. These activities also create much needed "churn" in the system. It is important to have some movement within a system, with people coming in to schools, or going out so that others can "step up" and taking on temporary and acting roles for a time, but in a planned and supported way. Such movement creates opportunities for others to experience leadership, which in turn enables schools and systems to grow tomorrow's leaders today and gives those individuals who step up the confidence that they can do the job.

The first thing anyone needs to be a leader is the opportunity to lead. Without the opportunity to lead no one can really become a leader. However, given all of the foregoing, the second thing individuals and teams need is for the opportunities which are provided for them to lead being approached as *learning* opportunities. Both steps are essential if we are to grow tomorrow's leaders today.

What Does All This Add up to in Terms of Framing How We Should Develop School Leaders Today?

What all of this adds up to is a new approach to leadership development, certainly in the English context. One which is more dynamic personalized and contextualized.

One which builds on the benefits of situated, on-the-job learning, but which aims to accompany this with more rigor and support. It is provision which makes the work a course of study and regards the workplace as the workshop for adult development, but in a much more systematic way which seeks to make leadership learning more powerful.

One key to making leadership development powerful is to recognize that it is the practice of leadership which really matters. Learning to lead is all about learning how to perform better as a leader, in context, and this, in turn, is enriched and deepened when such situated learning is supplemented by off-site provision and activities.

While it is not too difficult to identify the component parts for this new approach, the challenge will be in putting them together in ways which ensure co-ordination, compatibility, and coherence. Much work remains to be done to bring about an organized and orderly arrangement of leadership development opportunities.

For instance, to achieve this change support will be needed for

- Coaching
- Formative assessment
- Diagnostics
- In-school learning
- Mentoring

Furthermore, work is also needed to pull together what we now know about effective assessment for learning to lead. Nor is that the only area where we need to know more. The following list itemizes other aspects of leadership development which warrant exploration and research:

1. identification and talent management in schools;
2. selection and assessment of participants which is both formative and summative;
3. diagnostics;
4. OTJ learning plus mentoring, coaching, where OTJ involves task-based and problem-based learning;
5. internships within one's own school and placements in other schools;
6. developing high-performing teams;
7. working in other contexts – including serving heads working beyond their own schools;
8. evaluation and continuous improvement of programs;
9. highly effective processes, tools, and instruments.

This list is but an initial outline of what else we need to know about. Yet, even in this embryonic state it demonstrates that there is now a case for further research into school leadership development – research which draws on latest thinking and evidence about adult learning, which learning processes, strategies, and designs appear to work well outside education. For example, chief executives in the health service have been exploring the use of narratives in their change management and leadership.

When these elements are better understood we will be able to outline a development framework. Such a framework might make it explicit to schools, as well as providers and trainers, how situated learning might be organized and supported. A framework could also take account of the different needs of leaders and their schools, at different points in their career stages or the organization's development. Experience at the NCSL suggests that differentiated provision is helpful when it is linked to the various roles leaders play and the positions they occupy (e.g., middle leader, business manager, preparing for headship; experienced heads; system leaders).

It is also clear from this discussion that the curricula of differentiated programs should reflect:

- what we know about successful school leaders
- teaching and learning
- how to lead change
- how to build and lead effective teams
- strategic leadership and visioning
- the examination of values and professional beliefs
- awareness of the key traits and dispositions which influence colleagues and stakeholders

All of these points have been touched on in this chapter so I will not say anymore about them, with the exception of the second of these – teaching and learning. It seems to me that leading and managing the teaching and learning of children and young people is the distinguishing feature of schools. A lot of the skills school leaders need and use are generic and are needed in other settings and organizations – be they health, legal, or commercial sectors. However, knowing about and managing the quality of teaching and learning is the core and crucial element of school leadership. Therefore, it surely must be attended to in leadership development – whatever form that provision takes.

