

**PRIMARY HEADSHIP IN A TIME OF SYSTEMIC CHANGE:
CONCEPTIONS OF LEADERSHIP**

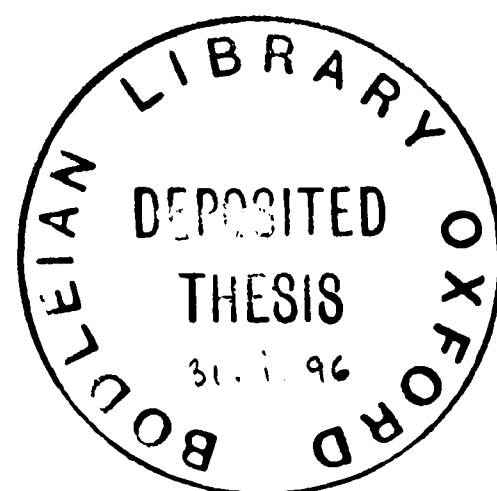
**CASE STUDIES OF THREE
OXFORDSHIRE PRIMARY HEADTEACHERS**

BRADLEY S. PORTIN

Thesis submitted to the University of Oxford for the degree of D.Phil.

Jesus College

Trinity Term 1995



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ABSTRACT

The primary headship in England and Wales is in a time of fundamental change and increasing expectations. The influences of recent education acts, and forces, such as choice, parent and governor participation, and increasing LMS responsibility have contributed to a changing headship context.

The relative paucity of research which develops a qualitative understanding of primary headteacher perspectives lends an imperative to this qualitative study.

A number of central research questions are posed to explore headteacher conceptions of leadership, the influential forces which shape those conceptions, and the context of primary school development. Particular attention is paid to the influence of reflective practice and critical theory as a contribution to professional development.

The literature review examines the historic and thematic development of 20th century leadership and management theory. Particular emphasis is placed on what has been termed 'transformational leadership' and the influence of 'reflective practice' in professional development. A case is made for substantive differences between leadership and management, with leadership forming the central core of the study.

The data sources were case studies of three perceived 'effective' Oxfordshire primary headteachers; the headteachers represented an opportunity sample of large, multiple-staff primary schools. Semi-structured interviews represented the primary data source, however a breadth of methods were used to form a 'thick' description of the headteacher and school ethos. The repertory grid technique was utilised to illuminate the central constructs which guided the headteachers' conceptions of leadership.

Findings from the study are grouped in three areas. The findings suggest headteacher conceptions of leadership were largely idiosyncratic and person-oriented. In addition, a mixed nominal understanding of the terms 'leader' and 'manager' was expressed by the participants. It was found that the headteacher's conception of leadership were influenced by the transitional nature of the headship role. Greater responsibility for LMS, and other governmental forces were indicated as strongly shaping factors.

Findings point to the espousal of a number of transformational views, and all headteachers used language of reflective practice to describe a number of the professional development goals of the school. A sense of 'critical' reflection was also present, especially as schools prepared for inspection.

The study concludes by discussing the implications for leadership theory and the suggestions for further research in area of headteacher development and evolving conceptions of leadership.

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Undertaking study in another country and the long process of thesis preparation could not have occurred without the forbearance of my family and friends. Without their support, this project could not have been completed. For their love, encouragement, and practical assistance over the last three years, I am truly grateful.

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Finally, I wish to extend particular appreciation to my academic supervisor, Dr. Vivian Williams, whose immeasurable guidance, mentorship, and insight guided so much of this trek.

Dedication

For Margaret Jane Beals Portin (1926-1993)

LIST OF ABBREVIATIONS USED

AGM	Annual General Meeting
AT	Attainment Target
CEO	Chief Education Officer
DES	Department of Education and Science
DFE	Department for Education
DFE&E	Department for Education and Employment (current designation)
ERA	Education Reform Act of 1988
GM	Grant-Maintained
ILEA	Inner London Education Authority
INSET	In-service education for teachers
KS1	National Curriculum Key Stage 1
KS2	National Curriculum Key Stage 2
LEA	Local Education Authority
LMS	Local Management of Schools
LPC	Least Preferred Co-worker
NC	National Curriculum
NPC	National Primary Centre
OFSTED	Office for Standards In Education
OUDES	University of Oxford, Department of Educational Studies
SAT	Standard Assessment Task
SDP	School Development Plan
SPSS	Statistical Package for the Social Sciences

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INTRODUCTION

‘We need to know far more about leadership as an everyday construct –
what people mean by it and how they recognize it.’

(Bryman, 1986, p. 198)

Introduction

Primary schools in England and Wales exist in a time of tremendous turmoil, debate, and change (Coulson, 1990). At the same time, the influential role of the primary headteacher is of critical importance in the school. ‘Principals (and headteachers) are important! Indeed, no other school position has greater potential for maintaining and improving quality schools. The assertions are bolstered by findings that emerge from research and from more informal observations of successful schools’ (Sergiovanni, 1991a, p. 99).

The headteacher is increasingly responsible for assuming new roles and responsibilities (Grace, 1993) for greater accountability and management of funding, the school’s instructional programme, and long range development of the school’s vision and direction .

Primary school headship is regarded as an area of crucial importance and yet little understood. As Bolam (1991) notes the predominance of research is in the area of secondary headship and that, ‘there are far fewer research studies of primary schools’ (p. 113).

Studies which focus on the primary headteacher note the individual's importance, what headteacher's do, what types of forces are impinging upon headteachers, and their reaction to certain changes; yet there is very little research describing how headteachers, the post-holders in this critical role, are conceptualising their role¹ and theoretical issues associated with headship.

This is a central aim of this study: to develop a qualitative understanding of the domain of primary headteachers with particular emphasis on how they negotiating meaning with the various leadership responsibilities of headship.

The context of primary school headship

An aspect of primary school leadership that this study addresses is the relationship between the development of policy and programme within the school and the response to expectations from society at large. Those expectations can take the form of government legislation, LEA policy and practice, parental involvement and partnership, and general societal scrutiny. Vandenberghe (1995) calls this a 'turbulent policy environment' (p. 32), one of 'unclear goals, ill-defined expectations, constantly changing requirements and administrative rules' (p. 33). It is the headteacher's role, as a 'coupling agent' (Inbar, 1995) which takes on critical importance in this turbulent environment.

The ability to link an inherently loosely-coupled organisation to the chaotic world of change that surrounds and infuses the school presents a paramount challenge to headteachers.

¹ This is similar to the notion of 'substantial selves' noted in Nias (1989, p. 78)

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Utilising Vandenberghe's (1995) dichotomous responsibilities of 'internal leadership' and 'environmental leadership' this 'buffering' role of headteachers is clearly seen.

Vandenberghe defines internal leadership as consisting of 'a vision and a set of social skills to establish a school which is able to formulate and implement appropriate answers to external demands' (p. 33). This contrasts with 'environmental leadership' in which school leaders 'assume a more public role interacting with people in the wider community, forging links between the school and the environment' (p. 33). By implication, Vandenberghe's model necessitates a skilful use of power² to balance the environmental expectations and the school's attempts to redefine and modify those expectations to meet the school's professionally desired direction.

Within these competing expectations, it is the headteacher³ who bridges the divide.

School principals, in their boundary-spanning or linking agent role (Scott, 1981), interact with the environment in two major modes: by linking strategies that forge connection between the organization and the environment, and by buffering strategies which close the organization artificially from perceived outside disturbances and uncertainties (Scott, 1981). (Inbar, 1995, p. 6)

In this role, at the nexus of internal and environmental leadership, the headteacher utilises action beyond simple interpretation and articulation. The headteacher also works to capture 'appropriate answers to external demands'. As this study shows, one way in which that occurs is in the development of a reflective ethos within the school and in the nurturing of a professional team where pedagogy is critically evaluated and modified. The external environment contends for justified practice, only this can provide a reasonable answer to league tables and structural-functional legislation for the practice of schooling.

² The application of 'power', in this case, is the management of information (Mintzberg, 1973).

³ Both Vandenberghe (1995) and Inbar (1995) are speaking internationally of the school leader, the principal, or the headteacher.

Introduction

It is within this 'turbulent policy environment', with the headteacher as a 'boundary spanner', and exercising leadership to promote justification of the school's actions, that this study seeks to illuminate how headteacher's are conceptualising their responsibility for school leadership.

Researcher interest

The researcher's interest in the headship, and conceptions of leadership, are inextricably linked with personal practice. As an elementary school principal in America the researcher was intrigued by what made some teachers continue to move forward and develop in their professional expertise, but also what were the factors within the researcher (as principal) which impinged on, or enabled, that growth.

One aspect of school development which was of particular interest to the researcher was the use of reflective practice and the development of teachers through systematic action research and critical reflection in the school. During the early 1990s this became a particular interest and focus of the school of which he led (Portin, 1992).

It occurred to the researcher that the ability of the school to move forward in professional development was tied to at least two factors: to the environment of critical reflection which was created in the school, and the conceptions of leadership which the principal brought to his role.

This sense of personal inquiry was combined with a attendant understanding that the role of the school leader (whether principal or headteacher) was undergoing a period of rapid, systemic, and potentially profound change. It is within this environment that the questions of the study developed.

The research questions

A further phase of research question distillation occurred when the researcher moved from his position in America to begin a research degree at the University of Oxford. Under the guidance of his academic supervisor, Dr. Vivian Williams, and with the input of colleagues at the Oxford University Department of Educational Studies the initial research questions were narrowed and refined.

The research questions which were posed at the start of this study are listed in Figure I-1:

Figure I-1: Research Questions

- What is the nature of leadership within the school?
- How do headteachers conceptualise leadership?
- What factors have contributed to the headteacher's conceptualisation of leadership and reflective style?
- How do the activities of the headteacher contribute to a reflective culture?
- What are the categories of events and issues that occupy the headteacher's reflection?
- What are the dominating personal constructs of the headteacher and how are they shown?
- What are the cognitive antecedents of leadership, reflection and transformational leadership?
- What is the mechanism of headteacher consideration/praxis, especially in leadership in innovation? What is the theoretical base which informs that praxis?
- What are the characteristics of the “reflective moment” for the headteacher?
- Are headteacher thinking and decision making regarding school development and innovation conscious and a reflective discipline? Or, is headteacher's thinking largely tacit?
- Is the traditional “cyclic” heuristic of reflective practice supported in headteacher cognition about transformational leadership activities?
- How does headteacher cognition influence the reflective ethos of a school?

Introduction

The researcher notes that the process of defining, shaping, and modifying research questions is on-going. The questions continued to be informed by research, by inquiry, and by discourse with educational leaders. Therefore, the questions listed above represent a point in time. In some regards, new questions have emerged and will continue to inform research and thinking beyond this research.

Thesis organisation

This thesis is organised in the following manner. First, the theoretical groundwork is developed. The researcher will critique the literature base and make a case for a fundamental shift in leadership understanding; from traditional bureaucratic/managerial models to *transformational leadership*. Transformational leadership, as originally identified by Burns (1978) and further adapted to the educational context, forms the core of a new model of leadership which is characterised by facilitation, philosophical and reflective practice, and critical reflection which empowers educators from the domination of un-reflective practice.

As any scholarly research is founded on a firm basis of a rigorously planned study, the methodology, particularly a qualitative approach is outlined in Chapter 3.

Chapters 4 to 6 report the findings of three case studies of headteachers nominated for their 'effective' practice is presented. Each of the studies present the findings in three broad areas which were identified through a quasi-grounded theory approach: the headteachers' conceptions of leadership; the forces which act upon, constrain, and shape their practice of headship; and the nature of their headship in action, their 'agency' (Giddens, 1984) within the school context.

Introduction

Finally, Chapter 7, through meta-analytic consideration, discusses the implications of the findings in terms of a 'thick description' of the headteacher conceptions of leadership and extensions of a current understanding of leadership theory.

The thesis concludes with a summary report and suggests further research that would naturally follow-on from this study

Aims of the researcher

The researcher has three primary aims for this thesis. The first, and principal task, is to address the central questions posed for the research. By presenting these questions, the researcher will argue for their importance in light of the theory base from which they are drawn.

Second, the researcher aims to construct a 'portrait' of primary headship that is interesting and compelling. For those with a particular interest in primary headship, the researcher aims to maintain interest and build upon other related research that has been conducted in the area of educational leadership.

Finally, when viewed as an entirety, the researcher aims to provide a case for the advancement of leadership theory based upon the findings of the study and to illuminate further avenues of research.

CHAPTER 1

REVIEWING THE TRADITIONAL LITERATURE

‘If supervisors are to play a significant part in the renewal of schools, they will have to move beyond their traditional roles of working within the given environment...’

(Sergiovanni & Starratt, 1993, p. 315)

Introduction

There are a number of purposes that might be considered when writing chapters such as the literature review contained in Chapters 1 and 2; for the writer, there are three.

The first purpose is to integrate the review chapters (Chapters 1 and 2) with the introduction and the reporting of the study that follows. In the same way that the development of understanding in leadership and management represent a seamless web of thinking and theory, so these two chapters aim to present a coherent developmental understanding of educational leadership concepts.

Second, a purpose of Chapters 1 and 2 is to set the context for this study, as well as identifying the weaknesses in existing literature. This study aims to address several of those weakness and make a significant contribution to the educational leadership theory base, and the leadership of primary schools in particular.

Third, the writer views these chapters as serving to stimulate thinking in those who might read this work. Having sought to write in a cogent and relatable manner, it is the author’s hope that the background, study findings, and discussion will provoke discourse for the reader, whether academic or practitioner.

Finally, it is important to note that the writer approaches the literature review with two realms of experience: as an educational researcher and a former school principal. Clearly, these two roles have acted in a dialectical manner, practitioner roles informing theoretical questions, and theoretical review illuminating practice.

This chapter will be organised as follows: In the first instance, methods of review are considered and evaluated. In Section 1.2, the organisational framework of literature review for this chapter is presented. The following sections move systematically through the primary theoretical categories considered. In the concluding section the linkage to Chapter 2 is presented.

1.1 Methods of Review

The field of leadership studies is complex, and one that presents a challenge to the reviewer. A review of the work of this century suggests at least two possible ways of organising the literature base for a review: first a chronological approach, looking at the development of thought and research foci especially as influenced by historical periods. A second approach examines the literature in terms of its thematic and conceptual development across periods of time which may, or may not, be looked at chronologically.

The strength of an historical review is that it allows the researcher to understand the historical antecedents of theory development. It is difficult to view the current state of the field without examining what has come before. In educational research, it is often historical moments, chronological in nature, which have initiated a change in the direction of education, schools, and leadership. As Tyack (1990) notes, 'Reform

periods in education are typically times when concerns about the state of the society or economy spill over into demands that the schools set things straight' (p. 174).

A dominant strength associated with a thematically oriented review is its ability to maintain conceptual continuity throughout the review. The concepts can be followed developmentally, without losing sight of their origins and stages of development. For example, the issue of power and leadership has both developed in terms of its theoretical composition and has been influenced by its place in an historical continuum. A strictly historical review might miss the development of the theme as it merges in and out of historical moments.

1.1.1 Historical perspective

In reviewing the literature in the field of educational management and leadership, a number of authors have chosen either to construct their theoretical base through an historical review, or to incorporate an historical review into other means of theory review (Greenfield, 1979; Hallinger, 1992; Hoyle, 1986a; Sergiovanni & Starratt, 1983; Smith & Peterson, 1988; Tyack, 1990). These established and often cited authors could be seen to lend credibility to an historical approach to theory review.

Greenfield (1979; 1986; Greenfield and Ribbins, 1993) uses an historical approach to review the progress of 'administrative science' through this century: from Simon's (1957) establishing of positivist, observational techniques as the means to describe administrative behaviour, to a more interpretative science approach in the 1970s and 1980s. The point to which Greenfield is aiming is that, 'The current overwhelming acceptance of positivistic science in administration has led theory and research to emphasize epiphenomena of reality rather than the phenomenological force of that reality itself' (1986, p. 61). In response, a key turning point, presented historically, is Hodgkinson's assertion that, 'The central questions of administration are not scientific

at all. They are philosophical' (1978a, p. 272 [cited in Greenfield & Ribbins, 1993, p. 43]). According to Greenfield, it is the philosophical, and need for a phenomenological understanding of administration that allows such a change.

Greenfield presents a continuum of movement, through critique, from a purely positivist scientific approach to a more interpretative understanding of the complexities of educational leadership. Although Greenfield's 1979 article (reprinted in Greenfield & Ribbins, 1993) purports to be a thorough review of research in educational administration, the content is limited largely to the work of Halpin (1958; 1966; 1970) and Hodgkinson (1978a; 1978b; 1983; 1988). This limitation to the philosophical arguments of 'administrative science' prevent this work from being viewed as a comprehensive review in this section.

From a primarily North American perspective, Hallinger (1992) and Sergiovanni and Starratt (1983) utilise a largely historical approach. Hallinger takes on the task of describing the progression of role change for the American principal. In this article, four historical periods are described: 1920s to 1960s, the principal as an 'administrative manager' in a traditional scientific management sense; 1960s and 1970s, the principal as 'programme manager'¹; the 1980s, the principal as 'instructional leader', a role largely driven by the so-called 'effective schools research'; and the 1990s, the principal as a 'transformational leader' (pp. 35-39). The notion of the 'transformational leader' holds an important place in this thesis, and will be further detailed in Chapter 2. However, as an introduction, the author is referring to the notions of Burns (1978) of leadership based upon a facilitative ethic, rather than a coercive ethic, aimed at uniting organisational members around a central vision. As Hallinger is presenting an evolutionary approach to role development, an historical methodology is appropriate.

¹ Particularly in light of federally funded programmes instituted in American education during this period for special populations of students (Hallinger, 1992, p. 36)

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Sergiovanni and Starratt (1983), on the other hand, attempt a more comprehensive historical approach to management theory in their work. In the early part of this book, a broad historical sweep is drawn through five periods: 'Traditional scientific management' and a view of autocracy, which is conceived as pre-1930s; the rise of 'human relations supervision' in the 1930s; what is termed the 'revisionist period' from the 1960s which attempted to combine traditional scientific management models with a human relations approach; 'Neo-scientific management' which is held to be a reaction against weaknesses in the human relations model; and finally, the authors' integrated model of 'human resource supervision', which links notions of people and organisations (pp. 3-4). Their critique is thorough, and presents most of the major shifts in administrative thought in the last century.

Phases and periods are described in different ways, but often with ^{the} same result. The names of the periods change, but the central concepts often remain the same. Hoyle's (1986a) review examines leadership theory through three phases. In the first phase (pre-1950), trait approaches to leadership are examined. According to Hoyle, the predictive aridity of trait approaches led to the style studies of the 1930s and 1940s (1986a, p. 105).

The second phase, the 1950s onward, is described in terms of the 'task' and 'human dimensions' (Hoyle, 1986a, pp. 105-106), including the key study of Halpin (1966), which presented the concepts of 'initiating structure' and 'consideration'. Hoyle points out that these trait domains failed to consider the context of leadership, and, therefore, led to the rise of 'contingency theories of leadership' (p. 108).

The final phase, which Hoyle contends continues to be dominated by contingency models has been modified by the inclusion of Yukl's (1975) third factor of 'decision

centralisation' (Hoyle, 1986a, p. 109) and the rise of school effectiveness studies of the 1980s.

In a similar manner, Smith and Peterson (1988) start their book with an historical examination of the development of leadership as a discrete concept. Their development begins prior to this century with an analysis of 'heroic' versions of so-called 'great leaders' (p. 3), as well as Weberian 'ideal types' (p. 3). In this century, through the rise of psychometrics, Smith and Peterson focus on leadership as a personality trait and then as a behavioural style. They end this early review in a similar manner as Hoyle (1986a), noting the development of contingency models² as reaction against trait approaches.

Tyack (1990) takes a completely different approach to an historical review, by using historical periods to understand the influences on policy development and school reform. The periods reviewed from this vantage point are: The highly decentralised structures of the late 19th century; the 'administrative progressives' (p. 177) of the first half of this century; the challenging, militant atmosphere of the 1960s (p. 169), and the top-down, 'back to basics' (p. 181) views of the 1980s.

In the case of Sergiovanni and Starratt (1983), and Smith and Peterson (1988), the historical review is left at a point of question, which then provides the opportunity for the authors to develop what they feel to be the next stage in the development of a comprehensive model. For Sergiovanni and Starratt, it is the 'Human Resource Supervision' model, and for Smith and Peterson, it is their 'Event Management' model.

² Contingency models where the leader utilises differing modalities of leadership dependent his or her style and aspects of the situation which may enhance or diminish the leader's ability to manage.

Graphically, these works reviewed are represented in Table 1-1.

Table 1-1: Six historical perspectives

Greenfield, (1979)	Hallinger, (1992)	Hoyle, (1986a)	Sergiovanni & Starratt, (1983)	Smith & Peterson,(1988)	Tyack, (1990)
from 1945, Administrative science, positivist methodologies as the sole means of understanding administration	1920's-1960's: 'Administrative Manager'	Pre-1950's: Trait theory	Pre-1930's: 'Traditional Scientific Management'	Pre 20th century: heroic leaders, ideal types	Late 19th century: Decentralised structures
1970's, the philosophical work of Hodgkinson as a moment of change in direction of questions asked	1960's-1970's: 'Programme Manager'	1950's-1960's: Rise of Contingency Theories	1930's-1960's: 'Human Relations Supervision'	Trait theory	1900-1950: 'Administrative Progressives'
	1980's: 'Instructional Leader'	1970's-1980's: School Effectiveness and Decision- Making	1960's: 'Revisionist period'	Leadership behaviour theory	1960's-1970's: Militancy and challenges
	1990's: 'Transform- ational leader'		'Neo-scientific Management'	Contingency Theory	1980's: 'Back to Basics'
			'Human Resource Supervision'		

The reader's attention should be drawn to several aspects in this section of the review. First, that an historical review is a method used by a number of researchers and can represent a useful manner in which to view theoretical development longitudinally. Second, historical review can, for some authors, serve as the ideal platform from which to present the next stage in theoretical development. Third, a comprehensive historical review is necessarily limited by a few important research questions, such as *leadership* as a discrete concept as seen in Smith and Peterson (1988), or a review of the philosophical issue of how we study management, as it was for Greenfield (1986; 1993).

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The researcher believes that there are two primary weaknesses in a strictly historical approach. First, an historical review assumes that conceptual development is a linear process. The writer believes that not to be the case, rather that conceptual development has non-linear components as represented in cyclical, or recursive, models. The second weakness is found in the labels that can become encompassing for a period of history. Labels, such as 'traditional management' may describe a degree of dominance in theoretical development, but surely each period contains theorists who are thinking in a manner that may be more representative under another category.

For this study, an historical review is helpful only to the degree that it illuminates certain key concepts and will not be the primary method of literature review in this chapter, and the next.

This being the case, another method of review bears consideration.

1.1.2 Thematic representation of theory across time

Rather than using historical periods as a framework and examining which themes arose chronologically, a theme, tradition, or theory can be examined in terms of its development through historical periods. A more integrated method of looking at themes and theory development in leadership and management in relations to history is represented in work by Ball (1987); Foster (1989b); Schön (1984); Sergiovanni (1984); Southworth (1995); and Starratt (1993).

The following represent the manner in which their reviews were carried out:

Ball (1987) reviews the trends and aspects of sociological and organisational analysis in schools in his book on micro-political theory. His review follows historical periods

to the degree that they influence a particular theoretical view, rather than looking at periods of history and the types of theory they produced.

For example, Ball states, 'The past fifteen years have been dominated in the sociology of education by the continually regurgitated motifs of macro versus micro, structure versus action, free will versus determinism, teachers versus the mode of production' (1987, p. 3). In this case, Ball is building a sociological view of *micropolitics* and uses a theoretical review to illuminate an historical understanding. Unfortunately, Ball's dichotomous representation of this period fails to account for work which bridges a bi-polar position, such as Giddens' (1984) 'structuration theory' which purports to span the action versus structure dichotomy. Similarly, Schön (1984) utilises a semi-historical review to explore and explain the development of two opposing views in management theory, those of the technical and craft elements of management practice (p. 36-37). This work is an especially useful illustration of the integrated historical/theoretical review. Schön describes how the second world war shaped the 'management science movement' (p. 37), but his starting point is the field of management, not the historical period.

In examining traditions of research in leadership, Foster (1989b) begins with two models: 'The Political-Historical Model', and 'The Bureaucratic-Managerial Model' (pp. 40-45). As these themes weave through historical periods, they are reviewed for their weaknesses presenting the author with an opportunity to bolster his argument. In Foster's case, the emphasis is on a new manner of understanding leadership, because, as he states, 'In many ways the concept of leadership has been chewed up and swallowed down by the needs of modern managerial theory... What essentially happened is that the language of leadership has been translated into the needs of bureaucracy' (p. 45). Foster continues the argument in another work (1989a) in which he further develops his notion of leadership as a 'critical... moral practice' (p. 6), as opposed to the failed attempts to pose managerial techniques as leadership.

Sergiovanni (1984) in arguing for a multiple perspective approach to educational administration utilises key moments in the past, such as the Western Electric study of 1939 (Roethlisberger & Dickson, 1939) as a means to understand the development of the human relations movement in administration. Similarly, Starratt (1993) in his exposition of leadership as a 'dramaturgical' activity³, builds a portion of his view of leadership by looking at the historical development of a post-modern world view, and the methodologies used over time to study leaders.

Finally, Southworth (1995) examines the state of research in headship, especially at the primary level, throughout the past century. His review is used to develop an understanding of the issues of power in headship, his general critique of the lack of understanding of the primary headship, and the dominant role played by bureaucratic rationality in models of headship (p. 49). Southworth's work presents one of the more thorough reviews of primary headship at this time.

As the researcher sees it, there are three principle strengths in this approach of allowing key moments in time to inform the development of theory.

First, the emphasis is placed on the concept, or theory, rather than on the historical setting. This is less distracting when the author is building an argument for a particular point of view, or when the theoretical notion comes in and out of notice in different periods.

Second, the influence of historical and socio-political factors can be considered in light of the theory or concept, rather than the theory or concept being viewed through an historical interpretation.

³ Dramaturgical activity refers to the socially expressive actions of individuals (Starratt, 1993, p. 117)

Finally, it allows the author to maintain a narrow focus in review when a tightly constructed argument is seen to be the best way of adding to the field.

From the strength of this discursive approach, that of allowing historical moments to inform and explain theory development, this would seem the best approach for proceeding with this review of literature. In both Chapters 1 and 2, this method will be used. It is the writer’s intent to proceed in an integrated manner, weaving the chief historical moments into the fabric of the theoretical development. It is felt that this approach will better allow for the contrasting and comparing of the ideas, which will then form the bases from which this research arises (Barnes, 1992, p. 138-139).

1.2 Understanding the Development of Theory

There is broad application and similar approaches to understanding how leadership theory has developed, Table 1-2 indicates the similarities in approach in several key works.

Table 1-2: Approaches to reviewing leadership literature

Watkins (1986; 1989)	Foster (1986)	Bush (1986) & Hughes (1990)
The trait approach	Trait views of leadership	Formal models
The ‘situational’ approach	Leader behaviours; consideration and initiation of structure	Democratic models
The authoritarian-democratic continuum	Decision making models	Political models
Fiedler’s Contingency Theory	Contingency models	Subjectivist models
Alternative formulations of leadership		Ambiguity models

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Without describing all of the characteristics of each of these reviews of leadership theory, the writer would draw attention to the central contributions offered by these reviews; the opportunity for enhancing understanding, and the limitations presented.

The limitations of approaching leadership simply through positional authority, functionalism, or descriptions of traits forms a central argument of Watkins (1986). Similarly, the limitations of a singular theoretical framework to leadership understanding is echoed in Hughes (1990) and Bush (1989). Hughes typology, as in Bush, relies on a review of five major categories of educational management theory and suggests a move from simple to the complex, from the functional-structural to the ambiguous, interactive and chaotic. Similarly, Ribbins (1985) suggests that paradigmatic diversity is the most appropriate means for understanding, explaining, and describing leadership.

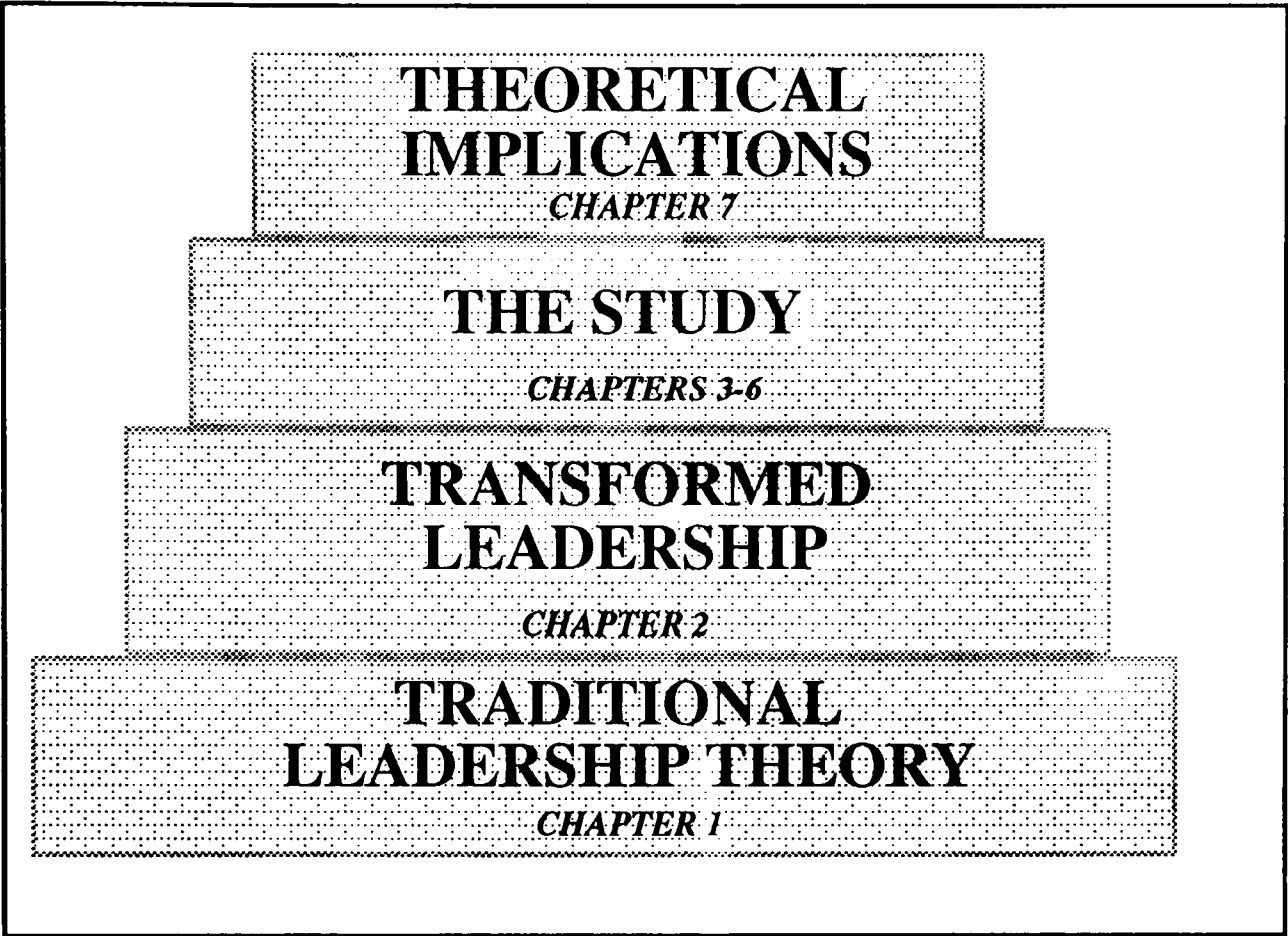
Clearly, each of these reviews, and the approach taken, is a useful enhancement to one's study of educational leadership and management. As mentioned in the earlier section, without a contextual placement of the developmental nature of leadership theory (chronology), the ability to understand the efforts to build 'new' leadership theory is diminished. As Hallinger (1992) noted, the changes in leadership theory need to be understood in their 'evolutionary' aspect, before the revolutionary paradigm shifts initiated can be appreciated.

The writer contends that the two strategies of a purely historic review, or a solely conceptual review of theory, do not have the same capacity to develop a wholistic understanding of theory development that an integrated historic and conceptual review sustains. Therefore, the writer has chosen an integrative approach to the theoretical review.

1.2.2 A meaningful approach for this thesis

For this thesis, a progression is built with each chapter making a contribution and building toward the next. This progression is represented in Figure 1-1.

Figure 1-1: Structural progression of thesis organisation

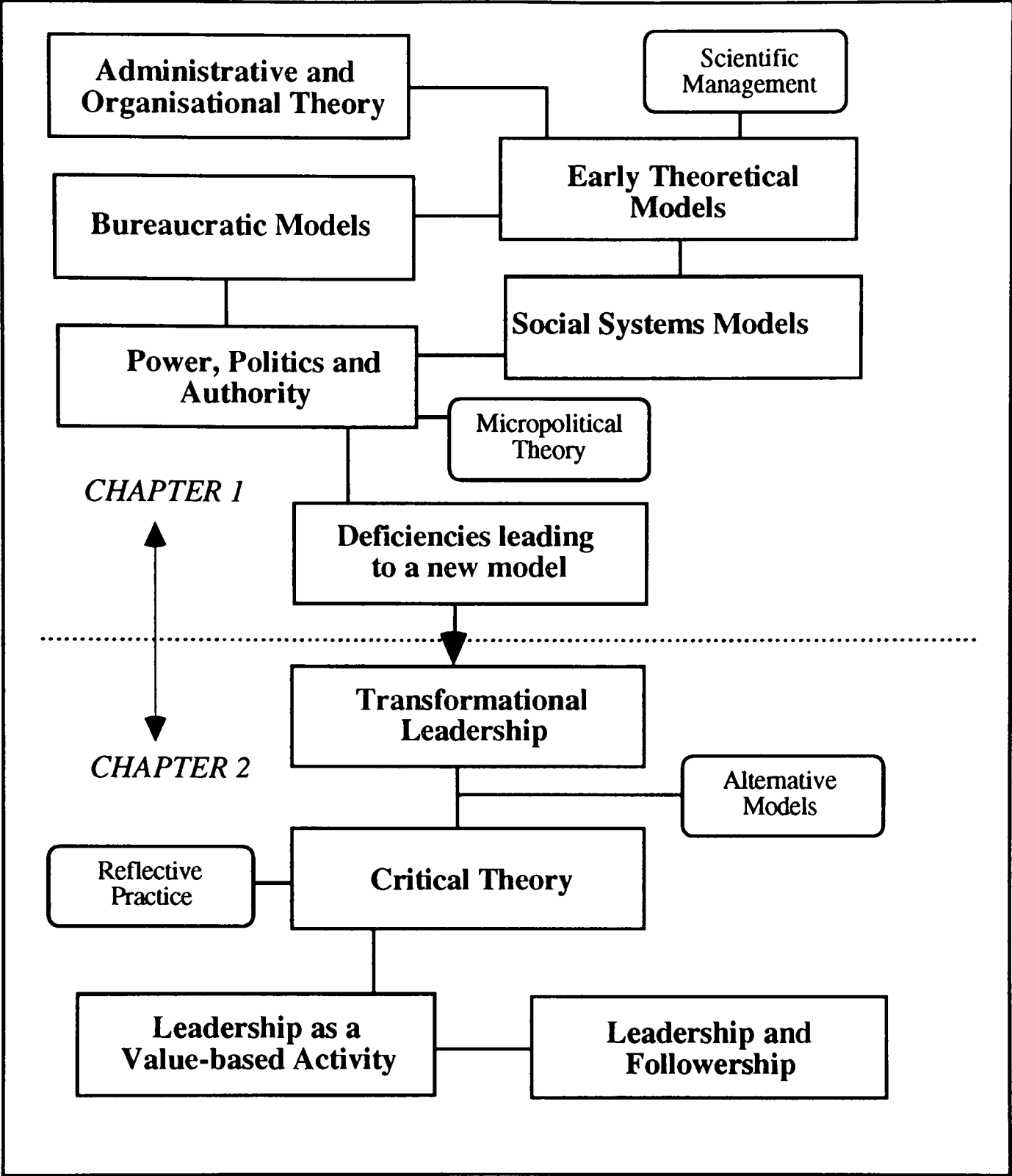


For an integrative approach, the review of what the writer has termed ‘traditional models’ is organised in the following manner in this chapter:

- Section 1.4 Early theoretical understandings
- Section 1.5 Bureaucratic models
- Section 1.6 Social systems models and human relations
- Section 1.7 Influences of power and authority
- Section 1.8 Deficiencies leading to a new model

Figure 1-2 represents the theoretical development of the sections across Chapters 1 and 2.

Figure 1-2 : Theorticial development of Chapters 1 & 2



1.2.3 Cultural interpretation and use of the literature

It will become clear to the reader that this thesis draws upon and critiques the literature base from several countries. Primarily the North American⁴ and the United

⁴ North America is used to represent the research from Canada and the United States. Although the two countries do have notable differences in educational approach; the similarities predominate and are often integrated in reviews (See, for example: Leithwood, K., Begley, P. T., & Cousins, J. B. (1994).

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Kingdom literature base is examined; however, work in Australia and other European countries is also included, if to a lesser degree.

As the researcher is most familiar with the North American literature base, the question arises whether it is responsible scholarship to transfer the concepts and theories from a non-United Kingdom country to the research context of this study. It is recognised that there is a risk through large reliance on the North American base to interpret what has been seen in Oxfordshire schools through that cultural filter. The researcher holds that the inclusion, and significant integration, of the North American literature base is justified for the following reasons:

- a) The literature from North America is often intended by the authors to interpenetrate both North American and British settings. A review of journals in educational management in the United Kingdom finds the regular inclusion of North American authors and an implied interpretation of findings across cultures (Barnett, 1990; Daresh & Playko, 1994; Murphy & Hallinger, 1992).
- b) The similarities of culture, the educational enterprise and school administration in both countries remains more dominant than the differences. This is based on review of the activities that headteachers and principals engage in, and the pressures and societal factors that influence them (Acker, 1990; Richardson *et al*, 1991).
- c) The researcher is aware of the risks of importing theory across cultures, no matter how similar (Phillips, 1992), and has applied methodological and intellectual rigour in interpreting the material. Methods of rigour include: systematic review of both literature bases; review by the researcher's academic supervisor and other colleagues of the constructs used in this study; and the data collected during the pilot study phase which specifically tested the use of non-transferable constructs.

d) In the countries of England and the United States there are similar socio-political forces at work which intersect with the educational realm in parallel manners. For example, Murphy and Hallinger (1992) indicate five reform pressures that cross national borders: 'In most nations the political response is occurring along one or more fronts at the same time: deregulation, open enrolment, school-based management, accountability, and systemic decentralization' (p. 79).

e) It is impossible to ignore the sheer volume of American research on the topics associated with educational leadership in elementary schools and the comparative scarcity of research on primary headship in Britain (Coulson, 1990; Southworth, 1995).

f) It is the researcher's intent that the conclusions from this thesis be illuminative to readers in both countries. The intended audience is meant to include North American educational leaders as well as those in the United Kingdom.

In the area of comparative studies, the risks of cultural bias are addressed and recognised as possible problems in the conduct of research. When planning for a comparative study, the researcher must be aware that all who conduct research are subject to cultural bias and ethnocentric prejudices (Bereday, 1964; Warwick & Osheron, 1973). Although this is not a comparative study, comparative elements are naturally present in the researcher's mind. In the same manner that case study methodology can add to the depth of comparative studies (Crossley & Vulliamy, 1984), the inverse seems equally true. The application of the same disciplines used in comparative research (Stenhouse, 1979) serve to mitigate any skewing factors of cultural bias or misapplication of leadership contexts from one culture to another (Phillips, 1992).

1.3 Conceptual Clarification

Throughout this thesis, the writer intends to use the literature to assist with conceptual and theoretical clarification. In addition, the analytic intent of the writer is to identify those interpretations that have greatest bearing on this study; hence, the reason for several clarifications at this stage.

1.3.1 Administrative theory and organisational theory

There are parallels and links between administrative theory and organisational theory that should be clarified. First, the full scope of what is meant by administrative theory is explored further on; for the moment, suffice it to say that it refers to the realm and the actions of those in headship in an organisation that order and structure the school's members and resources for the accomplishment of educational ends. The organisation, for the purposes of this thesis is, of course, the primary school. A full explication of the differences between what is termed administration, management, and leadership is found in the next sub-sections.

There are parallels between administrative theory and organisational theory that should be noted. This is clearly seen in the work of Gross and Etzioni (1985)⁵. Etzioni's work on organisational and political theory has obtained great currency of late⁶, but his earlier work in organisational theory continues as a respected contribution. Equally, Handy's contributions to organisational theory (Handy & Aitken, 1986; Handy, 1991; 1993) continue to shape administrative understanding.

⁵ Etzioni and Gross (1985) was meant as a twenty year update on Etzioni's 1964 work, *Modern Organizations*.

⁶ Particular reference is made to Etzioni's current sociological theory of 'Communitarianism'.

The writer would suggest two links between organisational theory and leadership theory. First, and foremost, is the context of leadership. Clearly, leadership and management are activities that occur contextually within an organisation: management, for the organisation's mandate, and leadership in its representation within the relationship between leaders and the led.

Secondly, the writer would argue that leadership theory and organisational theory follow parallel developments historically. This is most clearly seen in Gross and Etzioni (1985). The reviews cited earlier in this chapter reveal a blending of leadership and organisational theory, which probably does not 'dis-entangle' until Greenfield's 1974 speech attacking the reification of organisations.

1.3.2 Leadership and definition

A crucial concept in this chapter, and a thread that runs throughout this thesis, is circumscribed by the notion of *leadership*. It has been noted (Foster, 1989b) that leadership is an often used word and equally often ill-defined. There seems to be a high degree of confusion and puzzling conceptual development with the term. Bates (1989) sees leadership as 'a problem' (p. 131), and further states, 'There appears to be widespread agreement on its necessity, but little agreement on its substance' (p. 131). Foster has written, 'What exactly is meant by the term "leadership"? Like other such labels, the term covers a great deal and seems to mean whatever the user intends' (1989b, p. 39). Or, as Smyth (1989) asserts, 'If we were to try to find a more alluring, seductive, even magnetic word in the educational language to fire the collective imaginations of educational policy analysts, we would be hard pressed to go beyond the notion of "leadership"' (p. 1).

Thirty-six years ago, Bennis (1959) noted the conceptual confusion surrounding the study of leadership. His words then, in many ways, are equally applicable today:

Of all the hazy and confounding areas in social psychology, leadership theory undoubtedly contends for top nomination. And, *ironically, probably more has been written and less known about leadership than any other topic in the behavioural sciences*[italics added]. Always, it seems, the concept of leadership eludes us or turns up in another form to taunt us again with its slipperiness and complexity. So we have invented an endless proliferation of terms to deal with it... and still the concept is not sufficiently defined. As we survey the path leadership theory has taken we spot the wreckage of 'trait theory', the 'great man' theory, and the 'situationist critique', leadership styles, functional leadership, and finally leaderless leadership; to say nothing of bureaucratic leadership, charismatic leadership, democratic-autocratic-laissez-faire leadership, group centered-leadership, reality-centered leadership, leadership by objective, and so on. The dialectic and reversals of emphasis in this area very nearly rival the tortuous twists and turns of child rearing practices. (p. 259)

Conceptual confusion in the differences between leadership and management, identities and roles, can be seen in the early work of Gouldner (1957). Gouldner identified that there is more to leaders than behaviour and advocated an understanding of roles (both latent and manifest) in leadership. This problem of conceptual confusion is noted as a common trait by Bryman (1986). He states further that,

To a very large extent, this problem arises because of the tendency to investigate leadership as that which is exhibited by a person in a position of leadership, i.e. the incumbent of an office. The propensity prevails in spite of the fact that there is a widespread acknowledgement that leadership is not simply the occupation of a position, but something rather more. (pp. 198-9)

In the realm of the practitioner, lack of clarity in an understanding of the term *leadership* influenced headteachers' reticence to identify with the term in Bolam, McMahon, Pocklington, and Weindling's (1993) study of twelve headteachers. They noted, 'It was striking that only seven of the headteachers readily embraced the term "leader", and few seemed prepared or able to talk about themselves as leaders' (p. 25). This observation would seem to suggest that practitioners are equally confused in their espoused definitions of leadership and management.

It is the writer's intent that the ill-defined terms be avoided. A careful review of the literature base assists in that process.

1.3.3 Conceptual confusion

Conceptual confusion was explained by Broadbeck (1963) in terms of the initial definition and subsequent 'reliability' of a concept. Broadbeck states,

An adequate definition permits us always to tell when a sentence containing the defined term is true and when it is false. An adequately defined concept is also called "reliable." If a concept is reliable, then different people or the same person at different times always agree about whether or not there is an instance of the concept. (p. 48)

Furthermore, clarity of concepts is necessary for the 'conceptually aware researcher' (Wilson, 1972, p. 126). As Wilson (1992) notes, conceptual clarity is essential in educational research. 'In looking at the concepts we come to see more clearly just what is, or might reasonably be thought, valuable (and hence what we have to keep our eye on when doing research)' (p. 357).

A number of themes arise when trying to bring some order to the literature on the topic of leadership. Varyingly, leadership has been perceived as a skill, a trait, a social construct, a function of role, or an exercise of power.

It is by addressing these questions, and offering a critique of what has gone before, that Chapters 1 and 2 will set the base for the conclusions that follow.

1.3.4 Leadership and management

A further contention is that *leadership* and *management* are not synonymous terms. It is this writer's intent to identify some of the distinctions that have been used in the past, evaluate where those distinctions have been useful in conceptual understanding and where the distinctions have impeded conceptual understanding.

The writer views a difference between the terms of *leadership* and *management*. The differences will become more apparent in further sections, but an early declaration will help to clarify the reasons for the divisions of the literature in this chapter.

Other researchers have variously identified a distinction between leadership and management in a number of ways. Bull (1978) noted the following division in the terms of administration and leadership:

Generally speaking where a clear division is seen between administration and leadership the former is seen as behaviour concerned with the routine day-to-day running of the organisation, whilst the latter is seen as involving influence toward change in means or ends; indeed the difference can be summarised by saying that administration stresses maintaining, whilst leadership stresses changing organisational arrangements. (p. 21)

Foster (1989b), takes a different approach when discussing the definitions of leadership in social science and thereby presenting his distinctions between the actions of leadership and management. He divides the research traditions into two broad categories, which are then used to develop a dichotomous view of leadership and management. The two research traditions that Foster presents are: the 'political-historical disciplines; the other from business management and public administration' (p. 40). Within the political-historical model, Foster asserts that an understanding of leadership has been approached through historical study of significant individuals. Burns' (1978) work on transformational leadership arose from such a study of exemplars.

The second category of leadership studies mentioned by Foster, that of ‘bureaucratic-managerial’ models (1989b, p. 43), arises from a view of the function of position within organisations. ‘Leadership is goal-centred *and* the goals are driven by organizational needs’ (p. 43). Foster’s critique centres on the assertion that the language of leadership within this tradition has been co-opted by managerial interests, in other words, the adoption of leadership-like qualities strictly for the purposes of enabling the goals and ends of the organisation.

Foster (1989b), departs from both of these models of leadership to present a different view, that of socially critical leadership⁷, or leadership which must be ‘critical; transformative, educative, and ethical’ (p. 50), a practice of leadership that is embedded in relationships between leaders and followers, and not circumscribed by organisational aims, or the exercise of power by a role holder.

Starratt (1993) in his development of the ‘dramaturgical⁸’ aspects of leadership discusses the distinction between leadership and management notions through an examination of the earlier works of Weber (1963) and Manheim (1940):

Much earlier, Max Weber and subsequently Karl Manheim had developed a useful distinction between functional rationality and substantive rationality in their studies of organizations and societies... Functional or instrumental leadership tends to focus on mechanisms of control, coordination between sub-units, sub-unit tasks and problems. Substantive rationality, by contrast, involves the larger sense of meaning, mission, and identity of the organization as a whole (p. 4).

Starratt’s (1993) articulation of functional and substantive rationality, once again, draws attention to the distinctive aspects of managerial activities, concerned with

⁷ Foster’s ‘socially critical leadership’ follows in the transformational leadership traditions, which are presented later in the thesis.

⁸ Discussed in greater depth in Chapter 2.

control and function, versus what can be viewed as the ‘visionary’ activities of leadership.

For Bush (1986), leadership is subordinated as a function of a management model. Therefore, if one assumes a democratic model of management, largely built upon consensus acquisition, then a particular style of leadership is employed to achieve those ends. This subsuming of leadership as a tool of management goals is reminiscent of contingency models of leadership (Burns & Stalker, 1966; Lawrence & Lorsch, 1967 [cited in Hoyle, 1986b]; (Fiedler, 1967; 1978 [cited in Smith & Peterson, 1988]) and fails to present the different goals accorded to leadership and management.

Coulson’s (1990) review of the research related to the primary headship suggests differences between school leadership, presented as an expression of style (p. 102) and descriptions of what activities headteachers engage in (p. 104). Coulson is quick to note that sole examination of what headteachers do presents a weak understanding for the more profound questions of ‘what constitutes “effective” headship?’ (p. 104). Smith and Peterson (1988) offer similar suggestions as they have tried to place leadership within a context of problem-solving, which they coin as ‘event management’. However, ‘event management’, or the point of contact between leader cognition and organisational structures, could be viewed as too limited a concept to broadly address leadership.

The distinction between maintenance activities and future-oriented activities, between reaction to change, and pro-action in change initiation is the striking difference between management and leadership presented by Hellowell (1993). The researcher is in full agreement with Hellowell when he stated, ‘Many management texts use the terms “administrator”, “manager” and “leader” as if they were synonymous. But, in my view, they should be sharply differentiated’ (p. 34). That differentiation, he

contends, is largely based upon the role played by managers and leaders in change. Managers, 'initiate change within existing organisational culture. Leaders are quite prepared... to oversee changes in the organisational culture itself' (p. 34). Of course, what Hellowell fails to note, is that initiating cultural change can be just as much a management activity, if followership is not established. In this sense, the writer sees some rather elemental problems in Hellowell's stance, but it does represent a useful indication that leadership conceptual development is in a state of change.

With greater clarity, Sergiovanni (1991a) takes an equivalent view⁹, defining management as, 'the routine behaviors associated with one's jobs' (p. 15), and leadership, which has more to do with, 'initiation of new structures, procedures, and goals' (p. 16).

This practitioner oriented viewpoint of maintenance versus pro-action is echoed in interpretations presented by Hodgkinson (1978b, 1983), Hughes (1976). The terms used, 'Administration' versus 'management' (Hodgkinson, 1978b, 1983), 'chief executive' versus 'leading professional' (Hughes, 1976) in the same way communicate an essential difference in the activities of the headteacher.

What this section has shown is that *leadership* is a term of some confusion and much study. As further sections will illustrate, the range of research and writing spans many decades, countries, and organisations within society.

This section has also asserted that leadership and management are not synonymous terms. The action, context and objectives of each are different. An examination of works such as Hodgkinson (1978b) also show that the terms are not always used in the same manner, or with the same meaning. What Hodgkinson would call

⁹ Sergiovanni indicates that these views of leadership and management are developed from the work of James Lipham (1964).

‘administration’¹⁰, Hellowell (1993) would call ‘leadership’, and, perhaps, Hughes (1976) would call the actions of the ‘leading professional’. Conversely, Hellowell and Hodgkinson agree on their description of management, and Hughes’ notion of the ‘chief executive’ would find similar connotations.

Hughes (1990) wrote of the critical event of Greenfield’s speech at the 1974 International Intervisitation Programme in the United Kingdom. His contention is that the speech served to mark and initiate a period of transition in the paradigmatic understanding of organisational leadership. The earlier paradigm of the ‘theory movement’ and its logical positivist, bureaucratic roots, gave way to an eclectic period of theory development in organisational leadership (Hughes, 1990, p. 25).

The advent of the human relations model in the 1930s would seem to indicate that a bureaucratic understanding of management and leadership was not completely dominant; however, the point is conceded that the logical positivism that pervaded social science from that point forward had enormous influence.

It is the eclecticism of the last several decades that present a challenge to a coherent understanding of leadership theory. However, for the moment, and at the risk of presenting an all too simple dichotomy of leadership understanding, the next section will describe the early foundations of leadership theory, contributing to the development of management science.

¹⁰ Hodgkinson does equate the two terms ‘administration’ and ‘leadership’ in his book (p. 195)

1.4 Early Theoretical Understanding

The fact that ‘early’ excursions into leadership theory rarely extend more than 60 years into the past is a statement of the growth of theory in this century. The origins in this century can be attributed to the rise of the industrial revolution which marks this early phase of administrative theory development. The legacy of Taylor (1911; 1947) is often cited as the initiating theory for scientific management (Evers & Lakomski, 1991; Schön, 1984; Sergiovanni & Carver, 1980). Taylor’s legacy of analytic design of ‘one best way’ for every industrial process (Schön, 1984, p. 37) represents a truly classical view of linear, ‘tightly coupled’ (Weick, 1976) systems. Similar early theoretical perspectives are found in Fayol (1949) and Gulick and Urwick (1937), seen largely as prescriptive planning and efficiency models (Evers & Lakomski, 1991, p. 47). Among them all, it remains Taylor who is cited most often. ‘It was Taylor’s version of the practice of industrial engineering, efficiency expertise, and time-and-motion study, which has evolved into the management science of today’ (Schön, 1984, p. 37). It is this period of ‘early’ theorists, so-called ‘classical management’ (Bryman, 1986), influenced by Weberian concepts of bureaucracy (Sergiovanni & Carver, 1980, p. 59) which has so strongly influenced the scientific and bureaucratic modes of management dominating much of theoretical development in this century.

The ‘early theorists’, however are not singly represented by the ‘scientific’ paradigm of management theory. The 1930s represented a significant period of addressing the weaknesses of scientific management through the exposition of a human relations approach. Clearly, the work of Mary Parker Follett (Metcalf & Urwick, 1940 [cited in Evers and Lakomski, 1991, p. 46]) and the ‘Hawthorne studies¹¹’ represent significant contributions.

¹¹ Mayo (1933), Roethlisberger & Dickson (1939) [cited in Evers & Lakomski, 1991, p. 46].

It is the limitations of the early classical theorists, the emphasis on efficiency and technical rationality, which has led to much of the further theoretical development of the second half of this century. There are a number of ways that this has developed.

Schön, (1984) noted that,

Managers have become acutely aware that they are often confronted with unique situations to which they must respond under conditions of stress and limited time which leave no room for extended calculation or analysis. Here, they tend to speak not of technique but of “intuition” (p. 38).

Schön’s theoretical development toward ‘reflection-in-action’ (1984), largely based on Polanyi’s (1958) notions of tacit knowledge, forms an avenue into the whole realm of the reflective practitioner (Schön, 1983; 1987) and matching of espoused theory and theory-in-action (Argyris & Schön, 1974). It is useful at this point to illuminate this developmental strand in that it exposes the theoretical links of this study between a changing leadership context and the working out aspects of leadership-in-context for headteachers.

Suffice it to say, at this point, that the early models expose a number of crucial weaknesses that are best summarised in Greenfield’s (1986) attack on the ‘theory movement’. The limits of technical rationality are illuminative of the roots of educational leadership theory, but can hardly relate to the complex domain of contemporary educational organisations.

1.5 Bureaucratic Models

The managerial and bureaucratic role of the school principal has dominated the research and, through implication, the practice of school administrators for most of the 20th century (Cuban, 1988 [cited in Fullan 1991, p. 151]). A useful example of

research dominated by a bureaucratic perspective is found in Blank (1987), who examined the principal's instructional leadership role largely through an framework of managerial activities and behaviour.

Bush (1986) divides educational management theories into five categories: 'formal, democratic, political, subjective, and ambiguity' (p. 19). As noted, Bush's division is useful as a framework for understanding (Hughes, 1990) and is supported by articulated criteria¹² which reveal a rigorous interpretation of what has come before.

Bush's 'formal' models are those most illustrative of a bureaucratic orientation. As Bush identifies, the 'central features' of formal models are:

1. They tend to treat organizations as *systems*... this emphasis on interdependence implies that subunits... are systemically related to each other and to the institution itself...
2. Formal models give prominence to the official *structure* of the organization... the authorized pattern of relationship between members of the institution...
3. In formal models the official structures of the organization tend to be *hierarchical*. Organization charts emphasize vertical relationships between staff...
4. All formal models typify schools... as *goal-seeking* organizations. The institution is thought to have official purposes...
5. Formal models assume that managerial decisions are made through a *rational* process...
6. Formal approaches present the *authority* of leaders as essentially a product of their official positions...
7. In formal models there is an emphasis on the *accountability* of the organization to its sponsoring body. (pp. 22-23)

¹² Bush indicates that four elements/criteria were reviewed to achieve this categorisation: 'The level of agreement within the staff about the *goals* or objectives of the institution... The meaning and validity of organizational *structures* within educational institutions... The relationship between the institution and its *environment*... The most appropriate *leadership* strategies for educational institutions' (p. 19).

Bush (1986) further identifies a limitation of formal models which can be used normatively; suggesting a form of organisational reality which is often quite different from what exists in practice (Marland, 1982 [cited in Bush, 1986, p. 40]).

Furthermore, assuming a rational decision-making process, failing to account for individual contributions, and a simplistic view of the power structure in schools, contribute to the weakness of formal or bureaucratic models as a comprehensive structure of managerial and leadership understanding.

Bush's critique is deficient in at least one aspect. He claims that, 'It is unrealistic to characterize schools and colleges as *goal-oriented* organizations. It is often difficult to ascertain the goals of educational institutions' (p. 40). Such a viewpoint is dated by its pre-LMS orientation and could hardly describe schools in the contemporary setting. Currently, the practice of school development planning and the organisation necessitated by the 1988 Education Reform Act, mean that schools regularly and systematically engage in goal setting. Such a dated view of the nature of leadership in schools is seen in Coulson (1976) as well.

1.5.1 Formal models and 'school effectiveness'

In case studies of two junior high school principals and their response to a school improvement initiative, Pugh (1986) examined the literature on leadership, particularly instructional leadership by using the 'school effectiveness movement' as an organising agent for his literature review. Within that review, Pugh divides the movement into two phases: the 1960s to the mid-1970s; and the mid-1970s to the 1980s. The first phase is largely characterised by issues of equity and urban issues in education. The second phase, however, is characterised with the more traditional view of school effectiveness reliance on 'effective traits', such as seen in the work of Edmonds (1979); Purkey and Smith (1982), and Murphy (1983). It can be argued,

using Bush's (1986) criteria for allocation to formal models, that the school effectiveness research is largely bureaucratic in orientation.

Within the school effectiveness research, the emphasis on outcomes, rather than processes and means is mentioned as a weakness by Sergiovanni (1991a, p. 81-84). Pugh's (1986; 1987) research, particularly, shows an influence of bureaucratic leadership models, as characterised in effective schools research, when examining school leadership¹³. A similar approach to the emphasis on outcomes as a measure of leadership effectiveness is seen in Gohring and Chiarelott (1977).

Management of teacher performance from a hierarchical perspective is evident in Hart (1990) who speaks of 'empowerment' of teachers, through a combination of Little's (1982) managed collaboration, and contingency approaches to school administration. Similarly, Lipham (1981) reinforces a contingency approach of the '*behavior-of-the-leader-in-situation*' (p. 8), which relies heavily on the principal, 'as head of the school' (p. 1).

Another manner in which the school leader is presented through a bureaucratic framework is in the construction of principal, or headteacher, as instructional leader. These models often view the headteacher in his/her role at the top of the hierarchical pyramid and the incumbent requirement to be the instructional leader. Pankake and Burnett (1990) present this model highlighting the principal as 'expert' as opposed to principal as facilitator. They see the principal engaged in a decision-making enterprise, requiring a mastery of three microsystems: the 'instructional, political, and economic' (p. 24-25).

¹³ The specific notation of Pugh's research is because of its similarities to this study. In a review of relevant doctoral research in *Dissertation Abstracts International* for the last decade, Pugh's work is the only work cited that comes close to the questions of the study. For that reason, the writer felt it important to discuss his work and the essential differences between our studies.

Furthermore, the influence of market terminology as an indicator of bureaucratic approaches is apparent in Pankake and Burnett (1990). When speaking of the economic microsystem and its role in educational decision-making they say, '(it) necessarily involves continuous search for private profit to be earned by supplying educational goods and services' (p. 25). Such market language belies a bureaucratic focus similar to that which might be found in a industrial hierarchy. To be fair, they do close their book with a discussion of empowerment and Bennis and Nannus's (1985) notion of 'deployment of self'.

Similar hierarchical attributes can be seen in corporate and industrial models as well. A clear example of this is Tannenbaum and Schmidt's (1973) work on selection of leadership style. Their argument appears to be based upon the assumption that leadership is a decision made by managers based upon what is 'practical and desirable' (p. 173).

Formal/bureaucratic models are lacking in several key areas. First, they lack predictive veracity¹⁴. The models of scientific management were based on closed systems with a high degree of control over the organisational variables. This type of control is not conceivable in the complex world of educational organisations.

Second, formal/bureaucratic models of management can be viewed as simplistic representations of complex social situations.

Finally, the industrial base which often underlies such models is founded upon a different value structure than education. Market economies and professionally oriented social contributors necessitate differing value models.

¹⁴ Also noted in Bryman's (1986) critique of 'style' theories (p. 73).

Owing to these deficiencies, formal models form a useful adjunct to administrative understanding but could not be considered to fully define and apply to the ‘fluid’ organisational reality of schools, nor the complex leader-follower relationship, which will be developed in the next chapter. The writer recognises the place that formal and bureaucratic models hold in an historical understanding of organisations and organisational management, however, they serve little purpose in informing the considerations of leadership in this study.

1.6 Social Systems Models and Human Relations

Reviewing the literature for the last 30 years reveals a number of researchers and theorists who have sought to construct the bridge from a bureaucratic conception of leadership to an understanding of leadership through human interaction models. One of the most significant contributors to this transformation in the North American context is Sergiovanni. Sergiovanni’s work shows his own progression and transformation from a largely bureaucratic focus (Sergiovanni & Carver, 1980) to the transitional work of Sergiovanni and Starratt (1983) and culminating in his further work in the 1980s and early 1990s (Sergiovanni, 1984; 1990, 1991a; 1991b; Sergiovanni & Starratt, 1993). Significantly, Sergiovanni’s own progression mirrors the theoretical change that has occurred more broadly in the leadership field. For this reason, Sergiovanni assumes a prominent position in this review.

Like other writers of the time (Greenfield, 1979; Smith & Peterson, 1988) Sergiovanni and Starratt (1983) place the rise of their model within an historical review—particularly, a review of management theory through this century.

Sergiovanni and Starratt’s model of ‘human resources supervision’ is built on the claimed weakness in bureaucratic approaches, incorporating aspects of contingency models and motivation theory. Their final product, the ‘10-P Model of Quality

Leadership' (p. 199) is the result and a significant contribution to development of a human-relations understanding of leadership.

Like Foster (1989b), Ball (1987) claims that understandings of organisational leadership have been focused more on structures than on relationships (p. 3) and goes on to describe leadership in terms of the 'micropolitical' nature of the role and the styles of leadership that must be considered. Ball presents four styles of leadership: interpersonal, managerial, political/adversarial, and political/authoritarian' (p. 87). It is unclear whether Ball is maintaining a link with the 'style' theorists, or whether he is suggesting a contingency approach. In that sense, it might be argued that Ball did not move the field forward as he might have.

A further weakness of Ball's categorisations is that the roles are based almost solely on a foundation of conflict and struggle. In one sense, this is similar to Leithwood, Begley and Cousin's (1994) assertion that leadership is really about problem-solving. Both of these characterisations fail to fully address the broad domain of leadership which moves beyond simply problem-solving. See for example, Sergiovanni's (1986) distinctions of beliefs and values, theories of practice, in addition to behaviours of problem solving or conflict and struggle as a function of leadership.

Beyond educational leadership, through their study of 90 leaders (exemplars) Bennis and Nanus (1985) also identified an elemental difference between leadership and management. They put it simply, 'Managers are people who do things right and leaders are people who do the right things' (p. 21). From the context of their work, it can be seen that their conception of leadership has to do with what they call 'human handling skills' (p. 26). These 'skills' are embodied in four strategies:

‘Strategy I: attention through vision

Strategy II: meaning through communication

Strategy III: trust through positioning

Strategy IV: the deployment of self through (1) positive self-regard and (2) the Wallenda factor¹⁵ (p. 26-27).

What Bennis and Nannus (1985) illustrate is the interactive nature of leadership, rather than simply the exercise of identified effective traits, or of finding leaders to fit a particular mould.

Similarly, in an educational leadership context, Bolam, McMahon, Pocklington and Weindling (1993) reported on the findings of the School Management Taskforce. They proposed the following conclusions from their study:

- i. **Many of the headteachers in this sample had leadership qualities which went beyond technical managerial competence.** In particular they had good skills in motivating, developing and empowering teachers.
- ii. **A clear vision for the school’s future was important** to headteachers and staff but in only a few schools had teachers contributed to its formulation. Too often the vision remained at the level of generality. Headteachers and senior staff should try to develop a practical and shared vision for their schools.
- iii. **Team management was a characteristic feature** in the sample, including the primary schools. The leadership role of the headteacher remains crucial but deputy headteachers appear to be much more effectively used than hitherto. (Bolam et al, 1993, p. 46)

Their research in 57 schools confirms that a number of human relations activities are tied to effective leadership in schools. When speaking of the twelve headteachers who participated in the more focused part of the study, it was found that, ‘all twelve

¹⁵ The ‘Wallenda Factor’ refers to the ability to learn from past mistakes and to focus then on new behaviour based on that learning, rather than focusing on not making the error a second time. Bennis and Nannus base this term on the famous tightrope aerialist, Karl Wallenda (Bennis & Nannus, 1985, p. 69).

headteachers were distinctly people-oriented, placing emphasis on interpersonal relations and on establishing a co-operative and genial climate in the school' (p. 25). As the methodology of this study was survey research, one has to ask if their work moves the qualitative understanding of headship forward in a manner that is not greatly removed from 'effective schools' research of the 1980's. They describe the traits and the context, but Bolam and colleagues fail to fully explore either the context of leadership or the antecedents to leadership in the school.

Hallinger and Hausman (1993) take a more focused approach to the study of leadership within the school, in this case, instructional leadership. In this report of a single case study, issues of change and parental choice were examined as environmental factors in the exercise of instructional leadership. Hallinger and Hausman report that the notion of the principal as a 'leader of leader' (p. 140) describes the principals' role in instructional leadership and asserts that this is not a bureaucratic activity. As they state: '

The data from this single case study support the notion that the emphasis on instructional leadership that developed during the 1980's remains salient to the role that principals assume in a restructured school. The notion of "leader of leaders" has a human, not a technical focus (p. 140).

It is not clear, in some works, whether it is suggested that instructional leadership is the only key activity of heads of schools? Leithwood, Begley and Cousins (1994) present a broader view which interprets problem-solving to be the primary domain and activity of leadership. In fact, it is this ability to solve problems, and create an environment where solutions to problems encountered in the pursuit of vision become increasingly easier to solve (p. 8). Once again, as the human nature of the activity of problem-solving is contrasted to the view that schools are bureaucratic institutions best governed by hierarchical order. Leithwood and his colleagues may, however, be viewing the nature of human leadership in too narrow terms to limit their conclusions to the problems-solving activities of school leaders.

Problem-solving is further developed as the exercise of leadership in culture management by Schein (1985). Schein's model is largely dependent on culture, which he defines as:

A pattern of basic assumptions-invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration—that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 9)

The management of that culture, similar to the 'dramaturgical' activities of leadership identified by Starratt (1993) are essential. In fact, Schein suggests, 'there is a possibility... that the only thing of real importance that leaders do is to create and manage culture and that the unique talent of leaders is their ability to work with culture' (p. 2).

It is this writer's view that such an emphasis on the primacy of culture, whilst helpful in focusing attention on the human relations aspects of leadership, raises questions about leadership and followership in the school. If headteachers are primarily responsible for the development of culture, a question might be asked regarding the role of facilitation in the collegial aspect of culture development. Schein (1985) is quick and insistent in his affirmation of the *group* experience of culture definition and development (p. 7), but then places emphasis on the predominant actions of leadership in establishing and transmitting culture (pp. 224-225). Schein takes a human-oriented view to culture, but reveals a degree of reliance on the unilateral actions of the leader in the organisation.

An underlying theme that weaves through all of the human relations models of leadership is the notion of the interactive nature between leaders and followers. The human relations models move the focus from the traits of the leader to the zone of

interaction between leaders and the led. It is that sense of partnership in leadership activity (Williams, 1989), rather than exercise of authority that will be further developed in a later section.

1.6.1 Contingency models of leadership

As in most developments in theory, leadership theory or otherwise, some initiating event, or deficiency in current theoretical models in explanatory power, may act as an initiating event in creation of a new paradigm (Kuhn, 1970). As Smith and Peterson (1988) note,

There has been a period of around 70 years or so during which researchers into leadership acted as though they were medieval alchemists in search of the philosophers' stone. Repeated attempts to distil the "essence" of leadership yielded no great insight¹⁶. (p. 11)

In response to the weakness of 'great man' theories to fully explain, describe, and prescribe leadership, contingency models developed to fill the void. It was proposed that, 'the emergence or effectiveness of any one style was contingent upon the environment within which the leader is operating' (Smith and Peterson, 1988, p. 15). Or, as Southworth (1995) notes: 'This (contingency) theory stemmed from an unease about approaches to leadership which sought to identify a style or combination of styles appropriate under all circumstances' (p. 142).

Clearly, the work of Fiedler (1967; Fieldler & Chemers, 1974) is most often identified when reviewing contingency theory (Hanson, 1979; Smith & Peterson, 1988; Southworth, 1995). Fiedler's Least Preferred Co-Worker (LPC) measure was designed to distinguish a basic style of leadership based upon whom the respondent would least choose to work with. The resulting measure of task-orientation and relationship-orientation. It is this orientation, 'that contributes most to group

¹⁶ Smith and Peterson do not include Machiavelli or Weber in this critique.

performance (varying) according to “situation favourability” (Smith & Peterson, 1988, p. 17).

Hanson (1979) notes the weaknesses in contingency theory: There are challenges to its ‘empirical validity, methodological rigour, and theoretical adequacy’ (p. 253). The argument has been somewhat tempered over the years as Fiedler’s (LPC) instrument has been used, modified, and analysed in numerous studies, as well as meta-analytic reviews¹⁷. One example of use in the last decade was Papanicolas’s (1986) study of primary school leadership in Cyprus. Papanicolas’s findings supported Fiedler’s conclusions. In a sample of 35 headteachers, Papanicolas found that the greater the LPC score (with moderate situational control), the greater the teacher performance and student achievement. Smith and Peterson (1988, p. 18-20) note that the LPC measure has been used much less in recent years and continues to produce conflicting results and measures of reliability.

As reported by Hanson (1979), two further weaknesses should be noted:

Another difficulty with contingency theory in leadership is suggested by Chemers and Rice (1974), who point out that there are other situational variables (beyond the basic three¹⁸), which can be important in determining the favorableness of the leadership situation; additional variables such as stress, linguistic or cultural heterogeneity, organizational climate, and the level of training. (p. 253)

The final weakness is, ‘whether or not a leader can switch leadership styles in the face of different types of problematic situations’ (Hanson, 1979, p. 253). Or put another way, whether the leadership style exhibited by an individual is simply an expression of personality, or whether the personality/style interacts with the situation to produce a truly contingent choice.

¹⁷ See Smith & Peterson, 1988, p. 19

¹⁸ The ‘basic three’ are identified as: ‘leader-member relations’, ‘task structure’, and ‘power position’ (Hanson 1979, p. 250)

Hoyle (1986a) contends that, 'Contingency theory has emerged as a synthesis of bureaucracy and human relations models' (p. 43). If one looks at Contingency Theory, strictly from the viewpoint of task and human orientation, perhaps that may be so. But if the application of contingency theory continues to rest on a structure defined by a hierarchy of relationships and a unilateral view of leadership in the school, then this writer must continue to place it in the broadly bureaucratic genre of leadership theory.

In any case, the lack of ability to deal with a dynamic situation (Watkins, 1986, p. 29; 1989) and absence of human agency in followers (Giddens, 1979 [cited in Watkins, 1986, p. 29]) render further serious consideration of Fiedler's theory as problematic.

1.7 Influences of Power, Politics and Authority

The inclusion of a section specifically devoted to issues of power, politics and authority is linked as another strand of the human relations approach to the understanding of leadership and management. Its foundations can be seen in contingency theory, and in Fiedler's work, as noted in the previous section.

The theorists in this area can largely be seen in two categories: those who address the essential nature of power and authority as concepts, and those who examine the exercise of power within an organisation context.

Power, as with the concept of leadership, is varyingly defined. However, a useful definition¹⁹ is found in Burns (1978) and Hoyle (1986a): 'Power, says Max Weber–

¹⁹ Relying on Weber.

he uses the term *Macht*– “is the probability that one actor within a social relationship will be in a position to carry out his own will despite resistance, regardless of the basis on which this probability rests.”” (Burns, 1978, p. 12). Gross and Etzioni (1985) take the concept further noting the acceptance of such power—a process Weber defined as ‘legitimation’—is the joint framework for authority (Gross & Etzioni, 1985, p. 79) which is essential for the establishment of ‘professional authority’ rather than simply ‘administration’. In other words, leadership that is compelling, rather than dominating (White, 1983).

The sources of power, reflecting the general continuum between positional and personal aspects, is seen in Table 1-3.

Table 1-3: Sources of power

<i>Bush (1986)</i>	<i>Etzioni (1961)</i>	<i>French & Raven (1959</i> [cited in Watkins, 1989, p. 20])	<i>Peabody (1962)</i>	<i>Pfeffer (1992)</i>
official position	normative	legitimate power	position	structural sources
expertise		expert power	competence	
personal characteristics		referrent power	person	personal attributes
control of rewards	remunerative	reward power	legitimacy	
coercion, sanctions	coercive	coercive power		

The similarities between the theorists is striking. Pfeffer, (1981; 1992) is, perhaps the most succinct in his dichotomous distribution of power sources. Pfeffer views the exercise of power (and politics) not only an attribute of organisational existence, but an essential attribute (1981, p. 370). Pfeffer sees the exercise of power by political actors to be a crucial feature in developing, ‘the explanations, rationalizations, and legitimation for the desired activities and choices which are themselves frequently

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resolved through the use of power' (p. 181). The writer is wary of Pfeffer's singular focus on political actors as the sole determiners of desired action, as well as his assertion that this kind of exercise of political power is only evident in public organisations (1981). Both views represent a rather narrow and subordinated view of the negotiated dimension of organisational vision, which is, perhaps, more evident in the educational sector than the public sector at large.

The human relations aspect, the exercise of power in a political sense is seen particularly in the work of Ball (1987) and Hoyle (1986a). A central feature of 'micropolitical theory' is the 'continuum of influence' (Hoyle, 1986a) of managers (and leaders) within the context of 'loosely-coupled' (Weick, 1976) organisations. In fact, Hoyle asserts that 'the loosely-coupled characteristic of school is likely to be a factor in determining the amount of micropolitics' (p. 135).

Hoyle defines 'micropolitics' as: 'Consist(ing) of the strategies by which individuals and groups in organisational contexts seek to use their resources of authority and influence to further their interests' (1986a, p. 126). And Ball (1987), '(micropolitics) is the *nexus where the formal structure of roles interpenetrates with informal patterns of influence* [italics added]' (p. 246).

Similarly, Bush's (1986) categorisation of 'political' models illustrates many similar themes of micropolitics. The central features of political perspectives are seen in eight categories:

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1. They tend to focus on *group activity* rather than the institution as an entity.
2. Political models are concerned with *interests* and *interest groups*.
3. Political models stress the prevalence of *conflict* in organizations.
4. Political perspectives assume the *goals* of organizations are unstable, ambiguous and contested²⁰.
5. In political arenas decisions emerge after a complex process of *bargaining and negotiation*.
6. The concept of *power* is central to all political theories of organizations.
7. Several political theorists emphasize the significance of *external influences* on internal decision-making.
8. Political models are particularly appropriate as ways of understanding the *distribution of resources* in educational institutions.

(Bush, 1986, pp. 69-73)

The central critique that this writer would present is a wariness toward the inherent transactional (Burns, 1978), or coercive nature of micropolitical relationships within organisations. In fact, it is Hoyle (1986a) who points out that, 'exchange theory is perhaps one of the most important theoretical perspectives on micropolitics in schools' (p. 148)²¹. The central aspect of utilisation of micropolitical activity to maintain control and enhance commitment (Ball, 1987, p. 120) illustrates what this writer would consider to be a *management* activity, but is questionable whether the 'controlling' aspects of micropolitical activity could be claimed to enhance true followership.

For this study, however, aspects of power and politics are not to be ignored. Clearly, the examination of conceptions of leadership revealed a number of perspectives held by the participants in this study. As in Southworth (1995), the 'dominating' influence

²⁰ And according to Pfeffer (1981) these goals exist only in public organisations.

²¹ Exchange theory (Homans, 1961) is based on notions of costs and rewards; largely transactions and between managers and subordinates.

of the headteacher must be considered. In this nature, it is important to include the theory base to see how the findings of this study contrast and compare with previously held assertions.

1.8 Deficiencies Leading to a New Model

This review of traditional leadership theory has identified the key strands in theoretical development and discussed both their contributions and limitations. The writer holds that there are valuable aspects to traditional theory which have informed what has developed in more recent years.

The limitations of traditional leadership theory have been identified by Sergiovanni (1991) as the following:

- Traditional management theory is suited to situations of practice that are characterized by linear conditions. But the usefulness of this theory ends where *nonlinear conditions* begin.
- Traditional management theory is suited to situations of practice that can be tightly structured and connected without causing unanticipated harmful effects. But the usefulness of this theory ends where *loosely structured* conditions begin.
- Traditional management theory is suited to situations in which the need exists to bring about a routine level of competence and performance. But the usefulness of this theory ends when the goal is to bring about *extraordinary commitment and performance*.

(Sergiovanni, 1991a, p. 45)

‘Non-linearity’, ‘loose-structuring’, and building participant ‘commitment and performance’ are themes that will arise in the next chapter, which examines the development of ‘transformational models’, as well as the important relationship between leaders and followers.

Chapter 1

This chapter has examined the development of leadership theory from an historic and thematic perspective. The aim has been to identify what the writer considers to be essential building-blocks on which leadership theory has developed through this century. At the same time, the writer has intended to illustrate a number of weaknesses in traditional models, the most striking being the often inappropriate application of industrial and linear bureaucratic models to the complex world of educational organisations. Traditional theory informs, but serves to open the discussion to the more substantive discussion in the next chapter—the development of leadership theory from transformational perspectives.

Finally, the writer has made a case for a clear distinction between the terms *leadership* and *management*. This is an important distinction in that this study is constructed around leadership conceptions, the difficult and complicated domain of organisational vision and followership, not the managerial and administrative tasks which are also a part of primary headship.

CHAPTER 2

TRANSFORMED LEADERSHIP

‘Leadership is a construct which must be dismantled and rebuilt’

(Foster, 1986, p. 3).

Introduction

Leadership, as revealed in chapter 1, has been a concept, widely studied, and little understood. In the previous chapter, the argument was put forward that the models and theories of leadership, management, and organisational activity relied upon during the last seventy years have largely proved unreliable and lacking in descriptive or predictive power. There are a number of reasons put forward for this, but it can be seen through the three viewpoints of sociological understanding, philosophy, and research knowledge. In each case, a move towards a non-linear approach has led to the rise of new and sometimes controversial forms of leadership theory. In the leadership literature, statements such as Foster’s (1986) bold assertion at the beginning are repeatedly rising to the surface. In a variety of contexts, researchers and essayists are attempting to unravel the perplexing nature of leadership in organisations.

This chapter will review some of the deficiencies that have been attributed to traditional models, what this writer perceives to be the key initiating events and people in a change of leadership understanding, and to describe and review some of the leading theorists.

2.1 Deficiencies in traditional models

The ‘deficiency’ critique of leadership models is an often cited premise on which further arguments are built (Bates, 1989; Foster, 1986; Watkins, 1986). The argument often begins, as Bates states, ‘Leadership seems to be a problem. There appears to be widespread agreement on its necessity, but little agreement on its substance’ (p. 131).

Generally, the critique¹ of what has been termed ‘leadership theory’ is largely centred around issues of ‘superficiality’ (Watkins, 1986, p. 11) and lack of predictive efficacy (Hoyle, 1986a; Greenfield, 1993²; Vaill, 1989). Most extensively critiqued are ‘contingency modelling’ (Watkins, 1989, p. 11) and trait theory (Foster, 1986; Hodgkinson, 1983).

Watkins (1989) has argued that Fiedler’s contingency model and other trait and situationalist approaches are, as he states, ‘static, ahistorical and ideologically based’ (p. 11). The lack of empirical evidence supporting Fiedler’s claims (Ashour, 1973 [cited in Watkins, 1986, p. 28]) and the passive presentation of followers (Giddens, 1979 [cited in Watkins, 1986, p. 29]) render Fiedler’s contingency theory of questionable veracity. Furthermore, Watkins declares,

It should be clear from the traditional literature reviewed here that most of the conventional approaches to leadership are under attack on all fronts. Yet amazingly this highly questionable material is still included in standard texts. The reasons for this would seem to be based on ideological concerns and an attempt to maintain the power status quo in organizations. (p. 19)

¹ The reader is referred back to the first chapter for a more complete critique of these views.

² This is a reprint of Greenfield’s 1986 article of the same title.

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This brief review of the trait, situationalist, and contingency theories is important to include at this point as it is integral in describing part of the impetus behind the rise of new, transformative models of leadership. As indicated by Watkins (1989) and Foster (1986), it is the ‘power status quo’ which is questioned and forms the basis for what has been termed, ‘critically transformative leadership’ (Foster, 1989a, 1989b; Lincoln, 1989).

The notions of empowerment, discourse, participatory action, and transformational relationships are part of the central arguments surrounding new models of leadership and will be discussed in section 2.5.

2.1.1 Greenfield’s critique of the theory movement

If one holds that every ‘paradigm shift’ (Kuhn, 1970) needs an initiating event, an occurrence which challenges the world of ‘normal science’ in some novel and compelling manner, then Greenfield’s critique of the ‘theory movement’ could be viewed as such an event (Bates, 1989; Evers & Lakomski, 1991; Hughes, 1990; Lane 1995).

Not all writers agree that a paradigm shift has occurred, at least at a practitioner level. Southworth (1995) asserts that the focus of his case study did not reflect the degree of changed thinking to assert a shift in paradigmatic thought (1995, p. 195). However, what may not have been evident in a single case study, does not reflect the degree of shift that has occurred in the leadership literature.

The importance of Greenfield’s contribution is underlined by Hughes (1990), who particularly points to Greenfield’s 1974 speech to the International Intervisitation Programme (p. 24). Hughes is not singular in his identification of the significance of this event; Evers and Lakomski (1991) appear to regard the event as so significant as

to place it at the fore of their chapter, 'The Greenfield Revolution' (p. 76). Whether regarded as 'revolutionary' or the initiating event of a paradigm shift, Greenfield's contribution to new models of leadership should not be under-estimated.

An outline of the key points of Greenfield's critique will be useful. The central point of Greenfield's argument is in his objection to the 'science of administration' as it was constituted at that time.³ As summarised by Evers and Lakomski (1991),

Greenfield objects to traditional science of administration on two broad counts. First, he thinks its version of science, especially its view of objectivity, is epistemologically inadequate, even for a natural science. And second, because the phenomena of administration are social phenomena, he thinks their subjective nature puts them beyond the reach of so-called objective science. (p. 96)

Greenfield (1993) summarises his critique in four points:

First, administrative science *does not work as science*; it has not brought us increased understanding and control of organizations...

Second, administrative science has *ignored power relationships* and has been content to deal with administrative problems that ignore substantive problems in education.

Third, administrative science has focused its efforts not upon the phenomenological realities of administration – upon the experience of wielding power and making decisions – but upon *the organization*...

Finally, administrative science has *devalued the study of human choice and rationality*. (pp. 152-3) [italics added]

It is in the context of the third point, that Greenfield has been most blistering in his attack on the reification of organisations. 'Organisations are not things. They have no ontological reality' (1993, p. 152) says, Greenfield. As such, they only have reality 'through human action' (Greenfield, 1993, p. 152), in a manner similar to Giddens (1979) notion of 'structure and agency'.

³ Which it must be remembered, was over twenty years ago.

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The issues of reification of organisations, power relationships, critical perspectives, human choice, values and ethics should be noted for their central importance and will re-appear in various forms as this chapter progresses. Similarly, Bates (1989) notes three extensions of Greenfield's work:

1. the relation of individual to organization or, in Giddens' terms, between agency and structure;
2. the relation of power to knowledge and the historical processes of the institutionalization of power such as those discussed by Foucault;
3. the progressive rationalization of social, political and economic structures and of ethical and cultural concerns that form the core of Habermas' work. (p. 138).

Although Greenfield's arguments have had a notable impact on administrative thought, his views are not beyond criticism. Bates (1989) expresses concern that Greenfield's flight from behavioural science leads only to, 'the adoption of existentialism, moral relativism, mysticism and organizational volunteerism' (p. 138). This writer sees such an either/or response to be unjustified. Another possible avenue from Greenfield's work is not the disposal of the means of 'science' but the view toward utilisation for different ends. As Evers and Lakomski (1991) rightly point out, 'Objectivity is a matter of coherence, not hard data.'

In any case, it is this writer's view that Greenfield's work, his insightful questions over the last two decades, have had a great deal of influence in the direction of new models of leadership, hence, the prominent place that Greenfield assumes in this chapter.

2.2 New nature of educational organisations

Another manner in which leadership theory is being reconstructed is through an alternative understanding of the nature of organisations. A combination of attempts to understand complexity within organisation, and society, as well as the actions of individuals within those organisations has led to a number of alternative views.

‘Alternative’ is used in this context as referring to those theories which are ‘unconventional... not traditional’⁴, and particularly, draw upon other disciplines or fields to develop their understanding.

Two categories of ‘alternative’ theorists will be examined here, what might be termed the ‘chaos’ theorists, and the ‘dramatists’.

2.2.1 ‘Chaos’ and leadership theory

One group of theorists that have obtained a great deal of contemporary focus are those which are looking at organisations and leadership through what has been termed the ‘new science’ (Wheatley, 1994). Recent discoveries and propositions in the domain of physics have launched a variety of organisational models which use models from the natural sciences as a metaphor for what might be occurring in social systems. A model from physics that has been increasingly imported into other domains is Gleik’s (1987) ‘chaos theory’.

It is important to note that the application of a model of physics is not related to the efforts towards a ‘management science’ in the early parts of this century. Taylorian theory’s linearity and hierarchical nature is more akin to a model of ordered

⁴ As defined in the (1994) *Oxford Paperback Dictionary*, Oxford: Oxford University Press. (p. 22)

Newtonian science which does not bear similarity to the non-linearity of new proposals in quantum physics.

Wheatley's (1994) book, which this researcher regards as more of an essay, is based on parallelism that exists in aspects of the new physics and contemporary organisations. In that sense, Wheatley's work is more an organisational treatise than the title might suggest. Wheatley notes the development of science, from order to chaos (Gleik, 1987) and suggests parallels in understanding of organisations.

Wheatley accurately notes a paucity of predictive power in some existing organisational models, asserting that organisations are 'messy' and defy prediction.

In reflecting on the challenges created by linear predications of complex organisations, Wheatley (1994) states,

My own experience suggests that we can forego the despair created by such common organizational events as change, chaos, information overload, and cyclical behaviors if we recognize that organizations are conscious entities, possessing many of the properties of living systems. (p. 13)

Of course, Wheatley (1994) invites the same critique of organisational reification that was so roundly condemned by Greenfield (1986). Yet, on common ground, Greenfield and Wheatley would seem to agree that the attempts to circumscribe organisations within a boundary of hierarchical order is fruitless.

Wheatley's (1994) most profound contribution is to underline the themes that will come out repeatedly in this chapter; that organisations are increasingly being understood for their non-hierarchical, non-linear, interactive and holistic nature. Wheatley places this network of organisational understanding alongside such paradigms as Heisenberg's model of interactive physics; the parallels are relatable and interesting.

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Although Wheatley's (1994) book is thought-provoking and clever, her arguments lack any rigorous empirical base. Her work does not report research findings, but rather the reflections she has developed as an observer of organisations. There is an alluring aspect to the 'new science', but the questions it raises must be addressed with the same attention as the interesting theories of energy, time, and matter. A new 'scientism', however, will not necessarily be as helpful to an understanding of leadership as it might be for the behaviour of atoms.

The notion of an unpredictable, chaotic, changing world is underlined in Vaill (1989), who begins his treatise by placing his arguments within an organisational and social reality of chaotic change, where 'events [are] outrunning understanding' (Vaill, 1989, p. xi). In Vaill's work, the chaotic world of organisations is represented as 'permanent white water' (p. 2), which is based upon Gleick's (1987) 'chaos theory'. It is this notion of chaos within system boundaries which undergirds both Vaill and Wheatley (1994), and to a lesser extent, Starratt (1993) and leads Vaill to assert:

This situation has produced what might be called 'the Grand Paradox of Management,' for to be a manager in the modern world is to take responsibility for controlling what is less and less controllable. As the world becomes less stable and predictable, the paradox intensifies. Strategically, it is resolved by declaring that today's executives must be *leaders*. The precedence of leadership over management has never been more imperative than it is today.[emphasis added] One can't simply 'manage an existing system,' for the unstable environment continually threatens to render any given structure and set policies out of sync with its demands and opportunities. Under these conditions, a leadership model is far more appropriate than a managerial model. The leader constantly invents strategies that are intended to improve the system's adaptation to its present and future environment. (p. 16)

The caution which must be viewed when regarding these theories is the wholesale importation of models from the physical world as a means of understanding social interaction. There are dangers of reductionism and the same narrow thinking which doomed scientific leadership in the early part of this century.

2.2.2 The dramatists

The quest for alternative models of leadership has produced another collection of metaphors, which this writer has called, 'the dramatists'. Like the chaos theorists, the dramatists approach an understanding of organisations in defiance of linear modelling. The clearest examples of this category of theorists is found in Starratt (1993) and Vaill (1989), but is also seen in Gardner (1995b). Organisational drama is seen recently in Williams (1995), where he states:

Organizational environments may be viewed as theatres where public and private roles are played on a broad stage. The dramas are about political and positional power for the control of people and other resources, ostensibly in the pursuit of effectiveness and efficiency but also, and not infrequently, for personal gratification – invariably at the expense of shared values, organizational purpose and collective interdependence. (p. 147)

Starratt (1993) approaches the study of leadership, once again, from a deficiency model, outlining the attempts to understand and explain organisations and the role of leaders in past models. Starratt notes that, 'the newer generation of theorists in leadership tended to move away from the positivistic, reductionist behaviorism of the previous generation toward a more descriptive, naturalistic phenomenology of leaders in action' (p. 5). Starratt views the breakthrough works in this endeavour as Bennis and Nannus (1985), Bass (1985), Burns (1978), Deal and Kennedy (1982), Gardner (1990), and Vaill (1984). In each case, these theorists represent a clear move to a more co-operative form of leadership, less exploitative (Starratt, 1993, p. 13) and based on organisational vision which is more related to the inter-play of 'drama' than to hierarchical structure.

The central notion of 'social drama' in leadership is described by Starratt (1993) as the 'socially expressive action of individuals in daily life', the performance of individuals within the influences of self, culture, gender, race, and authority (Starratt, 1993, pp. 115-17). Clearly, this draws largely from the work of Goffman (1959) and

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Perinbanayagam (1985) and is meant to be illustrative of the interactive nature of social life. By Starratt's own admission (p. 165), he appears to skirt a full explication of the role of power relationships in the 'social drama' that he describes. This writer believes this to be the largest barrier in Starratt's carefully crafted arguments toward leadership action in social organisations. The greatest contribution, however, is the manner in which Starratt's work should initiate reflection amongst practitioners.

Crossing from educational leadership, to leadership in the wider context of business and industry, Vaill (1989) utilises similar images to Starratt (1993). Vaill's 'managing as a performing art' is quite similar to Starratt's 'dramaturgical action'. Once again, Vaill, is critical of a structural/functional approach to understanding leadership in organisations and instead speaks to the 'mixes of phenomena' (p. 121) which confront leaders in social situations, a 'melange' which requires a strong reliance on intuition, self-knowledge, and even 'spirituality'. As Vaill notes, 'leadership is about bringing out the best in people. As such, one's best is tried intimately to one's deepest sense of oneself, to one's spirit. My leadership efforts must touch that in myself and others' (p. 224). What is, perhaps, not clear in Vaill's work is whether his focus is on the action of leaders, or that of followers—whether leadership is about empowering followers for the leader's ends, or for the true emancipation of followers.

Although Vaill's (1989) work, like Wheatley's (1994), fails to describe the research base on which it is grounded, it provides a high degree of relatability and confirms and reflects a broader discussion of the changing nature of leadership in organisations.

It is this writer's view that, in a manner, the 'dramaturgical' perspective of leadership is another means of making sense of complex social situations. The advantage that this view presents is that it addresses a number of the critiques of earlier views of 'administrative science', namely its reification of organisations as things, and the

structuralist perspectives that have been placed, in the past, on actors within social situations. The dramatists help the reader to appreciate the number of roles that are assumed within organisations and the fact that they can be assumed by a number of individuals at different times.

2.3 Transformational Leadership

Within the domain of educational organisations, the understanding of leadership has not been developing in isolation from other fields. Most influential, the arena of leadership and management research within the context of business and industry has held sway in general leadership thinking.

There are, of course, many business and industry leadership theorists which have been influential in both the popular press and academic circles. For the purpose of this study, a more confined focus is taken. A few of those key individual contributions are noted in the following subsections.

Reavis (1988) succinctly approaches the contributions of six researchers in business and industry: Kanter (1983); Bennis and Nannus (1985); O'Toole (1985); Garfield (1987); Bass (1985); and Peters and Waterman (1982). Through meta-analysis, Reavis suggests nine characteristics which seems to run in some manner through each of these studies:

- *vision*
- *collaborative style*
- *optimism*
- *accepting failure*
- *longer time horizon*
- *high moral purpose*
- *fairness;*
- *aim high*
- *results oriented*
- *intellectual stimulation*
- *contingent reward, and*
- *management by exception* (Reavis, 1988; pp. 23-25).

The purpose of Reavis' review is to see if the same characteristics were present in educational leaders, and thereby suggest foci for educational leadership preparation.

Reavis states,

From my brief survey of characteristics of leaders in business and industry, it is clear that, with the exception of having a longer time horizon, the education leaders in my study exhibited all the characteristics of high-achieving leaders in business. (p. 26)

Although Reavis' (1988) study is subject to the same critique of other 'ideal types' and trait research, it is a study which interestingly notes the clear linkage between the study of leadership in business and industry and educational leadership. The exchange of ideas, albeit mostly in one direction, has helped to inform practice and move leadership discussions forward.

Clearly, one of the most influential contributors to the leadership dialogue is Burns (1978). Burns, is widely credited with the introduction of the term 'transformational leadership' (Foster, 1986; Kouzes & Posner, 1987; Sergiovanni, 1991). Indeed, the

degree to which Burns is referred to is extensive: Leithwood (1992); Leithwood, Begley & Cousins (1994); Kouzes & Posner (1987); Mitchell & Tucker (1992), Murphy & Hallinger (1993); and Sergiovanni (1990, 1991). Sergiovanni (1991a) states, 'In 1978 James MacGregor Burns proposed a theory of leadership that has shaped the way leadership practice is now understood' (p. 125).

Another evidence of the influence of Burns' transformational concepts has been the extended use of his models in educational research. Simpson and Beeby (1993) explored transformational concepts in the implementation of major change by public sector leaders. Their results, based largely on the five transformational processes outlined by Kouzes and Posner (1987) confirmed the importance of the psychology of interpersonal interaction within organisations in change. Clatworthy (1982) and Sagor (1991) examined transformational styles in relation to staff development within schools⁵, while Alexander (1992), Groff (1987), Leithwood and Jantzi (1990), and Sagor (1992) approached transformational qualities as a style of leadership. The majority of these studies are subject to the same critique that is advanced by Foster (1986); the critique that although 'transformational' in nature, the relationships examined in the school settings are still largely hierarchical in nature (Foster, 1986, p. 14) and do not always fully reveal the interactive process of leadership and followership (Williams, 1989, p. 25).

Burns (1978) builds his notions of leadership on a base of power in relationships; or declaratively, 'Power is a *relationship* among persons' (p. 12). In that relationship, Burns notes,

⁵ A similar exploration can be found in Pugh (1986; 1987)

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It [power] involves the *intention* or *purpose* of both power holder and power recipient; and hence that it is collective, not merely the behavior of one person. On these assumptions I view the power process as one *in which power holders (P), possessing certain motives and goals, have the capacity to secure changes in the behavior of a respondent (R), human or animal, and in the environment, by utilizing resources in their power base, including factors of skill, relative to the targets of their power-wielding and necessary to secure such changes.* This view of power deals with three elements in the process: the motives and resources of the power holders; the motives and resources of power recipients; and the relationship among all these. (p. 13)

In the exercise of these relationships of power, Burns (1978) proposes a duality of purpose: *transactional* and *transformational* purpose.

Burns' notion of leadership is defined as follows:

I define leadership as leaders inducing followers to act for certain goals that represent the values and the motivations—the wants and needs, the aspirations and expectations—*of both leaders and followers.* And the genius of leadership lies in the manner in which leaders see and act on their own and their followers' values and motivations. (p. 19)

In transactional relationships of power, the inducement towards goals is on the basis of the coercive exercise of power, and/or the exchange of contingent rewards (Hoover, 1991).

Transformational leadership, on the other hand, relies for its 'compulsion' on the ability of the leader to raise the common goals of the leader and the led to the point of shared vision. The relationship is based on a moral sense of leadership which is 'beyond domination' (White, 1983) and embraces the needs and fulfilment of the follower. This transformational relationship, as Bleedorn (1983) declares, 'converts followers into leaders and may convert leaders into moral agents' (p.2).

The literature which relies on Burns' theories of transformational leadership is divided into three categories:

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- 1) those which examine the application of transformational attributes in practice;
- 2) those which explore concepts associated with transformational leadership; and,
- 3) finally those which use transformational leadership as a means to identify further research or urge greater application of transformational concepts in leadership development.

Among the first category, the primary use examined for this study has been its use in the examination of educational leaders. The literature base, is predominantly North American in this regard. Leithwood and Jantzi (1990) and Leithwood, Begley and Cousins (1994) have looked toward the broader category of leadership in school culture. In both cases, Leithwood and his colleagues have noted the key necessity of the sharing of responsibility and power in the establishment of school culture. It is not clear, however, in Leithwood, Begley and Cousins if the 'shared vision' that they propose as a key aspect of transformative processes can truly be considered transformative if it relies solely on the leader's vision. It also appears that Leithwood and his colleagues have largely restricted transformational leadership to the problem-solving aspects of leadership in the 'high ground' (pp. 166-188). Such a restricted view begs the broader application of Burns' ideas.

Less central studies have been conducted by Alexander (1992), Groff (1987), and Sagor (1992). Although interesting, especially Groff's conclusion that further graduate education can enhance transformational skill, these studies fall largely into the domain of style or attribute research.

Burns' notions of transformational leadership are pervasive in both business and education domains of leadership theory. Simpson and Beeby (1993), relying largely on Kouzes and Posner's (1987) five 'transformational processes' examined the larger

domain of public sector management. Simpson and Beeby found that, 'the psychology of the individual and the relationships within teams are the key aspects of transformational processes and culture change' (p. 317). This assertion would appear to be confirmed in the types of roles presented by Murphy and Hallinger (1993).

In the second domain of study, transformational concepts of leadership have interestingly focused on the intellectual, or cognitive processes of transformational leadership. Mitchell and Tucker (1992) and Foster (1989a) largely move leadership study, particularly the study of transformative concepts, from the domain of leaders' actions, to that of leaders' thinking. For Foster, leadership is seen as a critically analytic process, that begins with the leader and is enabled in the followers. This, Foster defines, is a 'critical practice and... a moral practice' (p. 6), and not a technical speciality. Mitchell and Tucker, likewise, assert, 'Perhaps it is time to recognize that leadership is less a matter of aggressive action than a way of thinking and feeling—about ourselves, about our jobs, and about the nature of the educational process' (p. 30). The environment for that type of thinking is what Whitford and Hovda (1986) articulate as 'knowledge work organisations'. In this type of organisation, transformational properties of participation and enablement develop, 'opportunities for integrating theory, research, and practice' (p. 65).

Finally, in a number of writers and researchers, the notions of transformational leadership are given a future focus. Murphy and Hallinger (1992; 1993), and Hallinger (1992) have largely devoted the call to transformational leadership as a means of school restructuring and school improvement. Murphy and Hallinger (1993) state that this re-formed role for school leadership is,

Best captured by the rubric of “transformational leadership” (Foster, 1989c; Goldring (in press[1992]); Leithwood, 1992). Central to this emerging view of administration is a shift from a “power over approach... to a power to approach (Sergiovanni, 1991a, p. 57). Formal leadership in restructured schools “becomes relocated from the apex of the pyramid to the center of the network of human relationships and functions as a change agent and resource” (Chapman & Boyd, 1986, p. 55). Professional expertise, moral persuasiveness, and modeling, rather than authority and position, become the currency of administration in restructured schools. (p. 18)

A similar ‘centrist’ role, rather than dominant role is seen in Clatworthy’s (1982) heuristic, and once again in Kouzes and Posner’ (1987) ‘five fundamental leadership practices’. In the popular literature, Covey’s (1989) best seller has echoed many of the same themes of transformational leadership.

The ‘symbolic’ action of transformational leadership, the ability to build a consensus of vision is seen in Bennis (1984) and Bennis and Nannus (1985), as well as Handy (1991). These writers for a largely business audience are suggesting that the central foci of transformational, or transformative, leadership is based on symbols, on sharing of ‘leadership’ across the entire organisation, and the ability of designated leaders to ‘empower’ the actions of others. As Bennis notes,

In sum, the transformative power of leadership stems less from ingeniously crafted organizational structures, carefully constructed management designs and controls, elegantly rationalized planning formats, or skilfully articulated leadership tactics. Rather, it is the ability of the leader to reach the souls of others in a fashion which raises human consciousness, builds meanings, and inspires human intent that is the source of power. Within transformative leadership, therefore, it is vision, purposes, beliefs, and other aspects of organization culture that are of prime importance. Symbolic expression becomes the major tool of leadership, and leadership effectiveness is no longer defined as a “9-9 grid (71) score” or a “system 4” position. Effectiveness is instead measured by the extent to which “compelling vision” empowers others to excel; the extent to which meanings are found in one’s work; and the extent to which individual and organization are bonded together by common commitment in a mutually rewarding symbiotic relationship. (p. 70)

The primary weakness in Burns’ notions of the transformational activities are still presented within a hierarchical framework; the activity of designated, or positional

leaders. Although empowering and, to some degree, negotiated, there is little discussion of the shared leadership role assumed by followers.

From this review, it is clear to see that transformational leadership has held sway in a manner, perhaps, unrivalled by other models. Transformational leadership's extended currency in the domains of business and education remain powerful to this day. It is this writer's view that the retained relevance has been due to the emphasis on values, power sharing, and enablement which have pervaded transformational thought.

In the next section, a closer examination of the relevance and application of transformational principles to specifically educational contexts is considered.

2.4 Models for educational leadership

The application of transformational leadership theory to the context of educational leadership has been widespread and led to the development of a number of leadership models which could be regarded as 'new'. In general, these new models are based on transformational models. Headteacher leadership, specifically, is seen within the context of change and the facilitative aspects of transformed leadership. As Williams (1995), states, 'Essentially, the leadership role of headteachers is to promote organizational change that seeks to build confidence and empower others through facilitating developments leading to more effectively fulfilling schools – for both pupils and their professional colleagues' (p. 153).

In particular, three will be examined at this point of the chapter. The reason for selecting these three rest on their representative nature in addressing a number of the categories commonly referred to in management literature.

The three models looked at in this section will be Sergiovanni's transformational model; re-formed roles, as represented by Foster, Murphy, and Leithwood et al.; and models conceptualised through an educational change perspective (Fullan, 1991; Fullan & Hargreaves, 1992).

2.4.1 Sergiovanni's transformational model

Sergiovanni's (1990, 1991a; 1991b) contribution is interesting as it represents a significant shift in his thinking. In his earlier work (Sergiovanni & Carver, 1980) Sergiovanni represents educational leadership from a traditional 'systems' model approach. Leadership was seen predominantly through trait, style, and contingency theory. Although early in transformative models, the work of Burns (1978) is not mentioned, nor the contributions of Greenfield.

In the mid-eighties, a series of works were published which revealed a substantive shift in Sergiovanni's conception of leadership (Sergiovanni & Starratt, 1983; Sergiovanni & Corbally, 1984; Sergiovanni, 1986; 1987). As revealed in the changing understanding of leadership across the field, Sergiovanni's work began to speak of the symbolic and value dimensions of leadership, as well as the ethical and moral dimensions (Sergiovanni, 1991a). Leadership was no longer viewed as the systematic exercise of 'effective' traits, but rather involved such dimensions as co-operation, empowerment, intuition, and meaningfulness. As Sergiovanni notes, the metaphors were changing, from the linear model of leadership to 'complex, nonlinear, and loosely connected, but real world of practice (1991a, p. 69).

Sergiovanni and Starratt (1993) clearly place the exercise of leadership within the arena of meaning, vision, and renewal through reflection. Five attributes of this type of leadership are:

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1. It is grounded in essential meanings about human persons, society, knowledge, growth, learning and schooling.
2. It is energized by a vision of what education might and should be.
3. It involves the articulation of that vision and the invitation to others to a communal articulation of a vision of schooling that all can embrace.
4. It seeks to embody the vision in institutional structures, frameworks, and policies.
5. It celebrates the vision and seeks its continuous renewal. (p. 188)

Also clear, is Sergiovanni's emphasis on 'administering as a moral craft' (1991a, p. 321), which is cast within the exercise of unequal roles in the organisational environment. For Sergiovanni, 'the challenge of leadership is to *make peace with two competing imperatives*[italics added], the managerial and the moral.' What is not clear in Sergiovanni and Starratt (1993) is the degree to which the 'energizing vision' is shared and mutually developed. Whether 'articulation' and 'invitation' truly is an exercise of moral and transformed leadership remains a question unanswered in their work.

Sergiovanni's typologies have been used to examine reflective practice in decision making (Crowder, 1989; Pugh, 1986), as well further study of traits of successful educational leaders (Morris, 1987). In the case of Morris, the application of Sergiovanni's 'effective' attributes as a list-like criteria is probably counter-productive to Sergiovanni's arguments. In any case, the predominance of Sergiovanni's notions have yielded an equivalent amount of influence in educational leadership as Burns' notions in leadership understanding at large. It is due to the depth of his contribution that Sergiovanni holds a position of prominence in this chapter.

2.4.2 Other ‘transformatists’

In a similar development of thought to Sergiovanni, a number of other researchers in educational leadership have written of the need for a more *transformational* approach to educational leadership. The consonant themes in each of the works outlined in this section are representative of the transformative shift in the articulation of educational leadership.

Foster (1986) reflects the changing nature of the understanding of leadership. However, rather than a re-conceptualisation, Foster asserts a ‘reconstruction’ is necessary. Moving from a ‘functionalist paradigm’ Foster clearly locates leadership within a phenomenological and dialectical perspective. Rather than *role* or *function*, leadership is argued to be ‘a transient phenomenon, one which can be practised equally well by different social players, depending on the circumstance and the strength of the ideas’ (Foster, 1986, p. 3). At a later date, Foster (1989a; 1989b) develops the dialectical nature of leadership further, stating, ‘educational leadership... is a process of engaging others in the critical analysis of individual and social realities and of establishing standards through which learning can be achieved (1989a, p. 14).

The relationship between leaders and followers, which defines the engagement in critical analysis is a point of importance in Williams (1989, p. 25). For Foster, this is, perhaps, most clearly developed when he begins to discuss the ethical dimensions of the leader-follower relationship.

It is the consensual, negotiated, and shared nature of leadership which is a key element of Foster’s contribution, and underlines the ethical and empowering aspects which will be discussed further on. As Foster (1989b) argues, ‘leadership is and must be socially critical, it does not reside *in* an individual but in the relationship between individuals, and it is oriented toward social vision and change, not simply, or only,

organizational goals' (p. 46). The centrality of democratic action in leadership, whilst a strength of Foster's argument, also serves to limit the range of discussion of leadership. For instance, Foster leaves little room for exploration of forces acting upon leaders, preferring to place emphasis on the actions of leaders in emancipation of others.

Similar notions of the need for redefinition of leadership, and a greater emphasis on the transformational aspects of educational leadership is found in Murphy and Hallinger (1992; 1993); Murphy (1992); and Hallinger (1992). Their argument is strengthened by its location in the forces which fundamentally shape school reform, especially those within the changing political and policy landscape (particularly marketisation, competitive forces, and 'debureaucratization' of society). Whether speaking of 'leadership preparation' (Murphy, 1992), or the exercise of leadership in action (Murphy & Hallinger, 1993), the argument is that the progress and success of educational reform is dependent on re-formed leadership roles (Murphy & Hallinger, 1993, p. 18). In each of these works, it is the transformational aspect, the reformation of power roles in schools⁶ which defines the type of leadership that is called for. Perhaps the greatest contribution of these two authors, especially Murphy (1992) is the inclusion of leadership preparation as an important component of re-formed roles. Murphy's argument would have been strengthened if it had addressed the broader issue of leadership preparation for *all*. The notion is a 'community of leaders' but leadership development is still restricted to post-holders.

The *working-out* aspect of leadership is developed in Leithwood, Begley and Cousins (1994). As with many of the theorists cited in this chapter, Leithwood et al. note the non-linearity, and increasingly unpredictable nature of schools, which they term the 'swamp'. Decision-making is urged toward, what Leithwood et al. term the 'high

⁶ Based on Sergiovanni's (1991) notion of 'power to' rather than 'power over'.

ground’⁷. A central aspect of a transformative approach to this type of ‘working out’ is its emphasis on a collective process, rather than a process resulting from positional status.

However, it is questionable whether a sole view of leadership as ‘problem-solving’ is defensible in light of the other activities of vision development, and ethos building of the school leader. Additionally, Leithwood et al speak of ‘schools’ as ‘durable institutions’ and as ‘instruments of change’, which would seem to indicate a type or organisational reification that Greenfield attacked so forcefully. The greatest question raised by Leithwood et al.⁸ in their work, is their assertion of the necessity of a shared vision. However, it is almost totally reliant on the school leader’s vision, which would not support a negotiated process.

The assertion of a changing context, and the integration of transformational concepts raises questions of the role of change in school leadership. The next section addresses a few of the contributors.

2.4.3 Educational change models

As asserted earlier, the predominance of *change* as an influence in the educational practice and leadership is widely recognised.

⁷ Based on Schön’s (1983) notion of the ‘hard high ground’. The ‘swamp’ is attributed to Schön (1987, p. 3)

⁸ Also evidenced in Leithwood and Jantzi (1990).

We now live in a change rich environment, where multiple policy initiatives and innovation overload are the norm. In order to cope with change of this magnitude and complexity, we need to adopt a long term perspective. We need to focus on the management of change in general, on the creation of effective and flexible structures and on the empowering of individuals, rather than on the implementation of specific, but usually minor, changes. (Hopkins & Ainscow, 1993, p. 303).

One source of the pace and scope of change is government initiative, whether that be in England (Bolam, 1991; Craig, 1989) or in America (Eisner, 1992). Specifically, most of the changes in England and Wales are laid at the feet of the 1988 Education Reform Act, which is seen as the pivotal legislation in changing the nature of the school leader's task (Weindling, 1992).

However, the scope of change extends beyond the structure of and provision for schooling, to include changes in the school leader's source and practice of authority. Harling (1989) notes that a reliance on positional authority and the power of rewards and sanctions is being upstaged by issue of influence. Although illustrative of a shift from transactional processes to transformational practices, Harling's contribution raises questions of how transformational the process of 'displaying superior competence' (1989, p. 25) truly is.

Nor is the change in leadership requirements and bases for leadership a continuous or predictable process. As Handy (1991) indicates, the changes that are occurring in leadership on a wider scale are discontinuous and require new theory. Certainly, that is one of the tasks to which this research addresses itself.

A number of the challenges of leadership in a time of systemic change extend beyond merely being non-linear (Handy, 1989; Schein, 1985). Indeed, the notion of non-linear, 'loosely-coupled' (Hopkins, 1987; Weick, 1976) systems and their inherent challenges has been under consideration for many years (Austin & Reynolds, 1990). The more interesting question is the degree of influence that non-linear, 'chaotic', un-

predictable conditions have on the exercise of leadership in schools. Weindling's (1992) metaphor of 'marathon running on a sand dune' seems an apt description (if impressionistic) of the challenge facing school leaders in a time of change.

Change is difficult as cultural constructs are slow to change as noted by Tyack & Tobin (1994); however, they do suggest a means for such change to occur:

Humans build organisations and change them. Cultural constructions of schooling have changed over time and can change again. To do this deliberately would require intense and continual public dialogue about the ends and means of schooling, including reexamination of cultural assumptions about what a 'real school' is and what sort of improved schooling could realize new aspirations. (p. 478)

The non-linearity of change in loosely-coupled systems places an extended responsibility on those who would occupy positions of leadership (Austin & Reynolds, 1990). The leaders' role becomes crucial in 'embedding' and 'transmitting' culture (Schein, 1985). What is missing, however, from Schein's description of the cultural responsibilities of the leader is attention to the role of power relationships in organisational leadership. Hoyle (1986a; 1986b) is much more clear as to the role of 'power' and 'politics' in leadership in loosely-coupled systems. Both Schein and Hoyle remind readers that the role of leadership is in the transmission and maintenance in a time of change, whether that be through the establishment and interpretation of symbols in the school (Hoyle, 1986a; 1986b) or in the 'reinforcement' of culture (Schein, 1985).

Within the particular organisation known as the school, there are specific calls for leadership action (Austin & Reynolds, 1990; Craig, 1989; Fullan, 1991; Hopkins, 1987; Williams, 1989, 1995). Within these calls for action, are several clearly identified themes.

One of the first, is what might be termed a ‘gatekeeper of change’ approach to leadership (Leithwood & Montgomery, 1986, p. 4). A gate keeping, or *buffering* function of leadership is seen as necessary owing to the ‘innovation overload’ and ‘initiative fatigue’ (Weindling, 1992, p. 75) which describe the environment in which schools now operate. The equipping of school leaders is seen as an essential task for the effective leading of schools (Eisemen et al., 1990; Fullan, 1991; Fullan & Hargreaves, 1992). Fullan’s work in educational change remains arguably a foremost source of consideration⁹. Perhaps, one of the foremost reasons for the strength of his contribution is its emphasis on the cultural aspects of leadership in change; the notion that it is the creation and management of culture, not innovation implementation, which demarcates the domain of effective leadership in change (Fullan, 1991, p. 169).

From these discussions of leadership in educational change, the transformational aspects of leadership are clearly apparent. Leadership is collaborative (Fullan & Hargreaves, 1992), it focuses on issues of organisational culture (Hoyle, 1986a; Schein, 1985) and necessitates a multiplicity of skills on the part of the leader(s) in the successful ‘facilitation’ of organisational change (Fullan, 1991; Hopkins, 1987; Leithwood & Montgomery, 1986).

2.5 The influence of Critical Theory: Empowerment and reflective practice

The aim of this section is to examine the influence and development of what has been termed a ‘critical approach’ to leadership (Watkins, 1986). ‘A critical approach, then, to the concept of leadership focuses on the power dimensions which underlie the

⁹ The argument is based on the extended empirical base of Fullan’s work at the Ontario Institute for Studies in Education and the wide acknowledgement of the contribution made by his 1991 publication.