Furthermore, we know today that the success of a school rests on a small number of factors and in terms of what schools can strongly influence the top two are – the quality of teaching and effective leadership. As a recent report has stated,

> The quality of an education system cannot exceed the quality of its teachers. (Barber & Mourshed, 2007, p. 16)

I tend to think exactly the same sentiment can be applied to schools too: a school cannot exceed the quality of its teachers. This is perhaps one of the "brute facts" of schooling which we should never ignore. As such, it means we must ensure school leaders are equipped to assess, judge, and performance manage teaching. As part of that work leaders will also need to know how to develop pedagogy in their schools. Just as hospital trusts should be developing the quality of clinical practice, so too should school leaders be attending to improving the quality of teaching.

The development of teaching is a task for many leaders to undertake; heads of departments; subject leaders; members of the senior leadership team; and, from

time to time, headteachers too. It is both a shared responsibility and a team task. NCSL's research into learning-centered leadership (NCSL, 2004a, 2004b) has shown that, as has its work investigating within school variation (NCSL, 2006b, 2008). Therefore, as other chapters in this volume have argued, leadership development must encompass this instructional focus. Such a focus should incorporate: knowing what effective teaching and learning involves; being able to assess quality; monitoring and analyzing pupil outcomes and progress; acting on these analyses; understanding teacher development; and how to strengthen the quality of teaching within schools.

Objectors to this line of argument will likely include questioning how all of this can be fitted into leadership development provision. I understand the "quart into a pint pot" argument – it is one curriculum developers are always wrestling with. However, here is not the place to answer this charge; rather, all that can be done is to make the case for developing pedagogy and understanding learning a clear and urgent priority for school leadership development.

Before looking at the new skills leaders may need to have it is worth taking stock of what has been said so far. The ideas here outline *how* leaders may be developed, as well as what development entails. In summary leadership development should be based on a set of processes which emphasize on-the-job learning, which would include assignments, tasks, and placements. This emphasis would ensure leadership development is much more task-based than formerly. This OTJ learning would be supported by a mix of coaching and mentoring, and further supplemented and complemented by off-site learning in cohorts and groups, as well as some relevant readings. Successful school leaders should be used as examples and as coaches and mentors, facilitators and group leaders, alongside consultants expert in adult learning and program design and delivery. Ideally all of this should take place in a context of sustained development whereby leadership development is treated as a continuum.

Leadership development is broader than specific programs of activity or intervention. It requires a combination of formal and informal process throughout all stages and contexts of leadership practice (OECD, 2008a, p. 11).

There are though dangers in this outline, namely that development is too strongly "present-oriented" and not sufficient future oriented. We should look at future needs and skills as well as present ones. For example, PwC suggest the following new skills (see Fig. 11.2) will be needed for the future.

PwC's outline is both challenging and contestable. Challenging because they create additional demands on school leaders who are already feeling the strain in terms of their workloads. However, there is nothing in this list of skills which should imply any single individual should have all of these skills. Indeed, what they point to is the increasing importance of building leadership teams which are multi-talented. Several of the skills specified by PwC should be exercised by School Business Managers rather than headteachers, deputy and assistant heads as has been argued elsewhere (NCSL, 2007b). School business managers would bring into schools additional skills which should help their schools fulfill all the tasks expected of them and

enable heads and senior leaders to create the organizational and leadership capacity to deal with other needs and demands. PwC's list of skills is also contestable because others may wish to add to them or exclude some. Future proofing needs is a difficult job and it is one which should always be debated since out of such creative dissonance might come greater awareness and better insight; therefore by including PwC's thinking here my real intention is to stimulate further consideration and reflection and not to see those in Fig. 11.2 as exhaustive or "right."

The idea of contestability is also a helpful prompt to draw this chapter to a close.

Future Skills	Description	Selected quotes from the research
Change Management	Anticipating change, designing appropriate solutions, and implementing these solutions.	"The whole area of leading and managing in a changing environment. I don't just mean how you lead and manage change but I mean working in a constantly changing environment and the time, flexibility, adaptability and perseverance that you need to have do to that". (Stakeholder interview)
Financial Management	Making long-term and short-term financial planning decisions, avoiding undue risk and ensuring the appropriate allocation of resources in line with priorities.	"The main challenges are the complexity of change and financial management". (Governor)
People Management	Making time to coach and develop others, using delegation as a development process, acting as a role model, and identifying learning opportunities for others.	'People management skills need to be developed particularly for new heads, because of the way the people management works in schools at the moment, there isn't a huge amount of opportunity for headteachers to learn on the job'. (Children's Trust respondent)
Buildings and Project Management	Managing capital and maintenance building projects.	'Some of them are also the project manager for Building Schools for the Future; they are everything rolled into one, and that is becoming more and more complex'. (Local authority respondent)
Stakeholder management and interpersonal skills	Relationship-building , networking, negotiating skills etc.	'It's more strategic now, it's very much political work and working with heads in other schools and the individuals in the offices of the local authority. Five years ago I used to stay in the school. Now I spend 60% of my working week out of school'. (Headteacher, small urban special)

Fig. 11.2 New skills for the future (PwC, 2007, p. 28)

Finally

There is no shortage of ideas to be explored and tasks to be undertaken. Leadership is changing in many ways, although some things also remain, which is why we must hold onto what we know about effective leadership, as well as look to the future so that school leaders in this century are as well prepared and supported as possible. If we are facing a need to change leadership itself, then that is also why we should change leadership development. In a restless, dynamic, and changing world of work those who lead the work must tailor their efforts accordingly and be prepared to keep on learning and developing. More than ever before we need school leaders who are learners. And because school leaders are, at heart, *educators* they should exemplify the power of learning upon their leadership development.

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Chapter 12
Developing Inner Leadership

David Loader

Leadership Complexity

In describing the leadership role of principals (head teachers), Loader used titles such as the paranoid principal (one who is always looking over their shoulder expecting the worst), the big top principal (one who is strong on performance such as in a circus), the empty principal (one who has depleted personal resources and is struggling to cope with the pressures of leadership), the alchemist principal (one who thinks that they can perform miracles), the stumble principal (one who while searching for direction stumbles on answers), the Cinderella principal (one who is waiting for the saving intervention of the fairy prince/ess) and more (Loader, 1997). Each of these leadership descriptions assumes that leaders are complex human beings, rational and irrational, professional and personal, and objective and subjective. A leader's dominant style arises from their inner person, from their feelings, values, beliefs and experiences.

Yet in professional development programmes for school leaders, there seems to be a greater emphasis upon the observable behaviours of school leaders and not upon the inner person of the leader. A good example of this thinking is provided by one of the best regarded school leadership programmes in the world, that of the Department of Education in the state of Victoria, Australia (Department of Education, 2007). This system defines a leadership framework with a view to building the capacity of school leaders. The critical capacities required by leaders were identified and grouped into five Leadership Domains: Technical, Human, Educational, Symbolic and Cultural. The department head has made it clear that this Framework is to be used by school leaders to identify their strengths and areas for improvement and provide guidance in the choice of appropriate professional learning activities (Fraser, 2007). The domain that might be expected to acknowledge the principal's emotional life, Human Leadership capabilities, does not do this. Instead Human Leadership is defined in three clusters: Advocating for all students, Developing relationships and

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Developing individual and collective capacity. There is no mention of the development of the principal's 'inner person'. Similarly in the Guidelines for Principal Class Performance and Development (Department of Education, 2005), the closest the document comes to this 'inner' concept is in encouraging multiple sources of feedback.

The study of best practice in leadership is to be commended and so too the desire to lift the skills and performance of school leaders. However, it does not follow that by studying the characteristics of successful leaders we can implant those characteristics that we call best practice and thus build the good leader. Such thinking is flawed as it ignores the whole, the unique person who is formed from the interaction of heart and head. Furthermore, it assumes that a good leader is simply the sum of the individual skills that they can acquire. Such thinking is based on the mechanistic principles of Newton and other scientists: establish the basic building blocks, whether atoms or skills, and then the whole can be built from the parts.

A study of the building blocks is important as it does give us some understanding of the leadership skills needed and allows us to define and develop those skills. An important part of human learning has been our capacity to extract such parts from the complex whole, and then to apply laws and frameworks to these parts. But tomorrow demands more!