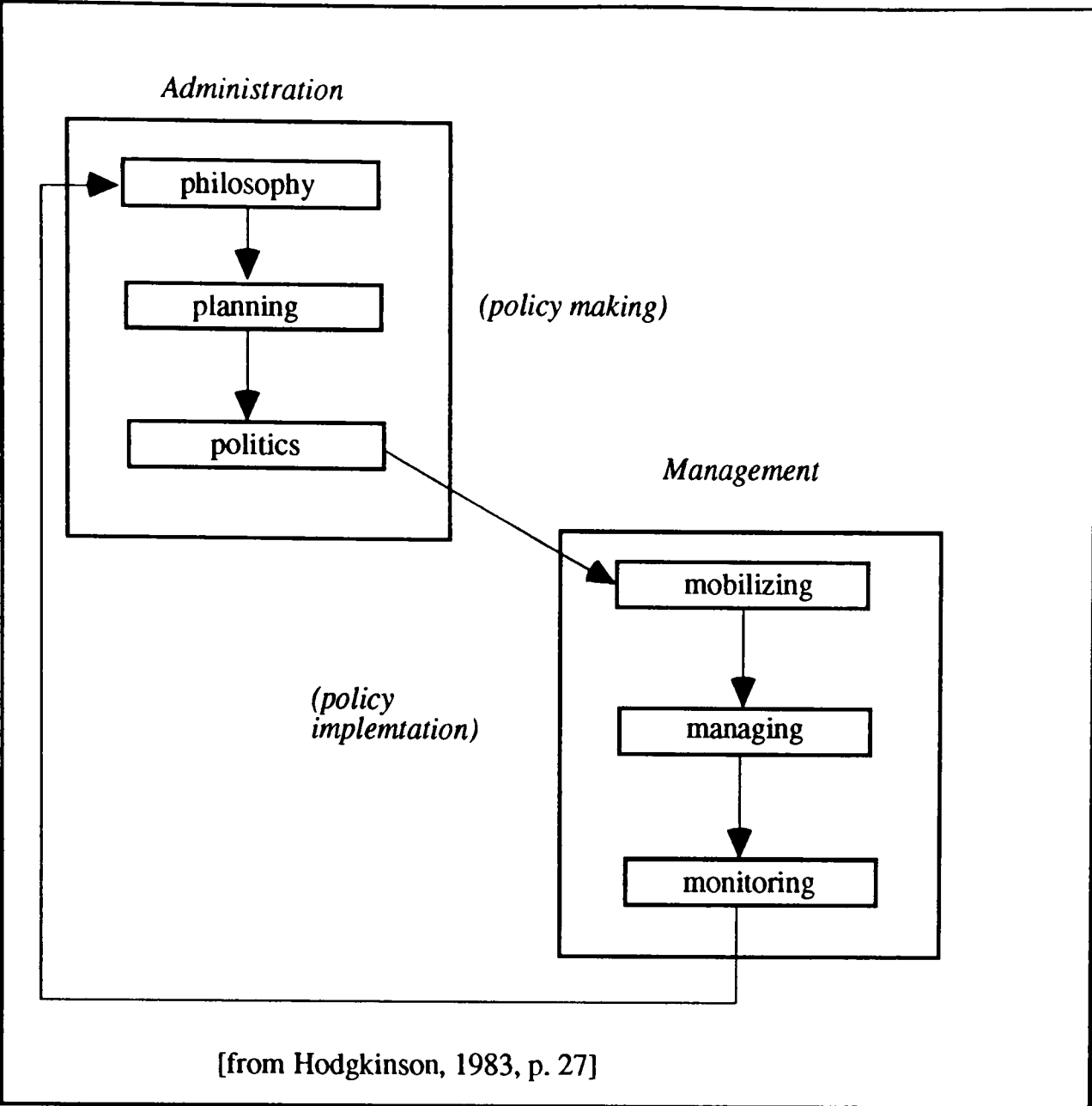
process of reality construction and give force to the human agency of people in organisations' (Watkins, 1986, p. 33).

Within the *critical* school of thought on leadership, most of the literature can be divided into macro-categories of philosophical considerations and practitioner orientation in the exercise of critical leadership. The purpose of this examination is to set a context for later discussion in the findings chapters of further views on the critical theorists and its relevance to conceptions of leadership.

2.5.1 The emancipatory dialogue

The emancipatory dialogue is set within a philosophical context, for, as Hodgkinson asserts (1978b; 1983), 'administration is philosophy in action' (Hodgkinson, 1983, p. 2). For Hodgkinson, 'administration' is a philosophical action, and also a dilemma of reconciling the nomothetic and idiographic conflict within organisations. A portion of that reconciliation, is the reality of the human dimension in organisational leadership. The reconciliation which Hodgkinson suggests is found in his 'P3M3' model of leadership; a dialectical relationship between the three realities of ideas, people, and things. This is shown in figure 2-1:

Figure 2-1 Hodgkinson’s (P3M3) Dynamic Process



Clearly, the dominant philosophical tradition that is influencing much of transformative models of leadership is that of critical theory (Bottery, 1992; Carr & Kemmis, 1986; Evers & Lakomski, 1991; Foster, 1986, 1989b; Watkins, 1986). The central issues, as outlined by Watkins, are those of ‘class power and human agency’ (1986, p. 32).

Evers and Lakomski (1991) provide a comprehensive background to the critical theorists; from the work of the ‘Frankfurt School’ and, more centrally that of Habermas¹⁰. In defining the central attributes of critical theory, Evers and Lakomski assert that, ‘What distinguishes critical theory from competitors is that it promises to

¹⁰ Guess (1981) includes Habermas within the Frankfurt School.

solve the problems of both the empirical and the interpretive sciences in a higher-order synthesis which allocates the former and latter sciences to their own, mutually exclusive, object domains, complete with their respective methodologies' (p. 149).

Whether critical theory solves all of these problems is debatable; for as Gibson (1986) notes, 'the fundamental problem attaching to critical theory is its inability to break free from locating all social and educational ills in capitalism' (p. 170). Indeed, what constitutes 'critical theory' is not even agreed upon by those who would consider themselves as critical theorists (Held, 1980, p. 14). Furthermore, Roderick (1986) refers to the philosophical problems created by the central argument of *self-reflection*. Roderick states,

... 'self-reflection' refers to the Kantian idea of a critique of knowledge which involves reflection on the subjective conditions that make knowledge possible... second, 'self-reflection' refers to the Marxian idea of a critique of ideology which involves reflection capable of freeing the subject from 'hidden constraints' in the structures of social action and speech... linking the two senses of critique (Kantian and Marxian) directly by means of German idealism is unsatisfactory. (p. 63)

Essentially as Held describes, 'a central tenet of their thought... is that the process of liberation entails a process of *self-emancipation* and *self-creation*' (p. 25). It is these two central foci, which yield its fruit in practitioner action research.

2.5.2 Reflective practice and the practitioner

It is the grounding of critical theory in social experience (Gibson, 1986) and the potential it has for freeing one from unreflective practice (Carr & Kemmis, 1986) which accounts for its widespread expression in practitioner action research (Nias, 1987). Action research may be used for truly emancipatory purposes, as evidenced in Walker's (1991) study of action research and educational/political change in South Africa, or more developmental modes of action research as a staff development, and

teacher-practitioner enhancement (Hopkins, 1985; Kinchloe, 1991; Webb, 1990).

Emancipation, whether from dominating structure or un-reflective practice, remains the central theme in the application of critical theory to education. In any case, critical theory is clearly affecting the research on both professional practice and educational leadership.

From an anti-positivist stance¹¹ those presenting a *critical* view of educational leadership and educative action, highlight the empowering action of human agents in social organisations. This finds its full representation in critical educational research (Carr & Kemmis, 1986), who state:

Critical educational research, including collaborative action research, views education as an ideologically-formed historical process. Its form of reasoning is both practical and critical; it is shaped by an emancipatory interest in transforming education to achieve rationality, justice and access to an interesting and satisfying life for all. It counters the liberal faith in wise judgement with ideological-critique aimed at exposing the ideological restraints on the thinking of practitioners and policy-makers, and at exposing the interests which are preserved by the structure of institutionalized education. Its view of policy is critical, since it treats policy as the expression of ideology and the interests of dominant groups, and its view of reform is emancipatory. It envisages no alliance between researchers and practitioners or policy-makers, except as may be necessary to initiate a process of critical and self-critical reflection in democratic communities of researcher-practitioners. (p. 220)

Further examples of this type of emancipation is found in Elliott (1991). Elliott stops short of declaring action research to be *the* means of integrative development for teachers (1991, p. 54), but clearly asserts the role of practitioner research in bridging the *theory/practice divide*. It should be noted, however, that Elliott is quite critical of Carr and Kemmis's position, claiming that his version of practitioner research is much more inclusive of the practitioner as a source of critical pedagogy (Elliott, 1991, p. 116-7).

¹¹ Echoed in Berlak and Berlak, 1981.

2.5.3 Critical leadership

Building on the base of critical theory and empowerment, critical leadership has become an increasingly apparent term used to describe one view of re-formed leadership (Southworth, 1995). A few of the contributors to this view shall now be reviewed.

In the first instance, an understanding of what *critical leadership* entails is vital. Watkins (1986) notes, 'a critical approach, then, to the concept of leadership focuses on the power dimensions which underlie the process of reality construction and give force to the human agency of people in organisations' (p. 33). Foster (1980; 1986; 1989a) indicates a similar focus on power relationships, indicating the necessity of being 'politically critical' in an anti-hegemonic action (1986, p. 19). For Foster, 'leadership is change, not control' (1989a, p. 10); leadership, 'is a process of engaging other in the critical analysis of individual and social realities and of establishing standards through which learning can be achieved' (Foster, 1989a, p. 14).

Again, the central theme of critical leadership is the establishment and pursuit of organizational structures and ends which enhance freedom and democracy. This is the ethical imperative articulated by Bottery (1992) and Codd (1989).

One must be careful to note, however, that the aim of critical leadership in these works cited is not the *structure* of organisations as the sole end¹², it is the interaction of structures, and the agency of 'actors' within organisations which move the sociological system forward in non-hegemonic fashion (Giddens, 1982). As stated by Foster (1989b), 'In being critical, then, leadership is oriented not just toward the development of more perfect organizational structures, but toward a

¹² Also noted by Drucker (1974, p. 602).

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reconceptualization of life practices where common ideals of freedom and democracy stand important' (p. 52).

The opportunity created through a critical perspective to leadership is summarised by Watkins (1986):

By adopting a critical view of leadership within schools, but recognising that all human agents have some degree of knowledge, by unmasking manipulative, deceptive tactics, school administration would be founded on a more equal power basis. As a consequence, many administrative practices would become demystified as the school community gained a critical understanding of those processes central to the reshaping of school administration on a more participatory, collaborative basis. (p. 33)

The questions that this writer feels need to be raised about critical leadership are two-fold. First, it is unclear from Foster and Watkins whether they have incorporated the weaknesses that are found in Habermasian views of critical theory. Second, whether or not Foster and Watkins agree with the Marxian notion that reflection is 'capable of freeing the subject from the "hidden constraints" in the structures of social action and speech (Roderick, 1986, p. 63) is not clear. If so, and if their critically transformative models rely solely on Habermasian critical theory, then they have neglected to indicate whether they feel a self-reflective perspective is adequate to the task of emancipation with all its attendant problems (Roderick, 1986).

A second question regards the concern that anti-hegemonic passion, as sometimes noted in Marxist thought, retains the equivalent potentiality for becoming hegemonic in itself. The danger always exists, that a leader's vision of what is emancipation can become doctrinaire to the point of inhibiting the emancipatory action of others within the organisational system.

Southworth (1995) notes three reservations with leadership perspectives based upon critical theory: a lack of empirical data, a Habermasian 'dependence on rationality' at

the expense of subjectivity; and finally, the confusing challenge of ‘authority’ but reliance on leaders as transforming agents (Southworth, 1995, p. 192). Here, Codd (1989) makes an important contribution to the discussion:

The central aim of education is not passive social conformity but active and properly informed social critique. This view of education requires that educational administration combine both an executive and a critical-reflective dimension. This means rejecting the technological or instrumental view and recognizing that such a view arises from a number of false conceptual dichotomies. The assumed dichotomies between fact and value, observation and interpretation, practice and theory cannot be sustained. (1989, p. 176)

This writer would argue that one of the deficiencies in the *critical leadership* literature is an understanding of ‘critical reflection’ and emancipatory action from the practitioner’s phenomenological perspective. This is one of the questions that was raised in this study, and is discussed in later chapters.

2.5.4 A dialectical relationship

As suggested in the previous section, the notion of critically transformative leadership raises some interesting questions of interaction; leaders’ cognition, and social interaction within the organisation known as the school. Smircich and Morgan (1982) suggest a degree of interaction through leaders’ ‘management of meaning’ within organisations. As they suggest, ‘To see leadership as the management of meaning is to see organizations as networks of managed meanings, resulting from those interactive processes through which people have sought to make sense of situations’ (Smircich & Morgan, 1982, p. 270). The difficulty with Smircich and Morgan’s position is that they seem to be discussing authority rather than transformational leadership. Indeed, the position they present is more like ‘domination’ as outlined by White (1983, 1984) as there is great talk of the leader’s ‘perceived right’ to ‘define the reality of others’ (Smircich & Morgan, 1982, p. 258). This writer would suggest that this may be due to the research reliance on the business sector, rather than education.

Smircich and Morgan's (1982) contribution is, however, useful in that it illustrates the dialectics of leadership (Watkins, 1986). What White (1983) would suggest, and also Smith and Peterson (1988), is that the process is *negotiated* rather than either imposed, or autonomy subsumed, as Smircich and Morgan imply. Smircich and Morgan have helped in moving the discourse of leadership to the phenomenological realm, but this writer finds their needed attention to the discursive nature of meaning to be absent.

Watkins (1986), presents the dialectical nature of educational organisations in a way that more fully illuminates the phenomenological and empowering reality of leadership and followers. He states,

In contrast to the functionalist position, leadership should be seen as a processual, dialectical relationship which can offer insights on the production, reproduction and demise of certain organisational practices and structures. *Such a processual perspective implies that there is not one pre-ordained or designated leader within the organisation, but that at any time any one member of the organisation can come to the forefront to provide guidance in resolving tensions and contradictions that beset organisations* [italics added]. As a consequence a dialectic view of the leadership focuses on the human agency of all members of the organisation as that agency interacts with the constraining or enabling structure of the institution. (p. 34).

Clearly, Giddens' notions of 'structuration' guide this view, but at the same time it reveals a dialectical relationship that is more in keeping with the notions of critical leadership presented earlier.

In each of the cases, with an increased reliance on human relations re-formed roles, issues of ethics and empowerment come to the fore. These are the value questions of leadership, which the next section aims to explore.

2.6 The emergence of leadership as a value-based activity

Rising from Greenfield's (1993) critique of administrative science comes an emphasis on the power relationships that exist in organisations: Administration is about power and powerful people' (Greenfield, 1993, p. 155). Within that dimension, the questions of ethics and value arise. As Greenfield states, 'The ethical dimensions of administration come constantly to the fore once we free ourselves from the metaphors of harmony, optimism, and rationality that administrative science imposes upon organizational reality' (p. 154). It is in the critique of a linear 'science' of administration, that Greenfield notes, 'what is lost in such approaches is human intention, value, commitment – human passion and potential. What is lost is human will and choice, the sheer power of people pursuing their purposes, a pursuit that brings what some may call good and others evil' (Hodgkinson, 1978b, p. 18 [cited in Greenfield, 1993, p. 140]).

Once administration, and leadership, are understood in those terms, the necessity to address the questions of value and ethics cannot be avoided.

This has been one of the main problems with the aspect of administrative science known as 'effective schools'. Too often, they were conceived as studies to reinforce the positions of power which exist for certain stakeholders. It served as a type of self-perpetuation in the conduct of hierarchical, and even hegemonic structures.

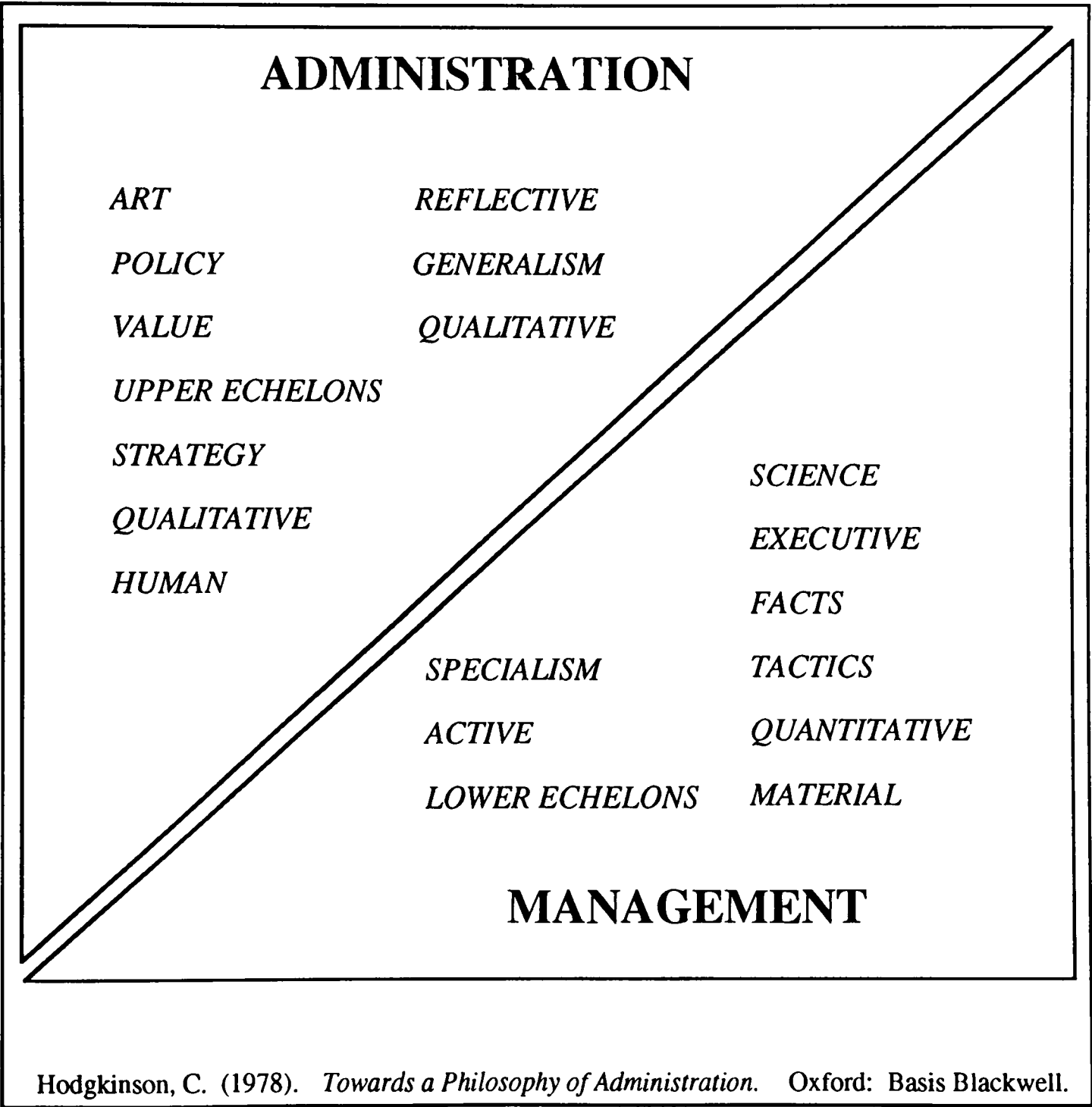
It is the issues of domination and democratic action which have largely driven the agenda for the study of values in education. The following are some of the individuals who have contributed to this study.

2.6.1 Hodgkinson’s contribution

It was Hodgkinson (1978a; 1978b) who Greenfield (1993) noted declared the imperative of values in any examination of leadership. Hodgkinson (1978b) begins to explore the value domain of leadership, which he cites as ‘administration’.

Hodgkinson presents a dichotomy between ‘administration’ and ‘management’, which he outlines as shown in figure 2-2:

Figure 2-2 Hodgkinson’s Administration/Management Dichotomy



The central points of Hodgkinson’s (1978b) argument are that values pervade organisations; that there are ‘levels of values’; and that ‘administration’ needs a

technique for resolving them. It is the latter point, which provides a central point for his later work (Hodgkinson, 1983). The basic canon of this book is that, 'administration is philosophy in action' and that action is 'the organisation of men and means about purposes or ends.' He also makes it quite clear that he regards administration and leadership as synonymous terms. Hodgkinson's use of the word 'administration' in this context, however, illustrates one of the points of conceptual confusion that was found in this study's participants. In addition, the inclusion of terms such as 'upper echelons' to describe administration (leadership) would suggest a hierarchical orientation that may be considered a confounding element to a 'human' orientation in administrative activity.

Clearly, as one examines the development of reflection in leadership, of the transformative leader considering the nomothetic and idiographic conflict within organisations, Hodgkinson's illumination of the value dimension is efficacious. The difficulty which Hodgkinson's work cannot sufficiently address is the *know ability* of values issues within the phenomenological individualism of the organisation. Perhaps, the closest that Hodgkinson come to addressing this problem is his four knowledge imperatives:

- '1. *Know the task*
2. *Know the situation*
3. *Know the group*
4. *Know oneself.*'

(Hodgkinson, 1978b, p. 211).

2.6.2 Ethical management

The application of ethics as a descriptor to leadership is seen in Bottery (1992). Bottery's central themes of both the value aspect, and transformational aspect of

leadership, arise from a critique of the prior models of bureaucratic and scientific management as well as observation of contemporary societal and governmental pressures. The domination of a de-professionalised and market-driven education policy promoted by government, endangers the type of collaboration that Bottery asserts as a necessary aspect of leadership (or what he terms 'management').

The questions this writer would raise about Bottery's (1992) book are two-fold. First, it is unclear what degree empirical research has had to bear on the development of his perspectives. Second, the question must be raised why the book is entitled 'educational management', when he clearly wishes to discuss leadership. Finally, Bottery's 'nine criteria of leadership' are mirrored in a shortened form in Foster (1989b). However, the degree of influence of Foster's notions of 'critically transformative leadership' are not clear in Bottery's chapter.

Nevertheless, Bottery's (1992) text provides a useful contribution to the broader discussion of the value questions that are raised whenever critical perspectives are brought to bear on the educational endeavour. Indeed, as aptly declared by Bottery:

An initial step in this direction is to return to and appreciate the subjectivity of values. *Leadership conceptualized as the one-sided prosecution of specific values implements an objective set of management values, which transforms few situations and liberates none* [italics added]. Leadership conceptualized as an extreme facilitative role, acknowledging and helping the realization of any and all aspirations, implements a relativistic set of managerial values, which leads not to community but to anarchy, for it builds no concept of which direction to take. But leadership conceptualized as the holding of determinate values, but in an open, self-critical and tolerant manner, suggest a form of leadership which can make the bridge between the structures already in place in an educational establishment, and can generate new perspectives and new leaders within the school community. (p. 188).

Certainly, the critical leadership perspective has raised questions of ethics.

Discussions of domination, emancipation, and empowerment are surely ethical questions (Harrison, 1994). Harrison even coins the term 'critical ethics' to describe

the ethical mandate in leadership. As he states, ‘critical ethics involve an understanding of how things are, a vision of how they should be, and a dialectic between the parties involved on how to achieve the vision (1994, p. 179).

Additionally, the question of whether a ‘dominating’ influence of headship is ethically defensible, forms a central argument in Southworth (1995). As he concludes, ‘Domination should be rejected because it negates participative democracy and establishes a morally unacceptable distribution of power in schools’ (1995, p. 181).

Professional emancipation and democratic participation are not the only aspects of ethical, or ‘moral’ leadership. As Sergiovanni and Starratt (1993) point out, ‘Moral authority is based on the trust that youngsters and teachers place in them to care for them, to respect and honor the integrity of each of them, as they engage in the demanding pursuit of the mission of the school’ (p. 317).

From this section, it is clear that the exercise of leadership, especially that which has been ‘transformative’ or ‘critical’ will involve questions and considerations from the ethical domain. For this research, it has been of interest to see how headteachers are, or if they are, interacting with those ethical questions. Southworth’s (1995) study suggests that domination is a tacit activity of the headteacher, influenced by an identity of headship. This writer has concluded, that the expectations of domination on the part of followers and constituents is a feature that hasn’t been fully developed in Southworth and forms a unique contribution of this thesis.

2.6.3 Values in leadership

Whereas questions of ethic guide what is acceptable and morally defensible in leadership practice, as the previous section outlined, questions of value raise, perhaps, broader questions of what is desirable in the educational enterprise. Clearly, the pervasive presence of values in leadership is evident in the literature, both practitioner

oriented (Bottery, 1992; Holmes, 1993; Sergiovanni, 1990; and West, 1993), and in more academically oriented literature (Busher, 1994; Codd, 1989; Grace, 1993; and Starratt, 1993), to name just a few.

Nor are questions of value in leadership limited to education, as seen in Kouzes and Posner (1987) and Vaill (1989). Vaill's notions of value, are described as a 'spiritual' enterprise. Vaill asserts,

To work spiritually smarter is to pay more attention to one's own spiritual qualities, feelings, insights, and yearnings. It is to reach more deeply into oneself for that which is unquestionably authentic. It is to attune oneself to those truths once considers timeless and unassailable, the deepest principles one knows. (p. 31)

Clearly, questions of 'timeless, unassailable principles' are questions of value.

Sergiovanni's (1990) premise, similarly, is that sound management is not enough, value must be 'added'. 'Value is achieved when school and participants each get what they bargained for—school expectations are met and participants are fairly rewarded' (Sergiovanni, 1990, p. 4). Sergiovanni's 'value-added' leadership is largely restoring 'excellence' through persistence with one's own values and attending to the needs of others.

As Sergiovanni's point would tend to illustrate, once again questions of value and 'common good' are closely tied to notions of emancipatory and democratic leadership in a professionally collaborative culture of schools (Busher, 1994).

For the practitioner, this means that attention to values is an essential characteristic (Grace, 1993). The value domain is part of the 'dramaturgical' exercise of leadership (Starratt, 1993) and challenge to leaders in a post-modern society (Starratt, 1993, p. 136; Lincoln, 1989, p. 176). These axiological questions and challenges are also

the responsibility of the policy-maker (Kogan, 1985; 1994), and an essential attribute of leadership preparation (Sergiovanni, 1991b; West, 1993).

The reason for inclusion of the *values* literature is that it forms a central ground on which the interaction of leadership and followership meet. It also is predominant, as stated, in questions of 'critical leadership' and the exercise of emancipatory action in the school setting. From the value domain, a logical next topic involves the further attributes of leadership and followership as a specific aspect of this review. This will form the final section of this chapter.

2.7 Leadership and Followership

In the final section, a view of leadership as the point of interaction and interdependence between leader and follower is considered. In the first case, what leadership and followership are understood to be will be discussed. This will follow with a review of roots of this theoretical understanding. The characteristics of a view of leadership and followership will follow and conclude with an analysis of perceived strengths and weaknesses. It is the development of an understanding of the interactive nature of leadership to which this section addresses itself.

Links between leadership and followership

Several educational theorists (Foster, 1989b; Gardner, 1995a, 1995b; Sergiovanni, 1991) describe leadership as being the nexus of interaction between ideas, a cognitive view which places the emphasis on the meeting of minds. This is most clearly seen in Sergiovanni (1991a), and more recently in Gardner (1995b). Sergiovanni proposes that ideas function not only as the link between leaders and followers, but actually at the apex of a hierarchy of relationships.

When followership is established, bureaucratic and psychological authority are transcended by moral authority. A new kind of hierarchy emerges in the school, one that places purposes, values, and commitments at the apex and teachers, principals, parents and students below in service to these purposes' (Sergiovanni, 1991a, p. 136).

Gardner's (1995a) view does not subsume the role and activity of the leader, in a sense, 'under' purposes, values, and commitments, but instead sees the interaction of leader and follower as a place for the meeting of minds. For Gardner, leadership occurs in this transaction through the vehicle of leadership, which he calls 'story',¹³ and the received mind of followers. Gardner's research conclusions are, however, based upon a study of 61 exemplary leaders of world reputation, and does not directly address the domain of leaders in the more circumscribed world of the school community. This would call into question an extensive theoretical application of Gardner's views in educational organisations.

Similarly, Foster (1989b) asserts that 'Leadership, then, is not a function of position but rather represents a conjunction of ideas where leadership is shared and transferred between leaders and followers, each¹⁴ only a temporary designation' (p. 49).

Whether an interaction of ideas, or the social interaction of people, the notion of leadership residing in a relationship between leaders and followers is found in research beyond education, most often in the literature of business and industrial leadership. Kouzes and Posner (1987), in their study of leaders' action in business engaged the notion of leadership and followership as a means to describe their five fundamental processes of leadership: 'challenging the process, inspiring a shared vision; enabling others to act; modelling the way, and encouraging the heart' (pp. 8-

¹³ From notes taken at lecture. *Creativity and Leadership*, Times/Demos Millennium Lecture Series, 9.1.95, Church House, London.

¹⁴ The designation of leader and follower.

12). A similar view from business is seen in Bennis and Nannus (1985) building on concepts of transformational leadership. Their four types of ‘human handling skills’, ‘attention through vision... meaning through communication... trust through positioning... the deployment of self through (1) positive regard and (2) the Wallenda factor’ (pp. 26-27) each place emphasis on the interactive nature of leadership.

Business leadership theory, as well as theory in educational management, has been influenced and guided by the failure of ‘Great Man’ theories to explain the exercise of leadership in all realms. The ‘messy’¹⁵ world of the educational organisation, perhaps even more, represents the fundamental challenge to both explain and understand the action of leaders and followers in a variety of situations (Hughes, 1985).

A further view of the interactive nature of leadership is found in Smith and Peterson (1988). The concept of ‘event management’ has similar characteristics to the nexus of leadership and followership that has been presented to this point. Smith and Peterson describe ‘events’ as the point of contact between cognition and organisational structures; in that sense, there is a similarity to Gardner’s (1995a, 1995b) view of the transaction of leader’s ‘story’ with the minds of followers. There is a cognitive nature to Smith and Peterson’s work, which lays the ground for further understanding of the relationship between leader and follower. Thus, when speaking of leadership as the ‘management of meaning’ (p. 113), Smith and Peterson pick up on the transformational work of Burns (1978) and re-iterate that, ‘leadership must not be defined as action of one person upon another, but as a two-way process between leader and follower.’ Whether Smith and Peterson have truly reconstructed leadership as they assert in chapter 11 is open to question. It occurs to this writer that their event

¹⁵ What might be called the ‘swamp’ by Schön (1987, p. 3) Leithwood et al (1994), or as Sergiovanni (1991) has indicated ‘the complex, nonlinear, and loosely connected but real world of practice’ (p. 69).

management model is a re-make of contingency theory, in this case driven by leader's cognition, which opens it to many of the criticisms of contingency approaches.

The centrality of the relationship between leader and follower as an essence of leadership is described by Foster (1989b) and Williams (1989). In developing his argument for a 'critical practice' approach to leadership, Foster summarises the political-historical model of leadership by saying that:

Leadership is a construct describing relationships between individuals; such relationships involve dimensions of power, in the sense that the desire for power and for empowerment is a fundamental feature of social life; certain types of (transforming) leadership involve the 'leader' and the 'follower' in a cognitive redefinition of social reality. (p. 43)

Foster further states that leadership, 'does not reside *in* an individual but in the relationship between individuals' (1989b; p. 46). Similarly, Williams (1989) asserts the centrality of followership, stating that 'leaders cannot exist without followers' (p. 24)¹⁶. It is the notion of engagement, of interaction, of participation with followers that infuses this description of leadership as a relationship.

In its essentials, leadership is the power to influence the thinking and behaviour of others to achieve mutually desired objectives. It is not necessarily linked to formal status or authority, but is always dependent on the acquiescence of the followers. (Williams, 1989, pp. 24-25)

The critical points of this section can be summarised as follows: Essentially, leadership can only be conceived as a relationship. It may be a cognitive interaction, perhaps even preceded by the cognitive activity of the leader interacting with ideas first, as Smith and Peterson (1988) assert, or in the more pragmatic interaction between leader in follower in pursuit of mutually desired objectives as claimed by Williams (1989).

¹⁶ Also noted by Katz and Kuhn (1966 [cited in Watkins, 1986, p.-9])

2.7.1 The foundations of a leadership and followership perspective

This section emphasises the contributing factors to the notion of leadership as the *point of interaction* between leader and follower.

The failure of traditional leadership theory

As revealed in Chapter 1, traditional leadership theory has failed to provide a comprehensive understanding of educational leadership in a broad sense. Sergiovanni (1991a) has pointed out that there are useful aspects of traditional management¹⁷ theories; he does not suggest that they be entirely disregarded, he simply asserts that there are instances where traditional management theory loses its potency.

Those situations where traditional management theory loses its potency are described by Sergiovanni (1991a) as:

- Traditional management theory is suited to situations of practice that are characterized by linear conditions. But the usefulness of this theory ends where *nonlinear conditions* begin.¹⁸
- Traditional management theory is suited to situations of practice that can be tightly structured and connected without causing unanticipated harmful effects. But the usefulness of this theory ends where *loosely structured* conditions begin.¹⁹

¹⁷ Sergiovanni subsumes leadership and management under the broad rubric of 'administration' (p. 15)

¹⁸ This is largely built on the 'chaos theory' of new science as discussed by Gleik, J. (1987). *Chaos Making a New Science*. New York: Viking Penguin; and the dynamic, and turbulent nature of leadership, as described by Vaill, P. B. (1969). *Managing as a Performing Art*. San Francisco: Jossey-Bass. This writer sees a basic difference between the *chaos* of non-linearity, and the *chaos* of rapid change and re-defined markets, which is the focus of Peters, T. (1987). *Thriving of Chaos: Handbook for a Management Revolution*. New York: Harper & Row.

¹⁹ Tight and loose coupling in organisations are described by Weick, K. E. (1976). 'Educational organizations as loosely coupled systems'. *Administrative Science Quarterly*, 21/1, 1-9; 16-19.

- Traditional management theory is suited to situations in which the need exists to bring about a routine level of competence and performance. But the usefulness of this theory ends when the goal is to bring about *extraordinary commitment and performance*.²⁰ (p. 45)

It is in a similar arena of argument that it is suggested that traditional leadership theories have encountered some of the same lack of being suited to the complex organisational world of the school. Furthermore, it is the expansion of leadership into an understanding of the interactive nature of leadership that this section addresses itself.

Given the inadequacy of prior definitions of leadership to account for, or understand, behaviour of leaders in organisations, a further explication of leadership in the context of followership has been advanced. Trait theories and style theories of leadership have served to describe leadership in one sense, but fail in their ability to prescribe practice in the social realm of the school.

Sergiovanni (1991a) asserts that functionalist theories of educational management fail to match the 'loosely coupled' nature of schools; that there is a lack of being 'suited' to the complex organisational world of the school.

A review of the bureaucratic models for educational administration eventually leads to the assertion that there is some aspect of the bureaucratic model that does not fit with the observed and experienced culture of the organisation called the 'school' (Sergiovanni, 1991; Bush, 1989).

²⁰ For Sergiovanni, this moves beyond the mere contractual, exchange basis for performance. The point is built on his own work, as well as previously cited work of Bass, Burns, and Herzberg, F. (1966). *Work and the Nature of Man*. New York: World.

The criticism is summarised by Bush (1989), who states, 'A major criticism of this approach is that it neglects the individual qualities of people and regards them as part of the organisational structure, slotting them into defined positions in the hierarchy... The bureaucratic model does not satisfactorily explain the contribution of professional staff to the management of educational institutions' (p. 5).

What Bush's short critique does not include until later is Greenfield's further criticism based on the notion that organisations are 'subjective perceptions' in any case and, therefore, a model based on the illusory nature of the 'organisation' is without meaning (Bush, 1989, p. 7).

The influence of human relations models of leadership

A further reason for the rise of this perspective in understanding leadership is the development of what has been termed the *human relations perspective*. This model is seen contemporarily in the work of Burns (1978), Foster (1989b), Sergiovanni and Starratt (1983), and Smith and Peterson (1988).

Of course, one must recognise that notions of human relations models are not of strictly contemporary origin. In both the early works of this century, and in more contemporary works there is a common emphasis on the failure to address the complexities of empowerment and worker development. Leader-follower relationships are seen as linear and one-way, leader to follower, largely based upon the exercise of power, albeit differentiated forms of power and authority²¹. Scientific management models failed in their ability to understand and explain the world of the 'informal organization' (Gross & Etzioni, 1985, p. 48) and a simplistic understanding

²¹ Reference is made to the typology of authority proposed by Weber: traditional, bureaucratic, and charismatic. See, Weber, M. (1989). 'Legal authority in a bureaucracy'. In T. Bush (Ed.), *Managing Education: Theory and Practice* (pp. 11-19). Milton Keynes: Open University.

of the complex relationships within an organisation. Bureaucratic, or structuralist models, lacked comprehensive explanatory power for similar reasons; there is an over-emphasis on function and role, rather than conflict, micro-politics, and cultural evolution (Hoyle, 1986a; Ribbins, 1985). In the case of Weber, perhaps, an inordinate concentration of attention on an *ideal type* is problematic in terms of its explanatory power for organisations (and hence leaders) in circumstances which shift or do not fully fit the exaggerated model of Weber (Gross & Etzioni, 1985, p. 85).

2.7.2 Characteristics of leadership and followership

The preceding outline, and what is covered earlier in this chapter, is intended to illustrate a shift in thinking about leadership within organisations, and, further, within educational organisations; a shift from that of positional power and authority, to that of a discursive relationship between leaders and followers. A number of critical works have been offered in this area, and perhaps the first, and one of the most significant, at least in terms of breadth of influence, are those put forward by Burns (Bleedorn, 1983; Starratt, 1993, p. 7).

As noted earlier, Burns' work on *transformational leadership* is largely based on the relationship between leader and follower. Unlike Weber, however, Burns presents a different view of power and authority. Burns' view moves the understanding of power out of the domain of either a leadership characteristic or trait, into the realm of relationship between leadership and followership. In that light, Burns defines power,

...not as a property or entity or possession but as a relationship in which two or more persons tap motivational bases in one another and bring varying resources to bear in the process is to perceive power as drawing a vast range of human behavior into its orbit. The arena of power is no longer the exclusive preserve of a power elite or an establishment or persons clothed with legitimacy. Power is ubiquitous; it permeates human relationships. (Burns, 1978, p. 15)

Burns (1978) discusses the relationship between power and leadership, and leadership's roots in power (p. 18), but is clear to point out that the essential element in the definition of leadership is followership, not the exercise of power. For, 'all leaders are actual or potential power holders, but not all power holders are leaders' (Burns, 1978, p. 18).

For Burns, the exercise of leadership is not so much an exercise of power, but an ability to provoke action in the pursuit of commonly held values and purposes. This is where Burns shows, perhaps his clearest differentiation with the theories of Weber. Unless a dialectic occurs, leadership is not present. Leadership is not the raw exercise of power, which Burns defines as *transactional* in nature, but an attraction toward a commonly held ideal, sometimes articulated by the leader, often discovered by all of the stakeholders in a social situation. Burns' congruence with the structuralists, is that this discourse occurs within a competitive and often conflictual environment (Burns, 1978, p. 36).

Burns (1978) views and theoretical development are not without problems. A major concern enters in whenever an absolute dichotomy is presented. In the complex world of organisations, such a neat dichotomy is not always tenable, as suggested by Bass (1985, [cited in Starratt, 1993, p. 9]). As Burn's dichotomy was developed from the realm of political history, the question arises as to the degree of transferability to the qualitatively distinct world of educational organisations. Although this writer sees a degree of transferability, as is developed in the extended discussion of transformational leadership, caution is rightly exercised in wholesale adoption of Burns' view of leadership, or any other view which derives particularly on models of leadership in other contexts²².

²² This would include Gardner's soon to be released book. Gardner, H. (in press).

Finally, Burns' notion of 'provocation to action' contains a somewhat confusing implication of the use of power. It is not clear whether, in some instances, what Burns identifies as a transformational relationship has not retained at least a few elements of a transactional nature. 'Provocation to action' is highly suggestive of the exercise of transactional power. It is this blending of transformational activities and transactional activities that is further developed by Bass (1985).

The crucial point from Burns is that leadership, and moral authority, find their basis in the followership of ideas, values, and collaborative ends by leaders and followers. It is this followership of ideas and values that permeates Sergiovanni's (1990; 1991) models of leadership. This is clearly represented in Sergiovanni's description of the *value-added*, or transformational stages of leadership (1991; pp. 128-134).

Sergiovanni states,

The strength of leadership by bonding is its ability to focus on arousing awareness and consciousness that elevate school goals and purposes to the level of a shared covenant that bonds together leader and led in a moral commitment. Leadership by bonding responds to such higher-order needs as the desire for purpose, meaning, and significance in what one does. (1991, p. 133)

Sergiovanni's (1991) notions of leadership and followership arise from his views on a new and changing theory of leadership. From these limitations, noted earlier, Sergiovanni cites two reasons for the failure of traditional management theory: the base on authority, rather than followership; and its roots in bureaucratic management theory. For these reasons, Sergiovanni holds that traditional theory is limited to 'achieving minimums, not maximums' (1991, p. 49) and it is the maximum performance which describes the new relationship of leadership and followership which Sergiovanni promotes.

As Sergiovanni summarises,

Authority has the tendency to cause people to respond as *subordinates*. Good subordinates always do what they are supposed to but little else. Transcending ordinary competence for extraordinary commitment and performance requires that people be transformed from subordinates to *followers*, which requires a different kind of theory and practice. Subordinates, for example, respond to authority, but followers respond to ideas, values, beliefs, and purposes. Traditional theory encompasses the former but not the latter. (1991, p. 49).

It is this subordination to 'ideas, values, and commitments' (1991, p. 142) which forms the heart of Sergiovanni's model of leadership and followership. Although presented as a reaction to bureaucratic forms of authority, Sergiovanni's notion of *moral authority* suggests a reliance on a hierarchical structure, simply placing ideas and values at the apex, rather than an individual. This writer suggests that his views move transformational leadership forward, but present a gap in designing a truly new model.

2.7.3 The relationship between leader and follower

This raises a question regarding the nature of the relationship between leader and follower, and this point of interaction between the two. There seems to be a continuing tension in the relationship between leader and follower, and a number of ways to explore and explain that relationship. It might be conceived as a point of conjunction of ideas (Sergiovanni, 1991), or the ethical pursuit of common goals (Bottery, 1992), or the emancipation of individuals from un-reflective practice (Carr & Kemmis, 1986).

Three foundational ways of interpreting the theoretical nature of the relationship between leader and follower are evidenced in the work of Giddens (1979; 1984), Greenfield (1973; 1993), and Hoyle (1986a). In order, these theorists present three different ways to understand the nature of the relationship between leader and

follower: through structure and agency, through organisational dynamic, and through power and politics.

'Structuration Theory' is the term coined by Giddens (1979; 1984) to describe his theory developed in response to the social dualism of voluntarism and determinism.

Giddens writes:

In place of these dualisms, as a single conceptual move, the theory of structuration substitutes the central notion of the duality of structure. By the duality of structure, I mean the essential recursiveness of social life, as constituted in social practices: structure is both medium and outcome of the reproduction of practices. Structure enters simultaneously into the constitution of the agent and social practices, and "exists" in the generating moments of this constitution. (1979, p. 5)

Southworth (1995), notes Bates' (1989) contribution to the understanding of the relationship between structure and agency. As he writes,

Bates, in line with Giddens' (1979) structuration theory, argues that there is a dialectic between structure and agency. Human agency accounts for a theory of the acting subject, but structure situates individual actions in time and space and allows for social structures to become part of the consciousness of individuals. (Southworth, 1995, p. 190).

Giddens' contribution, through structuration theory, to this discussion highlights the balance between agency and structure, and by implication between leadership and followership. Giddens notes, 'all human action is carried out by knowledgeable agents who both construct the social world through their action, but yet whose action is also constrained by the very world of their creation (Giddens, 1981, p. 54, [cited in Bates, 1989, p. 139]). Giddens' contribution would seem to suggest that leaders have the ability to structure their relationship with followers, but at the same time, in a relationship that is 'recursively defined and redefined in term of each other; that is *dialectically*' (Bates, 1989, p. 139). What is unclear from Giddens, is whether the act of agency, and its shaping effect on structure, mitigates the dialectic, or whether a

duality of power is similarly evident. In the case of the study of power and micro-politics in the school, this remains a crucial question.

Southworth (1995) builds the matter of agency into an issue of identity and the exercise of power as a central argument of his book. Similarly, Starratt (1993) relies heavily on Giddens' 'duality of structure' (p. 26) in the development of his arguments for 'reflexive monitoring' of social systems as function of leadership (agency) within the organisation, the school (structure).

A model quite similar to Giddens' is Smith and Peterson's (1988) 'event management' model of leadership. Smith and Peterson see 'events' as a point of contact between a leader's cognition and the organisation's structures. Their argument is based on the leader's ability to understand the shaping nature of organisational reality as perceived by others. In this sense, it rings familiar to some of Giddens' notions but lacks any clear statement of what they perceive leadership action to be beyond self understanding. Smith and Peterson attend to the influence of 'structure' (although Giddens is not cited) and present a largely linear quality to the progression of 'events' in organisational life.

In a similar nature, Greenfield, through the development of his attack on administrative science, has developed a view of leadership, which could be viewed as a leadership dialectic, that of 'freedom and compulsion' (1986, p. 72, [cited in Bates, 1989, p. 136]) and the exercise of power and authority to maintain control over the socially constructed nature of the *organisation*.

Both Bates (1989) and Southworth (1995) note the weaknesses in Greenfield's work. Bates articulates the question of whether Greenfield's attack on behavioural science leaves only the option of 'existentialism, mysticism or anarchy' (1989, p. 137), which should be interpreted, in this writer's view, as an over-reaction to the Greenfield's

critique. Although Southworth notes Bates' critique, he presents a more moderate criticism, that of the charge of over-subjectivity, which he has drawn from Evers and Lakomski (1991). As he concludes, 'It is possible to accept a major portion of Greenfield's argument without adopting his conclusions about the alternatives' (1995, p. 187).

In a related manner, Hoyle (1986a) builds on the nature of power relationships in the school. Hoyle argues for a model of 'collegial authority', a blend of the positional authority of the head and the professional expertise of the teachers. It is the relationship between leader and follower that contains many of the dialectical characteristics that have been discussed with Giddens and Greenfield. Hoyle's unique contribution to this discussion lies in his explanation of the complex sociological environment of the educational organisation. What he calls 'the school as a thicket of symbols' (1986, p. 150). This has similarities to Leithwood, Begley and Cousins' (1994) description of the 'swampy'²³ characteristics of the school.

The difficulty presented by a sole reliance on Hoyle's (1986a) interpretation, or that of Ball (1987), is that the overbearance of power relationships tends to move the argument back to the bureaucratic nature of relationships espoused by Weber. It would seem to ignore much of the emancipatory nature of transformational relationship between leader and follower as espoused by Sergiovanni (1990, 1991a), and Foster (1989a, 1989b).

²³ The notion of the 'swamp' is borrowed from Schön (1987), who defines the 'swamp' as 'messy confusing problems (which) defy technical solution' (p. 3).

2.7.4 Strengths and weaknesses of the leadership/followership dialectic

In the development of an overall understanding of the nature of leadership, the views presented and the theoretical development in the area of leadership and followership, there are several strengths and weaknesses that should be noted.

In terms of strengths, as implied in the earlier discussion, the creation of transformative cultures cannot, nor should not, be under-played. Again, it is Foster (1989b) who makes this clear. Foster's notion of leadership as a representation of a 'conjunction of ideas' (p. 49), and a redefined role as leaders and followers in pursuit of common ideals of 'social vision and change' (p. 46). Foster further develops the notion of this kind of leadership as being essential to the goals of emancipation and 'social critique' (p. 48). There are four characteristics of this type of leadership which Foster presents. He claims that leadership, which operates at the conjunction of ideas with followers, must necessarily exhibit four criteria both in the conception of leadership and in its exercise in educational organisations:

1. leadership must be critical;
 2. leadership must be transformative;
 3. leadership must be educative;
 4. leadership must be ethical'
- (Foster, 1989b, p. 50).

Such views form a critical basis for this re-conceptualisation of leadership within the literature.

Within the political realm, it is also the notion of creation of coalitions which arises from the discursive, and dialectical relationship of leader and follower.

Busher and Saran (1994), as many writers and educational leadership theoreticians, explore the weaknesses in prior models. They note the problems presented in five models: 'The structural functional model; the open systems model, the cultural

pluralism model; the interpersonal model; the political model' (pp. 7-7). Their model is based on that of leadership in professionally staffed organisations²⁴ and develops the notion of 'constructing coalitions' (p. 12). Busher and Saran see this activity as one that encourages joint responsibility for the school, seeks empowerment, and 'build(s) up groups of people who share values, at least on specific issues' (1994, p. 12).

The construction and application of transformational concepts, and the building of coalitions are two of the strengths arising from the interactive model of leadership and followership.

What are the weaknesses? This writer notes two primary weaknesses, the implications of micropolitical activity (Ball, 1987) and confusion of roles (Atkens, 1993; Pocklington, 1993; Sacken, 1994).

Ball (1987), similarly to Hoyle (1986a), notes the difficulties presented by micropolitical activity in schools. Ball sees micropolitics as existing at that point of intersection between what might be termed the *leader* and *follower*, 'It is the nexus where the formal structure of roles interpenetrates with the informal pattern of influence' (p. 246). Although Ball presents micropolitical activity as a means of maintaining a balance between control and domination to maintain political stability (p. 120), there is a sense that micropolitical activity is, as Ball notes, 'the dark side of organisational life' (Hoyle, 1982, p. 87 [cited in Ball, 1987, p. 7]). Ball indicates that micropolitical activity can be destructive, and certainly misdirecting of organisational goals and values.

A re-conceptualisation of leadership in schools has led, at times, to an association of leadership with bureaucratic management. As management, of this nature, has been

²⁴ Similar to Hoyle's (1986) 'collegial authority' (p. 87)

unable to answer the questions of a transformational culture, the positional state of school leader is sometimes abandoned entirely (Atkins, 1993; Sacken, 1994).

Whether that be a 'flattening' of management structure in the elimination of deputy headteacher and senior teacher positions (Atkins, 1993), or in the radical elimination of the role of principal entirely (Sacken, 1994), the result, in this writer's view, merely adds to the confusion in the quest to understand the nature of leadership.

There is some indication of a re-conceptualisation in leadership, as in Pocklington's (1993) survey of effective management. However, in the ten headings of 'well-managed schools' there is not a clear articulation of an understanding of leading and following, beyond the vision articulation of the head, and the consultative desires on the part of teachers. Pocklington's failure to address why the ten attributes of well-managed schools are present add to the confusion of roles—an expression of traditionalism within a climate of change and redefinition.

2.7.5 Suggested links to this study

There are a number of links in this study to the understanding of the discursive nature of leadership and followership. In the first case, what is presented are some of the links with primary school leadership in particular, and second, what seem to be the gaps in the current research on primary school leadership and followership.

Examining the most current research on leadership and the discursive nature of the relationship between the headteacher and the followers, Southworth's (1995) study forms the most pertinent. As was outlined earlier, Southworth's findings emphasise the dominant role that the headteacher plays in the school. As Southworth states,

‘Domination in primary schools occurs as a result of both organizational structure and occupational identities. A primary headteacher approached the role and discharges his/her responsibilities with a sense of situational self wherein domination is an integral part of his/her professional identity. (1995, p. 180)

The organizational structure and occupational identity has similarities to Giddens’ (1984) *agency* and *structure* and certain similarities to the aspect of leadership as committed action (agency) and the shaping dialectic of followership (structure).

Although Southworth’s study is subject to the same discussion of generalisability as this and any qualitative case study, the contribution to theory of his book forms one of the clearest contemporary works.

Leadership and followership are merely tangentially dealt with in works such as Mortimore and Mortimore (1991). In this edited book, primarily aimed at practitioner, the particular collection of contributors speak to issues of followership, largely in the context of, again, the head’s dominant role. Leadership is unclear, in such language as the head as a ‘reference point’ (McDonnell, 1991, p. 16), and in further discussions of *shared leadership*, which ‘still leaves the head as the overall leader supported by his other senior team’ (Smith, 1991, p. 27). Mortimore and Mortimore seem to want to move toward the *transformational* role of the head in facilitative leadership and even modelling in followership, but the work still appears to be transfixed with the decision-making (Mortimore & Mortimore, 1991, p. 127) as a function of powerful leadership, at the expense of ignoring the implications for followership. It is unclear from Mortimore and Mortimore whether they have noted ‘followership’, in a transformational or participative sense, or simply subordination masquerading as followership under powerful headship. This writer would suggest if one of the reasons that socialisation into roles of dominant management, rather than empowering leadership, has held sway (Southworth, 1995) is contributed to by the

presence in the practitioner domain of literature of works such as Mortimore and Mortimore (1991).

Bull (1978) begins to address the issue of followership in the primary school, but only succeeds in confirming that headteachers should provide direct leadership, which is in essence only hierarchical management, not leadership. Lloyd (1985) examines more carefully the issues of leadership in his 'typology of headship', but then again leaves out a discussion of followership in the context of the 'extended professional' type of headteacher. Additionally, Lloyd, in typical 'style' research of the 1980's, does not examine either the antecedents or context of his leadership 'types' or suggest any value base for these styles.

The paucity of research in the area of primary management

It becomes clear, in examining the limited base of research on primary headship (Coulson, 1990; Southworth, 1995, p. 5) that one of the gaps in research is a clear understanding of the relationship between leader and follower. This raises an interesting research question which, however, is not a central focus of this study, but related to the manner in which headteachers conceive of leadership. Clearly, more research needs to be done in the area of the primary headship in order to further illuminate this gap as suggested by Coulson (1990).

This study addresses, in part, the nature of the relationship between leadership and followership. One aspect that is drawn into this study is the notion of the headteacher as follower. For, as Bleedorn (1983) states, 'Each leader must be a follower in many things; many followers are also leaders in some things' (p. 4).

Clearly, part of the way that headteachers conceive of leadership is going to be reflective of the issues of followership as a context for both changing roles and

transformative facilitation for the leaders in the future. It is the central issue of transformational leadership in the headship that is the subject of this chapter.

2.8 Conclusion

The purpose of this chapter has been to look at leadership primarily in its contemporary conceptions, and particularly as a 'transformational' process. The starting point for this chapter has been the move from *traditional* management and leadership models, to those which are built on different assumptions—assumptions of non-linear organisations, redefined roles for leaders and followers, and the ethical requirement for emancipatory action.

Granted, a major approach used in this chapter has been through 'deficiency' models, however, it is the writer's intent that the discussion be moved toward the new models which are claiming entirely different assumptions about the nature of the educational enterprise, its leadership and the nature of the interaction of its stakeholders.

The chapter began with the assertion that Greenfield's 'critique of the theory movement' has formed a pivotal turning-point in research and discussions of leadership in schools. From that, two of the more contemporary conceptions, of 'chaos' and 'dramaturgical action', were discussed. The central point of transformational concepts and Burns' contribution formed the primary focus of this chapter; both in the currency of transformational concepts, and its wide interpretation which has kept it at the forefront of leadership literature for nearly twenty years. Building on *transformative* concepts, other views and models of educational leadership were discussed.

Chapter 2

The central philosophical consideration of critical theory, emancipation and reflective practice lead to a further discussion of values and the ethical practice of leadership. Finally, the chapter has finished with a more detailed examination of the concepts of leadership as a dialectical relationship between participants in educational organisations; leadership and followership being exercised by many at different times for varying purposes.

Needed research

What is clear in this chapter, and in the assertions of others reviewed, is that a qualitative understanding of these varied concepts calls for needed research in this area—especially as applied to educational leadership (Grace, 1993; Hughes, 1990). Even more so, is research needed in the domain of the primary practitioner (Coulson, 1990; Reynolds, 1992; Southworth, 1995).

The contribution of this research to the field will be presented in chapters 4-6 and then discussed in chapter 7. The next chapter will describe the methods used in this study, and also the unique place which qualitative methodology holds in the promise of developing a 'deep' understanding of the unpredictable domain of primary school leadership.

CHAPTER 3

METHODOLOGY

‘Wisdom is a particular ability to look at the world and to look at one’s looking.’

(de Bono, 1979, p. 67)

Introduction

The aim of this chapter is to outline the methodology and strategies selected as appropriate for this study. In discussing the appropriateness of the chosen methodology a number of issues will be reviewed. First, a review of the general considerations entailed in a selection of the research strategy are discussed (3.1). The following Section (3.2) will deal specifically with philosophical considerations and underpinnings that are pertinent to the selected methodology. In sections three to six (3.3-3.6), the details of the selected methodology will be described, focusing on the units of analysis, field methods, pilot studies, and analysis techniques. The concluding Section (3.7) will address methodological strengths and limitations.

Before beginning a discussion of the methodology of the study, a definition of a few terms is necessary. When speaking of research planning, the literature speaks of *strategies* and *methods*. Patton (1990) describes a strategy as a, ‘framework for action... [providing] basic direction... Methods decisions represent strategic choices’ (p. 36). Or, as defined by Cohen and Manion (1989), ‘by *methods*, we mean that range of approaches used in educational research to gather data which are to used as a basis for inference and interpretation, for explanation and prediction’ (p. 41).

In the context of this thesis, the writer intends to move from the general to the particular. In this progression, a research *strategy* and a research *methodology* may be used interchangeably to represent the over-arching plan to guide the study toward answering its central questions through an understanding of the data generated. Methods are those 'techniques and procedures used in the process of data-gathering' (Cohen & Manion, 1989, p. 41).