It is essential that leadership models upgrade their thinking to move from parts to wholes, from mechanical to organic models and from simple to complex structures. And in the case of leadership development, this means that the inner person of the leader cannot be ignored or taken for granted in skill development. Today we need to work with complexity and chaos theory, which gives us a more general and inclusive model for thinking about leadership, our experiences, our institutions and ourselves (Zohar & Marshall, 2001). All modelling of leadership should begin with leaders as whole people not just aggregates of parts, leaders as part of a community not isolated from their community and world and leaders as emotional human beings not androids. Leadership modelling should promote continuity between home, school, society, work and play and not compartmentalise the leader's life experiences. It should direct our attention to the whole rather than an exclusive focus on the parts, with human consciousness and personal emotions acknowledged alongside observable best practice behaviours. It should remind us that collaboration, ambiguity, interaction, dependence and interdependence are the normal experiences that we are to manage. In leadership development we need to look at the interrelationships, see the patterns and not be caught up in static 'snapshots' that do not give the dynamic whole (Senge, 1992).

The Person in Role Neglected

In the early 1990s, some authors began to note that little had been written about the person of the leader and the emotions that person experiences while leading.

Barth argued for school leaders to show initiative, to listen to their feelings and beliefs rather than to follow the crowd. He argued that the knowledge required to

improve schools could be found within themselves. Barth wanted school leaders to be attentive to themselves, their feelings, thinking, reading, meeting, conferencing, journeying and then daring to carry through with what they believed. He argued that it was the person of the leader, in all her/his complexity and contradictions, which should be the focus of the future development of school leaders (Barth, 1990).

Leithwood, Begley and Cousins suggested that there was a need for a better understanding of school leaders' internal mental processes and states, both the rational (which includes how the principal organises knowledge) and the non-rational elements (including attitudes, beliefs and values) (Leithwood et al., 1994).

Loader decided 'to come out' and write a book about his 'inner principal'. The book explores leadership by looking at such personal qualities as vision, beliefs, experiences, dreams, fears, failures and even paranoia (Loader, 1997).

Leithwood and Beattty (2008) proposed that 'Teachers' practices are significantly influenced by their professionally relevant internal states (thoughts and feelings)' and that to ignore the emotional in schools is to disregard a powerful force.

Some 20 years later than first identified, these writers' calls to consider the inner person seem to have largely been ignored. As noted earlier (Fraser, 2007), even in a leading educational system, the development of the inner person of the leader receives minimal consideration. This is not so surprising when put into the larger Australian picture in which initiative is not encouraged in the school but centralised (Caldwell, 2009).

The centralised nature of schooling requires less of the inner person's initiative and creativity and more of the line-functioning skills of a manager (Mintzberg, 1994). In Australia we find schooling being run centrally by politicians and bureaucrats, the people with the tax money to spend and the power that brings. They are determining the curriculum, which is to be nationalised and the nature of schooling, which is to be normalised, not individualised. Politicians and bureaucrats are defining the ways success will be measured, which will then enable 'failing' teachers, principals and schools to be identified and labelled (Caldwell, 2009). This does not encourage risk-taking in leaders.

But things are changing and governments are realising that they want more from leaders than simply management; they want them to lead from their personal experience and perspective, to relate more effectively with the community. Andy Hargreaves, addressing school leaders in Australia in 2009, called for educational reform according to his Fourth Way. He believes that 'inspiration will come before intervention', 'professionally shared targets . . . will far surpass bureaucratically imposed ones' and Administrators will need 'to set aside their spread sheets to build better relationships with their schools'(Hargreaves, 2009).

The inner-person of the leader is being recognised for the value that the inner-person can bring to leadership whether as individuals or in community. Hames' research has identified that in most organisations only 20% of a person's performance can be attributed to explicit plans being formally communicated to them. The community's informal conversations have more impact on performance; 80% of performance is attributed to embedded communications from the culture (Hames,

2007). So it would appear that the organisation's staff-room (that Hames likens to a café) is an essential element in the success of the organisation in that it supports or undermines the inner life of the person, the leader and the organisation.

Personal Leadership

Leadership is a public activity. Leaders deliver on Key Performance Indicators (KPI's) around observable tasks such as setting objectives, developing strategy, managing finances, creating performance cultures, building relationships, establishing business partnerships and acknowledging achievements, amongst countless other tasks.

Paradoxically, public leadership requires a strong inner-personal life that will cope with the scrutiny that comes with such a visible role. Leaders need such personal attributes as courage and resilience as well as the skills of insight and analysis. They need clear and considered values as a basis from which they can act.

Leader rationality needs to be personally mediated; it needs to be linked at a personal level to their experiences, emotions and passions. 'Reason without emotion is impotent; but equally, emotion without reason has led to some of the worst horrors our history has known' (Singer, 1996). Therefore, professional dialogue

> . . . that celebrates fact at the expense of valuing emotional subjectivities is in danger of being if anything less rational, not more, as emotions are omnipresent. (Beatty, 2005)

The leader's emotions are not to be ignored. Emotions impact on how a person makes sense of the world. They are the frames through which leaders view the world.

> Emotions serve important functions. . . . [they] are judgements, . . . subjective engagements with the world. . . . Emotions [are] . . . multi-component responses to challenges or opportunities that are important to the individual's goals . . .. (Oatley, Keltner, & Jenkins, 2006)

Emotions such as frustration, confusion, anger, fear, envy, joy and passion bubble under the surface in all organisations. However, in some people's minds, leaders should be confined within their role and never show their emotions or reactions. As a result leaders can feel dehumanised and constrained by others' expectations. On the other hand, some leaders prefer to be personally invisible. They project an image of how they think a leader should appear; dispassionate, objective and rational. This is the outer leader but there is a matching inner person that is being hidden. They keep their emotions, doubts and concerns to themselves, either fearing personal vulnerability by losing the confidence of the community they lead or because of personal insecurity in revealing that they are not a super-person.

Need for Inner Resources

Today's leaders are living in turbulent times that will be personally and professionally challenging. While Erica Mc William's analysis is primarily about teachers, her three styles of teaching could also be applied to leaders. These styles are the didactic 'Sage on the stage', the facilitator 'Guide on the side' and the interventionist 'Meddler in the middle' (McWilliam, 2009). Today's leaders can no longer safely pontificate from on high and expect others to obey, nor stand on the side and guide as if they are omniscient; they need to be in the middle of the action, thinking, feeling, doing and learning. Today's leaders are called upon to be interventionists and change agents (Loader, 2007) helping individuals, communities and organisations to change alongside and within a changing society.

For some leaders being in the middle is an uncomfortable place to be. Research in Victoria (VDET, 2004) indicated that principals are first and foremost carers with their strongest allegiances to those in their care. So 'meddling in the middle', creating change, stirring the emotions of those they lead and potentially causing anxiety, rather than supporting and caring for their staff, is a major source of stress for school leaders.

However, leaders have no choice but to be in an uncomfortable place. The leader not only has to stimulate and lead changes but must also support those who have had changes imposed on them. To be a leader therefore needs more than vision or strategies, you need deep inner personal reserves from which to lead.

> Our resolve, our faith, our clarity on what we should (must?) do moves: it ebbs and flows, sometimes wavers to the point of disappearance, sometimes rings through us as a powerful affirming chord. (Vaill, 1988)

Consequently leaders need to constantly be seeking opportunities for their personal growth:

> You who draw on resources of your inner lives to care for, comfort and teach others, what help will you be able to give, if you never refresh your inner lives? (Lacey, 1993)

Flintham (2003) wants leaders to develop 'Reservoirs of Hope', internal mental and spiritual resources that will enable leaders to resist the substantial pressures that they experience in role.