3.1 Planning for Research

At its most elemental level, one must start with the research process itself—with the nature of research as an activity of enquiry. Cohen and Manion (1989) begin with a fundamental definition of research itself, 'the systematic, controlled, empirical and critical investigation of hypothetical propositions about the presumed relations among natural phenomena' (pp. 4-5). It is not clear from Cohen and Manion's initial position the degree of similarity or dissimilarity that they perceive in the two domains (natural science and social sciences). However, Cohen and Manion go on to describe the contrast between natural science and social science and the sense that inquiry in the social situation is qualitatively different from the natural sciences. 'The purpose of social science is to understand social reality as different people see it and to demonstrate how their views shape the action which they take within that reality' (1989, p. 27), or as Winch (1958) asserts, the construction of explanatory models to illuminate the 'rules' governing social behaviour. More descriptively, Ryan (1970) says,

It is the task of social science to reflect on the concepts with which we make social life intelligible, to show how we are able to assess our behaviour, make plans, give reasons, and so on, and also to show what would be lost, were certain key concepts not available. (p. 145)

Developing an understanding of social situations, using a rule base which differs from natural science research is the explicit argument of writers such as Winch (1958) and Ryan (1970), but is less clear in positions taken by writers such as Cohen and Manion (1989), and Borg and Gall (1983). The notion of understanding versus explaining and testing will also be further developed through the discussion of the positivist and interpretivist paradigms in Section 3.2.

Borg and Gall (1983, p. 20) address the first order question of defining what *research* is as a starting point in discussing educational research. The distinction that they draw is between 'science' [natural], which they see as 'basic' in nature; the collecting of facts in order to test or develop theory; whereas research in education is oriented toward 'application' in educational settings and the development of theory leading to practice in education. Whether the logical point to be interpreted from Borg and Gall is that social science research is 'non-basic' research is not clear; however, Borg and Gall's experimentalist tendencies are quite clear in their text¹.

A more useful view of research and practice in a dialectical relationship is found in Hitchcock and Hughes (1989). 'We use the term research here to describe what we might call "systematic inquiry": inquiry that is characterized by a certain amount of rigour and governed by sets of principles and guidelines for procedures' (p. 3). It is this dialectic, systematic inquiry, informed by, and contributing to, practice which forms a fundamental part of this researcher's methodological choices.

Clarity of terms in preparation for strategy selection

In that educational research is necessarily bound-up in the terms that it uses, and each of the terms reveal philosophical underpinnings, the careful and clear explication of

¹ A chapter on *qualitative methodology* was not included in Borg and Gall until the 5th edition of their book (1989).

the terms used is crucial. This conceptual clarity is important at every phase of research and most often associated with the theoretical review. However, conceptual clarity is also necessary at the stage of method selection and planning.

As Wilson (1992) has stated, 'Educational issues are shot through and through with questions of concept and value' (p. 351). This is especially important as one identifies the research questions, hypotheses, and theoretical views one holds in relation to the researched. It is at this point that Wilson's persistent call to clarity rings forth. 'I want to stress here a point of general importance for the conceptually aware researcher: *it does not matter much what we decide in such cases, so long as we know (and are clear) what we are doing*' [italics added] (Wilson, 1972, p. 126). It is this type of conceptual clarity, as presented in the earlier chapters, that the writer has sought to guide the general research methodology.

It is not clear, however, from Wilson's work whether clear definition is the only aspect of research planning that is important. Brodbeck (1963) reminds readers that conceptual clarity is not the only important point for the educational researcher. Brodbeck, in her extended look at the scientific method and educational research, stated:

All good concepts are adequately defined. But not all adequately defined concepts are good ones. Definition is important, but it is by no means the only important thing about a worthwhile concept. Something else is needed before we can call a concept "good." Much is made of the need to define one's terms, and rightly so. But definition is only a necessary first step to science's main business, which is, of course, the discovery of truths about the world' (p. 55)

In addition to the clarity of what this writer means by the different concepts presented, it is also asserted that the relevance, practitioner currency, and grounding in current literature of the central terms of this study lead to their *value* as well as clarity.

3.1.1 Choosing a methodology

The identification of *choice* indicates a belief that there is freedom to select from a range of methodologies available for empirical research. This writer recognises that there is a diversity of opinion on this degree of freedom; it should not be read that the researcher is lacking a strong underlying philosophical position regarding the nature of sociological research, but rather that a degree of methodological eclecticism is viewed as valuable.

Methodological entrenchment is apparent in the sometimes heated debate surrounding methodology (Bryman, 1984; Eisner & Peshkin, 1990). The view taken in this thesis is that the polarisation of the debate has partially clouded the value and richness more eclectic approaches might offer.

There are a number of bases on which it is suggested that the researcher begin to consider the utilisation of a particular strategy. Yin (1989) suggests three:

- ‘(a) the type of research question posed,
 - (b) the extent of control an investigator has over actual behavioral events,
 - (c) the degree of focus on contemporary as opposed to historical event.’
- (Yin, 1989, p. 16).

These three points are echoed by Merriam (1988) who identifies three nearly identical points for strategy consideration as, ‘*The nature of the research questions... The amount of control... [and] the desired end product*’ (p. 9). Of the three, greatest emphasis is often placed on the first point, the research questions. Yin (1989) is emphatic in his assertion of the dominant role of the research question in selecting a strategy. ‘The first and *most important* [italics added] condition for differentiating

among the various research strategies is to identify the type of research questions being asked’ (p. 19).

Furthermore, it is clear that the most important issue in the selection of a research method, is the *nature* of the research questions themselves (Johnson, 1984; Hitchcock & Hughes, 1989; Merriam, 1988; Yin, 1989). ‘The first and most important condition for differentiating among the various research strategies is to identify the type of research question being asked’ (Yin, 1989, p. 19). Yin presents five basic research strategies and the criteria for their uses in Table 3-1:

Table 3-1: ‘Relevant Situations for Different Research Strategies’²

<i>Strategy</i>	<i>Form of Research Question</i>	<i>Requires Control Over Behavioral Events?</i>	<i>Focuses on Contemporary Events?</i>
Experiment	how, why	yes	yes
Survey	who, what, * where, how many, how much	no	yes
Archival analysis (e.g., economic study)	who, what, * where, how many, how much	no	yes/no
History	how, why	no	no
Case Study	how, why	no	yes

* “What” questions, when as a part of an exploratory study, pertain to all five strategies?

The researcher has chosen case study strategy as the most appropriate methodology for this study based, in part, by the dominance of ‘how’ and ‘why’ research questions. Additionally, this study does not require ‘control over behavioral events’ and retains a ‘contemporary focus’.

² Table from, Yin, R. L. (1989). *Case Study Research: Design and Methods* (Rev. ed.). Newbury Park: Sage. p. 17.

In part, the process of considering alternative strategies, parallels the process for methodological consideration. But after one has declared a methodological paradigm, further detailed consideration is necessary. Patton (1990, p. 13) indicates that this is an issue which revolves around the kinds of data needed to answer the questions put forward by the study. In preparation for evaluation research, which this is not, he suggests the following six questions³:

- (1) Who is the information for and who will use the findings?
- (2) What kinds of information are needed?
- (3) How is the information to be used? For what purposes is evaluation [research] being done?
- (4) When is the information needed?
- (5) What resources are available to conduct the evaluation [research]?
- (6) Given answers to the preceding questions, what methods are appropriate?

(Patton, 1990, p 12)

In preparation and planning for this research, the above questions were considered. In light of these questions, it was decided that qualitative case study data would yield the most useful data for the research questions posed.

3.1.2 Philosophical and ethical considerations in selecting a strategy

As Winch (1958) has stated, ‘Any worthwhile study of society must be philosophical in character and any worthwhile philosophy must be concerned with the nature of human society’ (p. 3.). Clearly, there are philosophical issues that arise in selection of a strategy. Although these issues will be fully explicated in Section 3.2, the purpose

³ Although this is particularly slanted toward evaluation research, Patton suggests its applicability to a broader range of research.

of this section is to assert a level of philosophical awareness on the part of a researcher in methodological planning.

Value and potentiality of the individual

As in any sociological research, one must begin, perhaps reflexively, with an understanding of the *meaning of persons*. In articulating this research, it is asserted that individuals have value, worth, a high degree of autonomy and individual purpose. As Mill (1974) wrote in the last century, individuality, and the expression of that through individual growth is one of the striking features of human liberty. Moreover, that individuality is often expressed in a complex manner in the educational endeavour. People are complex and individual.

As individuals, *initiators* in their environment rather than simply *responders*, persons possess the ability to make free and informed choice. Individuals exist in a world where, 'Man [humankind] is regarded as the creator of his [their] environment, the controller as opposed to the controlled, the master rather than the marionette' (Cohen & Manion, 1989, p. 7). This belief in voluntarism, as against determinism, will form the background from which research methods are selected.

From individuality the pursuit of professional identity and professional prowess can grow. As this relates to education, individual educators retain a marked degree of personal choice and facility for professional development. There is a stream of thought from Mill's notions of individuality and personal liberty, to those espoused by Schaefer (1967) and more currently, Barth (1990) writing for the school reform audience, that contributes to the idea of teachers as a unit of change within the educational world. Fullan (1991) and Fullan and Hargreaves (1992) add merit to this notion by placing the empowered teacher squarely in the centre of efforts for educational change and school improvement.

This philosophical stance presents ethical issues to the research planning. ‘Ethics has to do with how one treats those individuals with whom one interacts and is involved and how the relationships formed may depart from some conception of the ideal’ (Smith, 1990, p. 260). As this research believes in the value of individuals and necessity for the research to be an exercise in increasing knowledge for the participant, then the strategy and methods selected must conform to those expectations as well.

Use in other studies in education

It is the philosophical question of epistemology, the opportunity for negotiated meaning and reflection that provides a strength for the use of case study in education. As Anderson and Kelley (1987) have identified,

When researchers and practitioners negotiate meaning they listen to each other and their tacit biases and perceptual frames become apparent. In one view, this not only leads to better research and the closing of the theory/practice gap, but also to a much needed cross-fertilization of ideas within the field of educational administration. (p. 19)

Furthermore, in Southworth’s (1995) case study of a single primary headteacher, it is the strength of the ethnographic nature of case study which develops both a rich portrait (p. 34), and as he suggests, increased the self-consciousness of the informant through the process of data collection. Case study, and the development of *story* as a means of *authentic representation* is reflected in the meta-analysis of Elbaz (1990) and is particularly recommend in Bell, Bush, Fox, Goodey and Goulding (1984) as a means for in-depth study of educational situations. In this context Nisbet and Watt (1984) remind the reader that, ‘a case study is more than just an extended example or an anecdote interestingly narrated’ (p. 73), but as a *systematic investigation* which has

been used in a number of substantive studies in education including Hargreaves (1967) [cited in Nisbet & Watt, 1984], Richardson (1973), and Shipman (1974).

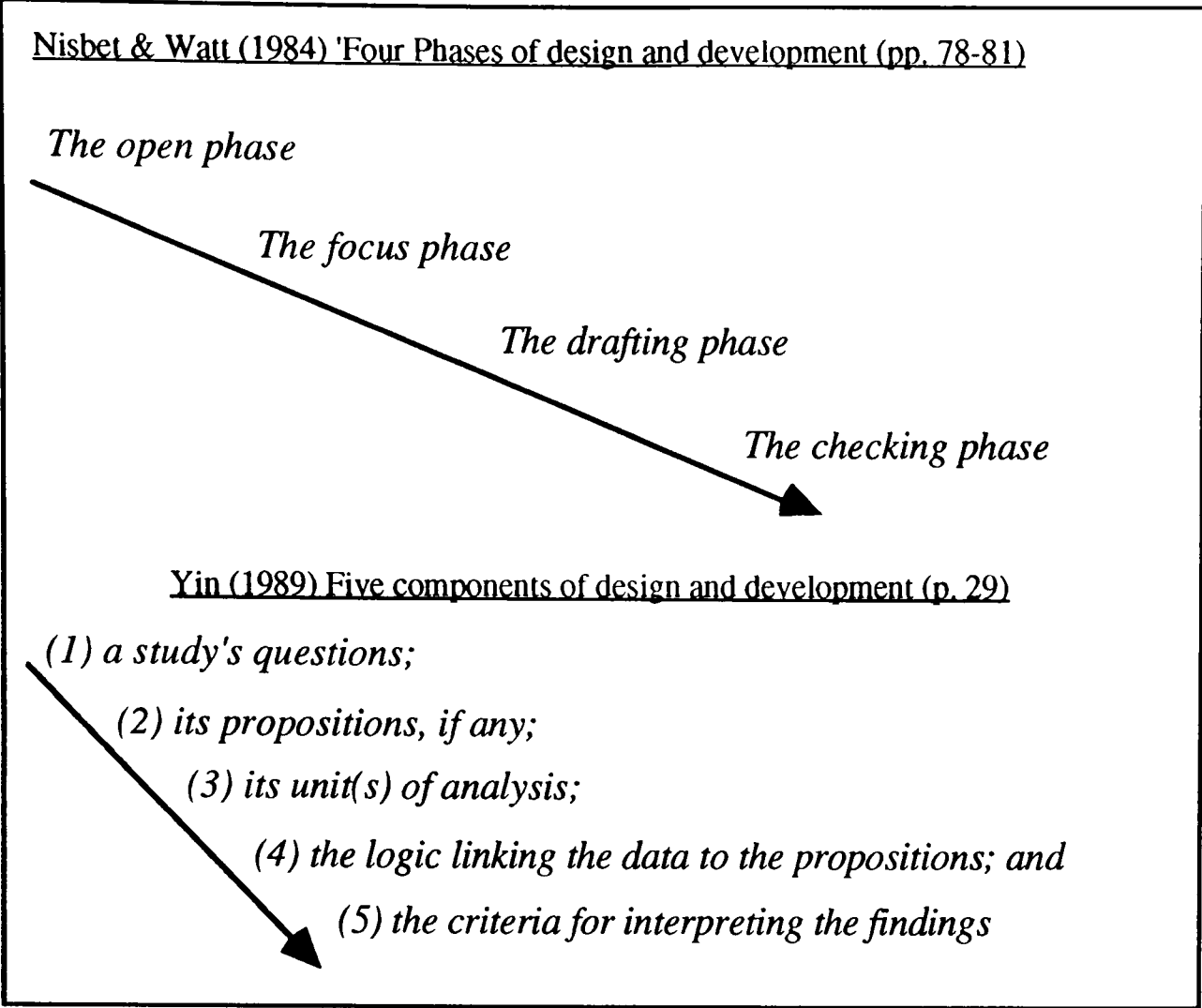
From the preceding, it can be argued that case study, as a methodology, is a means not only philosophical depth, a point which will be argued in Section 3.2., but can also be perceived as an ethical means of interaction between practitioner and researcher, perhaps even being empowering in its outcomes (Elbaz, 1990).

3.1.3 General design of case study as selected strategy

Nisbet and Watt (1984) have identified four phases of case study development and Yin (1989), although not taking a stage approach, identifies five components necessary in case study development. As they are both speaking to the design of a case study, they have relationship and relevance to one another.

Diagrammatically, they are represented in Figure 3-1:

Figure 3-1: Design and Development Models

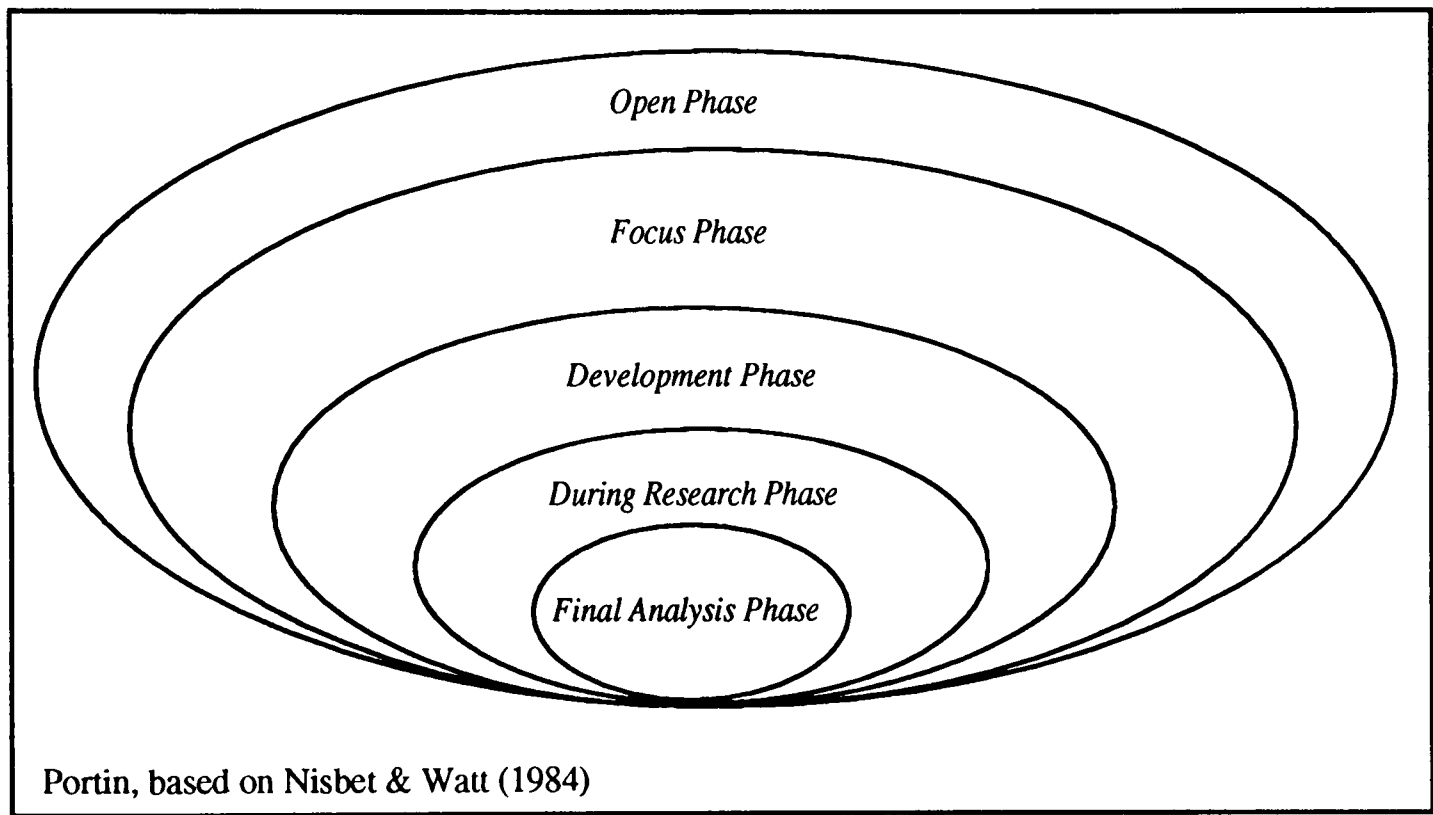


The point of conjunction between Nisbet and Watt (1984) and Yin (1989) is their emphasis on systematic and careful planning, implementation, monitoring of the study, and reporting of the findings. This writer has been informed by this process and also recognises that the process of design and development in case study planning is recursive; the researcher must continually visit and re-visit the central questions of the study the appropriateness of the research methods for gaining access to the research context, and the way that continual examination of the findings are shaping the study's questions.

This form of recursive analysis and overlapping of planning stages is echoed not only by Nisbet and Watt (1984, p. 80), but is sounded again and again in Miles and Huberman (1984) as they describe the analysis that must occur during data collection.

This being the case, the phases of design and development that have occurred for this study both thought-through in advance, and reflected on during the research process. The writer believes that Nisbet and Watt’s (1984) *four phases* are unrealistically abbreviated, especially in the jump between the *focus phase* and the *during phase*. At least for this study a great deal of work occurred between these phases and therefore a fifth phase is inserted, the *development phase*. Diagrammatically, the design and development of this study, therefore, can be represented in five phases (see Figure 3-2)

Figure 3-2 Phases of Design and Development



As the diagram represents, each of the phases can be viewed as an activity that builds on the others, and each phase maintains a point of contact with the other phases as they discursively inform each phase.

The primary development and design activities at each of the phases were as follows:

Chapter 3

The open phase

This phase is characterised by an ‘initial open approach (Nisbett & Watt, 1984, p. 78), and is the phase, or the stage, when the initial questions and the theoretical orientation begins to take shape. If Merriam (1988) is correct, then this is an important stage when the questions that shape a study arise from experience. To a large degree, this phase occurred while the writer was still a school principal in America. It was then that notions of leadership, what it means to be a reflective practitioner, and the implications of educational change were impinging on this writer’s thinking.

In preparation to coming to England, and in the construction of a research proposal, nearly a year (1991-92) was spent simply in extended reading and discussion. In a large sense, this phase was simply characterised by coming to terms with one’s practice and beginning to establish a perspective on the literature base in the area of school leadership and reflective practice.

The focus phase

This phase represented a cross-over between time as a practitioner in the States and a research student at Oxford. At this point, the need to be more specific on the questions became more apparent, as well as the urgency to place the initial research questions in the context of English primary education. The shaping that occurred was largely constructed through the supervisory process with the researcher’s academic supervisor, discussion with other colleagues at the University of Oxford Department of Educational Studies (OUDES), and in the context of the course work in research methodology, in which first year research students participate. The assignments set for that coursework allowed the researcher to explore the central focus of this research in three important contexts: the philosophical underpinnings of social science

research, the methodological considerations and shaping of early research practice, and the rigours of comparative education⁴.

The development phase

The development phase is characterised by those activities that provided a practical means of preparation for the field work itself. It is at this phase that the researcher dealt with the components of Yin's (1989) model, particularly looking at the 'units of analysis', and the 'linking logic' between the data and the propositions. For Glaser and Strauss (1967), this linking activity is a theory-generating activity as well as one of methods planning and trial.

The during research phase

The during research phase is clearly one of the most crucial, if not challenging (Miles & Huberman, 1984; Yin, 1989). The plan that was used in this study for rigour whilst in the 'during research phase', included the following:

⁴ It should be noted, again, that this is not a comparative study. However, questions of cross-national generalisability are germane to the researcher's intent for the dissemination of results and for further discussion of the findings of this thesis.

- regular examination of the data base during data collection.
- review of the central questions of the study as a means for guiding the data collection.
- development of possible models to represent and describe headteacher conceptions.
- consistent preparation of analysis memos as a means to interact with the data
- on-going review of literature and theory base
- presentation of developing conclusions and observations to supervisor and colleagues.

The final analysis phase

The final analysis phase of the research retained a number of the characteristics of the ‘during research phase’ and of the even earlier open and focus phases. As the analysis moved to conclusion, the researcher continued to re-visit the literature base, to review the questions raised before, during, and following data collection⁵.

As suggested by Yin (1989, p. 35) not only the sequence for analysis of the data is important, but also the *criteria* for interpreting the data. The full criteria, are described in Section 3.6.

What this section has described are the means for thinking about both strategy and methods in planning for this research, the guiding nature of the research questions, and the steps taken along the way to ensure that rigour is exercised, and that the research continues to move toward its central aims.

⁵ As evidenced in research diaries and analytic memos.

In the next section, the so-called 'quantitative-qualitative debate' will be explored and discussed.

3.2 Philosophical Issues of Methodological Consideration

In this section, the philosophical issues of this study and its methodology are discussed. As Winch (1958) states, any worthwhile study of society must be philosophical in character' (p. 3). Most importantly, questions of epistemology form the foundation of the philosophical character of social science research. Winch's critique of the influence of positivism and the dominance of a natural science research paradigm are, perhaps, less apparent in our post-modern world (Lane, 1995), but nevertheless have a shaping influence that is worthy of exploration in this thesis.

3.2.1 Positivist/interpretivist paradigms

In its most elemental form, what has been called by various names, the positivist/interpretivist debate, the quantitative/qualitative argument, the natural science/social science divide represents a paradigmatic divide (Carr & Kemmis, 1986). This section explores the nature of that divide and considers whether the dichotomy is useful in the understanding this particular study. The use of the term 'paradigm' is meant in the Kuhnian (Kuhn, 1970) sense of a pervading and prevailing set of beliefs and theories which attract a sufficient number of adherents to be attributed the term 'normal science' and also prescribes the means by which to test and falsify the views contained therein.

The so called 'qualitative/quantitative debate' (Evers & Lakomski, 1991; Hitchcock & Hughes, 1989), although perhaps over-generalised in its use to represent extremes, is at least useful in that it clearly demarcates ways of looking at and understanding

social situations. This arises from the elemental questions that one asks about the nature of inquiry in social situations. The first question regards the nature of an objective, single reality from which one can deduce causal laws applicable across social situations; and secondly, whether social situations are largely a constructed (Berger & Luckman, 1966) interpreted reality seen from a variety of vantage points.

The natural science tradition, which has a longer history, presents the view that social science is simply a matter of discovering the regularities within the social situation and the belief that those regularities are expressive of causal laws in human behaviour. If one understands the causal laws, then one can predict the behaviour in the same way that the physicist predicts the motion of objects, or other such physical matters. The difference is that natural objects, unlike humans, do not express intentionality or 'man's [*sic*] unique ability to interpret his experiences and represent them to himself' (Cohen & Manion, 1989, p. 26).

Ryan (1970) uses the illustration of a road intersection and a stop light to highlight the problem of explanation. The basic notion presented in his example is that if an observer simply observes the fact that a red light is correlated with cars ceasing motion, using positivistic approaches and explaining only in terms of what one observes, the conclusion is that the red light *causes* the car to stop. This is clearly not the case as it is a response to rule-guided behaviour on the part of the driver that stops the car. Simply observing does not tell us all that we need to know about this situation. One must 'get inside' the agent and begin to understand the experience and interpretation of the situation held by the driver to fully interpret and explain the situation in question, in this case a car stopping at an intersection. This illustration is helpful in that it shows the need for alternative strategies than just observation to understand the meaning of social situations. Sheer observation, without an exploration into the nature of meaning has little currency in social science.

Positivism

Positivism has had a profound impact on the natural sciences and has been useful in helping to explain the natural world and predict occurrences from natural laws.

Cohen and Manion (1989) state, 'Where positivism is less successful, however, is in its application to the study of human behaviour where the immense complexity of human nature and the elusive and intangible quality of social phenomena contrast strikingly with the order and regularity of the natural world' (p. 12).

Positivism has a lengthy history stretching back through centuries, but often the nineteenth century French philosopher, August Comte is referred to as a modern founder of positivist thought within a philosophical tradition (Cohen & Manion, 1989, p. 10; Hitchcock & Hughes, 1989, p. 17). Comte emphasises observation and reason, a 'positive stage', rather than theology and metaphysics as a means for understanding behaviour and objective reality. The extreme form, logical positivism⁶, takes the object of empiricism and scepticism about unobservables to the point of declaring that anything that is not empirical, is meaningless.

The establishment of empirical laws, controlled experimentation, and a typification of natural science as the most useful form of science are also hallmarks of logical positivism, and its related development, logical empiricism (Evers & Lakomski, 1991, p. 3). Quantitative methodology can be seen as a development from positivist theory and quest for an *administrative science* that is value-free and based upon, 'a classical hypothetico-deductive structure with laws at the top and facts at the bottom' (Evers & Lakomski, 1991, p. 3).

⁶ As illustrated in the works of A. J. Ayer.

Other leading figures in positivism include, among others, Mill, who was interested in universal laws with explanatory and predictive power (Winch, 1958, p. 67), and Durkheim, who applied methods of the natural sciences especially empirical evidence and statistics to the study of the rule governed nature of society, what has been termed a 'functionalist perspective' in sociology (Hitchcock & Hughes, 1989, p. 17).

The greatest critique⁷ levelled at logical positivism arises from its claim that 'non-science' (as it is wont to be called) is meaningless. This would seem to leave out a vast range of human understanding and behaviour in social situations. In their concern for identifying what is classed as non-science, logical positivists seem to have missed the more important question of what is meaningful. It is the meaning-laden, interpreted reality of the social domain that produces the dominant force for post-positivist methodological development. As Hitchcock and Hughes claim, 'The social world is composed of meanings and interpretations which result in meaningful relationships we describe as action' (1989, p. 23). It is the meaningful, interpretation of the social and personal world of the headteacher that this study aims to illuminate.

Despite its limitations, positivist philosophy and research tradition should not be rejected categorically. It provides an important means for ensuring rigour, for testing theory and hypotheses in certain social situations.

Although he might not consider himself a positivist, Popper seemed to see the worthy elements of the positivist tradition in forms of social inquiry. Popper also recognised, perhaps painfully so, that some of the elements of traditional scientific inquiry was built on a shifting foundation. The tradition of attempting to prove theory through inductive experimentation led Popper to make statements such as; 'That the whole of

⁷ Others include the problem of reductionism, excluding 'notions of choice, freedom, individuality, and moral responsibility' (Cohen & Manion, 1989, p.23). and what Popper calls, the 'problem of induction' (Magee, 1973, p. 19).

science, of all things, should rest on foundations whose validity is impossible to demonstrate has been found uniquely embarrassing. It has turned many empirical philosophers into sceptics, or irrationalists, or mystics' (Magee, 1973, p. 21).

This difficulty in trying to verify leads to Popper's solution of falsification. 'Popper's solution begins by pointing to a logical asymmetry between verification and falsification, to express in terms of logical statements. In this important logical sense empirical generalisations though not verifiable, are falsifiable. This means that scientific laws are testable in spite of being unprovable: they can be tested by systematic attempts to refute them' (Magee, 1973, p. 22-3). Falsification and deduction form the cornerstones of Popper's philosophy of the advancement of knowledge. The Popperian view is more concerned with the advancement of knowledge than in the quest to provide the one grand irrefutable theory. In that sense, his commitment to the construction of better theories fits within a number of philosophical traditions on both sides of the quantitative/qualitative debate. Popper's goal is one of, 'building better theories through deduction and falsification. Each falsification leads to further refinement and layering of the helpfulness of theories. 'This, in a nutshell, is Popper's view of the way knowledge advances' (Magee, 1973, p. 25).

If the positivistic model of understanding social situations has proved to be lacking in capacity to understand or adequately explain social situations (Foster, 1986), then hermeneutic approaches assert an answer to greater potency in research into social situations. In the next section, the practices of phenomenology and ethnomethodology are examined for their contribution to the social science research.

Phenomenology and ethnomethodology

In the social sciences, and certainly in educational contexts, the essential query is whether the individual is behaving mechanistically without intent, only responding to stimuli in his or her environment. If so, positivist forms of research would, perhaps, be suitable. If, however, it is held that the person is behaving with intentionality, then we are left with a need for another way to examine social situations and the intentions of the actors.

Carr (1985) disagrees with this position and asserts that the social sciences, which examine questions of intention, motivation, and reason, are not dissimilar to the natural sciences, and we therefore should not see the great divide that contrasting can sometimes propose. At the same time Carr sees the natural sciences as fraught with questions of value, in the same manner as the social sciences. This intentionality is also apparent in the notion of 'agency' that Giddens (1979) brings to his critique of both structuralism and functionalism as a means for interpreting human behaviour. Giddens prefers, instead, the discourse of agency and structure, which forms a basic tenet of 'structuration theory' (Giddens, 1979; 1982, 1984).

Actions in social science are not simply questions of causation, or social agents subject to, and responding to immutable laws (Ryan, 1970). Instead, human agents exercise purpose and initiate action (Ryan, 1970; Giddens, 1979) and dialectically shape and, in turn, are shaped by their social situation (Giddens, 1979; 1984). Human agents in social situations exercise 'meaningful action' (Ryan, 1970, p. 13). It is not clear, however, whether 'rule guidedness' for Ryan is just a pseudonym for causal law. Although Ryan does embed rule-guidedness with an understanding from the point of view of the agent (Ryan, 1970, pp. 139-140), Winch (1958) is more cautious of over-reliance on rule guidedness (p. 51), but asserts the necessity for an

understanding of the contextual discursive nature of social behaviour (Winch, 1958, p. 115).

In response to the positivist tradition, if one holds interpretivist views, another philosophical viewpoint and approach to doing research is needed. Interpretive research is based on the view that,

Human beings are thinking, feeling, conscious, language- and symbol-using creatures. Interpretive researchers therefore stress the principles of intentionality to grasp the active side of human behaviour. In contrast to the often passive view of individuals reacting to situations or stimuli, interpretive researchers stress that human action is for the most part *deliberate* [italics added] and that people do not simply react to events and situations but *reflect* [italics added] on this situation and *act on this reflection in a reflective way* [italics added]. Human beings are capable of choice and have the ability to act upon the world and to change it in line with their own needs, aspirations, or perceptions. (Hitchcock and Hughes, 1989, p. 28-29).

Within qualitative methodology, similar potential for extremes exist. In this case, the extremes arise out of the inherent difficulty of research questions in the social setting. The guiding premise of qualitative traditions is to see the social situation through the eyes of those within the social situation based on the premise that those within the social situation construct their own interpretation of the social situation in question. These interpretations, often hidden from the observer, or perhaps not even fully present in the mind of the actor⁸, create the greatest challenge to the educational researcher.

One of the major problems created by the interpretivist paradigm is that of relativism. In the case of extreme relativism, there is no way for anyone other than the individual to make sense of the social situation since their interpretation will be idiosyncratic to them and unavailable to the researcher. Beyond the philosophical issue of shared

⁸ This notion of knowledge that is at a tacit level for the individual is further developed by Giddens in his two types of consciousness, 'tacit' and 'discursive' (1979, p. 5). A similar view of tacit knowledge is presented by Polanyi in his book, *Personal Knowledge* (1958).

reality, the issues of generalisability of interpretive research form a basis on which to address this problem. The problem of generalisability is dealt with in the next section.

Another challenge created is the question of how the researcher is able to move from the public world of action to the private world of intentions when working with people in a social setting. As with positivism, a brief summary of a few of the central tenets of these anti-positivist perspectives is helpful, if only to illustrate the context in which the research choices were finally made.

In response to the problems, particularly of interpretation and understanding, posed by positivist and quantitative methods in social research, the views of phenomenology, ethnomethodology and symbolic interactionism developed. Cohen and Manion (1989) provide a useful summary of the three perspectives:

The anti-positivist movement in sociology is represented by three schools of thought – phenomenology, ethnomethodology and symbolic interactionism. A common thread running through the three schools is a concern with *phenomena*, that is, the things we directly apprehend through our senses as we go about our daily lives. (p. 30).

The 'Chicago School' of social science research is noted as an important source of the changes in sociological methods (Hitchcock & Hughes, 1989, p. 29). The ethnographic studies carried out at the University of Chicago in the 1930s and 1940s helped to establish interpretive forms of social science research. Studies, instead, began to focus on the interpreted reality of the actors through participant observation, a key example being Thomas and Znaniecki (1958) [cited in Hitchcock & Hughes, 1989, p. 30].

It is the interpretation, rather than the enumeration of behaviour that became important in sociological research. Husserl, influential in phenomenological research, argued that 'objects' are not external and independent phenomena, but are 'immanent in consciousness' (Frazer, 30.10.92). This is taken to mean that Husserl felt that

strictly interpreting human actions and social situations through empirical observation is inadequate; that there is another whole world of consciousness that is not readily apparent to the observer and exists only in the consciousness of the individual.

Weber's (1949) concept of 'verstehen' contains some of these views while still retaining a degree of the methods of natural sciences. Phenomenological research provides a natural link to the notion that what social research should concern itself with is the examination of meanings, rather than just observable events.

Finally, Schutz (1967) saw social science as an interpretation of the social world. Interpretation and construction are the key activities in social inquiry. No distinction is made between what is perceived and one's perception of it; pure thought, not interpretation. This raises a challenge for social science researchers attempting to access this 'stream of consciousness' proposed by Schutz, which Winch (1958) carries on the interpretive theme of social knowledge. Winch reinforces the theme that the researcher's job is to understand the rules, which may exist, through the eyes of the actor in order to interpret reasons for actions. The emphasis is placed on discovering meaning, rather than just observing events and actions.

In summary, the phenomenologist's view is to understand the norms and rules which guide behaviour in the social sciences. Again, this places phenomenology somewhere in the middle between ethnomethodology, which makes few assumptions about social reality and attributes meaning to the individual, and his/her construction of that reality. At the other end, symbolic interactionists (Mead, 1934; Blumer, 1969) maintain a more inclusive view of persons and their ability to fit themselves into a larger context of socially constructed reality. It seems that in this characterisation, phenomenology ends more in the middle, asking perhaps more practical questions; understanding the importance of the individual's view of reality, but asking more practical questions about the social context as well.

3.2.2 Epistemological issues

The problems of qualitative methodology

There is a two-way problem of reality in all areas of social research; that of getting 'into' the private world of understanding. The positivist would argue that the only way to do that is to observe. The ethnomethodologist has an equally difficult problem of how the researcher gets 'out of' the private world of understanding and into the public world of understanding. The relativist would say that is not possible, as the meaning is known only to, and created by the individual and does not inhabit a public context. If ethnomethodology is to understand a social situation as perceived by the actor, and if reality is idiosyncratic to the individual, then the problem of multiple realities arises, that there is no 'true' or 'false' understanding of the world, only individual perceptions of those realities.

Somewhere ^{between} the private and public worlds of understanding is social reality, where individual meaning meets public rules and therefore forms a ground on which the researcher and the research participant can develop shared understanding. This is pointed out by Winch (1958). Winch would see the problem of relativity as more an explanatory problem. He feels that as social researchers turn from explaining to understanding, especially the understanding of rule-guided behaviour and intentions, they *understand* causes, not simply offer explanations.

Schutz's (1967) work in the area of phenomenology contributed to the challenge of relativism through his notion that social science is interpretive action. Kuhn (1970) picks up that challenge and attempts to ease the relativist problem through advancing the notion of 'paradigms' to describe an over-arching understanding of rules guiding behaviour. Kuhn's idea was almost one of paradigmatic relativism. There could be

shared understanding but only in the context of the paradigm in a time of 'normal science'. It is through comparing paradigms that scientists build up conjectural rules.

The role of prediction in the social world

If the object of science is to explain the world around us, then, in the social world, there is the dual element of looking for the explanations that help to outline causes and allow social scientists to predict future social situations or behaviour from an understanding of the laws guiding individual action. In the social sciences, the inductive-probabilistic model of research utilises statistical and probability theory to predict and explain behaviour. A predictive mandate is not the aim of all qualitative social science researchers (Giddens, 1982; Greenfield, 1986). Ryan (1970) argues that a central feature of social research is not to predict, but instead to understand social situations with a view to interpret the social reality, for future decision-making, for a broader view of the social reality under study, and in the formulation of further theory.

Generalisation

Generalisability is the final topic of consideration. Generalisability can be regarded as the characteristic of the study which asserts a sense of *voice* beyond the confines of this study. Adelman, Jenkins and Kemmis (1984) speak of this in terms of 'transcendence'. Furthermore, Yin (1989) divides generalisation into two categories: Statistical generalisation and analytic generalisation. Yin's description is made within the context of answering traditional prejudices against case study research and he rightly identifies generalisation from a single case to be a common criticism (1989, p. 21). Briefly, Yin describes the differences between the two aims of generalisation as follows:

Case studies, like experiments, are generalizable to theoretical propositions and not to populations or universes. In this sense, the case study, like the experiment, does not represent a 'sample,' and the investigator's goal is to expand and generalize theories (analytic generalization) and to enumerate frequencies (statistical generalization). (p. 21) ^{not}

In a similar manner, Bassey (1984) speaks of generalisability in two senses, 'open' and 'closed'. The distinction that Bassey draws is primarily in terms of the predictability of an open set of events (1984, p. 111) in extrapolation to events beyond the single set. Bassey identifies these terms as similar to Stenhouse's (1978) retrospective and predictive generalisation. The 'problem' of generalisation is one that Bassey identifies as the ability to generalise from a single instance, such as a case study, to a broader theoretical framework. Building on the work of Stenhouse (1978), Bassey submits his argument for *relatability*, albeit in this instance to the practitioner:

I submit that an important criterion for judging the merit of a case study is the extent to which the details are sufficient and appropriate for a teacher working in a similar situation to relate his decision making to that described in the case study. The relatability of a case study is more important than its generalizability. (p. 119)

Bassey's (1984) view of relatability is skewed more toward the practitioner than the theoretician, but an important point leading toward analytic generalisation is clear from Bassey's work. This sense of *relatability* is similar to the strength of a competent evidence base put forward by Nisbet and Watt (1984) and Stenhouse⁹ (1979) and to the 'complexity and embeddedness of social truths' that are characteristic of a thorough case study design as highlighted by Adelman, Jenkins, and Kemmis (1984, p. 101).

Cohen and Manion (1989) argue for the generalizability of case study research on the basis of such things as; 'their strength in reality, attention to subtleties and

⁹ Stenhouse argues that the descriptive strength of case study research is what makes it a useful tool in comparative research.

complexities in cases', illuminating the 'embeddedness of social truths', their archival nature for subsequent reinterpretation, the public accessibility of the data, and the sense that they begin in a 'world of action' and act as a step to further action (p. 150). Certainly, it is the rich description, or as Guba and Lincoln (1981) term it, 'thick description', that forms the central argument for the generalisability of qualitative case study research, such as this study, to the theoretical propositions embedded in the study.

Adelman, Jenkins, and Kemmis (1984) provide an insightful summary of the issues of generalisability of case studies.

It might be asked whether the generalizations produced in case study are stronger or weaker than those of experimental research. Stronger or weaker, they tend to be different... It might be argued that case study and experimental research are based on different views of social science... In practice the two most important differences are in the way claims are made against truth and in demands made upon the reader. Experimental research 'guarantees' the veracity of its generalizations by reference to formal theories and hands them on intact to the reader; case study research offers a surrogate experience and invites the reader to underwrite the account, by appealing to his *tacit* knowledge of human situations. The truths contained in a successful case study report, like those in literature are 'guaranteed' by 'the shock of recognition'. (p. 96).

In a similar manner, Stake's (1975; 1978) notion of 'naturalistic generalisation' is described as 'developing within a person as a product of experience' (p. 6). In this sense, its tacit component is seen, which Stake notes leads to 'expectation' rather than prediction. It is this resonance with experience, its grounding in a *thick* description of a social situation, rigorously studied, that forms the basis on which a study such as the one undertaken in this thesis has validity.

3.2.3 Concluding Comments

The central criticism that is returned to in the discussion of the validity of case study research for the purpose of generalisation is the whether this form of research has passed the ‘empirical and logical tests’ (Stake, 1978, p. 6) characteristic of statistical generalisation. This writer feels that such questions have to be placed within the context, again, of the questions of the study and whether they seek law-like generalisations or, are aimed at illumination, and the construction of conceptual knowledge. Certainly, in this study, the central questions are aimed at the latter rather than the former. Secondly, as outlined earlier, the philosophical base of interpretive research asserts that qualitative case study research is the only means of truly *understanding* a social situation through the insights of the participants in such a study.

It must also be stated that, as Stake asserts (1978) there is an inter-connection between this type of research and action. Stake even asserts that the connections are ‘inseparable’ (1978, p. 6). It is not clear what Stake means by ‘inseparable’, but if he is placing this inseparability within the inter-connections of questions to tacit knowledge, and tacit knowledge to the theoretical paradigms of educational leadership, then his point has some truth. For it is this aim of contributing to the theoretical paradigm that this study adds its place.

Methodological accommodation

Finally, it should be noted that one form of debate in qualitative versus quantitative discussions, and in consideration of the markedly different philosophical traditions of the two disciplines, is the concern for methodological eclecticism without regard for incompatibility of some forms of research (Merriam, 1988). The central question

appears to be, can methods and paradigms be combined while still maintaining their integrity?

Merriam points out that some have focused attention strictly on methodological accommodation and deferred to the philosophical battle (Smith & Louis 1982; Miles & Huberman, 1984; Guba, 1987 [cited in Merriam, 1988, p. 2]). Merriam's interpretation of these views as skirting the philosophical debate is probably simplistic, as researchers such as Miles and Huberman clearly do attend to issues of paradigm. However, Merriam's central point in raising the researcher's awareness to the dangers of importing methods without consideration of its belief about what it reveals is well-founded. Certainly, this researcher has sought to combine aspects of methodology, but the central focus on the perceptive/interpretive reality of the participants in the study remains the central focus.

3.3 Units of Analysis

The unit of analysis, or the 'primary focus of data collection' (Patton, 1990, p. 166) in this study is the primary school headteacher. The selection of the headteacher as the unit of analysis is tied first to the research questions of the study (which are about headteachers) and to the purpose of this research to have useful application to headteachers at the conclusion of this study (Patton, 1990, p. 168).

With this in mind, the researcher selected headteachers for participation in the study in the following manner:

First, of course, it is necessary to return to the research questions. In this case, the researcher asked the question: who would be most able to provide me with the data that is needed to understand the aspects of leadership being studied? As Yin (1989)

points out, 'as a general guide, the definition of the unit of analysis (and therefore the case) is related to the way the initial research questions have been defined' (p. 31).

It should be clearly understood that this is a study of and about headship. The other individuals in the school setting, and especially those related to the management structure of the school (governors, deputy headteacher, senior staff, etc.) are examined in terms of their supporting contribution to the understanding of headship.

3.3.1 Single or multiple case study

There are a number of reasons that multiple case study was used for this study, rather than a single case study. First, in terms of the strength of the final argument; as Yin (1989) asserts, 'The evidence from multiple cases is often considered more compelling, and the overall study is therefore regarded as more robust' (p. 52).

The second reason is linked to the practicality of the study. The researcher had to consider what could reasonably be asked of participating headteachers. The degree of expectation and time commitment on the part of the headteachers is related to the time spent by the researcher in the school. It was clearly understood by the researcher, both from advice and personal experience, that the time demands on headteachers would be a factor that would influence participation. The more time required, the less likely it would be that a headteacher would consider participation. Whereas, a more limited time commitment would likely engender ease of participation.

A third reason is related to the researcher's own interest in examining in more breadth the issues of primary headship. As a foreign researcher, this research presented an interesting personal opportunity to see the role and conceptions of headship across several schools. It was felt that a series of case studies would provide the researcher

with a greater breadth in developing a personal understanding of the educational leadership in a different cultural context.

Fourth, and related to the first, there was interest to see if experience, perceptions and conceptions were shared across case studies. The ability to provide confirming or disconfirming cases could prove to be an interesting and useful aspect to the study. On the basis of replication logic for multiple-case studies (Yin, 1989, p. 53), this research used similar cases in order to enhance the depth and fertility of the theoretical framework that has been developed in earlier chapters. This is quite different from sampling logic, which ‘demands an operational enumeration of the entire universe or pool of potential respondents, and then a statistical procedure for selecting a specific subset of respondents to be surveyed’ (Yin, 1989, p. 54). As stated earlier, this is based on assertions of analytic generalisation, rather than statistical generalisation.

Finally, there was the issue of entering into site access negotiations simply not knowing how many headteachers would agree to participate. In one sense, the sample size was in a fluid state, subject to this very practical consideration. The researcher was aware of the time available to survey the population, identify information-rich cases, negotiate participation of the headteacher and access to the school, and conduct the fieldwork within the time parameters of the researcher’s ability to be in-country.

Patton (1990) downplays the importance of a specific sample size in favour of a greater focus on ‘information-rich cases’ and a large enough sample to adequately address the questions of the study.

3.3.2 Sampling issues

Related to the different purposes of qualitative and quantitative research, the issue of sampling clearly illuminates the differences (Patton, 1990, p. 169). Patton summarises the differences most clearly:

Qualitative inquiry typically focuses in depth on relatively small samples, even single cases ($n=1$), selected *purposefully*. Quantitative methods typically depend on larger samples selected randomly. Not only are the techniques for sampling different, but the very logic of each approach is unique because the purpose of each strategy is different.

The logic and power of probability sampling depends on selecting a truly random and statistically representative sample that will permit confident generalization from the sample to a larger population. The purpose is generalization.

The logic and power of purposeful sampling lies in selecting *information-rich cases* for study in depth. Information-rich cases are those from which one can learn a great deal about issues of central importance to the purpose of the research, thus the term *purposeful* sampling. (p. 169).

Patton (1990) identifies no fewer than fourteen different strategies of purposeful sampling (pp. 182-3). Of the various strategies cited, the one selected for this study is ‘intensity sampling’. Intensity sampling provides a middle ground between extreme cases, and the critique of ‘great man’ types of research, and the nearly random character of typical case sampling.

Again, citing Patton, ‘An intensity sample consists of information-rich cases that manifest the phenomenon of interest intensely (but not extremely)’ (1990, p. 171). It is here that Patton alludes to a critique of ‘ideal type’ theories, what he describes as the ‘distorting’ effect of extreme cases on the central questions of the study¹⁰. Instead, ‘using the logic of intensity sampling, one seeks excellent or rich examples of the phenomenon of interest, but not unusual cases’ (Patton, 1990, p. 171).

¹⁰ A further discussion of ‘ideal type’ models, especially as presented by Weber, can be found in Smith and Peterson (1988), chapter 1, pp. 1-14.

3.3.3 Selection of headteachers/sites

As a means of identifying intensity samples for inclusion in this study, a number of steps were undertaken by the researcher. In the first instance a survey and overview of primary education in Oxfordshire had to be developed. The researcher was interested in identifying the general nature, history, and composition of primary headship in Oxfordshire and through that exploration, to identify potential headteacher participants.

In terms of the researcher's understanding of the nature of primary headship, this has been developed through an on-going association with headteachers and educational researchers in Surrey and Cambridgeshire for the five years prior to arriving in Oxford in 1992. Regular visits to schools, correspondence, and reciprocal visits to the researcher's school in the States, allowed for the development of a general understanding of the structure of English primary schools, a number of the issues of leadership and management faced by headteachers, and the implications of the changes in the educational provision, especially as outlined in the 1988 Education Reform Act.

To further the researcher's understanding of primary education in Oxfordshire the first source of information was found within the University of Oxford Department of Educational Studies; the researcher's academic supervisor, and other members of the staff, assisted in providing information and an over-view of Oxfordshire primary education. For additional background, particularly in primary education and primary headteachers, a number of interviews were arranged with key informants during September 1993. These included:

1. A senior advisor at the Oxfordshire Local Education Authority.

2. The Regional Director, and the Information Officer of the National Primary Centre (NPC) at Westminster College, Oxford.
3. The B.Ed. co-ordinator for the primary teacher preparation programme at Westminster College, Oxford.

In these interviews a number of general questions were asked, which included the following:

- Describe the work of (NPC, Oxfordshire LEA, Westminster College) in primary education within the county.
- What are some of the current educational issues which are predominant in discussions?
- Can you suggest particular schools, or headteachers, which have developed a reputation of being effective schools/effective headteachers?
- Are there any headteacher that come to mind as being particularly noted for their leadership in the area of reflective practice and school development?

The informants were helpful and forthcoming in their information and suggestions.

The interviews were conversational, including an exchange of the nature of this study, and their perspectives on the current issues in primary education in the county.

Each of the informants provided a list of recommended headteachers. Particularly, the recommendations were based on such characteristics as innovativeness, effectiveness in staff leadership, reflective style, positive regard with peers, and involvement in development activities outside of their school.

A list of recommended headteachers was developed from these discussions. Where triangulation revealed common nomination, every effort was made to obtain an interview with that particular headteacher. These exploratory/construct developing interviews were conducted during September and November of 1993. A total of 11 headteachers agreed to meet with the researcher for a one-hour preliminary interview. A further three headteachers were interviewed with the same intent in February and

March of 1994. Again, the format of the interview was open-ended and designed to be conversational. The aims of the study were described, and a series of questions were used as a pool of topics to draw upon for the interview. The interview schedule is included in Appendix 3-A.

From the exploratory interviews a profile of the headteachers who might provide the most information-rich cases emerged. The following characteristics were identified.

1. Headship of a large (greater than 250 student) primary school. The number 250 was selected as being above the county average for primary schools. The reason for selecting headteachers of large primary schools was tied to the belief that headship in multiple staff primary schools requires a different set of skills and attributes, than those needed in a small village primary. In the first case, headteachers in the large primaries do not maintain a time-tabled teaching commitment. Their time is devoted almost solely to leadership and management of the school. Secondly, the communication issues, decision-making procedures, and staffing structure is much more complex in a large school with multiple staff. It is that aspect, as it relates to the exercise of leadership, which retained a central theme in the study.

2. A perception of 'effective leadership' amongst colleagues. Again, as noted in the sampling strategy, the headteachers were purposefully selected as 'manifesting the phenomenon of interest intensely (but not extremely)' (Patton, 1990, p. 171).

3. Believing that headteachers (and teachers) concentrate on different issues at different stages of their careers (Nias, 1989; Oja & Pine, 1983, 1984; Oja, 1987; Sikes, 1985), experienced participants were sought.

On the basis of these criteria, 7 of the 14 interviewed headteachers were approached with a request for their participation in the full study. As a result:

- 7 headteachers were asked to participate in the study.
- 3 declined¹¹.
- 6 were not approached owing to a failure to meet all three criteria listed above.

It was anticipated that the extended time commitment would be a limiting factor to participation and, indeed, that was the case. In the end, four agreed to participate. The first was selected as a pilot case study, and the remaining three scheduled subsequently as main study sites.

Negotiating participation proved to be a difficult task and guided the shape of the study. Initially, it was difficult to determine what was the determining factor for participation and non-participation. As Johnson (1975) notes, there are many, from bargaining, to the perception of the participant of the researcher, or as Johnson asserts, simply being perceived as a 'nice guy' (p. 76). In the final instance, it would appear (from post-study interviews) that the headteachers participated for generally two purposes: first, as an expression of a general inquisitiveness about either their own leadership, or an aspect of the school that the study might shed light upon; and second, that the isolating aspect of the headship enhanced the desire simply to have a neutral party available to talk with for a period of time.

3.3.4 Study participants and gender issues

In the final instance, all of the study participants are male headteachers. This issue of studying heads of a single gender needs to be explained.

¹¹ 43% rate of refusal

There were two forces that delimited the study to male participating. First were matters beyond the researcher's control, and second were conscious choices made by the researcher.

In the preliminary interview stage, headteachers of both gender were interviewed. Of the 11 initial interviews, 7 were male headteachers, and 4 were female headteachers. Of the 4 female headteachers, only 2 were heads of schools larger than 250, whereas 6 of the 7 of the male headteachers were at schools larger than 250. This is pattern that is evident in the primary schools throughout the county, and indeed on a much more broad basis (Southworth, 1995, p. 147; Riches, 1990). From a pragmatic point of view, and considering a 43% refusal rate, it was clear that securing the participation of female headteachers would be problematic.

In the course of the preliminary interviews, it was decided that the variable of gender would be eliminated from the study. It was determined that adding a gender variable would add further complexity to the study which could detract from the strength of the final arguments.

Consideration of the justifiability of gender as a variable of study has a number of aspects. First, historically, the predominance of the historical role of the 'headmaster' is seen in the review by Grace (1993) as well as in Ball (1987). In fact, it is Ball who notes that in 1979, men formed the majority of primary headteachers (57%) whilst the in the total teaching force men represented only 23% of the post holders (p. 193). Of course, the situation of male predominance in headship is vastly greater in secondary education. This is explained by Gray (1987) and Riches (1990) through characteristics of primary education, such as caring and nurturing, which are stereotypical feminine qualities. Gray's assertion that schools are havens of stereotyping, although worthy of further research, extend beyond the scope of research interests in this study.

Furthermore, issues of gender and leadership style are indicated in Johnston's (1986) research. Johnston suggests that teachers have quite different expectations of the headteacher whether that individual is male or female. In this study, as facilitative aspects of leadership are discussed, the introduction of a gender variable would further complicate the arguments being presented and move beyond the bounds of this research.

Clearly, gender is an issue in leadership style and/or expression of role; whether that be an expression of style or role (Burgess, 1989 [cited in Southworth, 1995, p. 147]; Gray 1987), or an 'expressive action of individual' in the 'drama' of leadership (Starratt, 1993, p. 117). Southworth (1995) grappled with the same question in his study of a male headteacher and also believed that sharing a common gender would increase his qualitative understanding of the case study (p. 35). This researcher did not recognise the same compelling of a common gender framework, but instead has based the argument for the study of a single gender on a desire to retain a central focus to the study without confounding variables. Simplification of consideration forms a crucial argument.

The researcher does recognise, however, that the restriction of study to male headteachers raises questions of application to the vast audience of female headteachers. It is this researcher's hope that the strength of the arguments, and the relatability of the account, will find applicability to a wide range of headteachers, both male and female.

3.4 Field Methods

Yin (1989) cites six sources of evidence for case studies: ‘documentation, archival records, interviews, direct observation, participant observation, and physical artefacts’ (p. 84). In selecting from these sources of evidence, it is the central questions of the study that guide the choice in methods of data collection.

In this study, five sources of evidence were selected as the best means of data collection: interviews with the headteacher, deputy headteacher and a sample of teacher staff; a staff questionnaire; repertory grid technique (Kelly, 1955; 1970) with the headteacher; non-participant observation; and review of relevant documentation.

The advantages of using multiple methods of data collection is well-supported (Patton, 1990). Multiple methods amount to one form of triangulation, which strengthens the validity of the study, and ‘is a recognition that the researcher needs to be open to more than one way of looking at things’ (Patton, 1990, p. 193). The type of triangulation used in this study is ‘methodological triangulation’ (Patton, 1990, p. 187), which represents the use of multiple methods, by the same researcher, to gather data. In this study, the use of five methods of data collection is an assertion on the part of the researcher that the questions of the study are too complex to be answered by a single method. This view is supported by Denzin (1978), who says:

No single method ever adequately solves the problem of rival causal factors... Because each method reveals different aspects of empirical reality, multiple methods of observation must be employed. This is termed triangulation. I now offer as a final methodological rule the principal that multiple methods should be used in every investigation. (p. 28) [cited in Patton, 1990, p. 187]

Whether multiple methods should be termed a ‘rule’ is open for debate, and perhaps reveals a more deductive argument, but the strength of multiple perspectives can doubtless add to the *thick description* sought in this study.

In the next sections, each of the methods used are outlined, including their relative weighting in data contribution and attendant strengths and weaknesses.

3.4.1 Interviews

The interviews formed the central data pool for this study. The reason for this is, as noted by Yin (1989), ‘Overall, interviews are an essential source of case study evidence, because most case studies are about human affairs. These human affairs should be reported and interpreted through the eyes of specific interviewees’ (p. 90).

Of the two categories of interviews—‘exploratory interviews’ and ‘standardized interviews’ (Oppenheim, 1992, p. 65), this study utilises exploratory interview technique. For, as Oppenheim suggests, ‘

The purpose of the *exploratory* interview is essentially heuristic: to develop ideas and research hypotheses rather than to gather facts and statistics. It is concerned with trying to understand how ordinary people think and feel about the topics of concern to the research. (1992, p. 67).

Within the exploratory interview, the researcher is presented with a variety of interview types, variously termed (Cohen & Manion, 1989; Merriam, 1988; Moser & Kalton, 1971; Phillips, 1971), but generally falling into the three categories of: ‘structured’, ‘semistructured’, and ‘unstructured’ (Merriam, 1988, pp. 73-4). Each of the three types of interviews represent a different means for gathering data for different purposes, sometimes seen as a choice between ‘richness’ and ‘precision’ (Madge, 1953, p. 151). The method selected for this study is semistructured interviewing. The reasons are as follows:

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The semistructured interview, within the context of careful planning, allows for a greater degree of freedom and flexibility to adjust the sequence and the exact wording of the questions to fit into a more conversational style of interview (Cohen & Manion, 1989, p. 309). By using a semistructured format, the interviewer was free to adjust the interview in a manner that allowed for the fullest response from the interviewee, or as Moser and Kalton (1971) indicate, 'to obtain a more complete picture' (p. 301). The researcher also discovered quite quickly that the interviews with the participant headteachers needed to retain a high degree of flexibility in time tabling and conduct. Interviews were often interrupted by other demands on the head and a semistructured approach allowed for the interviewer to resume an interview at the most sensible point in the schedule, or to follow-up an encounter or event with a question from other parts of the schedule which had direct contemporary application. In the course of data collection, this also proved to be of the most use to the participant headteachers. When considering their motivation for participation, the opportunity to have a conversation about issues of headship was indicated to be a positive experience for them.

The most pressing critique of interview data, regardless of type, is the issue of validity, or whether the responses provided by the respondents truly reveal the information pertinent to the questions being asked. Additionally, one must be concerned whether a gap exists between espoused views and principles-in-action, and whether the interpretation provided by the researcher accurately represent the views of the headteacher or interpret the situation correctly.

Issues of validity are dealt with further in a later section, but at this point two details will serve to illuminate answers to these questions. The first is the issue of questions design, and the second is the use of multiple sources of evidence.

Regarding question design, the researcher spent months designing the questions, comparing them with the theory base, sharing them with informants and colleagues, and then conducting a thorough pilot study. From the pilot study, a number of changes were made to the interview schedule to reflect points of confusion on the part of the participant. Secondly, this study employs multiple sources of evidence to assist in the triangulation of research interpretations.

The interviews were conducted with three categories of informants within the school: the headteacher, deputy headteacher, and a sample of teachers. The purpose with each of the interviews was different. The interviews of the headteachers comprised the core of the study, and were designed to address the central questions of the study. Certainly, in the case of headteachers they represent the *people* with the expert knowledge needed to answer the research questions (Madge, 1953, p. 145). Interviews of the deputy headteacher and other teachers, were designed as triangulation evidence for conclusions drawn from the headteacher data.

3.4.2 Repertory Grid

As mentioned by Pope and Keen (1981) there are five area of practical consideration when using the repertory grid technique:

- *purpose*
- *choice of elements and constructs*
- *scaling*
- *elicitation procedures*
- *method of analysis.*

These final four of five areas of consideration shall be reviewed in Section 3.5 on the pilot study..

Purpose

The use of the repertory grid technique, as introduced by Kelly (1955) and further refined and explained by Bannister and Mair (1968), Bannister (1982) Fransella and Bannister (1977) and Hall (1978) has the potential for being an insightful, portion of the study. A key question of this study is how headteachers are shaped by their understanding of other people, and how the personal constructs of headteachers shape their conceptions of leadership. Clearly, the repertory grid technique represents one way to understand those perceptions.

For the purpose of this study, additional data is needed on how headteachers construe their role and interactions with staff; or as Cohen and Manion (1989) state, which constructs does he/she use to 'evaluate the phenomena that constitute his world' (p. 337).

It is for this reason, and to add further validity to the analysis of observation and interview data, that this technique was used¹².

3.4.3 Questionnaire

In this study, a questionnaire, containing nine open-ended questions was given to all teaching staff at the schools participating in the study.

¹² The researcher views the personal construct data obtained from the repertory grid to be secondary and supportive to the primary data collected through the case studies. It is recognised that it is quite easy for the elegance of repertory grid data to overwhelm the boundaries of its effective use in this study. To that end, the repertory grid data is collected at the end of the case studies. Within this thesis, the repertory grid data serves as a means of clarifying and illuminating conclusions reached from interviews, observations, and documentary analysis.

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It was decided early on in the pilot study that the views of the teaching staff as a whole would be a useful addition to the study. It was important that the claims being made by the headteacher be verified by direct access to the other members of the teaching staff. Furthermore, as the study aimed to gain a broad picture of the aims and direction of the school, as many viewpoints as possible would be helpful.

As the aim was to obtain a broad understanding in the key areas of school development, leadership, and professional growth, it was decided that the questions would be open-ended to allow the respondent to provide as much detail as she or he saw fit.

In designing the questionnaire for use as an added source of data, the researcher was mindful of four categories of consideration: *understanding*, *construction*, *motivation*, and *ethics*. The first consideration meant that the questions asked needed to be understood by both the researcher and the respondent. This means that the questions were based upon constructs revealed, and formulated and written in a relateable manner. Questions were asked that the respondents would have information on, and they were open-ended enough to facilitate a free exchange of information from the responded to the researcher (Phillips, 1971).

Secondly, the questionnaire needed to be constructed in a manner that would be accessible to the respondent. It needed to be clear in its presentation and not present elements that would confuse the respondent. The questionnaire was limited to nine questions (see Appendix 3-C), with an open response section provided for each.

Recognising the time constraints on teachers, and wishing to enhance the return rate, the questionnaire was limited in its scope. Directions were also worded to encourage the respondents to provide succinct words and phrases, rather than lengthy prose. At all the sites, the headteacher supported the questionnaires and encouraged the staff to

view the questionnaire as a means of further self-evaluation and an enhancement to the school development planning process. This tie to existing school goals added credence to this request for participation and in two of three case studies assisted in a high rate of return.

Finally, the issue of the ethical handling of the data was designed into the questionnaire and particularly the directions which accompanied the questionnaire. Questionnaires were anonymous and returned in a separate envelopes. The responses were typewritten as a tabulation to eliminate any association with handwriting. In addition, in the transcription the order of respondents was randomised to avoid any possible linking of responses to other responses that might be identified with an individual. The intent and use of the questionnaire data was outlined to the respondents prior to their completing the questionnaire.

3.4.4 Observation

Direct observation is recognised as an important aspect of qualitative methods (Burgess, 1984, p. 79). In a case study that is dependent on self-reporting of practice and views, corroborative evidence lends strength to statements and interpretations made. Patton, notes the strength of observational data, a point which is reinforced by Becker and Geer (1970, p. 133 [cited in Patton, 1990, p. 25]), and Jorgensen (1989).

What people say is a major source of qualitative data... There are limitations, however, to how much can be learned from what people say. To understand fully the complexities of many situations, direct participation in and observation of the phenomenon of interest may be the best research method... Observational data, especially participant observation, permits the evaluation researcher to understand a program or treatment to an extent not entirely possible using one the insights of others obtained through interviews. (Patton, 1990, p. 25)

Cohen and Manion (1989) outline a dichotomous view of observational strategies: participant and non-participant. The question for this research was whether

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participant or non-participant methods were more appropriate to the questions of this study. The decision was made to utilise non-participant observation for the following reasons:

- (1) The central focus of the study was to gain an understanding of conceptions of leadership held by the headteacher. This is largely an cognitive process, rather than an interactive one. For that reason, the interviews proved to be the central method of data collection.
- (2) Limitations of time at the case study site precluded the time necessary to work into the culture of the school as a participant observer.
- (3) Non-participant observation provided as much information as a participant position would have for the type of activities being observed (staff meetings, in-service, school assemblies, etc.). And finally,
- (4) A purpose of the observation was to note a representative sample of the headteacher's activities for later stimulated recall. In these instances, the researcher was not in a participant role, but rather than of an investigator.

3.4.5 Document review

Although document analysis is useful in most case studies (Yin, 1989, p. 85, 87), its purpose, outside of historical studies, is largely corroborative, or as Yin states, 'to augment evidence from other sources. That was the case in this study.

In the course of the case studies, a number of documents were reviewed. In some cases, the documents were copied for later use, in other instances notes were made as

to the contents or evidence that could illuminate the research questions. The documents reviewed in the course of this study are listed in Appendix 3-D.

It was decided by the researcher that documentary evidence could serve as confirmatory evidence to leadership constructs revealed by the headteachers; but, as the pilot study revealed, it was not a rich source of insight into the headteacher's conception of leadership. The reason that it served as a less rich source than in the interviews was, of course, that documentation did not reveal process knowledge, but rather end-products. Documentation was largely constrained to policy statements, school development plans, and administrative materials. Another weakness, for the purposes of this study, was that it was not always clear in documentary evidence whether the documents represented the work of the headteacher, or a collaborative production of the senior management team, or whether it was the product of delegated responsibility to another member of staff, or the staff as a whole. The one document which might have been considered to be a more insightful source of data on headteacher thinking, the School Log Book, was rarely used by heads.

3.4.6 Concluding comments

This section has outlined the five methods used within the qualitative strategy of this study: Interview, repertory grid, questionnaire, non-participant observation, and document analysis. Of the methods outlined, the headteacher interviews form the central source of data. The interviews represent the qualitative, ethnomethodological design of the study and match the needs of the research questions. The other methods of data collection add to the validity of the study by providing triangulatory evidence to the conclusions drawn. The use of multiple methods also mitigates the weakness of any one particular strategy.

3.5 Pilot Study

The pilot phase of this study was conducted between September and December of 1993. The importance of the pilot study is reinforced as essential means for checking virtually every aspect of a study design, its instruments, pacing, and researcher-participant interaction (Oppenheim, 1992). As noted by Yin (1989), 'The pilot case study helps investigators to refine their data collection plans with respect to both the content of the data and the procedures to be followed' (p. 81).

A number of intentions were included in this phase of the study for the researcher; four are addressed here.

Conceptual clarification

The guiding concepts of this study needed to be explored in relation to the central questions of the study and the theoretical bases from which the research is built. Notions of *leadership and management, reflective practice, staff development, decision-making and shared management* all needed to be explored to understand the manner in which these topics would be relevant and recognisable to an Oxfordshire primary headteacher.

Instrument adequacy

At the pilot stage, focus was placed on the adequacy of the instruments to be used for data collection. Particular emphasis was placed on the interview schedules and the questionnaire. Oppenheim (1992) served as a particularly helpful guide to the design of both the questionnaire and interview schedule. The pilot study allowed for these instruments to be used and evaluated.

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Researcher orientation

It was clear to this researcher that an added dimension of consideration was vital to the pilot study—that of cultural bias or simply cultural ignorance. As a North American researcher for the first time in a British culture, it was recognised that many aspects of school life, organisation, and language would be different. Certainly, this was not a process that began at the pilot phase of the study, but infused the first year at Oxford¹³.

One of the key features of the pilot study was to determine if terms used in North America were confounding the ability to understand and fully interpret the context of headteachers in Oxfordshire. In exploratory pilot work, and in the pilot study itself, participants were pointedly asked to alert the researcher to terms used that created confusion for the participant. An example was the term school ‘climate’, which was confusing to headteachers. The term ‘ethos’ proved to be the term of use for headteachers when describing the characteristic *feel* of the school.

It was this three-fold strategy which allowed the researcher to gain confidence in assuring that communication to participants, and interpretation from responses, was not being evaluated on North American terms. Participants in the study assured the researcher that he was being understood.

Time and scope adjustment

A fourth intent was to explore the time and scope of the case study. *Time* refers to the aspect of the length of interviews and time for questionnaire completion. *Scope* refers

¹³ The researcher had spent four years prior to moving to Oxford to examine the ‘state of the art’ in English primary education. Visits were made at least annually, and links established in several counties with headteachers and academics which allowed for early orientation to primary education in England and Wales.

to whether the planned range of study would be adequate to gain the appropriate data to address the questions of the study. Specifically, the researcher was interested in finding whether an understanding of the headteacher's role and conceptions of leadership could be obtained in a four to six week period.

3.5.1 Exploratory pilot work

Prior to beginning the pilot study a series of exploratory interviews were conducted. As noted in Section 3.3, a total of eleven headteachers and four other informants¹⁴. As indicated earlier, these interviews were general in nature, and designed to both identify potential case study participants and to clarify the constructs and domain of primary headship.

As reinforced by Oppenheim (1992),

The purpose of the *exploratory* interview is essentially heuristic: to develop ideas and research hypotheses rather than to gather facts and statistics. It is concerned with trying to understand how ordinary people think and feel about the topics of concern to the research.
(p. 67)

From the exploratory interviews, a further definition of anticipated questions to headteachers was developed and an pilot interview schedule was designed.

3.5.2 Pilot case study

The pilot study site was selected on access and convenience grounds (Yin, 1989, p. 80), yet met each of the criteria for inclusion as a main study site.

¹⁴ 1. A senior advisor at the Oxfordshire Local Education Authority
2. The Regional Director, and the Information Officer of the National Primary Centre (NPC) at Westminster College, Oxford
3. The B.Ed. co-ordinator for the primary teacher preparation programme at Westminster College, Oxford.

This study, carried out between November 1993 and January 1994, served as the pilot study for the remaining three case studies. The extensive information gathered, and the insights provided by the participants, served to shape the study and to identify weaknesses in instrumentation and data collection procedures.

School description

The pilot case study school was an Oxfordshire County Primary School. It was a village school in the outskirts of one of the larger towns of the county. The community was predominantly white (99%) with an unemployment rate of 11.2%¹⁵

The school was opened in 1913 as an all age school and became a primary school in 1957. It consists in the main of two sections, namely the old building and the new building. In the old part of the school there are six mainstream classes, a hall, reference library, book shop, deputy headteacher's room... and administrative rooms for *an on-site special school for mentally and physically handicapped children*. In the new building there are five mainstream classes, two *special classes*, a hall... secretary's office and the headteacher's office. There is a separate building which is an indoor heated swimming pool. Outside *there are* two playgrounds, large playing fields, a pond, a nature area... [from the school prospectus]

Students

Students on roll as of January 1994: 266. The classes were vertically grouped in a three-tier structure, infant, lower junior, and upper junior. All classes are grouped in two years. There were two reception and year 1 classes, and two years 1 & 2 classes in the infant department. The lower junior department was comprised of three years 3 & 4 classes. In the upper junior department, there were also three classes of years 5 & 6.

¹⁵ 1991 Census data.

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Staff description

In addition to the headteacher, there was a (.4) deputy headteacher and teaching staff comprised of 13 teachers, 5 of which are part-time. The remainder of the staff included a full-time bursar/secretary, 4 support staff, 3 itinerant music teachers, 8 non-teaching staff (Learning Support Assistants), a caretaker, 2 cleaners, a catering supervisor, 4 kitchen staff, and 5 playground supervisors.

Research contact

18 visits were made to the pilot school for a total of 80.5 hours for purpose of the collection of data. Dates, length of visit and the primary activity undertaken in the field visit are indicated in Appendix 3-E.

3.5.3 Interview pilot

A series of four semi-structured interviews were accomplished with the headteacher. In all cases, the interviews extended over a period of several days. Single interviews were also conducted with the deputy headteacher and three selected teachers.

Transcripts of these interviews were provided to the participants for verification of accuracy and consent for further use. In addition, the headteacher was specifically asked to identify any questions which were confusing or irrelevant and further questions were developed during the pilot study, largely as follow-up questions to central questions on the interview schedule. In addition, the researcher had colleagues at the OUDES review the questions for clarity and presence of culturally specific terms. Each of the interview schedules were then modified to represent the changes suggested through the pilot study and through collegial critique. The pilot interview schedules and final forms are included in Appendix 3-F.

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Observations

During each of the site visits a number of headteacher activities were observed. These activities are in addition to the extended semi-structured interviews that occurred. The activities and events observed are outlined in Appendix 3-E. Several key activities were decided upon prior to the case study, such events as staff meetings, school assemblies, and meetings with individual teachers. However, during the course of the study, a number of other events and activities presented themselves as appropriate to the researcher for inclusion. In all cases, the observations were chosen to reveal *leadership and management* activity of the headteacher.

3.5.4 Documentation availability

The headteacher participant in the pilot case study was open and helpful in providing access to the variety of documentation that was available. Free access was given to all these documents, and the researcher engaged in a thorough reading of each, especially evaluating the document to see what it would illuminate regarding the ethos of the school, or the headteacher's conception of his role in the school.

3.5.5 Observation and stimulated recall

As part of the non-participant observation process, it was decided to use methods of stimulated recall. The challenge is, of course, to gain what Jorgensen (1989) calls 'the insiders' viewpoint', to understand the social situation from the perspective of the headteacher. During the course of the pilot study, and subsequent case studies, the headteachers were observed in a variety of situations in which immediate questioning would not be possible, but the headteacher's viewpoint would be helpful. An example is the headteacher's decision-making during the course of a staff meeting. In observation, it was inferred by the observer that the headteacher had either altered

what he was going to say, or had made other changes in the progress of the meeting. These situations were noted in researcher field notes and brought up again at a time that the headteacher and researcher were able to discuss the situation in question.

In a stimulated recall session, the researcher would describe the context of the observation, discuss what the observer presumed to be the participant's choices, actions, etc. and then ask the headteacher to confirm, explain, or correct. This periodic checking ensured that the researcher was not making erroneous assumptions about the actions or cognition of the headteacher.

As Jorgensen (1989) notes, 'It is not possible to acquire more than a very crude notion of the insiders' world, for instance, until you comprehend the culture and language that is used to communicate its meanings' (p. 14)¹⁶. Certainly, this is also incumbent on the researcher if a phenomenological perspective (Schutz, 1967) is taken to the research.

Stimulated recall proved to be a useful strategy and often confirmed the researcher's interpretation of the situation. This adds to the validity of the study.

3.5.6 Repertory grid

The pilot study of the repertory grid technique was carried out between 20 April 1994 and 17 May 1994. Three headteachers¹⁷ agreed to participate in the pilot phase. The elements were selected by the researcher from case study data, and were modified during the pilot study. A plan for the pilot study is represented in Appendix G.

¹⁶ Jorgensen relies for his viewpoint on the work of Hall, (1959, 1966, 1976); Goffman (1959, 1974), and Douglas (1976) [cited in Jorgensen, 1989, p. 14]

¹⁷ The headteachers were drawn from the list of nominated headteachers and exploratory interviews. In two of the cases, the heads did not meet one, or more, of the criteria for main study participants; one did, but had declined to participate as a case study.

Choice of elements

The first decision was whether to use elicited elements, or supplied elements. As this study is largely centred on interactive and personal and professional development activities, the researcher decided to use elements that represent significant individuals that the headteacher interacts with in the exercise of his role. As Fransella and Bannister (1977) note, 'Elements are chosen to represent the area in which the construing is to be investigated' (p. 11). The validity of using representative elements to the context being investigated is affirmed by Yorke (1978).

The elements¹⁸ listed in Appendix 3-B represent those individuals that came to light as *elements* in headteacher interaction through preliminary interviews and the pilot study. The elements represent individuals within the school, and external, yet regularly in contact with the headteacher.

Each of these elements meet the criteria outlined by Fransella and Bannister (1977, p. 13). They are:

- *within the range of convenience of the constructs to be used.* Since the constructs sought are within the realm of school relationships, the above identified elements are most likely to reveal those constructs that guide headteacher cognition in the context of the school
- *representative of the pool from which they are drawn.* Each of the potential elements listed above represent the larger groups of individuals who interact with the

¹⁸ A number of the elements listed are variations of ones suggested by Kelly in Fransella and Bannister, (p. 11)

headteacher in school management and leadership, especially in directly shaping the governance of the school.

Random sampling was not chosen for the formation of triads. The rationale was based on the assumption that there are important relationships that have arisen from the case studies that bear further examination. An example of this is the often mentioned group of *confidants*, such as the secretary and the deputy. It would seem important to examine that particular triad, including the headteacher, to see what underlying construct guides that relationship. Likewise, there are other relationships representative of power and authority, including the chair of governors that are specific relationships to which further data was desired. The deliberate selection of triads has precedence in Kelly's own work. In all stages of the pilot, each of the elements were allotted to a triad an equal number of times.

A decision was made to use the headteacher as one of the elements¹⁹. The reason for including 'self' was that the inclusion of the respondent helps to assure personal relevancy of the constructs (Fransella & Bannister, 1977, p. 15).

Triads were varied by two elements at a time, as recommended by Yorke (1978), built upon Bender's 1974 study, which, 'found significantly greater tendency to produce important constructs when successive triads were varied by two elements at a time' (p. 65).

Elicitation procedures

Initially, the question must be asked whether it is more useful to supply or elicit constructs. As a central interest of this study is to identify the constructs headteachers

¹⁹ In the sorts, this element was referred to as 'self as a headteacher'.

use—not, primarily, to make comparisons from one case to another—it is more useful to elicit the constructs from the headteacher participants.

A combination of the ‘Minimum Context Card Form’ and a partial ‘Self-Identification Form’ was used, where triads selected from the elements were presented to the respondent. This assured that for a sample of the constructs, ‘self’ was included and assured that the constructs remained personally relevant.

Following a pilot study, which is outlined in the next section, a rating form was used in each of the triadic sorts. In the administration of the repertory grid, the respondent was asked to identify the way in which two of the elements were alike and different from the third. The participant was then asked to identify the contrast pole of the elicited construct. Finally, the respondent rated the elements from 1-5 on each construct as a measure of the strength of representation of that construct.

Methods of elicitation and sorting at each stage

In the stage I pilot, the respondent was asked to rank all of the elements on each construct. In stage II, the respondent was asked to assign one half of the elements to the elicited construct and the other half to the contrast pole. Finally, in stage III, the respondent rated the elements from 1-5 on each construct as a measure of the strength of representation of that construct.

Identification of the contrast pole

In the first stage of the pilot, the respondent identified the contrast pole by discussing how the non-selected member of the triad was different from the pair. This proved to be difficult for the respondent and yielded constructs that were not truly bi-polar. In

stages II and III of the pilot, the contrast pole was obtained by asking the respondent to identify in his or her own words what the opposite of the elicited construct would be.

The strengths and weaknesses of each of these methods is discussed in the findings section of each stage report in Appendix B, the Pilot Study Report. of the Repertory Grid.

Final Repertory Grid Form

In the final form of the repertory grid, an array of twelve elements, presented in triads on twelve sorts was the chosen procedure. The justification for that decision is based on the following points:

I. The pilot study clearly showed a drop in the respondents' ability to provide new constructs after the 12th to 14th sort.

II. As Smith (1980) points out, 'Clearly, with large and undefined grids, there is a danger that rapport collapses and that the quality of the response is poor' (p. 211).

III. Due to the limited nature of headteacher time, administration needed to be able to be accomplished within an hour time frame. Greater than 12 sorts would require additional time.

IV. 12 sorts is within the range recommended by Bannister and Mair (1968, p. 25).

The rating method was chosen as the means for allocation of elements to constructs. There are three reasons why this was deemed to be the most appropriate method for this study:

- A. The advantages for the number of sorts and method of grid design are more numerable than in the other methods of allocation.
- B. It 'gives the subject as much freedom as possible to express his judgement' (Bannister & Mair, 1968, p. 66).
- C. Yielded useful and reliable data in the pilot study.

As the repertory grid can be viewed for its elegance and its wide use in a number of social contexts, it retains the ability to be an illuminating portion of the study. The researcher would want to reinforce, however, that the repertory grids served only as a secondary source of data for this study and was largely viewed in terms of its ability to provide a triangulated point of reference for other, more rich observations²⁰.

3.6 Analysis Techniques

In its simplest form, 'data analysis consists of examining, categorizing, tabulating, or otherwise recombining the evidence, to address the initial propositions of the study' (Yin, 1989, p. 105). Or, as Hitchcock and Hughes (1989) state, 'the attempt to organize, account for, and provide explanations of data so that some kind of sense may be made of it' (p. 73) Although quite basic, these definitions set the parameters

²⁰ Due to the complexity of repertory grid design and analysis, however, a thorough review of its use in this study is presented; but its overall weight should not be inappropriately inferred from the amount of necessary explanation in this thesis.

for the coverage of this section; for an examination of the strategies and modes of analysis that answer the questions of this study.

Yin (1989) reminds readers of the importance that a research study carefully, and fully consider a general analytic strategy and more specific modes of analysis in handling of the data of a study. This researcher has been influenced by a number of sources in consideration. In the first case, the research methodology coursework offered to first-year OUDES research students provided a thorough grounding in the means data collection and analysis. In addition, this researcher has been largely guided by the approaches of Miles and Huberman (1984) and Patton (1990). Through this research training, and the tools presented by the above listed sources, a research analysis plan was developed and implemented.

In terms of a general strategy, this study follows a reliance on theoretical propositions as suggested by Yin (1989). It is the integrated nature of this general strategy which, as Yin describes, 'the propositions would have shaped the data collection plan (and the research questions) and therefore would have given priorities to the relevant analytic strategies' (p. 106). It is the theoretical propositions of this study which have served to delimit the data, influencing the scope and coverage of the analysis.

In the first case, analysis for this study proceeded during the data collection phase. This continual analysis is necessary to develop and modify the data collection strategies during data collection and to begin to develop a 'thick' description of the situation under study (Bogdan & Biklen, 1982; Goetz & LeCompte, 1984; Lofland, 1971 [cited in Merriam, 1988]). It is during this phase that Bogden and Biklen (1982) identify nine suggestions for analysis during collection:

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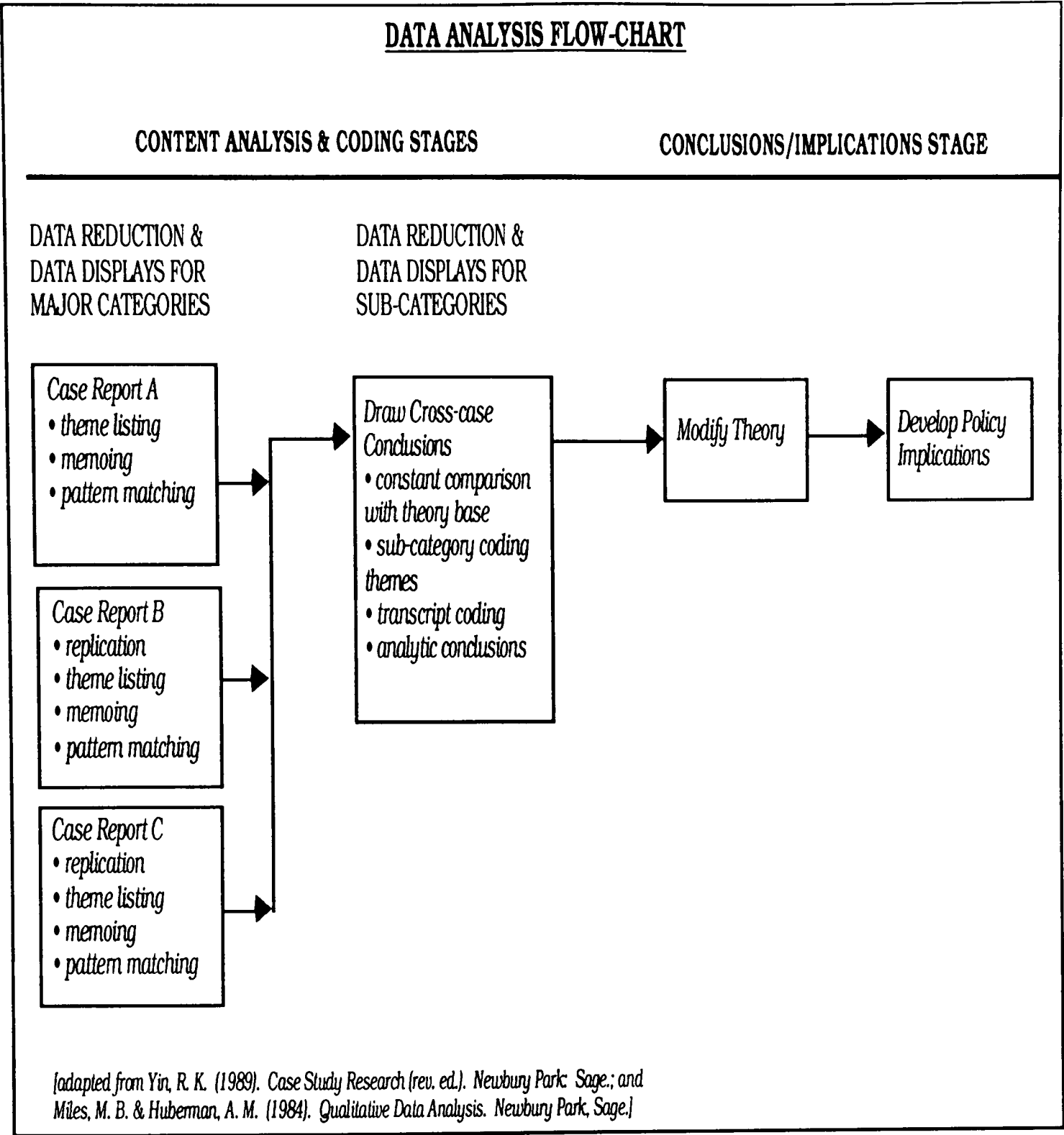
1. Force yourself to make decisions that narrow the study...
2. Force yourself to make decisions concerning the type of study you want to conduct...
3. Develop analytic questions...
4. Plan data collection sessions according to what you find in previous observations...
5. Write many 'observer's comments' as you go...
6. Write memos to yourself about what you are learning...
7. Try out ideas and themes on subjects...
8. Begin exploring literature while you are in the field...
9. Play with metaphors, analogies, and concepts...

(Bogdan & Biklen, 1982, pp. 147-154) [Cited in Merriam, 1988, pp. 124-5]

In the second case, analysis *after* data collection has been completed, the nature of the analysis takes on a number of different methods. In this second phase, the analysis moves from an expanding view to narrowing focus (Miles & Huberman, 1984); preparing the data in such a manner as to facilitate review and analysis. Miles and Huberman (1984) refer to this preparation as creating data displays.

A plan which guided the analysis phase of the research was developed by the researcher and is represented in Figure 3-3.

Figure 3-3 Data Analysis Flow-Chart



The purpose of stages of analysis during data collection, planning for final analysis was useful to the researcher. However, in retrospect, the researcher would have taken far more time for analysis during research. In reviewing the progress of the three case studies it is apparent that there was a tighter bounding of the data collection as the case studies progressed; however, a much greater degree of clarity informed by during-research analysis would have saved significant time at the final analysis stage when the researcher had to retrospectively engage in data reduction.

3.6.1 Content analysis

A content analytic methodology was used in the final data analysis. Content analysis is ‘a multipurpose research method developed specifically for investigating a broad spectrum of problems in which the content of communication serves as a basis of inference’ (Holsti, 1968; [cited in Cohen & Manion, 1989, p. 60]). Patton (1990) sees content analysis as ‘the process of identifying, coding, and categorizing the primary patterns in the data (p. 381).

Again, the method is inductive, relying on the data itself to *tell the story* rather than comparing the data to an hypothetical test, or even a Popperian endeavour of falsification. Although the early origins of content analytic application were to ‘quantify’ communication data (Cohen & Manion, 1989, p. 61), the methodology itself has evolved to be much more broad in its use. This writer also views simple quantification as a questionable qualitative strategy in interpretive research.

The focus of content analysis, as in Glaser and Strauss’s (1967) ‘grounded theory’ approach, is to allow the data itself to determine the shape and specifics of the analysis, to generate theory from the research process itself (Glaser & Strauss, 1967. p. 6).

Although this research is not testing out research, it is also not free of a framework of existing theory. The existing formal and substantive theory (Glaser & Strauss, 1967) helps to delimit the range of the study and raises questions which guide the data collection. However, the researcher is quite open to, and freely accepts, the fact that existing models and theory may be disproved by my data. A vantage point is chosen from which to *paint a picture*, this vantage point is that influenced by existing theory, serves as a platform but is not the picture that is painted. In this way, the content

analytic strategies of this thesis are viewed as a discourse between theoretical constructs, and post-hoc category generation.

3.6.2 Data displays and data reduction

The first challenge in a qualitative study is to organise the data in a manner which lends itself to ease of retrieval, organisation, and review. In this study, the volume of data generated was, at times, overwhelming and presented a daunting challenge in organisation²¹. The full data from each case study included: headteacher interview transcripts (averaging 40,000 words per headteacher), transcripts from interviews with the deputy, selected staff; questionnaires returned, documents and copies of documentary evidence; fieldnotes and analytic memos (Miles & Huberman, 1984); and repertory grid data.

To prepare the data for analysis, several strategies were employed and steps undertaken.

Interview data

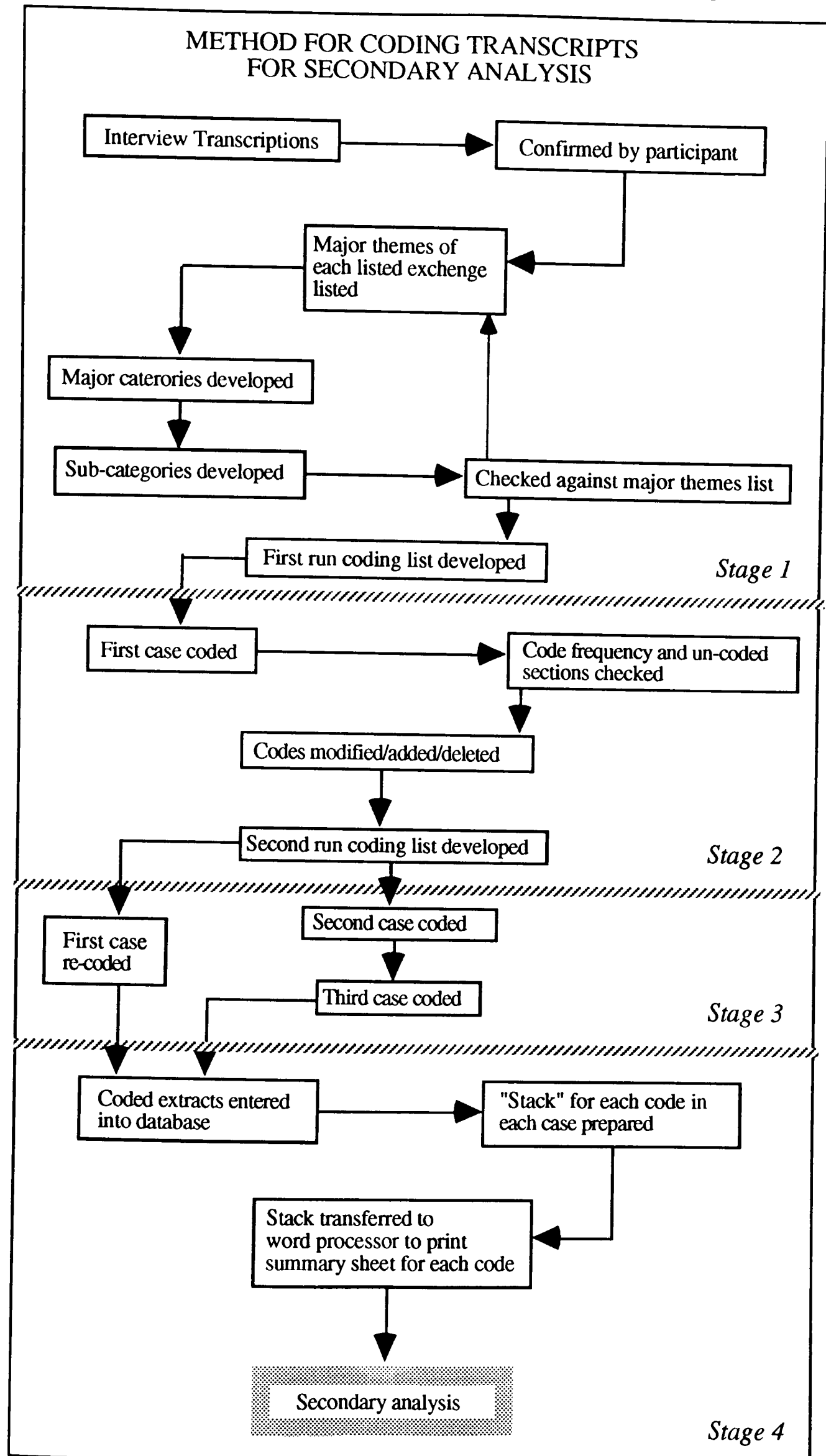
The interview data, in the form of transcripts was handled differently for the headteachers and the other members of staff interviewed. As the headteacher interviews formed the primary data source, these interview transcripts were retained in full form for the purpose of analysis. Interviews with the deputy headteacher and other selected teachers served as secondary data and were therefore handled differently. All non-headteacher interviews were transcribed, then an interview summary prepared.

²¹ Although warned by Patton (1990, p. 379), the researcher was surprised by the volume of the data, and the time needed for organisation.

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The volume and centrality of the headteacher interview data necessitated development of a extensive method for coding and analysis. The careful handling of this data was central and the process informed by Merriam (1988); Miles and Huberman (1984); Patton (1990); and Yin (1989). The researcher developed a four-stage process for handling of the headteacher interview data, which is represented in Figure 3-4.

Figure 3-4: Headteacher interview data preparation and coding



In the first stage, the transcriptions had been prepared and confirmed by the participants as accurate representations of the interviews. In accordance with agreement, the participants retained the right to strike material that they wished to remain 'off the record'. In all cases, the transcripts were agreed as accurate, although each participant found the *verbatim* nature of the transcript material to be startling. Only in one case was any meaningful material omitted, which consisted of a small section of transcript about a supervisory event which took place with an individual member of staff.

From the full transcripts, a review was conducted a list of themes, words, and phrases was made from every exchange through the interviews. This extensive list was then reviewed and a list of major categories and sub-categories was developed. The researcher then compared this coding list against the thematic listing to see that every theme listed fell under a code.

In the second stage, the first case was coded using the initial coding list. Following coding, the frequency of codes and those sections left un-coded were examined²². It became clear that the codes needed a slight degree of modification. New codes were added, and confusing or repetitive codes were deleted. From this review, the a second coding list was developed, the full list which is included in Appendix 3-H. The first case was then re-coded along with the second and third cases in the third stage of data analysis.

Finally, the coded extracts were entered into a database to facilitate manipulation and sorting. A 'stack' of coded segments was prepared for each code, transferred back to

²² Un-coded sections were coded with a 'puzzles and queries' code to indicate that they did not seem to fit under any of the existing codes.

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a word processing programme and printed as a single summary. The frequency of each code used is included in Appendix 3-I.

For the headteachers, following category coding, analytic memos and preliminary models and summaries were prepared to assist in analysis. In the preparation and presentation of this material, Miles and Huberman (1984) served as a guide. As noted by Patton (1990), 'While working inductively the analyst is looking for emergent patterns in the data. These patterns... can be represented as classification schemes, themes, and categories' (p. 411).

The results of this analysis are included in the findings chapters, Chapters 4 to 6.

Field notes

Field notes, in the form of observational notes, and analytic memos, were kept from each study. In order to incorporate their contribution to the analysis, relevant fieldnotes and analytic memos were coded and included in the database with the interview selections.

Documents

For each of the case study sites, a listing of the documents reviewed and a summary of their relevance to the analysis was prepared. These summary tables appear in the findings chapters.

Repertory grid analysis

It might be claimed that the use of quantitative analysis in what is certainly a qualitative study is both inappropriate and paradigmatically compromising (Guba &

Lincoln, 1981). This researcher would argue, however, that this quite limited paradigmatic diversity does not represent a change the essentially inductive intent of the study.

The use of factor analytic strategies in the examination of the repertory grid data has been simply to provide one more means of understanding and organising the data. In no way does it change the questions of this study. The questionnaire remains a qualitative data source for the study, a quantitative analysis strategy was employed simply to assist in ordering the data.

Second, such a view is supported by Patton (1990), who sees methodological diversity as a means of enhancing triangulation, and therefore supporting the credibility and validity of the claims of the study (Patton, 1990, p. 193).

The data from the repertory grids has been analysed in two ways:

1. Heuristic examination of the data.
2. Statistical - Principal component analysis (factor analysis).

In keeping with the qualitative nature of this study, an emphasis on heuristic examination is philosophically and procedurally defensible. Even in the presentation of a highly quantitative approach, Rathod (1981) reminds us that, 'a numerical procedure need not²³ be considered a substitute for heuristic examination' (p. 129). Indeed, careful reflection on the lists of constructs provided in each of the three stages of the pilot reveal interesting aspects of the cognition and values of headteachers.

²³ The writer would make the more declarative statement, 'should not'.

Statistical analysis of the rank order, split-half, and rating data was accomplished using the statistical programme, SPSS (Statistical Package for the Social Sciences) Release 4.0 for the Macintosh computer. Analysis was carried out using the OUDES Macintosh IIsi.

As suggested by Fransella and Bannister (1977), 'A *principal component analysis* requires no assumptions about the data being analysed.' The second stage of the factor analysis was a Varimax rotation of the original factor analysis. The researcher's intent was to keep the manipulation of the data as simple as possible, as Kline (1994, pp. 67-68) suggests, the Varimax rotational method is the most efficient procedure.

3.6.3 Triangulation procedures

Finally, a word about the nature of triangulation is necessary, as this study employs multiple methods, as well as multiple case studies. Triangulation is commended as a means of strengthening a study by Cohen and Manion (1989) Merriam (1988), Patton (1990). Patton reminds readers of triangulation's origins in land surveying as a means of determining points accurately, but also makes the interesting assertion that, '*triangulation* also works metaphorically to call to mind the world's strongest geometric shape—the triangle (e.g., the form used to construct geodesic domes à la Buckminster Fuller)' (p. 187).

Methodological triangulation assures that the weaknesses in one method of data collection are compensated through the use of an alternative method. Whereas an interview may reveal espoused theory, observation or other individuals serve to confirm an agreement with theory-in-action (Argyris & Schön, 1974).

Triangulation is mentioned as a strategy that should be viewed with caution, if it is used to marry incommensurable research strategies (Bryman, 1984). The weakness of Bryman's argument lies in the fact that he blurs the distinction between philosophical incommensurability with the many different types of triangulation that may be used.

Patton (1990) identified four types of triangulation:

- (1) *data triangulation*—the use of a variety of data sources in a study;
- (2) *investigator triangulation*—the use of several different researchers or evaluators;
- (3) *theory triangulation*—the use of multiple perspectives to interpret a single set of data; and
- (4) *methodological triangulation*—the use of multiple methods to study a single problem or program. (p. 187).

This study utilises data, theory, and methodological triangulation for the purpose of strengthening the conclusions, providing a wider range of possible explanations, and recognising the complexity of the social situation in which this study occurred—the primary school.

3.6.4 Concluding comments

What this section has sought to do is to provide a bridge between the plans for data collection and the production of the findings of this study. The analytic strategies described here are *sense-making* activities, chosen, designed and implemented to act as a map through the terrain of vast amounts of data, with the purpose of finding what the data proclaims and to compare that with the theoretical base which informs this research. Focusing, narrowing, and rigour were the watchwords of this component of the study.

3.7 Conclusion

The final section of this chapter aims to address methodological strengths and limitations associated with this study and its design. No individual method is foolproof and will answer all research questions adequately. It is the awareness of the researcher in consideration of all of the elements of strength and limitation which mitigates against crippling the study.

3.7.1 Strengths of design and analysis

Southworth (1995) outlines the strengths of ethnography for his study of primary headship. It is useful to look at his application of methodology because of this study's similar domain of research. Although the research questions and findings from this study are markedly different, this writer sees important links between the two studies. It is within these links, that the general methodological similarities retain a degree of currency.

Southworth (1995) notes four aspects of ethnography which make it useful for this kind of study. First, 'Ethnography is fundamentally concerned with understanding groups and cultures' (p. 29). Second, 'Ethnographers place particular emphasis on describing, often in detail, the social interactions and settings of the subjects they are studying' (p. 30). Third, interpretation is necessary because ethnography is essentially concerned with the *meaning* of action and events to the people who we seek to understand' (p, 30). Fourth, 'description and interpretation facilitate the discovery of meanings which, when explicated, can be used to test existing social theories about how groups and individuals are thought to behave' (p. 31.).

Southworth's points are largely based on the cited work of Wolcott (1975); Hammersly and Atkinson (1983), Spradley (1980) and Woods (1986) [cited in Southworth, 1995, pp. 29-31].

3.7.2 Criteria for Judging the Quality of Case Study Design

As outlined by Yin (1989)

The purpose of this section is to address the four tests for judging the quality of this case study. The four tests, which apply to any social science research, are as follows:

- *Construct Validity*: establishing correct operational measures for the concepts being studied;
- *Internal Validity* (for explanatory or causal case studies only, and not for descriptive or exploratory studies): establishing a causal relationship, whereby certain conditions are shown to lead to other conditions, as distinguished from spurious relationships;
- *External Validity*: establishing the domain to which a study's findings can be generalized; and
- *Reliability*: demonstrating that the operations of a study—such as data collection procedures—can be repeated, with the same results. (Yin, 1989, pp. 40-41)

Each of these tests is taken in turn and applied to the context of this study.

Construct validity

Yin (1989) correctly identifies this as one of the more *problematic* issues for case study research. In the practice of case study research, construct validity is often the 'chink in the armour' that must be dealt with when one's work is being reviewed.

However, as Yin points out, there are steps that can be taken to deal with the charges of subjectivity.

It should be noted, however, that the charge of subjectivity in data collection are in many senses correct and welcomed. As was covered earlier in this chapter, this study is built on a number of philosophical assumptions, not the least of which is that in phenomenological research, the subjective interpretations of the researcher are not only a part of the research, but are in fact *necessary*. The subjective interpretations of the researcher and the researched will be a considered part of the data collection and will add to the necessary understanding of the 'deep structures' of the social situation under inspection.

In this study, it is important to address the issues of how such concepts of *reflection* and *leadership* in the primary school setting were operationally measured. These are challenging concepts to objectify in even the simplest of social situations, and certainly in the extremely complex and dynamic environment of the primary school. As suggested by Yin (1989), there are three steps which are undertaken to address construct validity in this case study.

The first tactic is the use of 'multiple sources of evidence'. As Yin (1989) points out:

The use of multiple sources of evidence in case studies allows an investigator to address a broader range of historical, attitudinal, and observational issues. However, the most important advantage presented by using multiple sources of evidence is the development of converging lines of inquiry... Thus, *any finding or conclusion in a case study is likely to be much more convincing and accurate if it is based on several different sources of information* [italics added] (p. 97).

As mentioned earlier, multiple sources of evidence in this multi-site case study included interview, observation, questionnaire, document, repertory grid data. The multiple sources allowed for the researcher to check espoused views of the headteacher against other sources for confirmation.

The second tactic that Yin (1989) suggests to bolster construct validity, as well as reliability, is to *maintain a chain of evidence*. The chain of evidence is described as a

written case study report which allows the reader, 'to follow the derivation of any evidence from initial research questions to ultimate case study conclusions' (Yin, 1989. p. 102). To address this tactic, the researcher used a system of three logs:

(1) a *data collection log* in which were maintained a listing of any contacts with informants or research activities;

(2) a notebook for *field notes*, in which were maintained summaries of data collected via the different sources; and,

(3) a *research journal*, which recorded the development of the investigator's research thoughts and a chronicle of questions and considerations for theoretical development.

A third tactic, suggested by Yin (1989, p. 143), is to have key informants review the draft case study report'. As Yin further states, 'Such review is more than a matter of professional courtesy. The procedure has been correctly identified—but only rarely—as a way of corroborating the essential facts and evidence presented in the case report' (p. 144).

In all cases, the interview transcripts were returned to the participants to assure that they represented the exchanges as they recalled them.

Internal validity:

It is important to note that Yin (1989) quickly dispatches attention to internal validity unless one is involved in experimental or quasi-experimental research. This requires an identification of the aims of this research, whether it is causal or explanatory; or theory-building and illuminative. Clearly, this research falls into the category of the latter.

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This researcher takes a somewhat less dismissive approach than Yin (1989) toward tactics for addressing internal validity in theory-building case studies. Tactics, such as pattern matching, explanation-building, and time-series analysis can have a role of degree in even research not specifically experimental.

Pattern matching, the act of comparing a predicted pattern with one from observation has little impact on this study, as it is not involved in making predictions. There is, however, an underlying element of this activity which is useful. Although the researcher refrains from prediction, there are hypotheses, more stated as expectations, associated with the research questions which had a bearing on the data analysis. If, due to *a priori* reasoning, it was found that observations are in agreement with expected environments, then a greater trust in the integrity of planning can be assumed.

Explanation building and time series analysis have less application to the nature of this study, but are not dissimilar in some regards to the data reduction, conclusion drawing and verification that will take place as the collection of data proceeds (Miles & Huberman, 1984, p. 22).

External validity

The generalisable nature of case study research is a complex topic in and of itself. Clearly, a discussion of whether this study is intended to be of a generalisable nature is a philosophical question that addressed earlier. As a means of review, the value of this particular study is found in its *relevance* to readers, and in that sense, the generalisability will lie with the readers to affirm the analytic bearing to their reality.

Yin (1989) clearly recognises the difficulty presented by the test of external validity to case study research, as he states, 'The external validity problem has been a major barrier in doing case studies, Critics typically state that single cases offer a poor basis for generalizing' (p. 43). The problem, as Yin points out, is that a parametric, perhaps even *positivistic*, paradigm is being employed when statistical generalization is not the intent; rather, the focus for the case study researcher is on 'analytical generalization', which Yin goes on to describe as the investigator, 'striving to generalize a particular set of results to some broader theory' (p. 44). In this study, attempts are made to bring the results of the cases to bear on the broader theoretical realms of transformational leadership and reflective practice in primary schools.

The tactic which Yin (1989) describes for addressing external validity is that of replication logic in multiple-case studies. In other words (without implying an experimental framework) how the theoretical presuppositions and the theoretical findings are supported as the research proceeds from case to case.

Reliability

This final test has similar features to external validity, in that it addresses the issue of replication; or, as Yin (1989) states,

If a later investigator followed exactly the same procedures as described by an earlier investigator and conducted the same case study over again, the later investigator should arrive at the same findings and conclusions... The goal of reliability is to minimize the errors and biases in a study. (p. 45)

Yin (1989) suggests two tactics for dealing with reliability in case study research, using a 'case study protocol' and the development of a 'case study database' (p. 45). Once again, Yin, makes it clear by saying, 'The general way of approaching the reliability problem is to make as many steps as possible as operational as possible,

and to conduct research as if someone were always looking over your shoulder' (p. 45).

The point of establishing a case study data base is to provide the opportunity for subsequent researchers to be able to examine the original data. The caution is to not have the only source of data restricted to the case report (Yin, 1989, pp. 98-9). The method that the researcher used for archival and retrieval purposes in data collection was two-fold: First, there is the 'raw' data' in the form of interview tapes and transcripts, field notes, observation matrices, survey results, and any other instruments that might develop from the pilot study.

The second, as a form of data-sorting was the use of a computer, and particularly a database programme²⁴ which allowed extensive coding and sorting of qualitative data.

3.7.3 Linking to Chapter 4

The belief that validity is an issue of equal concern in qualitative or quantitative research is open to debate. Wolcott (1990) in his striking personal recounting of ethnography raises the question whether it is an appropriate concept at all in qualitative research. He claims;

Perhaps that is the critical point of departure between quantities- and qualities-oriented research. We cannot "know" with the former's satisfying levels of certainty; our efforts at understanding are neither underwritten with, for guaranteed by, the accumulation of some predetermined level of verified facts. (p. 147)

This issue of *understanding* of, explaining and interpreting remains challenging for the qualitative researcher. This writer, however, believes that Wolcott's points stated earlier in his chapter, reveal that the under girding is methodological rigour. It is the

²⁴ FileMaker Pro™ for the Macintosh computer

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commitment to such things as ‘recording carefully’ (Wolcott, 1990, p. 128), and ‘using multiple sources of evidence’ (Yin, 1990, p. 85) which create the only defensible framework from which to make claims of understanding.

The outline and strategies of this chapter are designed to point the way to the presentation of the findings; to orient the reader to the disciplines, philosophical views, strategies and methods used to conduct this research.

In the next chapter, the purpose moves to communication of the findings. Patton (1990) calls this a ‘*Creative synthesis...* the bringing together of the pieces that have emerged into a total experience, showing patterns and relationships’ (p. 410). As Patton goes on to say,

This phase points the way for new perspectives and meanings, a new vision of the experience. The fundamental richness of the experience and the experiencing participants is captured and communicated in a personal and creative way. In heuristic analysis [which this study is], the insights and experiences of the analyst are primary, including drawing on “tacit” knowledge that is deeply personal (Polanyi, [1967] 1983). (Patton, 1990, p. 410)

CHAPTER 4

HEADTEACHER CASE STUDY: KEN MILLER ARBRIDGE COUNTY PRIMARY SCHOOL

A team philosophy is a big thing in my (mind)... effective leadership is a person who can weld or mould a team together to work for one cause, if you like. (KM-A:1/1-1005)

4.1 Introduction

Chapters 4 to 6 represent the reporting of the central findings from the data of each case study. Each of the three case studies is reported separately in keeping with the distinct character of each of the participants. A meta-analysis of the conclusions from each of the three case studies is presented in Chapter 7. The case studies are presented in reverse order to that of data collection. The reason that a reverse chronological order was selected was to counter possible disproportionate attention given to the first case study (Yin, 1989).

A 'linear-analytic' organisational structure is employed to the report of findings of the case study. This is recommended by Yin (1988) as, 'the most advantageous when research colleagues or a thesis... committee comprise the main audience for a case study' (p. 138). In keeping with a linear-analytic structure, the chapter is divided into five sections. In the first section, the case and scope of data are described. Sections two through four deal with the three broad categories of data from the study: *conceptions of leadership, forces on headship, and headship in action*. The final

section addresses the significance and conclusions of this case study in light of research questions, suggesting broader links to the study at large.

4.1.1 The school

Arbridge County Primary School was a maintained county primary school; a town school in a parish with a population in excess of 10,000. The demographic census information revealed a community that was 98% white, with 4% unemployed, 31% in social class II (managerial and technical), living in 82% owner occupied dwellings (1991 Census Data).

The school facility was 27 years old and comprised a main building, housing the hall, staff room, administrative offices and eight classrooms in a semi-open plan design. A further nine classrooms were located in 'Elliott' type buildings. The classrooms in the main building had access to common activity areas and some movable partitions in certain spaces. The school was planning a major construction project of new classroom space for 1995.

As of January 1994, there were 445 pupils on roll.

4.1.2 The staff

The teaching staff was comprised of 18 teachers. There were, generally, two teachers for each year group (reception to year 3); and 3 teachers for each year group (years 4 to 6). The senior staff group was comprised of the headteacher, deputy headteacher, and 4 senior teachers with responsibility for curriculum co-ordination.

In addition, the school had 6 LSAs and further clerical and support staff.

Interviews were conducted with the deputy headteacher and 3 selected teachers. The deputy headteacher was interviewed on 6.6.94, and the three teachers on 9.6.94, 15.6.94, and 16.6.94. The main study interview schedules contained in Appendix 3-F were used for these interviews. Summaries of the interviews with the deputy and three teachers are found in Appendix 4-A, and 4-B. Further contributions of the deputy headteacher and teachers to the central questions of the study are discussed at appropriate points in this chapter.

4.1.3 The headteacher

Mr. Ken Miller, age 47, had been headteacher at Arbridge for the last 7 years. An educator for 25 years, Arbridge was his second headship and fifth primary school. Mr. Miller had taken his B.Ed. in 1981, and had been both an infant teacher and P.E. and games teacher prior to moving into a deputy headship.

As a participant in the study, Mr. Miller was open and receptive to the researcher's request for access. A rapport was quickly established, and at no time were requests for information or data denied or put-off. As with all the case participants, scheduling of time created the greatest challenge. Finding extended periods of time for interviews necessitated careful planning and flexibility on the part of the researcher. The researcher was introduced to the staff by the headteacher and was readily welcomed to observe staff meetings, governor sub-committee meetings, school activities, parent visits, and management team meetings.

During the time of data collection, another researcher from the Open University was also conducting a study. His study did not overlap with this research, and was primarily centred on staff interactions. The writer included this, as it was characteristic of the headteacher's openness toward visitors in the school.

It should be noted¹ that following the theft of some of the researcher's data the headteacher agreed to be re-interviewed on the missing questions. This re-interview occurred on 17.1.95. The researcher had hand-written notes from the first interviews, and skeletal points were shared with the participant to place the discussion in the context of the original interviews.

4.1.4 Scope of data

The period of primary data collection was from 14.4.94 to 26.7.94. A total of 44.5 hours were spent at the school interviewing or observing. An outline of the primary fieldwork activities and dates is found in Appendix 4-C. The primary source of data was the headteacher interviews; as indicated earlier, the other sources of data served as triangulatory measures to theoretical conclusions in the primary data source.

4.2 Conceptions of Leadership

The central part of the study at Arbridge Primary School was to determine how the headteacher, Ken Miller, conceived of leadership. Particularly, the researcher was interested in the conceptual framework that the headteacher brought to his position, how that framework developed, and in what manner it manifested itself in the school.

It should be noted that the researcher recognised the challenges to the validity and reliability of self-reported data (Oppenheim, 1992, p. 147-8). Patton (1990) indicates the limitations of interview data as self-reporting of perceptions:

¹ Further data collection took place on 17.1.95, as 90 minutes of interview recording had been stolen in a burglary at the OUDES in October 1994. As the tape had not been transcribed, the headteacher agreed to be re-interviewed on the questions that were lost.

Those perspective and perceptions are subject to distortion due to personal bias, anger, anxiety, politics, and simple lack of awareness. Interview data can be greatly affected by the emotional state of the interviewee at the time the interview takes place. Interview data are also subject to recall error, reactivity of the interviewee to the interviewer, and self-serving responses. (p. 245)

The research sought to mitigate the potential for distortion through three strategies; first, through the use of multiple sources of evidence. For example, if the headteacher reported his style as being ‘delegatory’ could staff members confirm that decision-making and responsibility had been delegated to them.

A second strategy, especially with central questions of the study such as perceptions of leadership, was to have multiple forms of the same category of question and then look for consistency of responses.

Finally, as noted in Chapter 3 (Section 3.7.2), maintaining a *chain of evidence* through fieldnotes, analytic memos, and systematic data collection strategies allowed for a greater degree of confidence in the conclusions drawn.