Given the changing nature of leadership, from hierarchies to horizontal and open structures, from one leader to dispersed leadership, it is not just a single leader who needs to develop inner resources but the community. The behaviours and moods of all leaders impact directly on others' moods and behaviours, ultimately impacting upon the organisation's performance. If leaders want deep and lasting change, the emotions of everyone in the organisation need to be engaged, because change at the emotional level is where lasting change happens. For such change to happen it becomes even more important to develop a culture of openness, of personal as well as organisational communication and cooperation. The leader's emotional state, willingness to display vulnerability and to learn from others, creates similar emotional states of openness in staff. And yet

> The emotional impact of a leader is almost never discussed in the workplace, let alone in the literature on leadership and performance. (Goleman, Boyatzis, & McKee , 2002)

Health and Well-Being

Leadership development should address health issues such as workplace-generated stress. A 2004 study of 966 Principals and Assistant Principals in Victorian (Australia) primary and secondary schools identified a significant problem of stress amongst principals generated by work place issues including the volume of work, the need to deal with non-performing staff, student welfare issues and compliance and resourcing (VDET, 2004).

Stress can culminate in a leader feeling anxious, overwhelmed and even depressed. When general health and well-being are poor, this will deprive leaders of the energy and creativity needed to access and develop the inner self and to lead effectively. It can also lead to other debilitating problems such as obesity, drug or alcohol-related issues and family problems.

And when leaders do not handle their leadership task effectively this has a ripple effect that includes reducing the pool of aspirants for the leadership role. In a 2001 study of Australian principals, the single most important reason advanced as to why Assistant Principals and coordinators were not applying for a principal's role was the perceived negative impact that the role would have on their personal and family life (D'Arbon, Duignan, & Duncan, 2002).

A holistic view of the leader, personal and professional, takes into account the workplace culture. Cultures that encourage overwork are ignoring its debilitating consequences and a leader can set that culture. A problem for many leaders is that they want to be the first to work and the last to leave. They know this is wrong but find the mindset difficult to break. An initiative of the University of Toronto addresses this dilemma in a practical way. They introduced a 'Take back the lunch break challenge'.

> Try taking a few minutes for yourself. You will benefit and the University will benefit as well. When you take care of yourself, your productivity and focus increase. A break may also serve as a stress reliever. Recent studies indicate that the stressors associated with work-life balance and workplace issues are contributing to higher rates of absenteeism and 'presenteeism' (here in body but not in mind). Taking care of yourself will not only benefit you as an individual – but those who you interact with – at work and at home.

Connection is at the heart of well-being. People are most effective when their social and emotional needs are met. Connectedness has been described as a sense of ' . . . belonging, attachment and reciprocal positive regard for not only individual adults but the institutions, policies and practices associated with the adult world' (Whitlock, 2004).

Leadership and Personal Vulnerability

Life is full of paradoxes and the power of personal vulnerability is one of these. Being honest about your thoughts and feelings is risky because it can potentially make you vulnerable. But the paradox is that in becoming vulnerable leaders open themselves to new learning and possibly forging more cooperative/supportive relationships with those with whom they work. The alternative to openness is to hide the inner self and resort to defensive behaviour which can in turn lead to defensiveness in others and a consequent escalation into a blame game.

Inner feelings of vulnerability and defensiveness were brought to the surface in a Case Study school group (Bain & Loader, 1998) involving 13 school leaders and an external consultant trained in the psycho-analytic method (Lawrence, 1986). The Group's objective was to discuss issues hindering their effectiveness. Given the school setting, it should be noted that these staff may have been even more susceptible to vulnerability: the fear of making mistakes in an environment where tests dominate and the student goal of scoring 100% prevails in turn encourages staff to think that they should always get it 100% right!

The Group met for 30 hours over 13 sessions. All Group members were feeling stressed from overwork. An underlying question was whether the pressure to work so hard came from school directives, a school culture that demanded this, or originated in the minds of conscientious staff? If the latter, could this be the result of

> an unconscious collusion between the omnipotent phantasies of the leader, and the projected expectations of staff, students and parents for perfection in a leader. (Bain & Loader, 1998)

The Group took as its task; 'To explore the "Institution in the Mind" and the management of one's roles at school'. The concept of the 'institution in the mind' has been described as follows:

> . . . an institution (such as an industrial enterprise, a hospital, a school or a family) is no more than an idea – a construct – in the minds of the people associated with it. . . . Each person in (her/)his role will be related to (her/)his version of it. (Lawrence, 1986)