In the end, however, the researcher recognises that the primary data source, the headteacher interviews, only provides the conceptions, viewpoints, and oral history which the participants *chose* to share. Taken as a whole, the researcher believes the conclusions drawn to be presenting a compelling argument in the tradition of analytic generalisation.

4.2.1 Personal constructs

To contribute to a comprehensive understanding the of the headteacher’s conception of role, the researcher sought to identify the underlying constructs which guided the participant’s cognition. As outlined in Chapter 3, the repertory grid technique was

utilised to access those constructs². The full twelve constructs elicited are included in Appendix 4-D.

The repertory grid was administered on 26.7.94. Analysis of the rank-order data was carried out on 8.3.95 using the statistical programme, SPSS for the Macintosh computer. A factor analysis was completed using a varimax rotation. The programme was instructed to leave blank any correlation coefficients (*r*) less than (*r*=| .5 |).

From the data, two factors emerged which accounted for 79.0% of the variation. The factor loading obtained from the rotated factor matrices are shown in Tables 4-1 and 4-2:

Table 4-1: Super-ordinate construct/factor 1

FACTOR 1: <i>cognitive characteristics of the individual</i>			
No.	Emergent Construct	Contrast Pole	<i>r</i>
5	Organised in thinking and planning	disorganised	.98
10	better organised, plan with a clear plan-goal in mind	disorganised	.98
9	Are able to organise large events, organisational skills, detail planning	<i>not thinking through, disorganised</i>	.94
3	Experience, <i>learned from prior experience</i> , background experience	Not as capable of learning from experience	.91
6	lacking clear purpose, thought, ability to organise	intelligent, clear thinking, wider view, better perception of whole continuity	-.78
1	Deeper and clearer understanding of curriculum issues and are better equipped to explain them in a logical way	Can contain children, entertain, but not necessarily understand the process behind educational development	.77

² See Section 3.4.2 for a full explication of personal construct theory.

Table 4-2: Super-ordinate construct/factor 2

FACTOR 2: <i>perceived characteristics of effective professionals</i>			
No.	Emergent Construct	Contrast Pole	<i>r</i>
12	able to make decisions that affect people with confidence, have a tough edge	maintain a soft edge in decisions about people	.93
4	<i>An ability to put oneself in another's shoes; understanding and sympathy of another's experience</i>	<i>Not as able to see another's role.</i>	.90
7	Strength of character, <i>ability to handle the confrontation that comes with responsibility</i>	avoids situations where conflict or self confidence is at risk	.88
8	Tolerant, smooth over rough parts with people	self-assertive, wilful, <i>short with people</i>	.78
11	closer bond to the organisation, see in terms of a professional team	keep themselves outside the team	-.77
6	lacking clear purpose, thought, ability to organise	intelligent, clear thinking, wider view, better perception of whole continuity	.52
2	Greater empathy with personal issues in schools; more personal involvement	Not having a close association³	-.52

Interpretation of super ordinate constructs

Factor 1, the researcher identified as *cognitive characteristics of the individual*.

Constructs which loaded under this factor have to do with a variety of features associated with cognitive characteristics which are evidenced by the elements. Three of the factors directly reveal organisational expertise, and organised thinking. The other constructs deal with clear thinking; weighing the 'larger picture', or having a broader view; and logical thinking in curriculum planning and presentation.

Factor 2, the researcher identified as *perceived characteristics of effective professionals*. Constructs which loaded under this factor have to do with a variety of features associated with characteristics of effective professional practice. These

³ Construct is largely due to role in school, immediate attachment.

include such characteristics as effective decision-making, empathy, character strength, tolerance, perceptiveness and teamwork skills.

Interpretation of super ordinate construct anomalies

In Factor 1, the negative correlation of construct 6 indicated that the contrast pole should be compared with the other emergent constructs. The contrast pole has apparent coherence with the other factors as well.

Factor analysis indicated a negative correlation with constructs 11, 6, and 2. Once again, the contrast pole for construct 6 exhibits an apparent relationship with the other constructs. However, constructs 11 and 2 present a puzzling picture. The low correlation coefficient for construct 2 renders its inclusion inconclusive; furthermore, construct 11 does not present a clear picture as to what the informant was thinking in this relationship.

From the repertory grid data, a view of the central constructs that the headteacher presented is apparent. The constructs revealed, particularly those regarding organised thinking, teamwork, and planning were clearly revealed in the interview data as well. This will become apparent as the chapter progresses, however an early indication of the guiding constructs will help to contextualise the later conclusions.

4.2.2 Definitions of leadership

A initial challenge in this case study was to develop an understanding of how the headteacher defined and conceptualised leadership. As the literature indicates, as well as earlier chapters, there are a variety of interpretations of the terms *leadership*, *management*, and *administration*. Although the researcher was approaching the study

with a transformative and facilitative model in mind, it was the participant's viewpoint which truly mattered.

Metaphors used

One of the defining forces, and a reflection of the head's personal constructs, were the types of metaphors that were used in the articulation of leadership activities and roles. Ken Miller's metaphors had a clearly sport-oriented flavour. For example, when speaking of leadership and vision, the following exchange took place:

BP: Is that more of a pushing from behind, or a pulling from ahead?}

KM: I think there's a little bit of both in it... there has to be, on occasions, I do believe you have to do the pushing, you have to get in there and push the scrum forward yourself... (KM-A:1/1-1012)⁴

The source of this sporting metaphor is apparent as Ken Miller related his early influences:

KM: I played a lot of rugby... my background in sport is rugby, and I'm a sporting person anyway. So I've always been used to being part of a team of some sort or another. I think your life's influenced slightly by some of the things that happen in the early years. (KM-A:1/1-1001)

Further, when speaking of teamwork and the leader's role in a team concept, the headteacher stated:

KM: If you can get eight individuals to do something together (you are able to win) if you get seven people all doing things (on their own), it's useless.

⁴ The source notation used throughout this thesis for relation to the transcript is noted (participant-school: interview no./ question no.-analysis card no). As in this quote, it is from Ken Miller, Arbridge Primary School: Interview 1, question 1, analysis card 1012). The interviewer's words are preceded by 'BP'

I think again I believe that the qualities of any leader that you can get the front doing all the things you like... but if you've got a powerful group behind you all operating in the same way and moving in the same direction and you can motivate them to do that, then you've got together a powerful unit, rather than highly credible individuals doing an excellent individual job but actually no good working as a team.

So a team philosophy is a big thing in my... it's the team thing which I believe to be... effective leadership is a person who can weld or mould a team together to work for one cause, if you like. (KM-A:1/1-1005)

It's that kind of team bit, maybe it's my background in sport and knowing that one guy, one woman, doesn't make a team. A team depends on everybody pulling their weight...

If I've done anything, I hope that I've welded that team... not only in the staff, but in the kids as well... (KM-A:4/7-1135)

This suggests a similar values clarification, and therefore values-making activity which is reflected in McBride (1994). It was beyond the scope of this study, but would be interesting to see if the interaction with the researcher in the context of this study served in the same values-setting role.

In direct questioning about the differences that the head might have perceived in the terms of *leadership* and *management*, a certain confusion rose to the surface. A difference was perceived, but articulated more in contrasting terms, rather than by a clear articulation of each. For example, Mr. Miller said the following in the first interview:

BP: Do you see a difference between the activities of leadership and management?

KM: I think there are elements of both that overlap. If I had to cut a line down between the two... effective leaders sometimes don't make good managers. You can have very effective leaders who are also very capable managers...

But in terms of management, there are certain things in management that need structure and which need to be approached in a structured way... that give people the opportunity within that plan to actually work something forward, to evaluate it and take it through...

Now leadership can require, sort of, a flair that wouldn't fit within that purposeful management structure...

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My perception is that there can be a difference between leadership and management. But I think there is a link... I think that anybody who wants to be a leader has to consider that you're going to have to take the lead... *leading is about being in the front* [italics added]...

A good leader can effectively be a good manager, I'm not saying it's divorced, but I am saying, on occasions there are certain leaders who... I mean, there are certain leaders, probably with very poor management skills, who can take people across the Himalayas and get away with it effectively, because people will stick to them come hell or high water.

I perceive, perhaps, that management and leadership are linked, but, perhaps, I look at management as much more structured, organised, and thoughtful than the leadership...

BP: So you don't see them as synonymous terms?

I do and I don't, in some ways. I believe that if you're going to be an effective leader you have to be a careful manager...(KM-A:1/3-1023)

What this segment illustrated, was the head's articulation of some of the differences that he held in his conception of leadership and management. Management appears to be seen as a more facilitative function, and as one which serves to organise the structure of the school to meet the school's direction. Leadership, on the other hand, suggests an action more closely allied with vision-setting. Ken also indicated that part of his leadership function in the school was to delegate some of the decision making structure (KM-A:1/3-1025).

Ken's notion of *leadership* was one which reflected a belief in the individuality of the person. As he noted:

KM: There are bound to be different styles... I don't think you can package leadership under one title, people are different.
(KM-A:1/9-1062)

Further, his views on styles of leadership indicated the following:

BP: Do you believe there are different styles of leadership?

KM: Oh, yes. I think, again, that is probably one of the reasons why, I don't believe that a management course can achieve everything. A management course, a management package, can give you structural plans and planning and good ideas, and so on. There are front-running leaders, there are those leaders who make a lot of noise, and are ebullient, a flair in dress... they're good. And there other those other people you'd have a job to pick them out in a crowd, and yet their influence is strong, they have good leadership skills, they don't show up in a crowd, but when they suddenly say something you think, 'That was something worth listening to...'

I've seen headteachers... totally disorganised... they achieve tremendous things with their teachers. The teachers rally round them, they work hard for them, they work for the school, they work for the kids, the quality of the stuff is as good as is found here...

And there are those people who... they haven't got a clue what's going on behind them. They aren't picking up the vibes of what's going on behind them. They haven't got a clear vision or whatever...
(KM-A:1/9-1060)

From the data, a model of leadership and management is suggested. It sees leadership as the exercise of *creating opportunity*, which, as mentioned, is a largely facilitative activity. Management in this model is more structural, and concerned with the operational aspects of the opportunities created. The writer would suggest that the influence of LMS is seen in this division.

4.2.3 Espoused values

A perspective of interest to the study was to examine the beliefs of what was considered to be 'effective teaching'. The researcher believed that this could form a useful point to compare perceptions in the school and to examine the headteacher's influence. The data from headteacher transcripts and the staff (as revealed in the questionnaire, summary in Appendix 4-E) is presented in Table 4-3.

Table 4-3: Views on effective teaching

Headteacher	Teachers
A clear understanding of what needs to be taught (KM-A:2/1)	i) Good interpersonal relationships. ii) A confident approach to discipline. iii) Patience/ tolerance. iv) Clarity of expression/ communication.
An understanding of how children learn (KM-A:2/1)	Good communication. Clear planning. Good organisation. Flexibility. Dedication to whole school.
Effective delivery of the curriculum, clear structure and management (KM-A:2/1)	1) Comprehensive planning. 2) Differentiation. 3) Flexibility. 4) Awareness of current thinking/ ...[research etc.- overview ?] 5) Evaluation of practice.
We must be reflective... we must stop... we must evaluate whether we have achieved what we set out to achieve (KM-A:3/8)	Effective communication skills. Reliability. Ability to work with colleagues (team work). Understanding of the curriculum. Careful planning/ organisation. Cares for children. Can maintain good discipline. Is prepared to put effort into the work. Can get along with people- other staff and parents. Ability to:- communicate organise manage differentiate assess

As Table 4-3 suggests, a congruence of views was evident in the points presented. The researcher would propose that there are at least two reasons for the presented similarities. The first is the imposed structure of the national curriculum itself. Its design, scope, and assessment procedures predicate a similar approach.

The second reason is less straightforward and is found in the aspects of organisation, collegueship, and child-centred views. The researcher would argue that the data suggests that this, in part, is due to the establishment of a particular ethos in the school through long term school development planning and staffing.

The aspects of the school development plan were known by the teaching staff as an entirety. This was evident in the teacher interviews, in a broad sense, and also evident in the joint process of planning, review, and articulation of the school development plan which occurred in staff meetings (Fieldnote 20.4.94). The interviews revealed that not all teachers had a detailed awareness of the school development plan, but a general awareness was evident. The data would suggest that one of the reasons for a lack of familiarity with every aspect of the school development plan was due to the nature of the 'stresses' that were noted, most particularly paperwork and demands of the national curriculum (Arbridge Questionnaire, item 8, Appendix 4-E).

Ken Miller made it clear that he had a particular value that was his and which he intended to see infused in the school. He stated,

KM: I'm consciously asking questions about the practice because I see some excellent practice... I'm sure the staff know that I look when I go through the school, I'm sure they know that I'm looking... I'm fairly strong at indicating pleasure at certain things and maybe not some pleasure at others. I see some excellent practice and I see some mundane practice...

They know I'm there. (KM-A:4/6-1131)

Furthermore, he indicated that when he arrived at Arbridge, the beliefs and practices of many of the teaching staff were not in congruence with his as headteacher.

Therefore, as he relayed:

KM: So to do that a lot of teachers here have had to, well, have gone, because their style or their beliefs weren't the same as mine.

And I believe that in having a like philosophy, and policy and ideas we've now got a team of people I think, think alike, and are moving in one direction. And so having had to be... the person at the front saying that I'd like to see all those things I wanted to see, I am now actually getting from the people who are working together, who are coming to me, saying, 'We'd like to see this happen.' And I'm proving to be more of a facilitator... giving them the opportunity to develop what they believe to be the right things. (KM-A:1/1-1011)

What is unclear from the data is whether the vision was jointly developed, or whether the direction, the 'vision' of the school was co-opted by members of staff. When the interviewer asked Ken Miller to clarify the process for vision setting, he replied:

KM: In leadership terms... it's a question of having a clear vision of what you want to achieve, and then having the personnel together to do it. Then setting the goals for implementing it. (KM-A:1/1-1012)

Perhaps, of all the interview segments this most clearly suggests the how Ken Miller conceives of leadership. It would appear that there are three stages to the headteacher's leadership in vision-setting within Arbridge: stage one, personal clarification of vision for, and direction of the school; stage two, building a staff team to pursue that vision; and stage three, the redefinition of role into a facilitative role. This has some similarity to Winkley (1983), although in the final stage, facilitation does not mean 'withdrawal'.

4.2.4 Cognition in leadership

Particularly in relation to thinking about headship, the study aimed to understand what type of reflective exercises that the headteacher was engaged in. Research has shown (Laws & Dennison, 1991) that the headship is marked by a high degree of activity associated with multiple foci of attention in a rapidly changing context. Within that turbulent context, the researcher sought to note what type of reflective structure the headteacher brought to his day-to-day world.

The line of enquiry was also to evaluate if aspects of critical theory, particularly questioning strategies, were in evidence.

As to the nature of cognition for Ken Miller, his days exhibited the same type of turbulence, and rapid change that is apparent in the research literature. As an

example, within one 30-minute period the headteacher took two phone calls, resolved a technical problem with audio-visual equipment for a member of staff, and was considering and planning for meetings to deal with an excluded child (Arbridge Fieldnote, 5.7.94).

For Ken Miller, he reported his 'reflective time' as the following:

BP: How would you contrast your thinking that takes place here during the school day and that which takes place when you leave this place? Do you think about the school differently when you get home...?

KM: The answer to that is, yes. I think there is no doubt about that. I think the answer to that is during the term when things are really spinning around here I can't think reflectively, even when I get home... because you've got things on your mind and they keep plugging away with you and keep you thinking... That kind of thing's not reflective thinking, that's just the day to day management bit.

When I'm out... give me a week or so... then things bubble up in my mind, and I think, 'That would be a great idea to try, I wonder what they would think about that?' And I'll probably drop a few of those ideas into some of the senior management group and see what their reactions are, and if it's picked up (and) built on.

The home-school links was one... It took three years to get that into the system...

That was an idea that came, on reflection, in a casual summer meeting...

I think you can think differently when you have a little bit more peace and quiet ... on reflection there are things like the adventure playground, the nature reserve, that have come from that kind of reflective thinking. (KM-A:4/5-1130)

Evidently, the lack of time to truly reflect was a matter that caused concern for Ken Miller as a headteacher. As he stated:

KM: You don't get the opportunity to stop something. Education is like a big snowball, it just keeps rolling. You sometimes find it gets so big you know you aren't going to be able to stop it. Until you hit a boulder and falls to pieces and you start looking for the rolling process again...

You must have time to reflect! I think we've got to build that into the system... (KM-A:Misc-1152)

This was a repeated theme for each of the headteachers in this study. The lack of time to engage in the kind of reflection they either wanted, or felt was necessary, was difficult to come by.

4.2.5 Conceptions of headship role

The researcher noted from the outset of the study that the headteacher presented a welcoming atmosphere to the school. The researcher noted the ‘active, energetic’ atmosphere of ‘pride’ in the school on the first visit (Fieldnote 9.3.94). It was further noted when parents came to visit the school⁵ they were met in the reception area by the head, who then ushered them to his office for a conversation prior to a site tour (Fieldnote, 21.4.94). The headteacher also noted that 30 minutes are allocated to each of these prospective parent visits.

Presentation of the school is important to Ken Miller. The headteacher shared that means for ‘exposing’ the school through media and other public means were welcomed, and sought (Fieldnote 15.6.95). On one particular occasion, the local radio station was in the school (Fieldnote 3.5.94) and Mr. Miller personally saw to the rehearsal for the children who would be participating. Nor was this the first participation of the media in the school. Radio features had occurred on two prior occasions as well (Fieldnote 15.6.94).

Facilitative leadership

The term that was most often used by Ken Miller to describe his leadership within the school was ‘facilitator’. As he noted:

⁵ The researcher observed the headteacher interacting with parents who were visiting the school when gathering information to decide on enrolment.

KM: *The facilitating bit, I believe that to be the biggest part of my role* [italics added]. My role, really, is to spot good practice, good management decisions being made by a group and say, 'I'm right with you, that's brilliant. I'll find the finance, or whatever.'

That's my role, to get the finance, or whatever is necessary to make that work... That's my job, getting out there and making sure they have the right place to do it in, the proper equipment, good back-up, that's what I really see my role as.

And the end of it all, to be there and to say to people, 'Brilliant, that's excellent, from the concept to the planning, to the practice, to the final bit.'

That's what I believe my role to be, strongly, really, rather than to be the lead decision maker because I'm the head... (KM-A:4/8-1137)

So, overall, really *I would probably see my role as allowing the professionals in the school to get on with their job and facilitating that in the best way that I can* [italics added] from the financial point of view, and from the academic point of view and so on.
(KM-A:2/4-1083)

Ken Miller did indicate that this was a changing role, and had not always been descriptive of headship as he practised it.

What the data suggests, is that for Ken Miller, the largest *facilitative* function was that associated with finance. It was the responsibility, accorded through LMS, to meet the needs of the school as locally determined.

This presents an interesting aspect of the exercise of power and domination in the school. The terminology used by the headteacher, was that of facilitating with finance, but the suggestion was always that the 'purse strings' were controlled by the headteacher and the support of financial backing suggest a means of possible unilateral control over the decision making of the school.

4.2.6 Decision-making and shared leadership

Decision-making strategies were particularly revealed in the headteacher's conception of responsibility in the school. His authoritative responsibility by virtue of headship was apparent in the comments that he made in sharing decision-making.

BP: Do you find a tension between being directive, being seen as being 'in charge', and being facilitative?

KM: One of the dangers of being as open as we are, and also giving responsibility to people to make decisions is that that can overtake, on occasion, the need for one person given that responsibility as the head... to say that overall, taking all considerations, the needs of the whole school weren't going to be served by that decision and therefore that was not going to happen.

One of the dangers is that people wouldn't recognise that the level of responsibility was such that that person had the right to make that decision and it would be challenged, perhaps, for the wrong reasons.

I have a close relationship with the staff here—I hope. I allow them to make decisions that I think are right for them because they are the people working in there, but I think... if I say 'no', I could justify what I am saying. I would want them to understand why I had made the decision, but once the decision had been made by me, they would accept that. (KM-A:4/8-1136)

The structure of the school is such that decision-making occurred at a number of levels. The headteacher felt a strong sense of responsibility for any decision that had a bearing on financial aspects of the school. At a second level, the senior staff group, carried a great deal of influence in establishing the direction of the school development plan. Finally, in a broader sense, all members of staff participated in discussion and decision recommendation at either the year-group level, in full staff meetings, or in curriculum area working parties.

4.3 Forces Upon Headship

This section presents the data which reveals forces and actions that have been acting upon the headteacher and his thinking about headship. These forces could be considered to be similar to Giddens' (1979; 1984) notion of 'structure': the dialectic between the actions, the 'agency' of the headteacher, and the shaping forces of the organisational and personal world in which the headteacher operates. Watkins (1986) speaks of this approach as follows:

Moreover, the structurationist approach emphasises that power is a process, refuting any implication of a static relationship. People are knowledgeable and active and have an inherent capacity to and can partially penetrate the forms which dominate them. They exercise choices and options in the way they work and in their actions and reaction within the complex nature of relationships which constitute an organisation. (p. 33).

Particularly, this section will look at two groups of forces, or structure, which arose from the data. First, those forces which acted as developmental forces, in some respects, an historical and biographical consideration of forces. Secondly, the forces that can be considered from a contemporary perspective. This category includes those forces which were noted by the headteacher during the time of data collection and even with a future focus.

It is important, as this section begins, for the researcher to be clear as to what is meant by 'forces'. From a purely definitional sense, a force can be considered to be 'a measurable influence tending to cause movement of a body'.⁶ It is the 'influential' aspect of force that is considered in this section. Particularly, the researcher was interested in the 'constraining' nature of such forces in a sociological sense (Durkheim, 1982 [cited in Giddens, 1984, pp. 169-174]), but beyond simply 'rules and resources' as Giddens (1984) asserts. In this thesis, forces are also considered to

⁶ Oxford Paperback Dictionary (1994), p. 311.

be the forces of personal history. The researcher would argue that such a biographical inclusion is crucial if one is to consider how a participant is thinking about leadership. Were contemporary forces of rules and resources the only consideration, the qualitatively 'thick' descriptive character of this study would be diminished.

4.3.1 Developmental forces

Ken Miller indicated that the previous positions that were held, and colleagues that he worked with, were an influence on his thinking and views toward headship. From this perspective, Ken Miller noted:

KM: From the management point of view... I think a variety of schools that I've worked through, and the opportunity to work for headteachers with different kinds of attitudes has rubbed off on me, and I've used the best and the worst of it.

I've seen headteachers who have been... very, very much the people who have operated what is happening in the schools. They've... not allowed personnel to have the opportunity to say things. I've worked in schools where they have allowed it, and used the best of both. There are occasions where you as a head have to say, 'That isn't going to happen'... I've seen people doing that... and I've seen how effective it's been, or not effective... (KM-A:1/4-1028)

He further notes the influence of these previous colleagues on his conception of leadership:

KM: That's probably been influenced, probably, by some of my experiences in the past with headteachers... I have some that are more dominant than me, people who believe they are moulding you for some future practice and so on...

I've had the other kind of person too, who lets you go, gives you the chance to develop... (KM-A:4/8-1139).

Influence was not limited to headteachers that Ken Miller worked with. In addition, the context of other positions that he held appeared to moderate his thinking about headship. Particularly for Ken Miller, this influence was most prevalent in his views

toward effective teaching practice. There also appears to be a link between this association with the instructional leadership aspect of headship—the headteacher’s imperative to be the exemplar teacher. As noted in Interview 1:

KM: I came from a little village school where there were only three of us and so effective leadership in that was also effective classroom practice. You cannot turn away from the fact that, if you're a teacher and you've been trained as a teacher, I don't think you have any credibility with anybody at all if you can't be effective in your classroom practice and management and in your ability to deal with and motivate children to want to learn, to be with... and show them that it's a joyous experience...

You need to have credibility, particularly in teaching.
(KM-A:1/1-1009)

There may be links to other positions that Ken Miller held as well. The only other experience, outside of teaching, that the headteacher relayed was a year and a half as a cost accountant out of school (KM-A:1/4-1026). Although there is not enough further data to make a claim of influence, this might suggest a link between the early experience of the headteacher and later emphases in his leadership. Noting Ken Miller’s clear emphasis on financial facilitation as a headteacher role, it is, perhaps, not surprising that he had spent time in accountancy. However, whether the accountancy experience was influential, or simply representative of interests and aptitudes, there is not enough data to make a strong conclusion.

The past influence of colleagues, other than those that worked within the school, was not noted as being a significant influence. The exception to this is the role of Professor Tim Brighouse, formerly CEO for Oxfordshire. The influence of Professor Brighouse was noted in four places in the transcripts (KM-A: 1/3-104; 1/8-1052; 4/9-1149; Misc-1152). The characteristics of this influence were seen as an exemplar in leadership, and in three instances for the advice he offered to new and practising headteachers. The ‘Brighouse influence’ was seen across the county, and a point raised by all participants in the study.

One example of Professor Brighouse's influence was with regard to reflective time for headteachers to think about the issues and problems of their school. Ken Miller noted:

KM: You must have time to reflect! I think we've got to build that into the system...

We don't sometimes treat ourselves in the right way. We're terribly deprecating from the point of view of thinking if we're doing something, like playing golf, during an afternoon when there are head teachers there and it's part of a conference, that we're doing wrong. In actual fact, we're probably doing very much right.

Tim Brighouse used to be very keen on saying to heads, primary heads in particular. 'For goodness sake, you want to take the time out, take the time out and do what you want to do and then come back...'
(KM-A:Misc-1152)

It was interesting to note, as well, that in a time when reform efforts are to initiate models drawn from business⁷, Ken Miller did not see a great deal of overlap. He felt there was much to learn, not only in a 'managerial sense' (KM-A:1/12-1074), but that the aims of business were oriented toward financial principles. As he noted, 'In some ways we can learn a lot from certain issues in business, but because we're not producing a cup, or a saucer, or whatever, there are wider implications' (KM-A:1/12-1074).

Ken Miller's conclusions directly match those of Bottery (1994). Bottery noted that there were four 'isomorphic' conclusions to be drawn from the two domains:

- It would be foolhardy in the extreme for one sector to ignore the problems and solutions of the other.
- Schools can exchange lessons with many other organisations.
- It may be useful to study organisational types as sector differences.
- Many organisations are coming to face some very similar problems, and so may well benefit from comparing and contrasting strategies and results. (Bottery, 1994, p. 341-2)

⁷ Such as competitive market forces.

4.3.2 Contemporary forces

With little doubt, contemporary forces, particularly those related to governmental change forces, represented the most pressing constraint to headteacher thinking and planning for leadership.

Legislation and systemic change

Of each of the aspects, primarily of the 1988, and 1989 Education Acts, those dealing with local management of schools (LMS), the implementation of the National Curriculum, and plans for school inspection (OFSTED) were the most prescient factors in delimiting headteacher thinking. This centrality of the 1988 Education Act is reinforced in Williams (1993). It is this atmosphere of mandatory change, which is descriptive of the systemic change for headteachers in primary schools. Each of the headteachers in this study clearly indicated the predominant influence of these changes, through enacted legislation, which have established a turbulent environment. This influence of legislated change has representation in many countries (Williams, R., Harold, Robertson, & Southworth, 1993).

For example, when Ken Miller was discussing the implications of the Dearing Report (1993) and the further changes it would necessitate in the teaching programme at Arbridge, he stated:

KM: So, we're entering a new phase and what we said back in May was correct, but we've had to refine our thinking and our approaches. And that will have profound implications to classroom planning... If you're going to alter the method of assessment and reporting then it will have a change in management structure, our planning structure, and our classroom practices...

It just shows you how quickly education... it's so amoebic at the moment... People change the ground rules and then you have to alter your style... (KM-A:2/1-1077)

Equivalent concerns were expressed by the teaching staff on the questionnaire. When asked about areas where the greatest stress was felt, virtually every response dealt with some aspect of the national curriculum, and its attendant paperwork. The responses to Question 9 (Appendix 4-E), ‘In what area do you feel the greatest pressure or stress as a teacher’ are indicated in Table 4-4.

Table 4-4: Staff areas of expressed stress and pressure (Arbridge)

The demands of the National Curriculum- finding time to cover all areas while ensuring that the children have a good grounding of the basics- Reading, Writing, Maths.
Demands placed upon us by legislation has meant that we are expected to be accountable, to be open, to meet the needs of each individual and their parents etc. Usually such pressure is minimal but it can be overwhelming particularly when you can’t seem to please anyone!
Paperwork. Meetings. Wanting to do the best by a large number of children- meeting all their individual needs.
i) Paper work additional to the teaching commitments. ii) Form filling!! iii) Never any opportunity to withdraw/ relax from the pressure of the pupils- no ‘free’ marking time.
Outside the classroom! All the paperwork the Gov. is forcing upon us. Having to write down in detail the things we have been doing ‘intuitively’ for years. And the Gov. changing its mind so often an all NC areas.
Workload.

The same views toward the workload and time commitments required for implementation of the National Curriculum were found in headteacher views as well. Ken Miller noted,

KM: Time... The expectations of the original National Curriculum were so ludicrous, that it could send shivers down one’s back... The pressures of time have been exacerbated by the early National Curriculum...

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In the new orders of everything (post-Dearing)... there still needs to be time put into good practice... good forward planning for groups... then particularly for individuals to plan for differentiation in their class... There's a greater need for that now, so that extended that time...

There's a greater need of time now to prepare the vast amounts of back up you need to put the National Curriculum into proper operation... (KM-A:3/8-1110)

For Arbridge Primary School, it appears that the implementation of the National Curriculum has initiated a greater degree of reflective thinking. This would appear to affect both the teachers, in general, and the headteacher in particular.

Evidence for this assertion is found in the interviews with the headteacher, particularly in the second interview. The headteacher made the following observations:

KM: Teachers are much more aware these days that it's not grasping things from the air and delivering them, but that it's within a framework...

They are much more astute, now, at appraising or evaluating how that went, and where, for instance, they over-planned or under-planned, how the children accepted what was being offered, how it was then refined... for the next time.

I think I hear more in planning meetings these days, 'How did that go?' And if it was successful, 'Why do you think it was successful?'...

It's necessary for that to happen because of it's affect on continuity and development. And that's something that I think the National Curriculum may have been positive in bringing that type of thinking and reflection in teachers' planning... (KM-A:2/8-1088)

That same degree of increased responsibility extended to other areas for the headteacher. Ken Miller discussed the weight of responsibility of LMS and inspection on his exercise of the headship, and within that, his conceptualisation of leadership. He noted the following in terms of a new responsibility and accountability:

But of course in the last five years everything's moved toward a greater involvement in financial discussions and in terms of what you can afford and what you can't afford within your own school. I've had to change my style of operations here because I've had a better understanding of the financial implications of the future. We've had a look at, carefully, how we are using our funds, whether we're being efficient, whether we are giving value for money. (KM-A:1/8-1055)

The influence of OFSTED inspection

Other effects associated with government legislation included a greater emphasis and focus on the implications of school inspection. The researcher was interested to note the degree of influence of OFSTED, and planned inspections, on the actions of the headteacher. Initially, the researcher interpreted the interview and observational data to indicate a high degree of domination by this aspect of legislated change. It appeared that the *Handbook for the Inspection of Schools* (OFSTED, 1993) was never far from hand. Initially, it also appeared that OFSTED inspections were a central driving force of school development planning. Although the researcher would still assert that OFSTED is a dominant force acting upon headship, it would not appear to be dominant in Ken Miller's exercise of headship, at least to the degree initially considered. There were several reasons for the shift in initial conclusion.

First, the interview schedule included a number of questions, distinctly aimed at understanding the role of OFSTED inspection. This guiding nature of a semi-structured interview may have placed a greater emphasis than would have existed in an unstructured interview.

Second, although influential as a motivating force in school development planning, OFSTED was not the initiating force for Arbridge Primary School. Instead, school development planning had been an activity that had been occurring prior to OFSTED planning. Ken Miller indicated the school had a development plan in place four to five years before the time of this study (KM-A:3/1-1090).

Finally, the headteacher was quite clear in stating the effect of OFSTED inspections on his thinking and planning. When asked about the effect, he stated:

BP: In the meeting last night, you mentioned OFSTED a couple of times. As you think about an OFSTED inspection in the future, how has that affected your headship?

KM: I don't think it has... not to the extent of me thinking, 'Oh, we're going to have an OFSTED inspection, I'd better get the book out and see what we haven't got in place.'

We were inspected last February, a year ago, by a team of HMI using the OFSTED set-up... so we've actually been through it.

The only thing that it did for me, I've been here six and a half, coming up on seven years... and I had to take away a lot of things that were in place, the first time I stopped and looked back at the structure... (KM-A:1/6-1038).

It would take further research to assess the extent of the effect of OFSTED inspections on headteacher conception of role, but there is enough evidence to assert that it is an influence on the action of heads. This claim is supported in the work of Wilcox and Gray (1994).

In terms of specific effect, Ken Miller reported that the HMI/OFSTED inspection which occurred at Arbridge in 1993 acted as a force to modify and re-direct, to ask specific questions and to consider slight modification to the school development plan. His reported response was matter-of-fact. As the headteacher stated:

KM: When I got the call on the 20th of December to say that they were coming three weeks later, I didn't suddenly think, 'Oh, no!' Well, I did, but it didn't influence anybody. They came and saw us work...

What it has influenced, since, is that we've had a re-direction in terms of our... we haven't changed direction, what we've done is we've re-focused certain things that we were looking at, that we were perhaps giving more attention to, that we've now given less attention to. Perhaps focused more on maybe things that we wouldn't have done... (KM-A:1/6-1038).

What appeared in the data was evidence that the OFSTED inspection process was seen as a means for the school to become more reflective. The headteacher planned to use the inspection process to examine actions of the school, especially as related to the school development plan. When asking Ken Miller about the inspection, which had occurred the year before, the following interaction took place:

BP: Do you feel the inspection moved you forward?}

KM: I think what it did was it made us focus on things that, perhaps, we hadn't been focusing on. We knew they were there, but we were looking at other things...

I didn't all-together agree with some of the things that they said, but I was prepared to accept that the structure of the school development plan needed re-thinking, re-shaping...

I feel that the inspection did us good... it helped us to be reflective. You need somebody to say, 'Stand still and look at what's happening and re-think.' And you need somebody from outside the system... (KM-A:3/9-1115)

I think if it's used properly, if it's used in a positive way, OFSTED could probably be a spur. Mind you, on the other side of the coin, if it's seen in a negative light, it would probably stop it... I think the attitude of mind has got to be there... OFSTED, set as it is, could give you the opportunity to be reflective from the point of view that somebody else is reflecting on something that you are, quite often, too close to. If they come up with things that are... uncomfortable, you've got to accept that and look on it as a way of developing....

It ought to be a good spur. (KM-A:3/8-1109)

The data would suggest that although the long-term implementation of school development planning was critiqued by the inspectors (KM-A:3/9; OFSTED Report, 1993⁸); the sense of direction in the school, as evidenced by both headteacher and staff (Abridge Staff Questionnaire) mitigates some of the effect of OFSTED. At least for Ken Miller, the greatest fear was the 'apprehension of the unknown'

⁸ The OFSTED report for Arbridge indicated that, "The school development plan reflects management initiatives prioritised within a realistic time scale. It does not, however, make sufficient reference to resource allocation, management roles, the responsibilities and training needs of staff, or to evaluation procedures. As a result its usefulness as an instrument of change and development is limited." [OFSTED. (1993). Report from Office of Her Majesty's Chief Inspector of Schools for Arbridge Primary School. London: OFSTED.]

(KM-A:3/9-1112) and, 'that they were going to come up with something that I had no knowledge of whatsoever' (KM-A:3/9-1115). It is unclear, however, from the data, whether the OFSTED inspection was the primary constituent of change, or merely an added factor. Further research would be needed to answer this question.

A further contemporary force of change is found in societal forces. Although broad, the particular force which the researcher noted from the data⁹ was the role that parents played in the school, and, therefore, in headteacher conception of role. The term 'partnership with parents' arose on many occasions. Ken Miller identified it as a central policy of the school, 'that is principally my philosophy and it's one that I stick to very closely because I really believe that parents have a shared responsibility...(KM-A:1/7-1044).

Within that shared responsibility, Ken Miller recognised that parents are exerting greater force in the determination of policy. It is for that reason that schools' partnerships served a function of establishing co-ordinated policy to preclude loss of control. This was seen in one comment regarding 'rising fives' early reception admissions programmes:

KM: To overcome some of the problems that exists from parents using the schools as levers to, rising five's, whatever, and they do. We felt that if we had a closer relationship about... a consensus of opinion about intake' (KM-A:1/4:1034).

The other thing that's changed, of course, is that in many ways we've opened up this school to become a greater community school... this school is used every night... it's used every Saturday... Parents are involved in a substantial way...

There's an un-written agreement that we have shared responsibility in educating the children, they have as big a role as we have and we should actually consider that as a shared responsibility.
(KM-A:1/8-1058)

⁹ Evident across headteacher interviews, staff interviews and questionnaire data.

All three of the teachers at Arbridge noted the headteacher's involvement with parents in the school¹⁰, an observation which corroborates both the headteacher's values and the time necessary to be involving parents in the life of the school. A similar strength of emphasis on links with parents is noted in the questionnaire results as well¹¹. In any case, the nature of this increased participation of parents in the life of the school is seen in North America (Hallinger, 1992), England (Grace, 1993; Pocklington, 1993) and in other international settings (Austin & Reynolds, 1990). Certainly, the influence of governmental policy through the 'Parents Charter' and other empowering legislation has been felt in the school, as the data from Arbridge would suggest.

There is further evidence to suggest that forces that are shaping the headteacher's view of the role, and thinking about leadership, from the school partnership and the school itself. Study of the role of partnerships in Oxfordshire (McConnell & Stephens, 1994; Roaf, 1994) has shown that schools have banded together for a variety of ends including in-service activities, common admissions policies, and cross-phase consistency. In this study, the headteacher spoke of the manner in which the local partnership, to which Arbridge belonged, had addressed common policy issues toward admissions and 'rising fives' (KM-A:1/4-1034). Ken Miller further noted that the opportunity to meet with headteachers provided, as he stated, 'a wider platform for discussion (which) can lead you to a stronger solution' (KM-A:1/4-1035).

From the school itself, it was apparent that Arbridge itself had influenced the manner in which Ken Miller exercised his headship. He relayed his early experience at Arbridge as follows:

¹⁰ See Appendix 4-B: Teacher Interview Summary; question no. 4.

¹¹ See Appendix 4-E Summary of teacher questionnaire, item no. 1.

KM: When I came here I had no actual teaching commitment because there wasn't a class teaching commitment for me. I tried to involve myself in a teaching capacity and failed miserably because: a) teachers weren't receptive to it; and the climate wasn't conducive to me doing that because it was counter productive rather than positive...

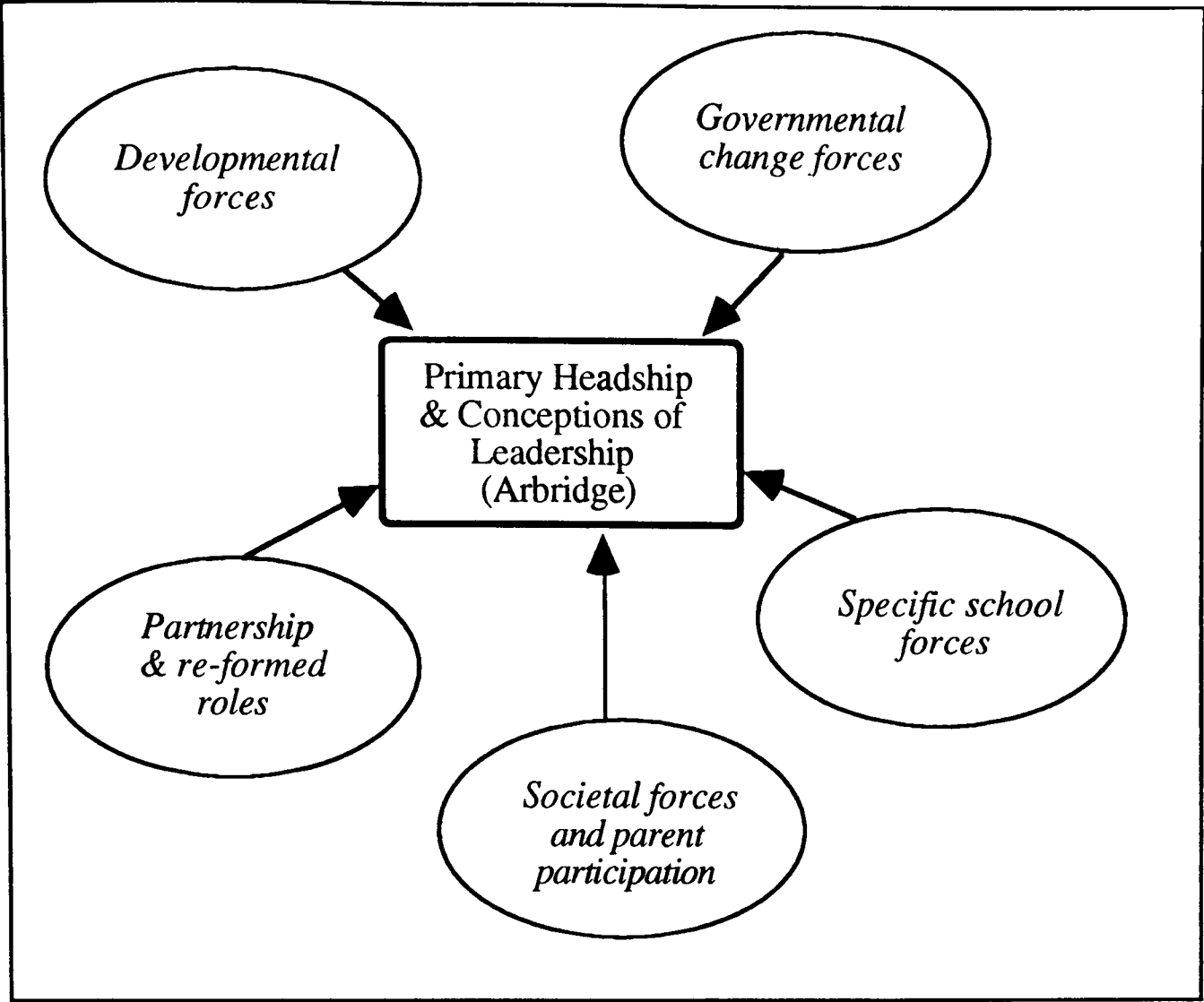
It was a very new ball game to me; in fact, I had to go in and change my style altogether. Whereas I went in and had one when I was a leading teacher, if you like, and I dragged people forward by the very nature of my example, I hoped. I wasn't able to do that here and I had to change my style enormously to cope with the situation. There was a lot of hostility. They weren't particularly... happy with having to come to meetings, and that sort of thing...

I had to go through two or three years of that kind of change, and I had to change my style. I had to think more in terms of being able to plan things so that I could move people forward in such a way that I made them think that it was they who were making the decisions... It was kind of leading the teachers round to considering things.
(KM-A:1/8-1050)

4.3.3 Summary of forces on headship

From data associated with the category of *forces* on headship, the data suggests influences from five domains, as displayed in Figure 4-1:

Figure 4-1: Forces on headship (Arbridge)



The data would suggest that these ‘forces’ form a dialectical relationship. As Section 4.2 revealed, these forces have shaped the headteacher’s conception of both the role of headteacher and the exercise of leadership in the school. The next section will outline the manner in which the headteacher’s leadership is enacted within the school.

4.4 Headship in Action

The interview schedule and non-participant observation activities of the researcher were designed to obtain an overview of Ken Miller in action. The actions and responsibilities of the headteacher were vast; therefore, the researcher made the decision to focus particular attention on the activities associated with school development planning and leadership in establishing a reflective culture. As indicated in Chapters 1 and 2, reflection was particularly associated with attributes of school

effectiveness, and the school development planning process¹² was most likely to touch the greatest number of central activities of the school.

4.4.1 Leadership activities

The issues of ‘seed-planting’ as a function of leadership was suggested by the data. By ‘seed planting’, it is taken to mean the headteacher’s belief that part of his conception of role is based on a responsibility to initiate thinking in particular areas. This was evidenced in a number of places in the data.

The school development planning process appeared to be a particularly influential source of initiation of both reflection and establishing the direction of the school. The process was described as follows:

What we did, was... the senior staff, myself, and some governors, sat down and looked at those ideas and said, ‘Let’s have a clearer statement of intent’... and then set about looking at the nine-term plan with the idea that we would clearly say whose responsibilities were whose, how we would go about doing that, what the action plans were... who were the people who were lined up to do that... and could we afford it? What would it cost in the long term?

We first laid out the nine-terms in front of us, and considered, first of all, our list of priorities curriculum-wise, and then what other things influenced what we were trying to achieve within that...

And then each one of those curriculum leaders went off with their planning groups and put together action plans for... implementing what they saw...

They came back into the group... and we looked at that in terms of the priorities... from the HMI report...

Then what we considered was that each core subject... had equality... it became achievable... (KM-A:3/1-1090)

¹² School development planning was a process that covered virtually all aspects of the school. This included curriculum staffing, finance, facilitates, policy development, in-service, and links between parents, governors, and the staff. School development planning also held the potential for revealing the scope and characteristics of the decision-making structure of the school.

The process, as relayed, indicated a great deal of consultation and work by every member of staff. There were a number of sources of evidence for this participation. Ken Miller allowed the researcher access to minutes and documentation of the Senior Management Team. A planning grid for each aspect of the development plan was used to assure movement forward. The grid included: 'task; how it will be done; who is involved & lead person; time scale (meeting dates, target dates, etc.); resources/costs; 1st review; and implications for next phase of SDP/forward review date' (Field documents: Arbridge).

The participation and shared leadership of curriculum groups was observed in a general staff meeting (Fieldnotes, 19.4.95, Arbridge). In this instance, reports from curriculum leaders were shared and the entire staff worked in groups to identify financial implications of the school development plan.

4.4.2 The headteacher and a 'reflective' culture

One research question was 'how do the activities of the headteacher contribute to a reflective culture?' At Arbridge Primary school, there appeared to be two ways in which the headteacher encouraged reflection. One is what the researcher has termed, 'spotlighting' and the other, is enabling reflection through policy and practice.

In the first category, the headteacher brought attention to bear on particular activities and practices in the school which he considers to be exemplary educational practice (Arbridge Fieldnote 3.5.94). This often took the form of verbal affirmation of actions which he considered to be sound teaching. This is reflected in one of the teacher interviews, when the following comment was shared:

BP: Can you think of ways that Ken has encouraged you to think about your teaching, or teaching in general?

T3: ...By highlighting certain things in the school that he thinks are good, but without... criticism of anybody, in just praising something that's [good]...

BP: How is that usually communicated? How do you know that is an area he likes in teaching?

T3: Sometimes he says it in assembly to the kids. He's talking about things he's seen in the school, so he's praising kids, but he's also communicating to the staff that they're doing a good job...
(T3-A:Teacher Interview-question 5)

This activity was clearly noted by the headteacher in the first interview when he stated:

KM: I look at teaching practice in the classroom and I look at what I consider to be good practice, and then I share with each of the curriculum leaders... And we try to use that as an example for everybody so that we can spread it across the board. And my job is to ensure that gets an airing at staff meetings... And then I have to make sure that that goes into effect. (KM-A:1/8-1057)

Ken Miller was clear that reflective practice, and examination of existing practice, was a goal from the time that he started at Arbridge as headteacher. Early in his career, he organised an inset session for Arbridge and another school. He described his agenda for that session as including:

The thrust of it was to look very carefully at what we were doing and what our practice was like. I had a hidden agenda too, of getting people to think more about what they were actually doing in practice and what it entailed in terms of planning, sharing equipment, sharing skills, because none of that happened. So that was quite a fruitful exercise... (KM-A:3/6-1103).

A means that the headteacher used to initiate reflection was the power that he retained as financier of plans and programmes. One of the outcomes of LMS has been that the headteacher is in a position of balancing competing requests from a limited resource base¹³. It appeared that Ken Miller used that influence which he had through

¹³ This has become increasingly apparent in the budget cuts of 1994-95 precipitated by the necessity for the LEA to fund salary increases that were not met by central government provision.

budgetary control to require teachers to be more clear in their requests and planning for the implementation of educational programmes (KM-A:3/1-1096).

4.4.3 The headteacher and change

When examining the role of OFSTED in Section 4.3, it was determined that the prospect of inspections showed a degree of influence on headteacher conceptions of their role. It was also noted, that the extent of that influence would need further research to make substantive claims. It was clear, however, that Ken Miller saw that his responsibility regarding OFSTED included interpretation of the impact of inspection for the staff at-large.

Initiating change at Arbridge consisted largely of:

- 1) articulating a clear philosophy of effective educational practice, and professional responsibility (KM-A:1/7-1043).
- 2) staffing the school with teachers who matched the goals and philosophy of the school (KM-A:1/7-1040).
- 3) requiring justification of programme recommendations to match the school philosophy and school development plan before funds would be allocated to support that programme (KM-A:2/4-1079).

4.5 Significance and Conclusion

The researcher noted that one of the characteristics of Ken Miller's leadership at Arbridge was a facilitative espousal, and yet his leadership was powerfully enacted.

This mixture of a facilitative ethic, transposed within a system of powerfully exercised, occasionally unilateral decision making, suggests that Ken Miller's conceptions of leadership are transitional—moving between the transactional nature of traditional headship, and the transformational objectives espoused in contemporary school effectiveness cultures.

A particularly revealing example was seen in the first interview, when Ken Miller shared the following when discussing curriculum planning:

KM: So, it's very much, it's changed from being... I look at teaching practice in the classroom and I look at what I consider to be good practice, and then I share with each of the curriculum leaders, that they consider that to be good practice too, and that's then shared with other groups of people. And we try to use that as an example for everybody so that we can spread it across the board. *And my job is to ensure that gets an airing at staff meetings, and people can argue about the rights and wrongs of things, and that it eventually, when we come to a decision that's right for the school, I say, 'OK, folks, this is it and it's got to be implemented.'* And then I have to make sure that that goes into effect [italics added].

So, it's more of a facilitator for things to happen, than being the person actually making them happen and saying, 'Look at this because I think that is good practice.' (KM-A:1/8-1057)

As this exchange revealed, a consultative process is used, however, the headteacher retained a primary power role in establishing its enactment. A similar perspective was revealed in staff comments on the questionnaire (See Appendix 4-E) when staff were asked to describe the headteacher's leadership style. Some of the comments included:

... He rarely makes decisions without consulting members of staff
Usually invites comments / suggestions but when he is following a line that others are not willing to follow, he does on occasions 'dictate' and there is no further discussion (very rarely, so rarely that when it does happen, you remember it).

Fairly autocratic though couched in a friendly exterior.

One which has a clearly held direction and positively followed with him as the leader.

Figure head in school and within county. Chooses to delegate much of the management and planning to senior staff...

Even handed... not afraid to take awkward decisions, strong leader.

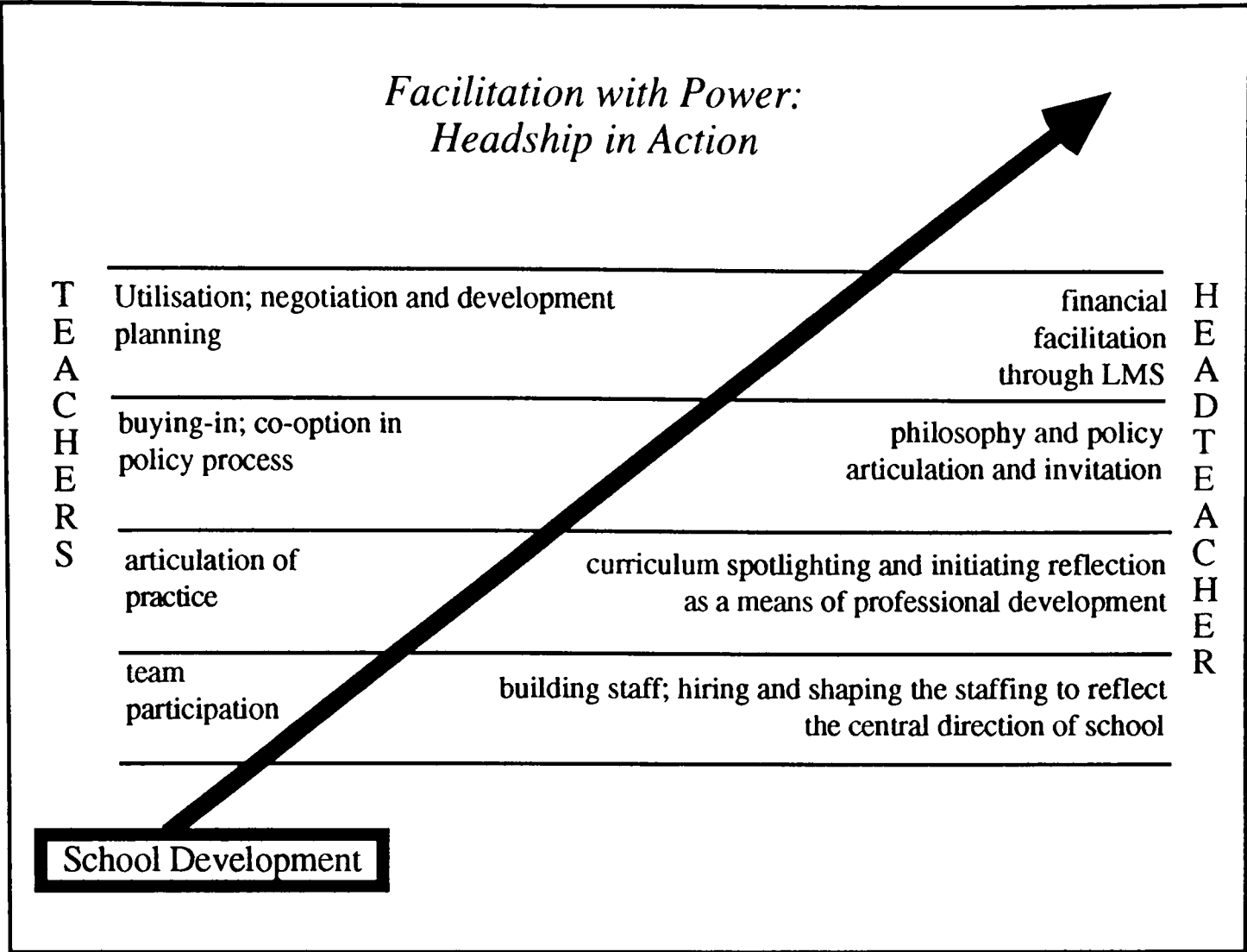
Generally- through delegation to a few members of the senior management team... (Staff Questionnaire-Arbridge: Item 3)

4.5.1 Central findings

The researcher would argue that the data suggests that a duality existed in Ken Miller's leadership; both an espousal and practice of a facilitative, and transformational approach to leaders, as well as the exercise of unilateral power. The source of Ken Miller's power was largely expressed through the means of funding and local management of schools.

Concurrently, there are matching actions of the teachers in the school to each of these expressions of leadership. Summarily, this duality of facilitative power, and staff concurrence and responsibility is expressed in Figure 4-2:

Figure 4-2: Facilitation with power



The right side of the figure indicates the actions and conceptions of leadership of the headteacher, as evident in the data and explained in earlier sections. The left side identifies the matching teacher response for each of the aspects expressed by the headteacher. The unifying theme through the interaction is the development of the school. Each action is expressed toward the attainment of that mutually understood direction of the school.

Ken Miller exhibited an apparent powerful influence in Arbridge Primary School. His intent for the direction of the school was clear, as is his clear understanding that he retains the power to move that vision forward. Ken Miller stated it clearly, when he said:

KM: What we are trying to achieve here is what I see as a good school, a unit, a team, a family atmosphere. A group of people trying to achieve something with purpose, relying on each other... I appoint teachers who will do that job. (KM-A:4/7:1132)

Arbridge was a school which was highly thought of by the staff, and positive feelings toward the working environment, direction, relations, students, and community, were seen in the teacher questionnaire and the teacher interviews.

4.5.2 Questions raised

From this case study, three particular questions were raised, and are most amenable to further research.

First, the values clarifying activities and experiences which the headteacher had were not fully revealed. In one sense, there is a suggestion that this is partially occurring in partnership activities, but further research would need to be undertaken to fully address this question. For Ken Miller, the data suggests, in a fairly clear sense, that a great deal of his reflective and, therefore, values clarifying action was a result of an open attitude toward the school, and the school community. Simply the willingness to interact with two researchers asking probing questions was a strong indicator of that readiness.

Second, research particularly aimed at the career phases of headteachers would provide a useful adjunct to the questions of this study. It was not fully clear how Ken Miller's early experience enacted the influence which he was reporting.

Finally, the influence of OFSTED inspections raises a number of questions, not the least of which is mediated by the degree of uncertainty associated with potential inspections, the future of the inspection programme, and the fluctuating societal responses to OFSTED reports.

4.5.3 Link to other cases

The penultimate and final case studies will be presented in the next two chapters.

This chapter has presented some important foundational information, particularly in relation to the influences of LMS, OFSTED, and the National Curriculum, on which the next two chapters will rely without full repetition. The next two headteachers also represent similar profiles of headship in Oxfordshire.

Although meta-analysis will occur in Chapter 7, the researcher would urge the reader to keep the model of ‘facilitation with power’ in mind whilst reading them.

CHAPTER 5

HEADTEACHER CASE STUDY: PATRICK KLINE WARNERTON COUNTY PRIMARY SCHOOL

And that's part of what we're about within this school; people who are appointed to this school know that the whole basis of the school is one of co-operation and collaboration, so it would be an expectation in joining us that they would be part of that leadership. (PK-W:1/1-501)

5.1 Introduction

The second case study undertaken was at Warnerton County Primary School, with the headteacher, Mr. Patrick Kline¹. This chapter is organised in a similar manner to the previous chapter and will be organised in the same manner. The researcher will focus, however, on the distinctive elements of the case study and its contribution towards the analytic conclusions in Chapter 7.

5.1.1 The school

Warnerton County Primary School was on the outskirts of an Oxfordshire town.. The Census area in which the school was located had a population of 8199 (1991 Census Data). The demographic census information revealed a community that was 97% white, with 4% unemployed, 74% living in owner occupied dwellings (1991 Census Data).

¹ Reminding the reader, the case studies are being presented in reverse order for the reasons identified in Chapter 4.