Staff vulnerability was evident from the very first meeting, arising from the fact that group members were unable to arrive at the meeting at the prearranged time. This may seem trivial, but it was not treated as such, either by the consultant or by the staff who argued that they were busy on school business. When the consultant sought to discuss what he saw as an interruption to the effective management of the Study Group created by varied arrival times, the discussion moved directly away from an exploration of the problem to defensive personal dialogue. Instead of a discussion about starting times for meetings or a constructive discussion of the problems of managing oneself within an organisation, the focus quickly changed to a discussion of who was at fault. The primary intent of members appeared to be to defend their lateness rather than to explore why something as simple as arriving on time could not be achieved by the majority of the group members. The

individuals felt vulnerable and this was apparent through their responses to the exploration of lateness.

The Study Group explored some deeply personal challenges arising out of a busy and demanding community life. Members found that it was not easy to open oneself to one's peers and boss but if you made the leap, it proved to be personally transformational. For some, vulnerability was found not to be the horror that it was once thought to be. Instead vulnerability was found to be the door to deep personal learning.

> Why do we confront learning opportunities with fear rather than wonder? Why do we derive our self esteem from knowing as opposed to learning? Why do we criticize before we even understand? (Kaufman & Senge, 1993)

Defensive behaviour is all too common in the way that leaders react under pressure. The challenge is to help leaders not to be afraid of their inner feelings of vulnerability. Through vulnerability, personal growth and confidence can develop and positive leadership will emerge.

Development of the Inner Leader

To develop the inner leader is to unlock the depth of resources we all carry but few of us access. In unlocking these resources we will be setting up an interplay between the leader's inner and outer worlds, between the feeling heart and the thinking head.

Leadership begins with the self, and so it is important to develop in leaders the skills of introspection; what am I feeling and why am I feeling this? When a leader walks into a meeting, the first question they should ask themselves is What am I feeling (I can sense an unease . . .) and then What am I seeing (why are some people not here?). All of this should happen before the formal agenda is addressed.

To encourage introspection into and reflection on the inner leader, programmes including journal writing, action research and reflective practitioner are all useful professional development as long as there is an element of confrontation of values involved. Values are the leader's deeply held beliefs about what is right and good. They are often not explicit and as such often not understood for what they are. Because of the foundational impact that values have on a leader's perception and actions, some sort of values clarification is critical. All 'practice implies a theoretical stance . . . an interpretation of [wo]man and the world' (Freire, 2000).

Organisations need to be encouraging and supporting their leaders' inner growth. To ignore the inner development of leaders is to ignore the humanity of the person and risk losing the opportunity to build healthy and emotionally mature organisations.

To achieve the necessary sensitivity, leaders need to call on others to help them surface some of their inner feeling and thinking. Role-playing can help here as a way of getting into the mind of others and externalising thinking. Shadowing successful principals can be useful using an instrument for observation such as the one devised by Blendinger, Wells and Snipes (2003). Mentors, coaches and collegial

groups provide good support and opportunities for analysis (either face to face or on-line). Finding professional help from psychologists, social workers and other health professionals is also important. However, if the support is only from fellow leaders then all too often the focus of such support tends to be external to the person – discussion of programmes, events and goals and the inner emotional needs of the leader are not discussed.

Goleman's suggested model for developing emotional intelligence is to begin with self-awareness and self-management, then move to interpersonal or social awareness and finally to relationship management (Goleman et al., 2002). A relevant programme which uses the psycho-analytic method is provided through the Tavistock Institute. It provides group relations conferences (including the Leicester Conference) that focus on issues of authority, leadership and organisational life. In groups, participants study their own and others' behaviour as it happens. This and other similar programmes are powerful learning environments for the inner leader because the focus is to make the individual more aware of self and others and more willing to take personal risks.