Students were housed in 19 classrooms, all classrooms being less than 20 years old and well-resourced. Several further building phases have added additional classroom space.

The school is designed for co-operative teaching in a flexible situation, with children of one class sharing working areas with another class and their teacher... We have a large hall, library, and separate rooms for music and resources, around a central quadrangle. (Warnerton School Prospectus)

The grounds and play areas were extensive and was close to the local secondary school. The school also had a nursery on site. As of January 1994, there were 512 pupils on roll.

5.1.2 The staff

The teaching staff was comprised of 27 teachers (26.5 FTE). The arrangement of children and staff was in two-year classes in a team-teaching situation. As noted in the prospectus,

By this we hope to enable staff to establish stable and secure relationships on which to build the child's confidence and create the right environment for growth and development (Warnerton School Prospectus).

The senior staff group² was comprised of the headteacher, deputy headteacher, and two senior teachers with form responsibility.

In addition, the school had seven LSAs and further clerical and support staff.

² The naming of this team was deliberate, as the headteacher relayed: 'Yes, we call it senior staff, senior staff group, rather than management teams and the like, which I think is a touch grand.' (PK-W:1/7-546)

Interviews were conducted with the deputy headteacher and three selected teachers. The deputy headteacher was interviewed on 6.5.94, and the three teachers on 11.5.94, 12.5.94, and 13.5.94. The interview schedules contained in Appendix 3-F. were used for these interviews. Summaries of the interviews with the deputy and three teachers are found in Appendices 5-A and 5-B.

As in the prior chapter, the interview data from the deputy headteacher, teacher interviews, and questionnaire are integrated throughout the chapter as triangulatory evidence for conclusions drawn regarding the headteacher's leadership theory and practice.

5.1.3 The headteacher

The headteacher of Warnerton Primary School, Mr. Patrick Kline, was highly recommended as an effective headteacher by both local authority and Westminster College informants. Patrick Kline was 49 years old; a teacher and school manager for 28 years. Mr. Kline's sole headship had been at Warnerton, where he had been the school's only headteacher since its founding 17 years previously. His length of tenure, and single headship experience, was unique amongst the participants in this study and the researcher was interested in the different perspectives which his service might reveal.

Prior to taking the headship of Warnerton, Mr. Kline had been a deputy headteacher for five years and a class teacher for six years prior to that. He began his career in 1966, with a Certificate of Education from a Midlands university. All of Mr. Kline's educational experience had been in Oxfordshire schools.

As with Mr. Miller, Mr. Kline was receptive to the participation of the researcher in the school and generous in his agreement to access. Documentary review revealed that the headteacher had been the subject of previous research projects, including an M.Ed. dissertation and another university research project. As with each of the participants in this study, the progress of the study was dependent on the co-operation of the headteacher and access to the staff and documentation. Mr. Kline introduced the researcher to the staff and had discussed the scope of this project with his staff prior to agreeing to participate.

The researcher noted that the staff of this school appeared to be quite used to visitors in the school and showed the least curiosity to the researcher's presence as in any school visited (Fieldnote 10.3.94).

5.1.4 Scope of data

The period of primary data collection was from 7.3.94 to 23.5.94. A total of 50.75 hours were spent at the school interviewing or observing. An outline of the primary fieldwork activities and dates is found in Appendix 5-C. The primary source of data was the headteacher interviews; as indicated earlier, the other sources of data served as triangulatory measures to theoretical conclusions in the primary data source.

In this second study, the interview schedule was adjusted slightly as a result of the first interview. The questions remained the same for all three of the main studies, however, the researcher found that it was more useful, given the semi-structured nature of the study, to follow the lead of the interviewee in the sequencing of questions. For example, in Interview 1, Question 3 was asked first, as the conversational nature of the interview led first to the headteacher's understanding of leadership/management differences prior to then discussing what he viewed an 'effective leader' as (Question 1/1).

The interviewer found differences in each of the case studies in how the interviewees responded to the researcher, the amount of extended conversation they would engage in, and a varying ability to anticipate the research questions and where the interviewer might be leading. For example, in Interview 4, the following exchange took place:

BP: Both the HMI (inspection report) and the dissertation (prior research carried out in school) have described this as a 'good school' as an 'effective school', do you still consider this to be an effective school?

PK: (chuckle) I thought you were going to ask that one. I'm the wrong person to say it. The danger is saying, 'I would hope.'
(PK-W:4/1-666)

It was this type of interaction and anticipation of questions which, in the researcher's mind, confirmed the relevance of the interview questions to the headteachers' realm of experience and interest.

Finally, the documentary data from this case study was more extensive than the prior study due to the fact that the headteacher, Patrick Kline, exhibited a style which tended to produce well-planned, organised, and extensive documentation of policies and practices within the school. The researcher had full, unrestricted access to this documentary data.

One source of documentary data which proved to be less fruitful in providing an insight to the leadership and organisational structure of the school was the school 'Log Book'. In each of the case studies, these were rarely used in the last several years and notations were sparse and reflected primarily administrative information such as enrolment and staffing numbers. There were some early indications of inclusion in a more expansive manner of leadership and managerial issues, but not in recent years (PK-W:4/2-672).

5.2 Conceptions of Leadership

Patrick Kline's conceptions of leadership revealed both some marked similarities and striking differences to Ken Miller's. The researcher aims in this section to primarily construct a picture of Patrick Kline's perception of leadership, but also to draw a few comparisons with the prior study. This will help to introduce some of the meta-analytic conclusions which are drawn in Chapter 7.

In the first case, the researcher would draw attention to the personal constructs revealed from repertory grid data. The constructs revealed are presented in Section 5.2.1 which follows.

5.2.1 Personal constructs

Analysis of the rating data was accomplished using the statistical programme, SPSS Release 4.0 for the Macintosh computer. Analysis was carried out on 27.6.94 using the OUDES Macintosh IIsi.

Factor analysis was completed using a varimax rotation. As with each repertory grid analysis, the programme was instructed to leave blank any correlation coefficients less than (|.5|).

From the data analysis, three factors emerged which accounted for 86.5% of the variation. The factor loading obtained from the rotated factor matrix was as follows:

Table 5-1: Super-ordinate construct/factor 1

FACTOR 1: <i>professional characteristics of the individual</i>			
No.	Emergent Construct	Contrast Pole	<i>r</i>
9	understanding of children’s needs in teaching and planning	lack of understanding of children’s needs in teaching and planning	.95
2	clarity of vision for education, personal vision matching a global vision	does what their told, picks up the latest fad, not matching practice to any belief	.85
12	having high expectations of themselves and others	laissez faire in respect to self expectations	.73
7	seek to find common ground in the most polarised situation	inability to not be controlled/ dominated by particular factors in polarised situations	.66
4	time management, ability to set boundaries to time commitments	inability, or reticence to set boundaries on one’s time commitments	-.63
10	willing to volunteer to help and support others either individual or groups	reticent to help and support others, would need persuading	.62
3	underlying care for people	lack of care for people	.56
11	don’t express a willingness to take a lead in groups	willing to take a lead in groups	-.51

Table 5-2: Super-ordinate construct/factor 2

FACTOR 2: <i>characteristics of collegueship</i>			
No.	Emergent Construct	Contrast Pole	<i>r</i>
5	good with adults and a desire to help	not good with adults, unwilling to help	.82
8	the ability to come to a quick decision and live with it	agonise over decisions too long	.81
1	comfortable putting forward their own view	reticent, keep ideas to self	.77
11	don’t express a willingness to take a lead in groups	willing to take a lead in groups	-.69
3	underlying care for people	lack of care for people	.67
12	having high expectations of themselves and others	laissez faire in respect to self expectations	.61
10	willing to volunteer to help and support others either individual or groups	reticent to help and support others, would need persuading	.58

Table 5-3: Super-ordinate construct/factor 3

FACTOR 3: <i>educator self-knowledge</i>			
No.	Emergent Construct	Contrast Pole	<i>r</i>
6	work with a high level of modesty in terms of their own worth; lack of being over-bearing	persons very much ‘full of themselves’; very domineering, tread on peoples’ feet at times	.89
4	time management, ability to set boundaries to time commitments	inability, or reticence to set boundaries on one’s time commitments	.73

Identification of super ordinate constructs

Factor 1, the researcher has identified as *professional characteristics of the individual*. Constructs which loaded under this factor have to do with a variety of features associated with the exercise of educational professionalism: the qualities and characteristics of an individual’s participation in, and commitment to, the exercise of teaching as a profession³. The first two factors speak to an educational vision, and the remaining factors address the exercise of professional characteristics within the context of the school.

The constructs which load under Factor 2, indicate *characteristics of collegueship*. The type of characteristics represented here speak to one’s ability to work collaboratively and to affirm one’s own contribution to the collegial environment of the school. There is an expressed value of volunteership and participation in group activities.

Factor 3, the researcher has labelled as *educator self-knowledge*. The constructs which load under this factor represent an individual who knows his or her own ability and what they can, or cannot, realistically bring to a situation.

³ The notion of teaching as a ‘profession’ is discussed in such works as Institute for Public Policy (1993) and Eraut (1994). The writer acknowledges the argument of whether teaching is a ‘profession’, but is not addressed in this thesis due to limitations of space. The writer’s assumption is that teaching is a profession.

Interpretation of super ordinate construct anomalies

In Factor 1, the negative correlation of construct 4, indicates that the contrast pole should be compared with the other emergent constructs. The contrast pole presents a bit of a puzzle unless the reticence to set commitment boundaries is indicative of an over-riding sense of professional commitment. A fairly low correlation coefficient renders its inclusion to be discretionary. The factor is a bit dichotomous with the first two constructs (9 & 2) being associated with children and teaching, and the remaining constructs associated with collegial relationships. Again, the negative correlation of construct 11 means that the contrast pole should be compared with the emergent constructs.

Factor 3 indicates a negative correlation with construct 11. The contrast pole should be used for interpretation and makes sense when viewed with the other construct loadings.

The constructs which emerged from the repertory grid technique with Patrick Kline were of interest to the degree to which a person-oriented focus was evident. As becomes apparent in this chapter, this orientation toward the individual, the focus on individual uniqueness, and characteristics of collegiality were all typifications of Patrick Kline's conceptions of effective education and weave through his conceptions of leadership.

5.2.2 Definitions of leadership

The first task for the researcher was to identify the degree to which the headteacher had a developed view of *leadership* as a discrete concept in contrast to, or in addition to *management* and *administration*; the interview schedule paid particular attention to

this characteristic. With respect to a perceived difference between leadership and management, the headteacher indicated the following:

BP: First of all , I want to talk a little bit about... try and see if you see a difference between the activities of leadership and management, and how you would use those two terms?

PK: I think the two are intertwined but I think I do see them as being two separate entities. Which, because of the nature of the institution, the school, you need both, and they're sort of... intermeshed, if that's the right word, intertwined, I don't know.

But... leadership I see as someone, and in this school I see it as a school under shared leadership, I don't see it as solely my leadership, but I see the leadership as people who have a clear idea of where the school is going, when we speak about leadership in the school context, of what their expectations are for the school... (PK-W:1/3-510)

When pressed further to articulate the inter-connections, or the distinctions, he responded as follows:

PK: I see my role, as a leader within that, as somebody who has the job of clarifying the expectations, and these days very much I suppose in vogue is the vision statement of the school—is holding that vision in front, but is doesn't mean being the sole executor of that vision.

So that is how I see the leadership side. The management side is how you actually put those expectations, that vision, into being; and this is why I think that the two are totally intermeshed... one is dependent very much on the other. (PK-W:1/3-513)

What this seems to suggest is that a difference is seen, but that, as the headteacher indicated, there is an 'interdependence' in the two. His definition formed around the notion of vision setting in the school as is similarly stated in Pocklington (1993), Hillman and Stoll (1994), and Leithwood, Begley and Cousins (1994). Perhaps it is Holmes (1993) who is the most specific in linking leadership and vision, and some of these same values toward vision are seen in the comments from Patrick Kline.

When pressed to further articulate what he meant by 'vision', the headteacher indicated the following matters as relating in an important manner. In this case, the

respondent, the headteacher, articulated a relationship between vision and communication:

PK: I think leaders need to be good communicators. I would put in front of that what I said earlier, they need to have a clear view of what it is they're aiming for. *So they have got to have a clear view of their own aims, and part of that leadership is either communicating those with other people* [italics added]. That communicating, I suppose, can take various forms, sharing and taking people on board with you or appointing like-minded people⁴ would be another way through achieving that, or negotiating them with other people so you actually can take those together as a group. And that's part of what we're about within this school, people who are appointed to this school know that *the whole basis of the school is one of co-operation and collaboration* [italics added], so it would be an expectation in joining us that they would be part of that leadership.

So, I suppose, putting in that one, the one of having a clear vision with the communication side of it. Being able to work through other people I think is vital, taking into the area of delegation, to be able to say, 'Well, I can't do all this on my own.' And being able to acknowledge that other people can do it as well as, if not better, and being prepared to say, 'Well, would you do this?'...I think that takes some... delegation. (PK-W:1/1-501)

The emergence of 'vision' raised a number of questions. Particularly, the researcher was interested to see the degree to which the vision, as expressed in a central ethos or direction of the school, was articulated in a broad manner. Bolam, McMahon, Pocklington, and Weindling (1993) concluded from their study of effective headteachers that clarity of vision for the school's direction was an important attribute of effective heads (p. 46). Arguably, their research is subject to many of the same critiques of other school effectiveness research, it fails to fully consider the breadth and complexity of the inter-relationships in the school, focusing rather on the listing of revealed 'effective' traits. However, the researcher believes their contribution to be helpful in asking the further questions of the degree of joint-ownership of the school's vision, and the clarity with which the vision is expressed.

⁴ This is clearly related to the notion of shaping staffing to reflect the central direction of the school, which was argued in the Chapter 4 (see Figure 4-2).

At Warnerton, the ‘vision’ of the school was not singularly articulated by the headteacher, nor was it lacking in clarity. As noted earlier, Patrick Kline articulated his responsibility for ‘holding that vision in front’, but as he noted, not being the ‘sole executor of that vision’ (PK-W:1/3-512).

Within the school, there were other sources of evidence of the ‘vision’ or central beliefs and aims of the school. Examples and sources of such evidence are found in Table 5-4.

Table 5-4: Source of vision articulation (Warnerton)

Source	Excerpts
Teacher questionnaire ⁵	good community links; caring atmosphere, pupils and adults alike, its overall high standard and expectation; Generally, the schools has a caring atmosphere; teamwork; hard working ethos, no ‘barriers’ between governors, teachers, ancillary support; partnership teaching; high aims in all respects; community spirit, ‘one large family’; governors, staff and parents work well together for the good of the school, good ethos– feeling of a ‘school family’; co-operation and teamwork through a series of inter-linking structures; its ethos of all working together; sense of community for both children and staff
Deputy headteacher interview	‘basically... it’s the sense of working as part of a team, really... the whole set-up, initiated by (headteacher), I think values everybody within the team and you feel you’re working as a team (deputy interview, Question 1)
Teacher interviews	We... decide what initiatives that <u>we</u> want to take, and we've actually got the freedom to do that, and yet we've got the support of (head) because, he likes to see developments, he likes to see things moving on and not just being very static; you get lots of encouragement to try things out, to have a go at things; school is constantly moving forward; friendliness of children and staff; very open... place to work; partnerships in every direction; ethos is caring, genuine care; collegiality especially amongst department; comfortable work environment; caring, family ethos (teachers 1-3 interviews, Question 1)
Documentary sources	‘Our aim is to help children develop their own potential for the benefit of themselves and the rest of society, to work with them in order to: -spend each day together in learning, laughter and love... (from the School Prospectus)

From Table 5-4, it is clear that there was a broadly held value of co-operation, personal support, and positive, affirming relationships. This type of partnership was clearly a broadly held, articulated value of the school.

⁵ Excerpts from Question 1: What do you see as this school’s greatest strengths?

5.2.3 Espoused values

The espoused values which described the leadership priorities of Patrick Kline were clearly articulated during the course of this study. An often used metaphor was the notion of viewing the Warnerton staff, students, and community as a ‘family’.

Where sporting metaphors were utilised by Ken Miller to describe varying aspects of headship and school organisation, Patrick Kline regularly spoke of the school, and the school’s organisation in terms of a family.

The headteacher clearly saw a portion of his role as an exercise of a pastoral care function. This was seen, and further illustrated the family theme, in the third interview. Although the context of the question was staff development, the headteacher chose to answer the question by illustrating the support that he felt should be provided in tandem to staff members who are working on personal and professional improvement. He stated:

PK: Well, I would hope the school gives... support at a personal and professional level to the individual.

The school would give a sense, it comes back to the family sense of belonging to a family and being valued within that family... gives the individual a sense of, that they are listened to and even if people disagree with them their views are valued and not downtrodden or mocked. And that even if a decision actually goes in a different direction that some, there is a degree of sensitivity to any individual who might feel marginalised so that an effort would be made to involve them within the overall view. (PK-W:3/3-630)

The pervasiveness of the headteacher’s use of the family metaphor extended beyond the school itself. In the first interview, the influence of local schools’ partnerships was discussed as a source of influence in thinking about headship. The following interaction took place:

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BP: What type of influence do either your local partnership or wider involvement... have influence on your thinking about leadership... headship?

PK: Within that I think the vital partnerships are the ones that are directly linked with individual schools.

I suppose the best way of seeing it is it's rather like somebody in their late teens, early twenties, having moved away from the family home and sorting out what the relationship is with mum and dad, and, yes, you still want their help and advice from time to time, and it also depends on the individual, if you use that analogy with the home. It's exactly the same as with schools that some schools will need more help and advice, others will see themselves as needing less.
(PK-W:1/7-553)

Extending the circle of influence even further, Patrick Kline also found a family metaphor to describe the changing role and relationship of the LEA to the schools in the years since the 1988 ERA and the full implementation of LMS. Again, the metaphor is relational in orientation and reflected a comprehensive utilisation of the family metaphor in his conception of collegial relationships. Specifically, Patrick Kline noted:

BP: Do you feel like the LEA has been... you have obviously seen a change in the role of the LEA's, but looking at it... You tell me what degree of influence it has both on your thinking and practice.

PK: I think the past few years have seen, probably, the most significant change in the role and work of the LEA to where, prior to LMS, they were very much of the view that the relationship with schools was very much parent-child. With the LEA the parent and the school the child.

I think, probably in lots of schools' cases it is now, the relationship is literally adult to adult, rather than... So, that, it is a partnership of equals. (PK-W:1/7-557)

This might suggest a paternalistic orientation toward the leadership of the school, but the data from the teachers did not indicate an over-reliance upon the head for decision-making, and as will be described in the decision-making section, the structure was too collaborative to bear the label 'paternalistic'.

There are a number of potential sources of this value; as shared by the headteacher, and in other sources of data, the headteacher espoused a religious base to his normative actions within the school.

In the teacher questionnaire, it was said of the headteacher's leadership⁶:

‘A caring, religious man who thinks of the children, parents and staff as an extended family. Leadership style is one of negotiation not confrontation, occasionally 'backing away' from on awkward situation’
(Warnerton Staff Questionnaire, Question 3)

The headteacher also indicated that a position that he had held which influenced his thinking about headship was that of a church warden (PK-W:1/4-514).

The researcher would not wish to interpret beyond simply indicating that the data suggests that the headteacher's religious beliefs were a shaping factor in his values towards leadership and in the types of metaphors used, although this may not be able to ascribe full responsibility for the headteacher's metaphor usage; this simply illustrated a further degree of complexity and interconnection in the headteacher's value structure. Research conducted by Buchsbaum (1984) and Densmore-Wulff (1985) purported a relationship between religious orientation and leadership attributes.

5.2.4 Cognition in leadership

One of the central research questions of the study was to identify characteristics of headteacher thinking and decision-making regarding school development and consideration of headteacher responsibilities within a changing context. To assist in revealing those cognitive characteristics, the researcher asked the headteacher

⁶ See also Appendix 5-E.

participants a number of questions regarding their cognitive style, reflective disciplines, and reliance on tacit or developed beliefs and values. It was the researcher's belief that these would help to provide a clearer understanding of the broader exercise of leadership within the school if the headteacher was operating from a critically reflective stance. This is reinforced in Codd's (1989) notion of leadership as a 'value-laden activity' which through the exercise of 'rational reflection and deliberative action' (p. 161) frees leaders from passive social conformity. Although this writer believes Codd's critique of managerial functions to be too strident, missing the aspects of management which undergird leadership, the basic issue of headteacher reflective practice remains a crucial element of this study.

One avenue into headteacher cognition and reflection was through the headteacher's decision-making process⁷. The following represent Patrick Kline's espoused process for decision-making:

BP: Do you have a process or strategy which you use when you approach problem solving?

PK: Yes. Involvement of others. To actually involve those, who at first sight, who I feel will have an influence or an impact on bringing about a change that will effectively either take the problem away, resolve the problem, or at least alleviate the problem.

And to actually set targets for what we're going to achieve...

BP: Are you good at thinking on your feet?

PK: I think I am most of the time, but there are some times that I'm not. I need to caution myself and say, 'Stop, and step back.' I think, perhaps, I'm doing that more than I used to.

BP: Do you have a way that you carve out some time to reflect before you have to decide in a difficult situation?

PK: It would depend on the situation, but, yes, I would put in time.
(PK-W:4/3-676)

⁷ Albeit, largely espoused theory.

It is that sense of pulling aside to reflect on a situation, that led the researcher to move toward questioning in the area of critical thinking.

BP: Would you consider yourself to be a critical thinker?

PK: Yes, I would. I can be quite definite about that. I think there is a danger of being too critical a thinker⁸.

BP: What does that mean?

PK: What does it mean?... how can I explain it? I would see a critical thinker as somebody who... not necessarily somebody who isn't satisfied with anything, and is going to look all the time how things can be developed, how things can actually be moved on... (PK-W:4/4-680)

The data suggests that the headteacher, Mr. Kline, did approach the exercise of leadership with a degree of reflection and critical thinking. It also suggests (as will be presented further on) that, to a degree, his reflective characteristics were shaped both by his prior experience and by his own value base as expressed during the course of the study.

5.2.5 Conceptions of headship role

Patrick Kline expressed a clear sense of his perception of his role; this expression was primarily in four areas: the instructional programme of the school; the school and staff development plan of the school; a facilitative role primarily enabled by the exercise of the powers of local management of schools, and the pastoral care function afforded to the headteacher.

⁸ This was a point at which the researcher encountered a different meaning to the term of 'critical' than had been interpreted for the research. The researcher had in mind 'critical' in the Habermasian sense of human emancipation. The participants, viewed the term more in light of the Oxford Dictionary definition of 'expressing criticism' or 'finding fault'. The researcher did not expect a familiarity with the philosophical bases of critical theory, but had assumed that 'critical thinking' would be seen in a reflexive manner—this proved to be an inaccurate assumption.

In this section, the data evidence for each are discussed, as well as suggesting links to their origins.

Instructional leadership

Clearly, in terms of the extent of responses, Patrick Kline's view of headship placed a great deal of emphasis on the instructional leadership role of the headteacher. In the first case, the headteacher expressed the centrality of the instructional mission of the school in the interviews.

The headteacher had an espoused view of the best form of instructional practice which was largely expressed through a value of collegiality and co-operative learning.

When asked about this, he responded:

PK: Another aspect that I do feel is very important, and is quite... explicit and implicit within this school, I would hope, is that the co-operation that runs adult with adult... that underpins our basic learning, because all teachers teach co-operatively. (PK-W:2/1-583)

PK: In fact, my philosophy about co-operative working developed literally 'on the hoof' to start with... but I have got very clear views about it. I wouldn't move back now, if I was literally told that we have got to move to a different school and it is single classrooms. One of my first moves would be to see how one could break that down.

I think for children to actually see the adults in their world working together, planning together, and literally enthusing about learning together is very important. I think that carries through to most of our children. (PK-W:2/1-584)

This notion of co-operation and working together for the benefit of children was reflected in the headteacher's espoused values⁹ and in Table 5-4. This is further seen in the interview data. In the fourth interview, the headteacher was asked about the

⁹ This is linked to the headteacher's value of the school as a community; as individuals with interdependent relationships expressed as a 'family'.

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school's effectiveness as it had grown in size, whether it would have lost any of the underlying values of collegiality as it had grown. Mr. Kline responded:

My own personal view is, no, we have held on to all that we felt was important at that time. Valuing relationships, valuing each individual child, having a curriculum that is based on first-hand experience, that is planned... to children's needs. I think our curriculum planning is far better than it was at that point in time. (PK-W:4/1-668)

The headteacher recognised that his ability to effectively lead in the instructional programme of the school was influenced by the size of the school and the changes in his role due to LMS. In the next excerpt, the respondent related his views toward his own professional goal of being actively involved in the instructional aspect of the school. He said:

PK: It think it's still within the area of curriculum, because I think the area of curriculum management, it is vital to the work of the school, but it is such an overwhelming task, and I think... My own view is that the bigger the school, the more difficult it becomes, I don't think it becomes easier.

BP: Would you say that also you had more time for curriculum leadership prior to LMS?

PK: Yes. Quite clearly, yes. But I'm not into making excuses, I think it does need to be done. (PK-W:3/13-664)

One aspect of his conception of instructional leadership was his commitment to being a visible presence in the instructional planning and staff development programme which dealt with the improvement of instruction or implementation of the National Curriculum. This was both a value expressed and an observation noted by the teaching staff.

Patrick Kline said,

I think it's important... there are a number of areas of curriculum that I'm not as strong in as other members of staff in the school. But all the more reason why I should go to those in-service sessions, so the people can see that I am willing to learn as well.

I think there are these dangers creeping into the system, people are saying the workload is too great and cutting out on the wrong things. *And I think curriculum still, and I can't see when it won't ever be the most important area for a head teacher* (italics added).

Even if my skill level in all areas is not as high as the best member of staff, I think my understanding has got to be there of what they're facing, what children... of what we're being told on one hand children should be learning, and the decisions that we make about their learning. (PK-W:4/10-711)

As this extract indicated, Patrick Kline also recognised the increasing difficulty as a headteacher of maintaining close contact with the curriculum of the school. This degree of concern over ability to maintain an instructional leadership role was confirmed in a study of the impact of local management of schools on headteachers (Bullock, Thomas, & Arnott, 1993). The weight of LMS has decreased the headteachers' perception of being able to participate as closely in the instructional programme. The interesting aspect of this study is that Patrick Kline acknowledged the influence of his changing responsibilities to LMS, but his extraordinary commitment to maintaining an instructional focus permitted him to continue with at least some degree of curriculum leadership.

PK: I think the area of curriculum management, it is vital to the work of the school, but it is such an overwhelming task, and I think... My own view is that the bigger the school, the more difficult it becomes, I don't think it becomes easier. (PK-W:3/13-664)

Planning for the future in school and staff development

The commitment that the headteacher maintained toward involvement in the instructional programme was reproduced in the expression of responsibility to the development planning of the school¹⁰. In one respect, this was expressed in the

¹⁰ By 'developmental planning' the researcher is referring primarily to two domains: overall school development planning; and the staff development programme and activities of the school. The first is more comprehensive, as the development plan covers all aspects of the school, and the second is oriented toward the professional development of the staff for the job of teaching.

written aims of the school. The notion of ‘progressing further than might be expected’ (PK-W:3/3-629) was held for teachers as well as for students. From the interview transcripts, this can be seen in the headteacher’s priorities for staff as well.

PK: So I would say that would be the aim... not just to seek to achieve a sort of status quo situation, it is... to have people who are operating at a higher level than one would have expected from them. So it's, in fact, saying that we expect a lot of the people who do work here... (PK-W:3/3-630).

This sense of a highly professional approach was a central part of the headteacher’s conception of his leadership in the school. This aspect of a professional view would appear to arise from the headteacher’s beliefs about what is effective teaching.

Patrick Kline’s views were expressed in the following exchange:

BP: Let’s move from leadership towards effective teaching for a moment. And I’ll leave you to define what effective teaching is... If you could think for a moment about what (are)... the three or four ones that you think are absolutely essential.

PK: I think to be an effective teacher you need to know your children well. And, that means not only do you need to have made, or read, previously assessments on children... You need to have actually got to know the child, which doesn’t mean superficially knowing them... Because once you know that you can actually plan accordingly...

The next one, I think, is to be a very well planned person but not to allow planning to become inflexible. I think planning has got to be a flexible tool that can switch almost within seconds to meet children’s needs...

And, I think that knowing the child and the actual planning is getting that match right. I think the match is the all important part. Within any class, no matter how you group, life, for some children, can actually be very difficult because you are not actually meeting their needs... (PK-W:2/1-580).

In a similar respect, the headteacher expressed strong views regarding the role of ‘reflection’ or ‘reflective practice’ for teachers in schools:

PK: I think within a classroom... the teacher to be able to stand back and having set up a piece of work and then stand back and to analyse what is happening is research for real.

So I would say that is part of the reflective practitioner at work. And somebody who doesn't stand back and analyse, in fact, is doing themselves and the children a major disservice because they are not then able to move those children on in any way that is vaguely disposed to the children's learning. (PK-W:2/6-607)

Of the three participant headteachers in the main study, Patrick Kline used the language of 'reflection' and 'reflective practice'¹¹ to the greatest degree. A possible explanation for Patrick Kline's orientation toward reflective practice was his involvement with the National Primary Centre based at Westminster College, Oxford.

BP: You talk about the way it (NPC) has extended your thinking... have you seen that as being influential in extending the thinking (of) teachers here in this school?

PK: What? The National Primary Centre? I think certain individuals, yes; there has been influences on our work on special needs and in our work on behaviour. There has been influence in particular curriculum developments.

So, I would say, yes. I would think the National Primary Centre research work has met most teachers here. I wouldn't say all, but I would say most.

We've used some of its work for in-service work. But, it varies. Sometimes it is more focused on one curriculum area or an aspect of school work. Some of it was quite influential in our putting together of a behaviour policy for the school.

The school was used for one of the pieces of research based on early years teaching and learning. So, that we are part of... we were part of that project.

BP: It sounds like part of the value you see in the NPC is accessing it for special needs, if you are working on a particular topic, if they have something to say about that or have some research, that is the point that...

PK: Yes. And the research is done in real classrooms, and so it is coming right from the classroom floor¹². (PK-W:1/7-561)

¹¹ The researcher's intended meaning for the language of 'reflection' in this study is best represented in the work of Schön (1984; 1987).

¹² Which was supported by the studies of Berman and McLaughlin (1978).

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The work of the National Primary Centre, and links with the Oxfordshire Local Education Authority, formed a collegial group for a number of headteachers in the county. Patrick Kline, and the next headteacher reviewed, Graham Chadwick were two of those involved. The direction of the NPC was set, in part, by this core group of heads and in-service offerings shaped to a degree by their input.

In summary, the headteacher, Patrick Kline, expressed a value toward reflective practice; he felt that it had an important place in the school and assisted teachers in professional development and contending with innovation overload (Fullan & Hargreaves, 1992). As a headteacher, he felt that part of his responsibility was to assure that teachers were being reflective and that they were provided with the resource and freedom to be reflective and self-monitoring in a supportive environment. As supported by the following exchange:

BP: In a general sense, as teachers make pedagogical decisions do you feel that those decisions are based on habit, past practice, or reasoned choice, or all of the above?

PK: I think the reality is that it would be a mixture, and there will be times where one of those factors dominate and the danger is when the dominating factor is previous practice. And I think that is a very dangerous mode to slip into... 'Well, it's worked before, it will work again... it worked for so and so, so it will work for me'. and not to make a judgement for oneself on it on what is the right form of approach.

BP: How does (this school) handle that?

PK: I wouldn't say that we would be anything... I wouldn't put forward that we would be any different from moving from mode to mode and being a mixture.

I would like to think that... the analytical mode of actually looking at what has gone before and what would be right next would be to the fore. And I'm sure that is so with a good number of teachers but I couldn't hand on heart say that it is true for all.

BP: Is that something you try to bring to the fore?

PK: It is something that a large number of us are actively pursuing in all sorts of diverse ways. (PK-W:2/8-609)

In the third interview, the following comments were recorded:

But I think it would be very interesting, from a research point of view, that it would be even more important for the individual teachers, to be able to step back from their classroom teaching to actually work specifically with groups of high and low achievers, and then to reflect on their delivery of the curriculum after that. (PK-W:3/10-656)

The researcher decided that it would be useful to see if, as an indicator of reflective practice, there would be a further espousal of notions of practitioner research. In this study, the following question was asked as part of the interview schedule:

BP: We had also talked about the notion of practitioner research and reflective practice, in terms of the more formalised aspects of practitioner research and the kinds of things that the National Primary Centre does... do you see a role for practitioner research?

PK: I do. I think the reality of a classroom is that a teacher should be employing their own research as they go along.

Basically... the research itself could be deemed to be a highly technical word in one sense and an academic word in another sense... my own view is that a good teacher, as part of their overall assessment work and their planning, is also employing research because they are actually basing it on what they see to be happening; and if they see it to be happening then I would put forward that a good teacher should be not just basing that on casual things that happen, peripheral things that happen, but actually looking deeper, they're becoming analytical and I think as soon as you start to become analytical you are into a form of research.

I would say that a reflective practitioner is somebody who is employed... in research... it is almost implicit within what they are doing. They are probably not necessarily knowingly moving in that direction, but it is part of the process of good planning and good assessment. (PK-W:2/6-606)

The language of practitioner research was not shared to the same degree by the teachers interviewed for this study. Instead, the teachers indicated that the largest resource for pedagogical decision-making was experience¹³. Whether that was informed experience, or experience reflected upon in any systematic manner, was not particularly clear and would merit further study.

¹³ See Appendix 5-B for a summary of teacher interview answers. In particular, responses to Question 6. b.

Facilitation through local management of schools

Finally, in terms of conceptions of his role as headteacher in the school, Patrick Kline spoke of the aspects of his role that were shaped by local management of schools. Clearly, as the headteacher, Patrick Kline conceived of his role as a facilitator of the schools development plan, teacher needs and professional growth. Within the context of the interviews, the following represent some of his comments in this regard.

5.2.6 Decision-making and shared leadership

Facilitation and collaboration were linked in the headteacher's conception of decision-making and shared leadership in the school. Particularly, the headteacher espoused a shared responsibility in such things as development planning and in ethos building. The headteacher's espoused practice in these areas was described as follows:

BP: Moving to the styles of leadership. Do you believe there are different styles of leadership?

PK: Yes. I do. Because I have experienced different styles of leadership.

BP: How would you describe yours?

PK: How would I describe mine? (pause)

How I would describe mine, and how others perceive it might be very different. I'll answer it in the knowledge of that.

I would see myself as being somebody who is engaged in collaborative leadership and management, where the aim is to share the leadership of the school as broadly as possible (italics added). (PK-W:1/9-563)

And further,

But... leadership I see as someone, and in this school I see it as a school under shared leadership, I don't see it as solely my leadership, but I see the leadership as people who have a clear idea of where the school is going, when we speak about leadership in the school context, of what their expectations are for the school...

In terms of shared leadership then I would hope that during your time in school then you have a feel for shared leadership within the school, and that the leadership isn't solely coming from one person... because in the end our staff are the people who share that leadership... then they, if we see in that context, lead the children and there are quite a number of them here who actually lead with their parents.
(PK-W:1/3-511)

Although further discussed in Section 5.4, this sense of collaboration in shared decision-making was confirmed by the teachers in the interviews (Appendix 5-B) and staff questionnaire (Appendix 5-E).

It is important to note that the degree of shared leadership which the headteacher espoused extended to shared decision-making with the school governors as well. This is seen in the following excerpt.

PK: I suppose one thing that has happened over that period of time is to value the school governors. We are very, very fortunate with our school governors. And I think that is something that, as a whole school, we have nurtured in the sense, not contrived to bring about a governing body that will rubber-stamp anything we want to do, we've got to get a body who are very much proactive, who are made up of people who have got very clearly minds of their own, who are thinking people, who are critical friends of the school, but are bound together by what is good for (school) and its children.

I think that is one thing that I did bring out... with me at that time. During that period there were three or four governors who were absolutely superb in their help with me as a person, and of the school.
(PK-W:1/4-525)

This is important, as it represented an area of shared leadership that was not uniformly expressed across the case studies. The notion of shared leadership with the governing body is a developing notion, amongst both headteachers and governors. The advent of local management of schools has not always necessarily brought a great degree of understanding what that role means and how decision-making can authentically be

shared with the governing body. Clearly, a great deal of responsibility was invested with the governors, but it appeared from the limited observations of this study that governors were quite dependent on the expertise and direction of the headteacher and other members of staff. This is reflected in the work of Pocklington (1993), who found governors largely taking lead from headteachers.

From this section a portrait of Patrick Kline's conception of leadership can be formed. The data would suggest that he viewed his leadership as:

- a) an exercise of both leadership and management activities. Management activities being those which facilitate and advance the vision of the school.
- b) elementally tied to his beliefs regarding the importance of the individual. Therefore, the school is viewed as an inter-related unit, a 'family'.
- c) promoting an ethic of achievement beyond minima. To achieve this, headship promotes a reflective environment which encourages the analysis of practice.
- d) essentially tied to the instructional mission of the school. As headteacher, this meant involvement in all aspects of curriculum and school development planning. To achieve this, leadership and management is shared with those on the staff who have particular expertise in curricular areas.
- e) promoting participatory decision-making based upon established norms and roles. This meant decision-making by senior staff, governors, other staff, and parents founded in their legitimate or delegated authority.

The next two sections deal with the forces that have shaped his headship and the nature of Mr. Kline's leadership-in-action within the school.

5.3 Forces Upon Headship

This section explores the forces which the headteacher reported as affecting his headship in meaningful ways. It is divided into two primary categories of forces: developmental forces, or shaping forces either prior to his headship or in the early part of his career; and, contemporary forces, largely viewed as implications from governmental and educational change and what the researcher has termed ‘theoretical forces’, or those forces which the headteacher considered as part of on-going reflection.

5.3.1 Developmental forces

For Patrick Kline, the experience he reported which most shaped his headship was his first year in post. Upon taking up the post he was faced with LEA budget cuts which placed an enormous amount of strain, uncertainty, and tension on staff and the headteacher. Due to reductions in available funds, and staff re-deployment, as a new headteacher Patrick Kline found himself in a situation with many challenging aspects.

In the first interview, the following account of this experience was given:

BP: Can you think of any events that influenced who you are as a headteacher?

PK: I think there probably was an event that shook the ground under my feet and... certainly influenced me... it was the event of the first year that I was headteacher here. This school opened at a time of really dramatic cuts in education in Oxfordshire... cuts that were quite incredible... they put a brake on the budget and withdrew the money...

That was done and it was done particularly with this school... So that's how we opened the school, in the midst of all that. Then they put up class sizes. But I suppose the event then which had the major impact was I hadn't appointed any of the staff except the deputy, or been party to the appointment of any staff¹⁴... (PK-W:1/4-515)

So, I learnt a lot from that period but I had to decide whether I literally was going to be leading a school completely divorced from the staff, or whether the staff were important. I had to make the decision that the staff were the most important resource in the school, and if I chose to divide them I would carry that responsibility into the future.

As I say, time just hadn't allowed for any of those relationships to be made... They reacted by supporting me. So, the whole thing was quite mutual and we gradually moved back from the brink. I had some very strong governor support at the time, who could see the awkwardness of my situation. (PK-W:1/4-520)

This experience was unique amongst the headteachers interviewed¹⁵ and even 17 years after the fact, was still considered to be a contributing factor toward the relationship between the headteacher and staff.

In addition, other sources of influence on the headteacher were indicated to be such factors as a previous headteacher that he worked under (PK-W:2/3-595; 526). This was indicated to be both a positive influence in modelling practices that he felt important, and negative with respect to that individual's weaknesses in building a community spirit amongst the staff. For Patrick Kline, however, the influence of other headteachers with whom he worked was not expressed in the same degree as the conflictual and challenging experience of beginning a headship in a time of budgetary constriction.

Other LEA officials and advisors appeared on Mr. Kline's list of influential sources (PK-W:1/5-527)¹⁶. Over the time of his headship, he had been involved to a greater

¹⁴ Teachers were involuntarily re-deployed to the school.

¹⁵ Each headteacher expressed either unique experiences, or events, which were considered as 'shaping' experiences.

¹⁶ It should be noted that all three of the headteachers who participated in the study indicated a central influence of Professor Tim Brighouse on their development and thinking as headteachers.

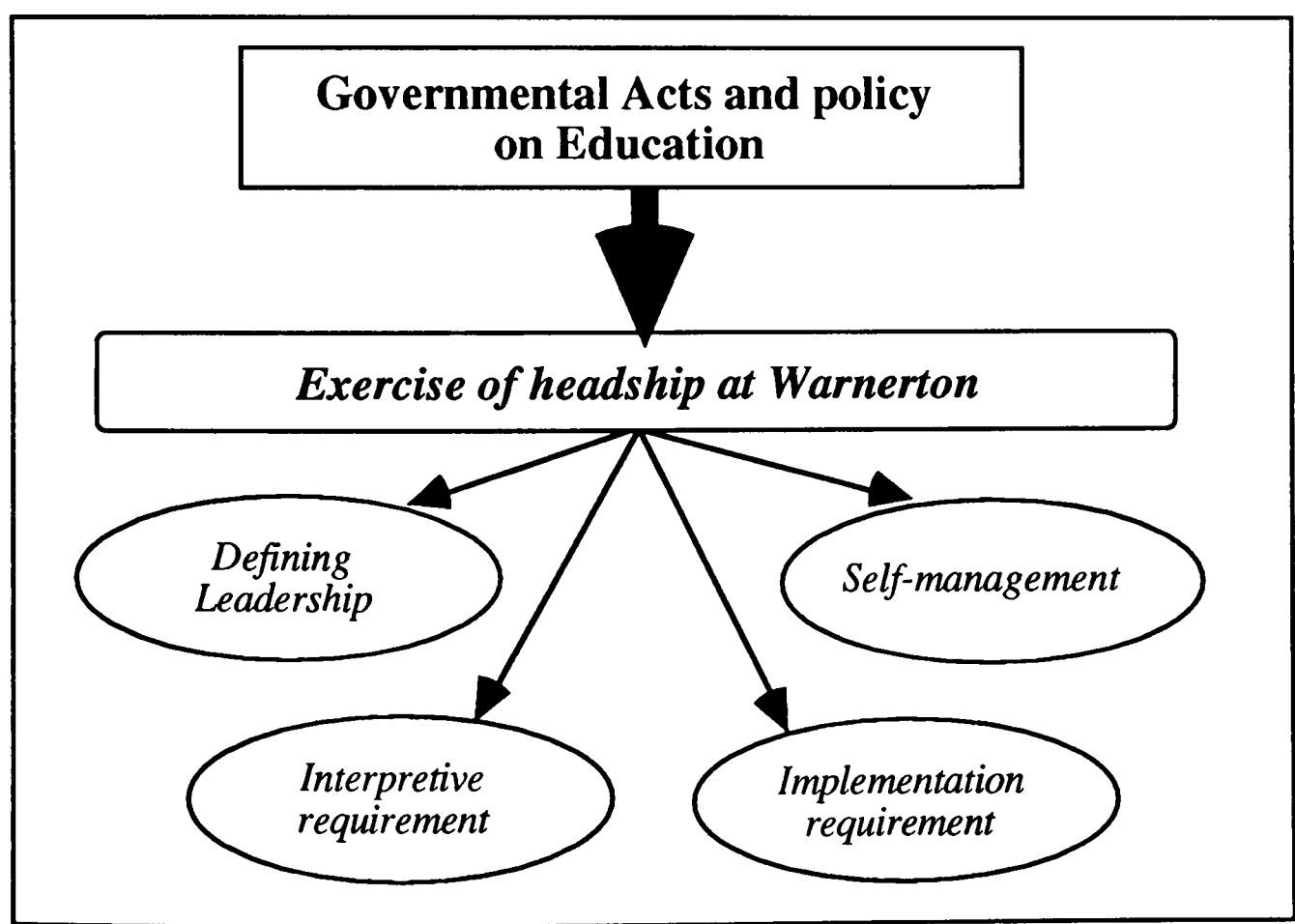
degree with the influence and planning of both the National Primary Centre and the leadership of the LEA as a whole.

5.3.2 Contemporary forces

The most influential contemporary force exerted on headteacher thinking was indicated to be the changes wrought by the 1988 Education Reform Act, as well as subsequent acts and directives from the DFE.

The governmental forces and subsequent results indicated by Patrick Kline are illustrated in Figure 5-1:

Figure 5-1: Governmental forces on headship



His tenure as CEO of Oxfordshire was referred to by each on more than one instance. The nature of his influence was as an assistance in their thinking about headship and a sense of personal support and encouragement from his leadership.

Defining leadership

In the context of the following interview segment, the headteacher was speaking of a course that he had been on in mid-1980s which was to design a training for management programme for headteachers in the county. Regarding the changing role, he noted:

PK: But it was when, probably for the first time, the Government were saying very clearly that heads were *managers* (italics added), they weren't just leaders or master teachers, and there were a lot of people in headships who found the term 'manager' unacceptable. They said they weren't managers, they were teachers, they were master teachers and that was their role.

BP: This was before LMS?

PK Yes. (PK-W:1/5-531)

Patrick Kline indicated that he continued to find a degree of discomfort with this redefinition; and, as indicated in the earlier section, he held instructional and curriculum leadership to be a vital and necessary part of his role as headteacher. As he noted, when asked about goals he would want to work on:

PK: It think it's still within the area of curriculum, because I think the area of curriculum management, it is vital to the work of the school, but it is such an overwhelming task, and I think... My own view is that the bigger the school, the more difficult it becomes, I don't think it becomes easier.

BP: Would you say that also you had more time for curriculum leadership prior to LMS?

PK: Yes. Quite clearly, yes. But I'm not into making excuses, I think it does need to be done. (PK-W:3/13-662)

Possible explanations for the headteacher's emphasis on curriculum leadership were: the weight of curricular change (PK-W:1/6-536); his shaping role as resource provider and 'critical friend' (PK-W:1/11-577); his views on the relentless nature of curricular change (PK-W:4/1-669); and the danger of that he felt the National Curriculum had in promoting a lack of reflection (PK-W:2/4-599).

Interpretive requirement

The degree of curricular change through the various phases of implantation of the National Curriculum and its adjustments through the Dearing Report (1994) were expressed as forces which were shaping the headteacher's exercise of leadership in the school. Patrick Kline related:

I think this is where, as the head, as the leader of the school, you have got to be very watchful of... external agendas, and particularly over the past years, helping teachers to cope with what they hear... government ministers, what they hear through the media, and then how that is translated through what parents believe, the expectations of school are concerned... to act with an air of confidence about where we actually stand against that and what we're going to do. (PK-W:3/8-643)

As this segment suggests, a two-way interpretive process was at work: interpreting the change agenda to the staff of the school; and, interpreting the direction and practices of the school to an external community.

Implementation requirement

In conjunction with the domain of influence, positional authority (Peabody, 1962) and responsibility also rests with the headteacher. This extends beyond simply an interpretive requirement to a requirement that the appointed curriculum is taught within the school. This was seen earlier in the headteacher's espousal of the importance of his participation in, and support of, the instructional and curriculum INSET provision of the school.

The other clear indications of the headteacher's awareness of, and responsibility for, the implementation requirement of the curriculum were in his comments regarding the preparation of the school for OFSTED inspection. Although not indicated as an overly significant force in directing school development planning (PK-W:1/6-539),

the researcher did note an indication through observation that a number of activities of the school appeared to be driven by the potentiality of an OFSTED inspection. This is reflective in the following comment regarding the school development plan:

Yes, some of the items that had been on the old development plan would show their face again, but there was a need to address new areas, particularly in light of what some parents were, we were getting some feedback from parents, certainly what John Patten was saying, certainly what the 'Three Wise Men' had said in their report, and then subsequently what had come out of Dearing, or more particularly, what had been fed into Dearing, what Dearing was asked to look at, and also what OFSTED was saying. (PK-W:3/1-614).

Self-management

There were two aspects of 'self-management' that were reflected in the interview transcripts: the theoretical, and the practical. A theoretical influence was through the work of Caldwell and Spinks (1988). Patrick Kline indicated that he had read and respected their work in local management:

BP: How has your practice and thinking about leadership in the school been influenced by government initiatives?

PK: Certainly the government initiative for local management, in fact, gave positively to me as a leader, and a number of friends within the county, what we had been looking for. The government... initiative which came about... followed through from '87, I think...

There's the book, I'm trying to think of the other author, 'whatsit 'and Spinks, the Australians...

BP: Caldwell...

PK: That's it. Now, that's another influence. That book had a major influence... [Interrupted by phone call]

That, as one book, sort of encapsulated a lot of things that I, and others in Oxfordshire, were moving on, but in no way along the lines that they were pointing to from their Australian experience, but it underlined that what we were seeking to try and do was possible.

I see LMS in that context. I, and the culture of this school, the governors in this school, the staff of the school welcomed it open-handed. This is one thing that has shown through from the (university) research on the school, that there is a positive attitude towards LMS within the school. And they didn't find that in very many of the schools that they went in to.

So, I think that is very much a sort of cultural aspect of the working of the school.
(PK-W:1/6-533)

As this excerpt indicated, the idea of local management of schools was particularly useful to the headteacher and to those in the decision-making structure of the school.

The headteacher's espoused beliefs in structures of local management nevertheless reinforced his commitment to co-operative partnership with local schools and could not be interpreted as a support for full autonomy in the form of grant-maintained status. Patrick Kline was opposed to the concept of GMS and shared that belief with colleagues (PK-W:1/6-538).

5.4 Headship in Action

Many of the active aspects of Patrick Kline's headship are woven through the prior two sections (5.2 and 5.3); however, a few specific actions arose from the data that bear closer examination. The first is what could be denoted as the headteacher's 'buffering function'¹⁷; the second is the activity of school development planning; and, the third is the action of the headteacher in supporting reflective practice.

5.4.1 The buffering function

The buffering function, which was noted in all three case studies, was seen as the necessity to help teachers cope (PK-W:3/8-534) with the pace of imposed educational change from outside the school, and the critique of state education that is often

¹⁷ This is related to the 'interpretive requirement' described in section 5.3.2.

conveyed through the media. A further buffering function of the headteacher was to prepare the school community, including staff, parents and governors, for the rigours of an impending OFSTED inspection. As Patrick Kline indicated, this was challenging for both staff and for himself:

BP: What's your role in all that (OFSTED preparation)?

PK: What's my role in all that? Interesting.

Overwhelming sometimes, I think. You can actually have some pretty awful moments ... it was the only time with the thought of an OFSTED inspection coming, I sort of had a couple of bad days...

It can be a bit overwhelming, because if you actually look at the school there is something like 26 teachers in the school... if you turn the headteacher into being teacher and the teachers being the pupils, it's a class of some quite diverse people who you need to have... first of all a pastoral care for, to start with, and then you've got the professional care for them. So it is quite a task and that has to be shared with others and that's where the senior staff group come in. (PK-W:3/10-650)

It should be noted, however, that the headteacher did not view this as solely his responsibility, but was shared with senior staff as well.

BP: Who's responsible for knowing when that learning curve either needs to increase or to flatten out?

PK: I think the head teacher needs to be. But, I think, equally, then this is where the (deputy head) has been very good, actually counselling me saying, 'We need to hold off on this, can we take this a bit more slowly.'

I think, then, a good senior staff will be... almost self-counselling... saying, 'We've actually planned this, but we need to take it more gently, people have had enough.' (PK-W:4/1-670)

What this data suggests, again, is a close link to the headteacher's core constructs and values; the emphasis on the individual, and the pastoral care responsibility of the headteacher was interwoven through the interviews and discussions of educational challenges.

5.4.2 The headteacher and a school development planning

A key activity which the headteacher used to prepare the school for an OFSTED inspection, and for the continuing growth of the school, was the school development plan. As indicated in the interview data, school development planning could not be considered to be initiated in response to school inspection, as it had been in place prior to the implementation of the inspection programme; the planning process had a long history at Warnerton under this headteacher's leadership. As Mr. Kline stated:

PK: Last summer we, well the planning for it in fact started the year before, we were aware that the development plan we had got, in fact, needed not just reviewing, it needed revamping because we had gone through reviews, added to it, taken bits away. And we felt that the whole thing needed to be revamped and we needed a fresh start.
(PK-W:3/1-615)

There is data to suggest that the headteacher recognised that a comprehensive school development plan would be useful in preparation for inspection based upon its usefulness in a previous HMI inspection (PK-W:1/6-541), but its historic use in the school could be seen from examination of the school documents¹⁸.

5.4.3 The headteacher supporting a 'reflective' culture

The buffering function, pastoral care of staff, and school development planning was aimed at the encouragement of a reflective teaching environment in the school.

Warnerton was seen as a 'training school', and regularly took on both teachers-in-training, and newly qualified teachers (PK-W:1/7-543). This was further evidenced in the interview with one teacher who was an NQT¹⁹.

¹⁸ The school carried out a 4-yearly audit in 1981, which revealed a systematic plan in place for addressing school needs and direction (Fieldnote, 19.4.94).

¹⁹ See Appendix 5-B, Teacher 2, Questions 5a & 5b.

The establishment of a reflective culture was seen in the following response from the headteacher:

BP: In terms of your role in the reflective school, as a headteacher. You talked about how teachers are at different places with that, sometimes they are too reflective, too self-critical... others need to see more.

Are there specific things that you try to do... to encourage that?

PK: I think there are a number of sort of incidental ways at the moment.

Some of the more formal ways would be within a group, for teachers... to bring a piece of work, children's work along, and actually talk about that piece of work, how it came into being, and what that teacher would then be moving on to seek to achieve with the child next, which I think is possibly, the most important one, where teachers are actually applying their thought to individual children.

You've got the more global work, which is actually to look at the more strategic planning processes... the why's and wherefore's.

You've got the very clear ones where we've had audits, curriculum audits done, and you then actually look at somebody else's reflections on our practice. And you actually then start saying, 'Well, what do they mean by this?' Actually then teasing out and sorting out in one's own mind what it is we've got to learn from somebody else's critique. I would see that as reflective practice and, in fact, asking for somebody else to act as a stimulus for that...

The more incidental ones are when you're actually in a classroom is actually... if you come across a piece of work, and actually just saying on the spot, 'Well, how did this come about? What lead to this? What is it part of? Where do you get on to next?'

Probably, that is the more important question always, what is the next step from here? How do you develop this? If you've achieved this with this child, do you actually stop now and move to something else? or, have you actually planned for further development? And what is that plan to be based upon? (PK-W:2/4-598).

The researcher believed it important to see if that perception was verified by the teaching staff. From the questionnaire, the following comments were shared in response to the question on headteacher actions which supported professional growth:

- Given freedom to develop own professionalism; informal chats about issues related to the classroom and parents.

Chapter 5

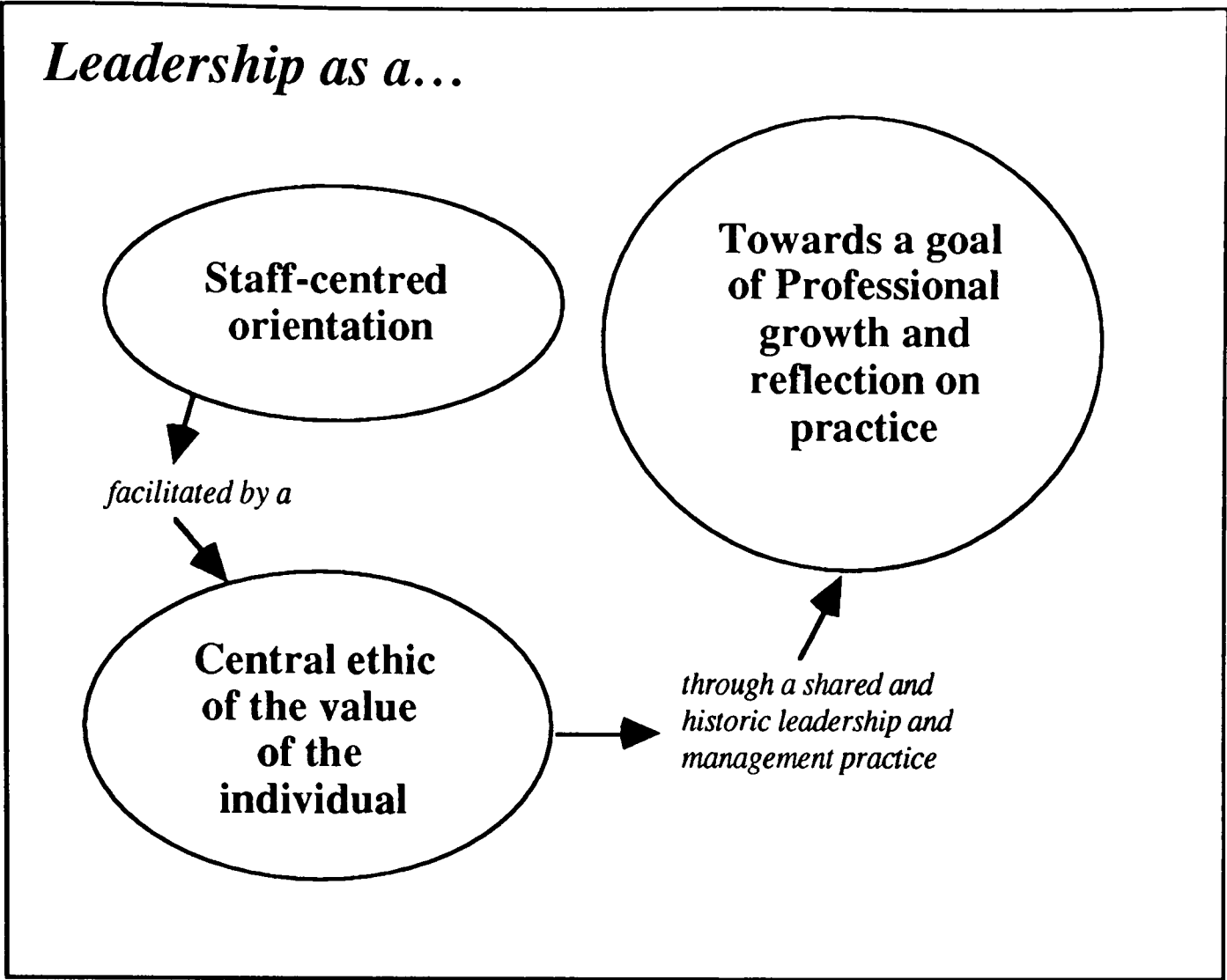
- encouraged course attendance; –allocated me time to work on my specialist subject in other areas of the school other than my own class; –involved me in discussions about future projects.
- Allowed me to make decisions and take risks. Also, allows us to make mistakes then makes sure he's on hand to offer solutions & support; Given me the opportunity to lead meetings, represent the school etc.; Given me responsibility for the management of several budgets!
- He has been very positive and supportive; We had regular weekly meetings for the first term, and he has always been available for me if I want to discuss any problems; We have agreed an ongoing development programme for me in this, my first year of teaching. (Appendix 5-E, Question 5)

Sufficient triangulatory data emerged to lend reliability to the headteacher's espoused theory and practice towards encouraging reflection.