Skills in personal knowledge and analysis are not developed in a didactic, formal course, but by working through models, such as the experiential group learning used by Tavistock, or using the methodology of The Social Dreaming Phenomenon (Lawrence, 2000) or by using a more rational process, such as the Self Directed Learning model (Boyatzis, 2002). Boyatzis' self-development process begins with a dreaming session, starting with Who Do I Want To Be? This is then followed by an analysis of Who Am I Now?, which should include realistic feedback. In deciding How Do I Move From Here to There? a leader chooses how to develop in identified areas (which may involve formal training). During this phase of self-development an important aspect to consider is How Can I Make Change Stick?, by considering those learning methods that have best suited the individual in the past. Finally by developing trusting relationships, asking Who Can Help Me?, the individual can identify critical relationships to draw on in their development journey.

One never becomes totally open. It is a goal. The reality is that one's strength ebbs and flows. By surviving an encounter in which you allowed yourself to be vulnerable, you become stronger and bolder in confidence and risk-taking. You then step out further with new and far-reaching ideas until such time as you reach a stage where you start to become vulnerable again and expose your inner anxieties and fragilities. So begins a new cycle of openness to vulnerability, then to strength and back to vulnerability. The reality seems to be that one is continually being confronted with what can be considered to be the precipice of vulnerability where one leaps or runs away.

Organisations that want their leaders to grow personally and professionally need to give thought to how they can give support to the leaders who are opening themselves to risk through vulnerability. A no-blame culture is critical if real risk-taking is to be encouraged (McWilliam, 2009). And that culture should be focused on cultivating positive emotions and character traits (Seligman, 2002). Personal and professional networks are important for the leaders' support. Beatty talks about the affirming and transformational effects upon leaders when they joined together

in on-line asynchronous forums. In these forums they were able to discuss their uncertainty, fear and even anger (Beatty, 2005).

A leader's development should include professional reading and writing. Strength and courage need to be fed; the mind has to be in the picture. Being able to refer to some sort of evidence to support one's views is important and if there is no literature, then it is incumbent on the individual to write it for themselves and others (Loader, 2007). We cannot ignore the fact that Finland is on top of all international achievement tables and this may have something to do with the fact that all teachers have to have a Master's degree. We need similar academic expectations for all leaders. People should be required to give speeches, publish papers, run seminars for their peers and take part in debates. If they cannot do this with other learners how will they cope at the inner level when they try leadership and have people judging every step they take?

Courage in leadership is to be encouraged and rewarded. A no-blame culture is important if courage and risk-taking are to occur. But essentially courage has to come from the inner-person. Leaders make existential decision, something from their heart and mind. Could Martin Luther King have done anything other than what he did? What he believed, he did. He did not perceive that as courageous, just what was necessary. And you do not get to that position of commitment without heart and mind driving you!

Let us have Myers-Briggs assessment, 360° evaluations and any other data that can be collected: they are useful. But let us go beyond observations and measurement and look for personal commitment, expect courage and support those willing to learn through vulnerability. And let us have institutions such as the National College for Leadership of Schools and Children's Services. But can we also introduce experiential group learning into regular leadership programmes?

Any good leadership programme is going to help leaders to understand that leadership is an emotional activity and that it is OK to be exhausted, emotional, even paranoid and that stress does come with the job. We need more leaders to talk openly about their emotions (Loader, 1997), demonstrating that it is safe to reveal their inner selves and that it is useful to do so, bringing to the fore emotions that might be blinding the principal to opportunities or deluding them into inappropriate responses. The study of the inner life should be as important a study as new theories of leadership (Davies, 2005) or strategic navigation (Hames, 2007).

Davies speaks about the necessity for strategic abandonment of a practice when a better one arrives (Davies, 2009). Senge discusses 'powerful, tacit mental models' that we hold in our heads that hold us back (Senge, 1992). The time has come for us to consider whether our present models of training leaders are working. Is there a better way and might that involve focusing on the development of the inner leader?

In the meantime let us all walk away from our personal defensive behaviour. Let us admit that we may be wrong or that we do not know the answer. Let us invite others to provide an analysis of the situation and suggest a way forward. The goal is honest and open dialogue coupled with positive leadership. The immediate goal is important, to find a solution to the problem posed, but the larger strategic goal is to

establish a way of talking and acting and an honest and open culture that encourages collaboration and sharing.

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