5.5 Significance and Conclusion

The researcher would submit that a general picture of Patrick Kline's conception of leadership emerges from this data that is represented in Figure 5-2:

Figure 5-2: Headteacher’s model of leadership (Warnerton)



The headteacher’s staff-centred approach was evident in espoused beliefs expressed in interviews; was represented in teacher comments in interviews (see Appendix 5-A; 5-B) and in questionnaire responses (see Appendix 5-E). This was further seen in Patrick Kline’s use of time, which often centred on meeting with members of staff²⁰ for support and problem-solving (Fieldnote 15.3.94).

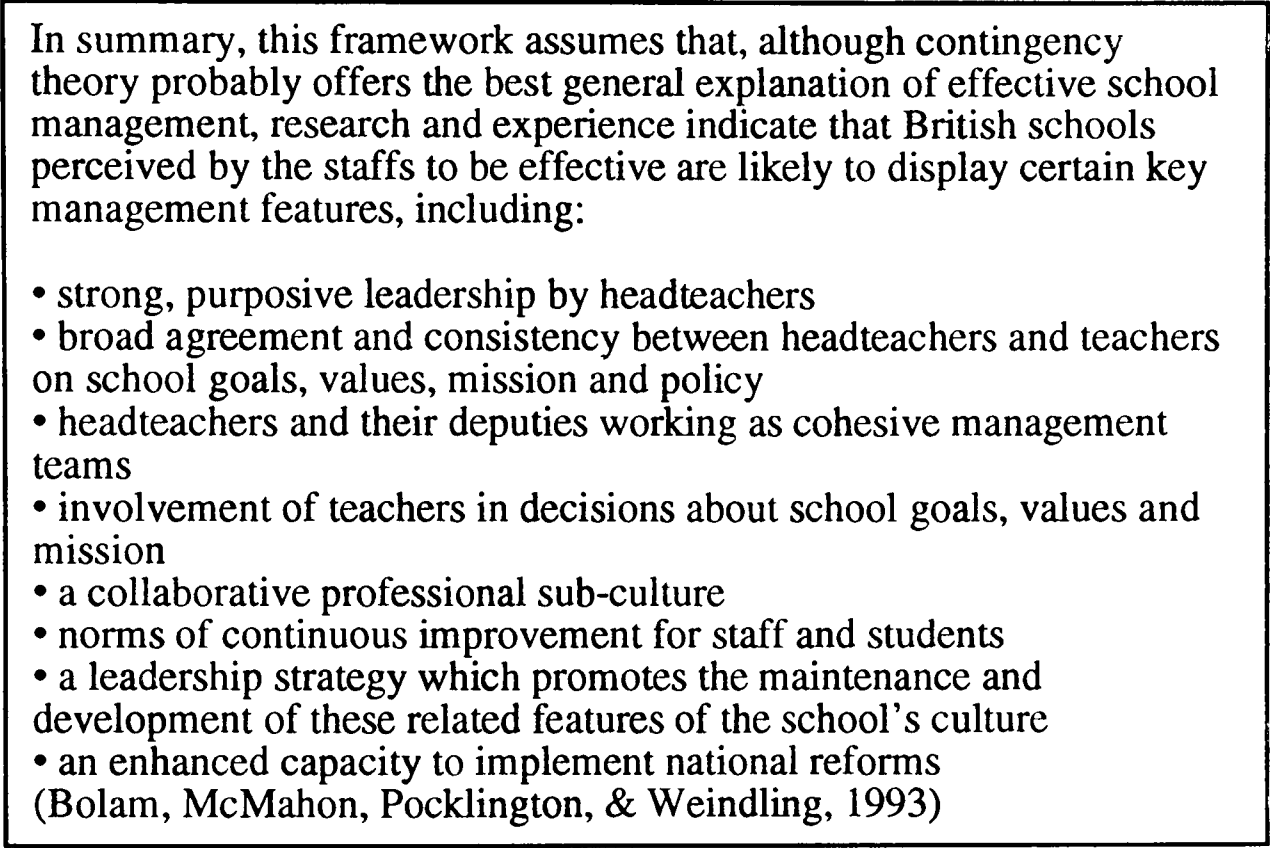
The headteacher’s central ethic of the value of the individual, expressed through the ‘family’ terminology used by the headteacher, staff, and in documentation was apparent, and pervasive in the school. This ethic could be seen to under gird many of the headteacher’s leadership actions in encouraging reflection and professional development of staff.

²⁰ The headteacher made a practice of visiting every classroom prior to the start of the school day to be available to staff and to greet them.

5.5.1 Central findings

Bolam, McMahon, Pocklington, and Weindling (1993) identified a number of common characteristics of effective schools. The characteristics which they identified are shown in Figure 5-3.

Figure 5-3: Central characteristics of effective schools



Although the researcher would question what appears to be a return to the methodology and limitations of ‘effective schools’ research, it bears inclusion as a triangulatory literature source to conclusions from the data. Using the characteristics suggested by Bolam et al (1993), and reviewing the data presented in this chapter, it can be argued that Warnerton, and Patrick Kline’s leadership, could be viewed as ‘effective’.

Although this is not an evaluative study, the establishment of the school’s general effectiveness is related to the central question of the study which aims to examine the leadership conceptualisations of ‘perceived effective headteachers’ and schools that are viewed as moving forward in professional development.

5.5.2 Questions raised

One question that is raised by this study is the nature of Patrick Kline's individual headship. None of the other headteachers which participated in this study had the length of tenure in a single school that Mr. Kline had. The researcher believes that this raises questions of how far the exercise of leadership at Warnerton is idiosyncratic to this particular head and tied to his long service at the school, as clearly argued in the work of Bullock, James, and Jamieson (1995).

This is an important question, however the research questions of this study were more concerned with how perceived effective headteachers conceptualised leadership in a time of systemic change. The researcher would argue that his length of service *across* the time period of major change—from the middle 1980s—adds a degree of stability to his views, and perhaps their generalisability across schools.

In the final case study, the researcher develops a portrait of the headteacher and begins to suggest some common observations and theoretical suggestions that will be discussed in Chapter 7.

CHAPTER 6

HEADTEACHER CASE STUDY: GRAHAM CHADWICK HEADLEYMILL COUNTY PRIMARY SCHOOL

I'm arrogantly conscious that whenever I'm with someone I'm in the process of education... it's not a one-way process, I don't feel that I'm delivering just to others, I feel I'm doing it to myself as well... I feel the purpose of my life is to understand myself and to understand the world in which I live, and I try to share that belief, that sort of vision, with other people. So, I'm enabling through conversation my own perceptions to develop, my own understandings, and also try to help other people that are around. (GC-H:Misc-340)

6.1 Introduction

The final case study reported, and the first study undertaken, was of Graham Chadwick, headteacher of Headleymill County Primary School. The following report of findings shall follow a similar format to earlier chapters, but hold aspects of meta-analysis in preparation for the discussion contained in Chapter 7.

Data from this case study was the most extensive in some details. The researcher regards this as being due to the necessity of continuing to refine the data collection instruments following pilot study. Furthermore, the researcher found a greater degree of familiarity with the research setting and methodology as each study was undertaken, which allowed for an increased rate of data collection¹.

¹ This was one area where the researcher found a additional cultural adjustment to be necessary. Although having been in the country preparing for the study and examining English primary education for a year when the fieldwork began, there were aspects that only became clear when immersed in a primary school. This first study allowed the researcher a few hours of extra time to increase familiarity with primary school culture before moving to the final two studies.

6.1.1 The school

Headleymill, a maintained county primary and nursery school was situated in a large Oxfordshire Village. Census data (1991) indicated that 5657 persons lived in the census area. Of that population, 83% lived in owner occupied households. 2.8% of the population aged 16 and over were unemployed and the population was 96% white. The village's proximity to Oxford meant that many of the parents in the school worked in Oxford. The headteacher described the community as 'working class' (Headteacher questionnaire; GC-H).

Students were housed in 16 classrooms, with a number of the classrooms (6) being of new construction (1992). The remaining classrooms were in older facilities or Elliott type buildings. The school had an attractive hall, also new construction. There was a library area and extensive play areas for children. The school was also planning for a re-design of the play areas to achieve goals set out in the school development plan.

As of January 1994, there were 376 pupils on roll (435 if the on-site nursery was included).

6.1.2 The staff

A total of 16 FTE teachers worked at Headleymill. Interviews were conducted with the deputy headteacher and three selected teachers. The deputy headteacher was interviewed on 22.2.94, and the three teachers on 28.2.94, 4.3.94, and 8.3.94. The interview schedules contained in Appendix 3-F were used for these interviews. Summaries of the interviews with the deputy and three teachers are found in Appendices 6-A and 6-B.

The teachers were responsible for single age classes and utilised the 'open' features of a new building for co-operative teaching and some team teaching. The staff was largely experienced, although an NQT was evident on the staff list.

The teachers and headteacher indicated the following aims for learning at Headleymill:

We subscribe to the principles outlined in Oxfordshire's Curriculum statement believing that children should be given every opportunity to develop intellectually, spiritually, physically, socially and emotionally as far as they are able. (Headleymill School Prospectus)

6.1.3 The headteacher

Mr. Graham Chadwick, the headteacher of Headleymill, was of an equivalent age as the other headteachers and had also an extensive profile of experience as an educator. His educational training showed two degrees: a B.A and an M.Ed. Mr. Chadwick had been in post for one year at the time this study began, but Headleymill was his third headship, comprising a total of seven years of prior headteacher experience in two other schools. The aspect of Graham Chadwick's experience that was unique was a ten year period of work as an advisor/inspector at the local education authority level².

Owing to the fact that the headteacher had been in the school for just a year presented two issues for consideration. In the first instance, the headteacher was slightly reluctant to participate, knowing that in some respects he was still negotiating the changes of early headship. In the second instance, the researcher considered whether the length of tenure might present a confounding variable to the data from the three

² The uniqueness of this experience at the LEA was considered by the researcher as potentially significant in the formation of the headteacher's perspectives and views about headship. It could be argued that expanding spheres of influence have a shaping effect on this headteacher's perceptions, and, therefore, served as an influencing variable which the researcher kept in mind when interpreting the headteacher's views.

headteachers. It was decided to include this headteacher because, although new to the school, he was certainly not new to headship. Furthermore, his varied educational experience was considered to be potentially enriching to the 'deep understanding' sought from the data.

6.1.4 Scope of data

The period of primary data collection was from 25.1.94 to 10.3.94. During that period a series of 18 site visits were carried out. A total of 73.5 hours were spent at the school. An outline of the primary fieldwork activities and dates is found in Appendix 6-C.

The headteacher, Graham Chadwick, was open and receptive to the researcher's request for access. Of the three headteachers, Mr. Chadwick offered the greatest number of invitations to observe a variety of meetings and activities. Particularly, he invited the researcher to observe meetings with parents, individual teachers, and students. This occurred more in this case study than in the other two case studies³.

Teachers at Headleymill were somewhat restrained with the researcher's presence (Fieldnotes, 24.2.94). This restraint was evident in a mild degree of suspicion. The evidence for this is seen in the questionnaire (see Appendix 6-E). A review of the responses indicated that some of the teachers completed the questionnaire jointly, submitting identical answers for a number of the questions. There are a number of possible reasons for this. The most compelling explanation is the underlying change responses that the teachers were still experiencing under a relatively new headship. It

³ The researcher left it to the participant to invite observation of meetings with individuals. In those cases where the researcher was in the room, the researcher's presence was explained to the individual and permission was obtained to remain. It was explained that the researcher's presence was to observe the headteacher in action, not the other party. There were several instances, especially when individual staff met with the headteacher, that the researcher and headteacher jointly determined that the researcher's presence would be inadvisable on confidentiality grounds.

was also apparent that the teachers had not had the experience of a great number of outside visitors, as was evident at the other two sites. This lack of experience with visitors may have also influenced their caution with the researcher. The teachers were co-operative, but the researcher felt a need to clearly indicate the non-evaluative nature of the study in any interaction or interview that occurred.

6.2 Conceptions of Leadership

Perhaps, owing to the number of roles that Graham Chadwick had held in the educational world, he expressed an articulated and well-thought out notion of headship and leadership concepts in general. This formed a central theme around which many of the discussions were built. Those central issues included his beliefs about the role of the headteacher; imperatives for leadership action in the school, views on the use and practice of power and authority, his human orientation, and the role of intuition in the headship. Each of these are developed in this section of the chapter.

6.2.1 Personal constructs

The repertory grid was administered to Graham Chadwick on 21.6.94. A full list of the constructs elicited in that administration are included in Appendix 6-D.

Analysis of the rating data was accomplished using the protocol outlined in the previous two chapters. Factor analysis was carried out on 27.6.94 and from the data analysis three factors emerged which accounted for 89.3% of the variation. The factor loading obtained from the rotated factor matrix was as follows:

Table 6-1: Super-ordinate construct/factor 1

FACTOR 1: <i>personal characteristics of the individual</i>			
No.	Emergent Construct	Contrast Pole	<i>r</i>
11	Sense of humour with the headteacher	<i>more formal in interaction with headteacher</i>	.95
10	lack of empathy about other people; self-centredness; stubbornness	open personality; easy to get along with; integrated personality; confident about themselves; sensitive	-.91
2	care for me as a person; total awareness of other people's thoughts and feelings; objectivity and subjectivity together	doesn't care for me as a person; aware of thoughts, but not always aware of the emotional context; totally objective	.91
6	putting yourself out for someone else; doing something for somebody else; caring for others; low degree of self-centredness	high degree of self-centredness	.85
1	highly reflective; consider problems from many points of view before giving response; thinking deeply about issues, coupled with care	total carelessness, uncaring, lack of care	.83
5	sensitivity to other people; to people's needs, wants; person-centred	insensitivity to other people's feelings	.83
9	depth of experience, knowledge of education based on experience	in-experienced (not necessarily short-served) lack of knowledge gained from experience	.53

Table 6-2: Super-ordinate construct/factor 2

FACTOR 2: <i>characteristics of professional perspective.</i>			
No.	Emergent Construct	Contrast Pole	<i>r</i>
7	ambitious in terms of professional development	not so ambitious; professionally un-motivated	.92
3	greater perception of, and understanding that education lies within a wider network; responsibility beyond just school; <i>global vision</i>	focus more on own school or self. <i>parochial vision</i>	.87
9	depth of experience, knowledge of education based on experience	in-experienced (not necessarily short-served) lack of knowledge gained from experience	.81
12	people who have influenced the head, receptive to their influence	people who head has influenced; receptive to head's influence	.69
8	interested in child development; <i>child centred</i>	not too interested in child development	.66

Table 6-3: Super-ordinate construct/factor 3

FACTOR 3: <i>person-centred perspective</i> .			
No.	Emergent Construct	Contrast Pole	<i>r</i>
4	look at the reputation of the school; school specific; image of the school in the community; what parents think of the school; institutional dynamic	looks at how the individuals are within the school; concerned with individuals within the school; person dynamic	-.76
8	interested in child development; <i>child centred</i>	not too interested in child development	.71

Identification of super-ordinate constructs

Factor 1, the researcher broadly identified as *personal characteristics of the individual*. Constructs which loaded under this factor have to do with a reflective nature; awareness of others; sensitivity and person-orientation centred on the needs of others; open, an integrated personality; and humour.

The constructs which load under Factor 2, indicated *characteristics of professional perspective*. The type of individual represented here indicated an ability to see a situation globally; ambitious motivation; child-centred in approach; experienced; and influential.

Factor 3, the researcher labelled *person-centred perspective*. Factor 4 indicates an interest in the human dynamics of the school, as opposed to organisational; Factor 8 is a child-centred perspective.

Interpretation of super-ordinate construct anomalies

In Factor 1, the negative correlation of construct 10 indicates that the contrast pole should be compared with the other emergent constructs. The presence of construct 9

under this factor is puzzling⁴, unless it is seen as a personal characteristic of being able to learn from experience. A low correlation coefficient renders its inclusion to be discretionary.

Factor 3 indicates a negative correlation with construct 4. The contrast pole should be used for interpretation and makes sense when viewed with the other construct loading.

6.2.2 Beliefs about the role of the headteacher

Graham Chadwick had a number of expressed beliefs about the role of the headteacher in the school. In the first instance, he spoke of that role in terms of the facilitative aspect of headship. As he stated,

GC: I think that the clients of the teachers are the pupils, and my job as leader is to ensure that the conditions exist in this school for my teachers to do the best teaching they can possibly do, and the standards should be high through that. (GC-H:1/3-28)

In a later interview, Mr. Chadwick said,

GC: As you will know, I don't think that the head's role now can be... either a dictator, or a father figure, totally responsible for everything, totally making all decisions. That sort of style is out, I don't think it will ever come back.

The role of head is one of facilitating, ensuring that everybody is participating in all aspects of school life as much as possible.
(GC-H:4/11-315)

This shift from a directive to a facilitative ethic is reflected in the literature. Reitzug (1994) identifies it as both 'supportive' and 'facilitative'. Reitzug's study is developed on a base of critical theory, of empowering teachers to evaluate practice,

⁴ A further reminder that this data serves as supplementary, and the researcher does not intend to place over-emphasis on it due to the statistical criticisms that could be levelled at sample size and factor analysis. The constructs viewed in their entirety present the more compelling portrait.

rather than manipulating behaviour. It was the presence of that sense of 'facilitation' which the researcher was interested in exploring in the context of the case study.

An important question was whether, then, that facilitative dynamic was perceived by the teaching staff of the school. The researcher was interested to know what triangulatory evidence might have existed to support that claim.

Two of the three teachers interviewed mentioned the headteacher's influence particularly in making one 'think about teaching and life in general' and 'making staff discuss what we do; made all of us talk and share' (Appendix 6-B, Question 4).

In the teacher questionnaire, the following comment was written:

'Some of our staff meetings have been thought provoking and have encouraged me to reflect more deeply on certain areas of my teaching' (Appendix 6-E, Question 3).

The data suggests there was not a broadly espoused link between a critically reflective stance and the headteacher's role; however, the need to be reflective, and to think critically about ones' teaching was mentioned in greater detail in Appendix 6-E (Question 8). The length of Mr. Chadwick's tenure may have also influenced a possible link between the headteacher and facilitating a reflective ethic, however, there was enough evidence to indicate that a degree of impact was being built, at least for some teachers.

In any case, clearly this was an espoused value of Graham Chadwick. He reiterated it in another interview saying,

GC: I'd like to re-emphasise what I've said about releasing the dynamic of other people because I think that's a key feature, conscious feature, of my leadership here is that I try and recognise that. (GC-H:1/8-93).

One aspect of direct leadership which the headteacher espoused was leadership in INSET. When asked how he viewed this specific role, he stated that he felt his role was to: 'Initiate it, if necessary. To sustain it. So, initiation, sustaining and evaluation. The evaluation is important.' (GC-H:3/10-220). This, again, was reflected in the comments written by teachers on the questionnaire (Appendix 6-E).

In the data from this headteacher, the researcher was interested to discover what the headteacher said regarding his role, his perception of his role, and the influence and interaction that had with his perception of identity.

In Southworth's (1995) case study, the conclusion was drawn that the headship was more than simply a role, but actually served as a identity. Bottery (1992) also speaks to an historic sense of 'L'école, c'est moi'⁵, and suggests that, 'where history has set a particular background, it can constrain the imagination, and prevent awareness of other possible forms of leadership' (p. 179).

It was important to the researcher to see if the data from this study would suggest the same conclusion. The headteacher in this school made the following insightful comment with regard to his views of the headship and his role in the school.

GC: I suppose I don't feel really like a headteacher if you push me on that one. Because I've played so many roles, I feel more of an 'educator', whatever that means.

BP: Doing a headteacher's...

GC: Doing the headteacher's job at the moment. I don't really feel as I'm a headteacher.

In fact, if someone asked me what I do I tend to pause before I answer that question. Whereas in my second headship I would have answered immediately, 'I am a headteacher'. (GC-H:1/6-65)

⁵ An adaptation from Louis XIV, cited by Bottery (1992, p. 179)

And later,

GC: I don't, actually, look on this school as my school, which is interesting... loaned to the school to do a job... I don't identify with it totally. I try to keep inside it, but outside it at the same time. Which wouldn't be how some of my staff would see it, who have been here a long time, they would be much more in the thinking that this school is them, they are it... (GC-H:Misc-366)

However, the following comment was shared which presents some interpretive challenges:

BP: The other day you talked about the transition from seeing yourself as a headteacher to seeing yourself as an educator. I wonder if you might expand on that and tell me a little bit of how that occurred?

GC: Since I've been in the profession, I was really thrilled to become a teacher, it was something I was pleased to become, it is something that I've never regretted. I've got a great deal of personal satisfaction out of the job, and I have never thought of my job as a separate entity in my life. I just have this view that I'm living, and that if I'm here this is the part of living that I'm doing, and if I'm somewhere else... so I don't differentiate between work and not-work. This then allows me to put in an enormous amount of effort, and I don't think. 'now I've done my so-many-hours, I now stop', I just go on, and on, and on. And I've been like that all through my career.

Therefore, as I've been involved in so many sort of different roles, I do look on them as roles, and they're not to do with me, as a person. And therefore, I now feel that my own mission, if there is a mission, is to be a communicator and an educator of people, no matter if they're three years old, or ninety-three years old. (GC-H:Misc-337)

This view would seem to suggest that the headteacher viewed himself in a totality, which involved the headship as a role, and a role which consumes a great deal of energy, but not a totality which is defined by the headship with the other aspects of his personality and interests fitting into that.

The researcher believes this is worthy of further research and is helpful to include at this point in that it helps to identify the self-defined attributes of the headteacher; this had an influence on the other aspects of leadership conception which are further explored in this chapter.

6.2.3 Imperatives for leadership action in the school

The data suggested that the headteacher's espoused orientation was toward action. He did not view himself as non-interventionist in the facilitative role which he indicated were a part of his beliefs.

The following excerpts are designed to illuminate that interest and belief about his role in the school.

The following excerpt from the first interview illustrates the headteacher's view toward action:

GC: I am not suggesting that I as leader consistently get it right. Sometimes, I'm sure that I make poor decisions at the wrong moment. But I think one should be aiming to sense when the right moment is to make a decision⁶.

What frustrates any team that you're leading is if there's hours and hours of discussion, and they then say, 'But he doesn't make a decision! We want something to happen, we've talked about it, but nothing is happening.'

So the leader must be prepared to make a decision. But it should be a decision that everyone goes along with, if at all possible. There are occasions when you will make decisions that everyone can't go along with because of their own positions. But as much as possible, to try and take everyone with you. (GC-H:1/1-7).

Further interview data suggests that the headteacher viewed his requirement toward action as being a part of his designated authority, or what Peabody (1962) would designate as 'formal authority'; that authority bestowed on an individual by position.

⁶ This is further illustrated and discussed in Section 6.2.6.

The following excerpt illustrates how the headteacher conceptualised an interaction between the designated formal authority of his position, and the challenge of maintaining a reflective perspective:

GC: One of the problems with so many people is they don't allow other people to give them feedback. So, they don't know how they are. They create a world of their own, but that world they then put onto the rest of the world, it reflects back, it's not the true world...

But then, the ability to take action.

I think the head teacher that I've always looked to appoint has been the one who has the ability to be reflective, and also be prepared to take action. So it's a mixture of action and reflectivity. (GC-H:4/3-261)

GC: There are certain things that you need to be seen to be very decisive about. One is matters to do with discipline and keeping things going in the school, you've got to be seen to be acting quickly in situations like that, or an emergency situations...

Perhaps there are times when I ought to tell people what to do more often than I do, perhaps... that's a weakness in my style. (chuckle) (GC-H:4/8-279)

GC: It's no point at all in being the sort of person that thinks, and thinks, and thinks, and thinks... you've got to be able to take action at the appropriate moment. And that's what a good leader is... a leader takes action. Is prepared to say, 'All right, folks, we've discussed this long enough, now we will do what we agreed, A, B and C... these are our deadlines, and I expect this to have happened.' (GC-H:4/3-263)

In addition to the imperative of action in headship, the interview data revealed the nature of some of the 'actions' which were considered by the headteacher to be essential. One the actions was that of vision sharing. Graham Chadwick described this imperative of vision building as follows:

GC: I think one of the roles of headship is, continually, in conversation with people, to be helping them to gain that vision that you have. You're putting them into the pot of the vision and helping them to see it.

I've written, yesterday, to two new members of staff who we appointed... and I said, in there, when they come I want time to reflect with them what the school is about, what we are trying to do, what my vision for the school is. Because I think that induction is necessary. (GC-H:3/13-239)

Another imperative is that of guiding staff toward reflective review of theoretical underpinnings for their teaching. This seemed to be important to Graham Chadwick, and his leadership in this area was described in the following exchange:

GC: But it's important for a head teacher, I think, to have that sort of theoretical base at the back of his mind, and his own library, so that at the appropriate occasion, he/you can draw on it.

It's like having skills or tools, you don't use them all the time, but if you don't know they exist, you can't use them. So it's appropriateness. It's like when teaching a child, you use the appropriate materials at the right moment. And the skill of a good manager, or a good teacher, is timing and knowing when to say, 'Have you looked at this, have you read this?' (GC-H:2/9-178)

An implication of this view is the notion of headteacher self-knowledge, of having an awareness of the 'theoretical base' on which the headteacher draws upon for development of staff and for headteacher credibility.

From these 'imperatives' it might be construed that the headteacher was more directive than the data would support. The above comments should be understood within the context of the other aspects of his role which he viewed as imperative. These other imperatives included involvement of others, humour, investment of trust, and being open to challenge. A few excerpts will illustrate this view and are represented in Table 6-4.

Table 6-4: Additional headteacher imperatives

<i>Involvement of other</i>	GC: I believe my style of leadership is one of trying to involve other people as much as possible in decision making so that they feel a part of the decision making process. I believe in delegation as much as possible. (GC-H:1/8-86)
<i>Investment of trust</i>	GC: I hope, that's another feature of my leadership style, is investment of trust in people. (GC-H:1/8-95)
<i>Remaining open to challenge</i>	GC: And people, once they start to know me, know that I'm not offended by being challenged. I don't worry, I'm confident enough as an operator not to worry about being challenged. I don't have to set up routines and structures... where I run the school to prevent myself being challenged. Either from the children, parents, or anybody. It doesn't worry me. I know myself well enough to know my strengths and weaknesses, and I don't mind other people knowing my weaknesses and strengths, I don't have to hide. So, I'm quite open with people, and maybe that allows them to be open back? (GC-H:2/2-134)
<i>Humour</i>	GC: That's the other thing about leadership is humour. I think humour is very important in leadership, that so many leaders look poe-faced all the time and very grim. And I think there are times when you should defuse, or lighten the conversations of a place by introducing humour. I've always found humour a very useful strategy. (GC-H:1/3-32)

These espoused views are clearly reinforced by the teachers in the questionnaire data (See Appendix 6-E, Question 3). The combined data would suggest that the headteacher had a clearly defined sense of responsibilities of designated authority and its balance of shared leadership under a transformational style. The headteacher’s multiple roles, length of service, and, perhaps, reflective nature add to this attribute.

6.2.4 Use and practice of power and authority

As the previous section suggested, there are situations which occur within the school in which the headteacher felt that an element of his responsibility was to take decisive action at the ‘appropriate moment’. This section examines a few of these instances which illustrate the headteacher’s beliefs about power and authority and its exercise in the school.

GC: I'm aware that I manipulate. I know I'm a benevolent manipulator as a leader. I manipulate people, I manipulate situations, but always for the benefit, the moral benefit of the institution. I don't manipulate in any sense in a nasty way, I hope. There's integrity in my manipulation is what I'm trying to say. (GC-H:1/8-104)

The following comments illustrate how a teacher viewed that exercise of power in the school, and further triangulate on the views expressed by the headteacher.

BP: You've talked about some of the areas where you've seen some of his influence. Are there other aspects of the school that you would say his influence has been greatest?

T1: I think very often we can't see how far we've come. If I was able to turn back the clock I would probably have a better perception...

I think we now as a school have a clear focus on where we're going. We've got a mission statement, and we've got a policy on this, and this, and this, and this.

Communications in the school are so much more clearer now. All because of his management style. You attend the meeting—you get an agenda. At the end of the meeting there is a summary of what's been decided. So there's no excuse for people not to be informed. He's done so much, I believe. (T1-H:Question 4)

The researcher was interested to further understand how Graham Chadwick conceptualised *power*. In one manner, he spoke of power in terms of power relationships, of the interaction between three distinct stakeholders in the educational process.

GC: My view, the triangle of relationships that should exist... the LEA, the headteacher and the governors. When those three are interacting with each other, in all the cases I've monitored over the years, any two of those groupings can always act over the third. (GC-H:1/6-57)

Mr. Chadwick was also clear that these three power-holders did not reflect an equal distribution:

GC: In terms of power, no they're not equal in relationship. No.

Traditionally the LEA is the most powerful. The governors second and the headteacher third. Now it would appear that the governors have (got less) power.

I don't think a headteacher has very much power, and we've discussed this... influence, lots of responsibility, not very much power unless it's used in a very subtle way. (GC-H:1/6-59)

This interpretation of power in organisational relationships is reflective of what Pfeffer (1992) would term 'structural sources of power' (p. 75), as against 'personal attributes as sources of power' (p. 72). The researcher would suggest that the data reveals an understanding of Pfeffer's duality, of both the structural/positional aspects of power which are part of the headteacher's role, and the personal attributes he carried which might manifest themselves in what he termed 'benevolent manipulation'. That sense of benevolent manipulation had similarities to a phrase used by one of the teachers in interview, that of 'informality with rigour' (T1-H:Question 5).

There is a great deal which could be explored on this particular subject, however, the researcher was interested primarily in the aspect of power and influence as a characteristic of the headteacher's conceptualisation of leadership. In this respect, the researcher would argue that enough evidence exists to indicate that power was a part of the headteacher's basic conceptual structure of leadership, but interwoven with facilitative and orientation toward the individual. This is further developed in the next section.

6.2.5 Person orientation

One of the clearest indications of the headteacher's conception of the role of persons is contained in the constructs revealed through the repertory grid (see Appendix 6-D). Of the twelve constructs revealed, nine of those constructs were centred on people or

some form of person interaction. This suggests a strong person-centred construct base when the headteacher is considering leadership and headship issues.

Other data from the study supported this view. In the interview data, the headteacher articulated his views as follows when answering a question about important attributes of headship:

GC: The next is a range of inter-personal ability, which is to do with sensitivity, a sensitive management style. Taking enormous care with people, and above all, having the ability to listen and to think about what you're listening to, so you're being an active listener, and giving people the opportunity to talk to you.

I think when leadership begins to break down is when people feel they have not had sufficient opportunity to talk with the leader. And I think everybody in my organisation has equal right to talk to me. I don't create, or intend to create... any sort of hierarchy in relationship.

What I will say to people is that there is hierarchy of responsibility, but there (must) never ever, ever, be a hierarchy of relationship.
(GC-H:1/1-4)

The same egalitarian ethic in his interaction with staff was cited in his scheduling of a meeting with every member of staff during the term, which was used as a means of assuring that his time distribution was not weighted more heavily in favour of those he found it easier to communicate with (GC-H:3/11-223).

Later in the same interview, Graham Chadwick noted of his own style:

GC: Because I think I operate, more than, from my observation of other heads, slightly more on the affective side. I tend to get into the real person quicker than, I think, some people may. I don't say I do with all people, because none of us do that with all people because there are some personalities, because of your own personality, you won't have much empathy with. (GC-H1/3-33)

This orientation towards persons came up on other occasions. In the fourth interview, Mr. Chadwick noted, 'I think one of the keys to successful headship is being able to

understand people, to listen to people, and to influence people, and to like people.

And I do enjoy working with people.’ (GC-H:4/3-258)

This suggested to the researcher that further questioning about his pastoral care role might be fruitful. To reveal these views, this follow-up was posed to the headteacher:

BP: One of the terms that's used in this country, that we don't have a similar term for, in the training of teachers they talk about pastoral care. I want to talk for a moment about what that looks like in the headship as well. Perhaps we already have?...

GC: It's caring for everybody who's in this building. I can't care for every child individually, that's not possible as there are too many. I don't know them well enough. I know some quite well. But the majority of children I can't possibly know well enough. So I determine that the people I am really responsible for caring a lot for is my staff who then in turn reflect that care back to the children in their classes.

That's the other thing I'd want to be remembered for, as someone who cared.

If ever I get upset, personally, it's if someone accuses me of not caring. Because that's not true. (GC-H:4/10-297)

Graham Chadwick's views of headship represented an extension of that pastoral care function from the traditional domain of student life (Bell, L., 1988, p. 5) to the staff as well. His personal constructs revealed this orientation as well as his espousal in interview.

6.2.6 The role of intuition in the headship

Given the suggestions of the headteacher's 'reflective' nature, it was, perhaps, not surprising that he a great deal to say about the intuitive role of leadership in the school.

Graham Chadwick shared the following perspectives:

BP: Can you talk to me a bit more about the sense of knowing when the 'opportune moment' has arrived. Whether that be in a conversation with an individual, in the direction of your school, or your own decisions about what you want to do next...

GC: Again, society, western society, has placed a lot of regard to cognitive development. In the work that you're doing at the moment... it's very much, I would imagine, picking up pieces, then taking that piece off to the next, analysing what happened there... it's very much a cognitive activity... an analysis and a scientific method.

I think that's important, but for me as an operator, I also use the other side, which I call the intuition side, the emotion side. I probably, more than most people, would rely on my intuition, and my feeling about something... (GC-H:4/3-254).

GC: I've always found in my life whenever I go with my intuition things turn out right. If I go with my intellect, which is fighting against intuition, it just goes wrong...

When I go back and think why did that go wrong? it's often because I... intellectualised and rationalised, whereas my gut reaction was different. And my gut reaction is usually right... about people, about situations. My initial reactions usually prove to be right.

So, what I think I'm saying is, that I do best... probably more than most people... a lot of my... management style... how I'm thinking, how I'm feeling... I try and match those two...

So I pick up the... sort of vibrations that are going on... I know how this school feels today, and I can pick up like that (snaps fingers) if the feelings are going wrong. Am I making sense? (GC-H:4/3-255).

This segment was particularly revealing of the headteacher's espoused value of the intuitive side of headship. This view is not without strong support in the literature (Bush, 1989; Eraut, 1994; Polanyi, 1958; Schön, 1984; Sergiovanni, 1991a). Due to its prominent position in transformational literature and in what was termed the 'new nature of educational organisations' in Chapter 2 (see Section 2.2.), the researcher believed it important to explore the role of intuition with the headteacher participants.

In supporting evidence, the headteacher's espousal of reflection⁷ was evident in data from one of the teacher interviews as well. In the interview data, the following exchange took place:

⁷ The researcher is not asserting that 'reflection' and 'intuition' are the same, simply that they are related terms with similar covert tendencies in action.

BP: One of the themes of my research is reflective thinking, mulling issues through, and how headteachers do that... Has that been something that you've seen that has spread beyond his office? Do people think about their teaching more here?

[extended pause]

T1: I don't know.

I think... (head) certainly makes you think. He's not an individual who is shallow and transparent. He makes you think. He makes you think about life, life in general, where are we going, what are we doing, and what is it all about. I myself, anyway, tend to think quite a bit...

Yes, he is a very reflective sort of person. There's probably none more so. (T1-H:Question 5)

Finally, the researcher was interested to know what the headteacher reported as informing his intuition. The transcript data revealed the following:

BP: The question that we ask ourselves is, what informs that intuition?

GC: It's a variety of things. Experience; being able, knowing people, and knowing to read body language; knowing how groups work together. It is an experience of people over a long period of time...

Having worked in a variety of contexts, with varieties of different sorts of people... in my formative years I was used to dealing with the general public.

Often I think people come into education [only having experienced educational settings]. Unless they've had some positive experiences other than that, they can be limited... If you've had other experiences it does help you to understand people... (GC-H:4/3-257)

What Section 6.2 revealed about Graham Chadwick's conceptions of leadership is that headship and leadership is strongly person-oriented, it relies heavily on the intuitive and affective domain of cognition, it is based upon person-oriented constructs, and contains a number of leadership imperatives which are exercised in the positional requirement of the headteacher and the careful use of power, both positional and interpersonal.

The next section examines the forces which served to shape the headteacher's conceptions, both contemporarily and historically.

6.3 Forces Upon Headship

The forces which appear to have served to shape Graham Chadwick's conception of leadership bear a number of similarities to those reported in Chapters 4 and 5; however, unique features are prevalent in each and are, therefore, presented separately. This section examines the forces which appear to have shaped Mr. Chadwick's headship in three broad areas: early influences, societal expectations, and governmental influences. Each is presented in turn.

6.3.1 Early influences

Outside of the context of the interview schedule, Graham Chadwick shared extensively a biographical account of his early years, family history, and reflective comments on his own personality (Interview transcript, 7.2.94). The following represents a summary of the thematic representation found in that exchange⁸.

Mr. Chadwick indicated a childhood experience of having been raised in relatively poor area of the country, in a positive, but not academically oriented family. He indicated that his intellectual growth did not begin to 'take-off' until after he had left school at age 16. In the subsequent years, he then shared of his efforts whilst holding a job to gain the appropriate qualifications (GCEs) for entry into a college of education.

⁸ The researcher decided that it would be inappropriate to include extensive transcript excerpts as the comments shared by the participant were of a personal nature. The themes are important, but the specifics are not essential to a complete understanding of this case study.

The general biographical pattern which the headteacher shared with the interviewer was one of late academic development and an emergent sense of personal drive for further educational qualifications. The following excerpt reveals his personal sense of drive:

GC: But I think a lot of my pushing on... I always have to do my very best. It's not a... showing off element in my personality, because I don't need that, but I have always a desire to be best, or give of my best. Which, of course, is... very wearing. I wish I didn't have that... but then I wouldn't have done a lot of the things that I've done, had I not had that driving spirit, of, 'Yes, I'm going to really go for it, and really achieve... I left college and immediately started degrees in my own time... (GC-H:Misc-345)

The early work experience which Graham Chadwick had following leaving school at age 16 was a clear shaping experience, especially in his person-oriented views. As he noted:

GC: In the early jobs that I had before I went to college, I got so upset through seeing people controlling other people in a very improper way. People who were, so called, managers of shops, and the way that they would treat people who were... I determined in myself that I could never work for other people. I would always have to be in a position where I was controlling, in a sense. I didn't want to be ever working in a situation where people who were insensitive to other people, uncaring, were controlling me. (GC-H:Misc-346)

This early work experience was noted in the first interview as well:

GC: I can remember when I left school and worked in shops, being appalled, absolutely appalled, at the way I, and other shop workers were treated by demagogues—people who did not know how to use, what they perceived to be power, wisely.

So I always made up my mind that I wouldn't follow those sorts of models. (GC-H:1/2-17)

This raised a question in the researcher's mind as to whether there was an equivalent response to other headteachers which whom Mr. Chadwick had worked; if there would be a similar reaction to supervisory behaviour of other headteachers as well.

Once again, at least in one instance, a similar experience was noted: 'I've worked for one headteacher in particular, whose strategies were totally inappropriate, and I was determined that should I ever become a headteacher that I would not use that model...' (GC-H:1/2-18)

It would be a misrepresentation to suggest that all supervision models that Graham Chadwick experienced were viewed in a negative light; that certainly was not the case. A positive model from another headteacher was noted in the following:

GC: On the other side of coin, there's been some marvellous models. My final teaching practice, when I was training to be a teacher, was a full term, and I was in a little school in Oxfordshire called (name) Primary School. It was a two-teacher school and the head was this man called (names head). And I idolised that man. I thought, if I could ever be a headteacher, or any teacher as good as that man, I'd be very proud. He was so caring. He didn't waste a moment of the day, he was continually working with the children. His standard of work was good. And I learned so much from him as a person, over those 13 weeks... (GC-H:1/2-19)

From the data, it appears that a number of experiences of the headteacher, especially in supervisory relationships, influenced his thinking about headship. An examination of the constructs elicited⁹ reveals a close link with the value of individuals, non-manipulative, empathetic, and caring leadership and management.

6.3.2 Societal expectations

The notion of changing societal expectations was revealed to be an understanding of the headteacher, and is reflected in the literature (Bolam, 1991; Simpson, 1987; Weindling, 1992). All three of the headteacher participants in this study mentioned the changing nature of parental expectations and participation. This was not different for Graham Chadwick.

⁹ See Appendix 6-D, with particular attention to constructs 1, 5, 6, 10.

Following a meeting with an aggrieved parent, Mr. Chadwick noted that his perception of the change in parental participation by stating:

GC: I probably would have handled those parents, it would have been difficult to, in a different way ten years back. I wouldn't have said you have the choice of sending the child to another school, I would have probably said would you take your child to another school please. Yes, there would have been a slightly different attitude. (GC-H:1/6-60)

Later the headteacher noted a change in the pace of his parental and staff response:

GC: My reaction times had to quicken up again. I think I'd become slower. Perhaps I'd even become a little lazy. You cannot be lazy in the school... It doesn't let you. If you are people soon sense it and the organisation then suffers. You've got to be on top form all the time to everybody that you meet. Because everybody thinks that that's their important encounter with you and they won't worry about the fact that five minutes ago you were giving your all to somebody else. (GC-H:1/7-71)

An interesting suggestion from the data is that although expectations in terms of parental rights, access and choice have changed, the expectation for the traditional role of the headteacher has remained constant in some regards. Mr. Chadwick noted this as a point of tension between his evolving understanding of facilitative leadership in contrast to paternalistic, transactional models.:

GC: And there's traditionally a view of... British school headship, which is, I think, tending now to be inappropriate. I think of that parents, for instance, they invest too much god-like properties in the figure-head of the head. They don't understand that you're a part of an organisation that belongs to the community.

And I think the expectation on the person as a head, is too great. And the staff, too, still have a paternalistic view of the head teacher, which I think is inappropriate to today's society. (GC-H:1/1-14)

GC: It does worry me that so much is expected of the headteacher by our society that there is still an expectation of this sort of omnipresent person that is supposed to deliver so much. I think it's an unrealistic expectation, particularly because of pay and conditions and things. (GC-H:1/8-83)

The data suggests that this is more of an external perception to the role of the headteacher than an internal one. The headteacher espoused a more dialectical relationship with members of staff; a balance of shaping influences that transfer both ways, from headteacher to staff, and staff to headteacher. An example of this dialectic is seen in the following:

GC: I'm not saying that, as headteacher, I am the one... only person in the institution who...

I would hope, by creating a climate, that everybody does that to each other.

You saw an instance of (senior member of staff) saying to me, 'Hang on now here, I'm in a class teaching, you called a meeting, can we re-negotiate this time?'

We laughed, and made a joke of it, but it was serious point. He was right, I hadn't considered all the things that were going on...

So he was causing me to be reflective.

What you need to be reflective is a humility and a lack of consciousness about your own status. (GC-H:2/8-295)

This section has noted the differences that occur in headteacher perceptions of role and leadership when shaped by the external influence of parental expectation, and an internal dialectic of influence. What the data is unable to support is the degree of influence that is perceived. This would be a question for further study. The next section, however, explores an area where influence is quite clearly felt and understood—through governmental action.

6.3.3 Governmental influences

Graham Chadwick expressed a substantive understanding of the political influences of educational change. He remarked on the influences of Plowden (GC-H:2/8-164) and the legacy of the Thatcher years.

Mr. Chadwick's historical understanding was represented in the following statement from the first interview:

GC: Also, during the sixties and seventies the unions were particularly vocal about pay and conditions, there were quite a lot of strikes. So the positive perceptions about education, and teachers in particular by the general public, started to decline. This theme, then, was picked up by the press, and the press then saw education as a good scapegoat for societies ills. And that then created fertile ground for government initiative and government taking the initiative. (GC-H:1/5-44)

This sense of professional and political distraction had repercussions for the intervention of government, in the headteacher's view. He noted:

GC: I believe that they (government policy makers) invaded the space which was left vacant by the professionals. We did not get our act together, we didn't read the runes and realise how society was changing. And I think if we had done, then a lot of the initiatives that we've seen wouldn't have come about. (GC-H:1/5-43)

GC: So, all that created a climate for government intervention. So, government intervention is bound to have affected me. It's affected me right the way along my career path. It's affected me in the sense that, I left my last job and came back into headship partly because of it. (GC-H:1/5-46)

It would be misleading to assume that the headteacher viewed all of the educational reforms and changes following particularly from the Education Acts of 1988, 1989, and 1993 as negative influences on education, or the role of educators in the school. This was not the case. In particular, LMS and the National Curriculum were viewed as benefits to the school programme and governance.

Regarding the National Curriculum, a number of benefits were seen. These are represented in Table 6-5.

Table 6-5: Perceived benefits from the National Curriculum

<i>consistency of curriculum</i>	GC: Most people now say, yes, there is a need for some sort of National Curriculum to ensure that there is a reasonable curriculum diet in all schools. (GC-H:1/5-45)
<i>considered practice</i>	GC: One of the benefits of the National Curriculum, I feel, has been that schools and teachers have been 'forced to consider their practice' as a whole staff. (GC-H:2/8-160)
<i>reflection and collegiality</i>	GC: Since the National Curriculum, I think, many more people are aware. Also, there's no doubt, through my previous role of appointing headteachers, that part of our agenda for appointment has been in making appointments with people who we consider have a holistic view of the education process, in the sense that they see that it's necessary for an institution to be running as one unit with people connected to each other. And, therefore, the whole business of being reflective has been... up on the agenda. (GC-H:2/8-161)

Mr. Chadwick found a number of benefits to the implementation of LMS. He recognised that there was a danger to the headship of efforts for instructional leadership being overtaken by financial management. In addition, it was clear that the headteacher was aware of the influencing nature of the new roles assumed through local management, but sought to keep those roles ‘in check’ with an over-arching view of headship in the primary school:

GC: The answer is, yes, it (governmental initiatives) has... formed my thinking, it's bound to have done. But it's not a shock to me. I don't find LMS, for instance, I don't think I'm different now in this headship, as before because of LMS. It doesn't worry me. (GC-H:1/5-49)

GC: The important thing in LMS is ensuring... that there are people who are monitoring what's going on. I have an over-all responsibility for monitoring, but I don't spend my days at the computer looking at the budget sheets. I have a high expectation of the secretary/bursar, who is excellent, as far as keeping the books in order, and alerts me the moment that she thinks any budget head is running into trouble. I have another member of staff, who has a management function; looking at the budget.

So, I keep an overview, but I don't involve myself, as many head colleagues did in the early days of LMS, of worrying about the money side... I don't. But that might be a reflection of the quality of people who are working for me on that.

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I'm fairly ignorant of the processes involved in the money management here. Because I haven't grown up with the practicalities of that, and in this headship I don't need to know it, what I need to know is the broad framework. (GC-H:1/5-50)

Finally, the researcher sought to understand if the headteacher perceived these change forces as altering the role of the headteacher. Mr. Chadwick's response proved insightful:

BP: Do you feel that the role of headteacher will change in the years to come?

GC: Yes, it's bound to change because of the nature of life, nothing stays the same.

How it will change. I feared a few years ago, that the headteacher would become a remote figure, very remote, in terms of a sort of chief executive of a business. I worried when I heard that people were beginning to be appointed who had very little background in teaching. The notion was, well if you're a good manager you can manage anything. I don't subscribe to that view as far as schools are concerned. I think you have to have had a background of teaching to actually run a school efficiently and effectively because it isn't a business, it's a people-centred work. And without the right degree of empathy all those people and their work, and an understanding of what it's about, and I don't think you can be totally effective. You might get the budget right, things like that, but the subtleties you would miss because you wouldn't have an understanding of them, you'd miss it, you wouldn't see it.

And an organisation that is so closed as a school, needs someone who understands. But at the same time is able to stand back from it in order to make objective decisions. That's probably the knack.

So I don't see, with primary education anyway... sort of hurtling now towards people who are not involved in education, the notion that you appoint a sort of 'super bursar' to run a school, I don't see that.
(GC-H:4/11-300)

The importance of this disclosure was a clear direction toward the transformative, instructional leadership role of the headteacher; a belief that that leadership is primarily about educational rather than financial matters. Should this be a widely held belief amongst headteachers, it would represent a powerful sense of direction in spite of forces and demands in directions such as financial management. Further discussion of this point will occur in the final chapter.

Finally, it is clear that there are issues of governmental intervention and shaping of a market economy in education that are a part of the headteacher's consideration. Mr. Chadwick has strong opinions regarding the integration of market forces in education and shared them in the following response:

GC: If we're truly about raising standards. But that's me talking against the dominant cultural shift. The whole emphasis has been on competition. Let's encourage schools to compete with each other, that will raise standards. I don't believe that should be the case. I think you raise standards through co-operation, so I would be tending to try and help people to work in partnership, to gain knowledge from each other, to set targets because of that, not to be in competition, because some will be winners and some will be losers.

BP: That's not the government's agenda?

GC: It's not, no. But I think what we have to do is set our own agenda. Where we've gone wrong in education is because we haven't set our agenda, and said what we are trying to do forcibly enough. If we had done that, perhaps the government wouldn't have interfered so much. (GC-H:4/11-309)

From this section, the researcher believes it can be argued that this headteacher viewed governmental change forces directed at education as having both pitfalls and promise. Aspects were viewed as being of benefit to the management of the school (LMS) and others served to improve the instructional programme (National Curriculum). The data would also suggest that this headteacher views such initiatives with a note of caution and that from that caution springs a greater sense of reflection and consideration for both headteachers and teachers.

6.4 Headship in Action

In the final section practice of Graham Chadwick's headship is examined. Three particular aspects of that exercise are examined: the broad category of leadership activities, especially as they relate to espoused values expressed earlier; the initiation

and maintenance of a culture of reflection in the school; and examples of ways in which leadership was shared at Headleymill.

6.4.1 Leadership activities

One aspect of the headteacher's leadership that emerged was his sense of 'presence' in the school. This was noted in several ways. In the second interview he spoke of his practice of being out and about in the school and the initial reaction of one teacher to that presence:

GC: That was difficult for them at first, because they haven't been used to a headteacher who would come into a classroom and look at children's work. It really upset a couple of staff. (Staff member) was one, she found it very difficult when I first...

'What did you come in for? What was the reason you came in?'

'Oh, I just came to talk to the children.'

'But what was I doing wrong?'

There wasn't a culture here, you see, of people just interacting and walking through, just genuinely interested, not with any sort of hidden agenda... at all. (GC-H:2/7-155)

In relation to this, the researcher was interested to understand how the teachers approached Mr. Chadwick for ideas or to generate possible solutions to problems. The answer to this particular question further illustrated the headteacher's sense of 'presence' in the school:

BP: Have you had experiences where teachers have come to you and said, 'I really don't know how to do this,' or, 'I haven't been able to get a handle on this part of the curriculum'...

GC: No...

BP: Or, 'This isn't working for me, give me some ideas.'

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GC: I think informally, in terms of, occasionally I'll be walking around and we'll be looking at someone's classroom organisation, perhaps how they've set out the furniture, and they'll say, 'Do you think that will work?' And then they'll talk about what they're trying to do, and then we'll talk about it. In that sort of way. (GC-H:3/11-229)

Graham Chadwick offered a clear sense of his agency in the school. He had a developed sense of the headteacher's legitimate authoritative position, as well as a belief that the headteacher's mandate was to initiate change in the school. Here he expressed strong views about his orientation toward action; towards unilateral action, on occasion; and toward the opportunity that is created when a headteacher arrives at a new school.

The following transcript excerpt from the first interview illustrates this view:

GC: Many people on management courses, in teaching, I've heard lecturers say to them, 'When you take over a headship, don't do anything for a while. Sit back and see what happens, and then start to make decisions.'

That is a load of nonsense! Because the fact that you've arrived as a person, you've already made a change, whether you say anything, or not, change will be going on because of your very presence... (GC-H:1/6-52)

And further:

GC: The mark of a good manager is that things are changing, not necessarily that everyone thinks the manager's a wonderful bloke because he's doing a lot of changing. That's not good for the organisation.

So there will be some people you talk to who won't recognise or understand or perceive that that's happening. There will be some others, the ones who have been closest to me over the past year, and who I've looked at as the change agents, the main catalysts... They (staff at Headleymill) will all perceive that a lot of change has happened. Their perception of change, they think more change has happened than I do. Which is interesting. (GC-H:Misc-359)

Once again, perhaps owing to the roles that he had held previously, a degree of unilateral and decisive action on the part of the headteacher was held to be an important part of his role as headteacher.

GC: So, there is the question of moving the whole school forward, and then within that, there is the question of moving individuals forward. I'm a great believer that you start where someone is, and help them to move on... (GC-H:2/8-167)

GC: But coming back to the people, I believe that you are changing people. And my role here, in each interaction I have with somebody, I am trying... and this is quite conscious, I would always admit to being a manipulator... to help them to go one stage further, as I perceive it.

There are others, I hope, in the institution, that are trying to help me go one step further, too... There are often times when some of my key personnel will say something to me that makes me stop in my tracks, or rethink. (GC-H:2/8-169)

As the final paragraph illustrates, Mr. Chadwick does not view his agency as a headteacher to be entirely unilateral. It suggests an expression of legitimate authority as vested in the headteacher, balanced with a view that others, by the nature of their individuality, had something to contribute to the school management discourse.

6.4.2 The headteacher and a 'reflective' culture

The headteacher and the researcher spent a great deal of time discussing the notion of reflection and reflective practice in the school. As illustrated in Section 6.2, this was an espoused belief of the headteacher and formed an aspect of his conception of leadership and the role of headteachers. He affirmed his belief that reflection is important in the following statement:

GC: But I also have a belief about reflection, before you arrived on the scene to talk about it, that a part of my role, formal role as headteacher, is to enable both myself and the whole institution to be reflective. Because as an educator, I believe that change, the best change, happens when people reflect on their own behaviour and practice, and see a need, themselves, to change. (GC-H:Misc-350)

The researcher sought to understand that espousal in terms of his activities in the school. Particularly, it was felt important to understand if this held a primary or a secondary focus in the headteacher's leadership actions. The most illuminating exchange occurred in the third interview, where the following question and response were recorded:

BP: I was trying to remember the terminology you used when we were talking about encouraging reflection. You were mentioning that you encourage teachers to develop reflectively. I assume that you use the same strategies for encouraging other types of professional development.

GC: Yes, yes. Constantly. Doing a lot of quiet work in the background. I think often people don't realise what I'm doing... underneath the surface. Because a lot of things I do quietly, in a drip-feed, as you say, process. And then, suddenly, they realise what's happened to them. As (staff member) did. (GC-H:3/3-201)

This sense of working in the background to build reflection, what Graham Chadwick calls 'drip feeding' has similarities to Smith and Peterson's (1988) notions of 'event management' and the difficult conjunction of individual cognitive structures and organisational structures (Smith & Peterson, 1988, p. 79). In this case, the 'event' is Graham Chadwick's espoused value of initiating reflection and the teachers' underlying structures of tacit action. What the data suggests, is that for this headteacher that point of contact is one that must be carefully negotiated.

A further extract from the interview data illustrates this point again:

BP: You're putting the change process and the reflective process together?

GC: Yes. Yes.

For instance, in a simple example of that, is that I say to teachers... occasionally I'll say, 'Just stop for a moment outside your classroom or your classroom area. Don't walk into it. Imagine that you've just arrived for the first time and just look and see where you've put everything and ask questions such as, 'Why is that computer in that place? Why have I put the paint materials over there? How are the children using this space? Why have I clustered the desks in a certain way? Why have I got all that tatty paper hanging out of those drawers? Why haven't the paint brushes been washed up?'

Because the problem with living in a school or a house is after a while you do not notice things, you do not look objectively. And so, to help the teacher become reflective I sort of put in statements such as that at staff meetings and others from time to time. (GC-H:Misc-355).

When the researcher asked Mr. Chadwick to anticipate what the teachers might say with regards to his influence in initiating reflection, he suggested that their views would be mixed. Again, a review of the questionnaire data (see Appendix 6-E) would support this assertion.

Specifically, he stated:

BP: What do you think your teachers are going to say, in this school, when I ask them how their reflection has been affected by [teaching here, with you]?

GC: Some will say it hasn't been affected at all. They will say that either because they genuinely don't think it has, or they're unaware that I've worked on them, almost at a subliminal level.

A lot of my influence and work is done through other people. If I want something done I don't always do it myself, I get someone else to do it. (GC-H:Misc-358)

6.4.3 Sharing leadership

The management structure of Headleymill bore the same characteristics of some type of senior management structure that was seen in every school visited in Oxfordshire. It seems clear to the researcher that this has become a management norm in this county. At Headleymill the senior management team was charged with a number of essential management and leadership functions within the school. This was one of the

first actions which the headteacher initiated on appointment (GC-H:1/9-105). Again, as in other schools, members of the management team held responsibility for various aspects of curriculum leadership and audits associated with the school development plan.

The data in this case study did not reveal any aspects of shared leadership in action that were markedly different than in the other two case studies. However, the headteacher did indicate a degree of unilateral control over the agenda in school development planning and leadership directions. This is illustrated in the following excerpt:

GC: What I'm pleased about, is because I did set down with the management team in '93, certain things we were trying to achieve. It was so pleasing when we went through that list at the management meeting and ticked them all off. Not all, but the majority, we said we'd done them. We had appointed our curriculum co-ordinators, they were writing policies, we had awarded scale posts to certain members of staff. (GC-H:3/1-181)

The data would suggest that Graham Chadwick's conceptions of shared leadership was an aggregation of the facilitative power found in Ken Miller, and the consensus building priority of Patrick Kline.

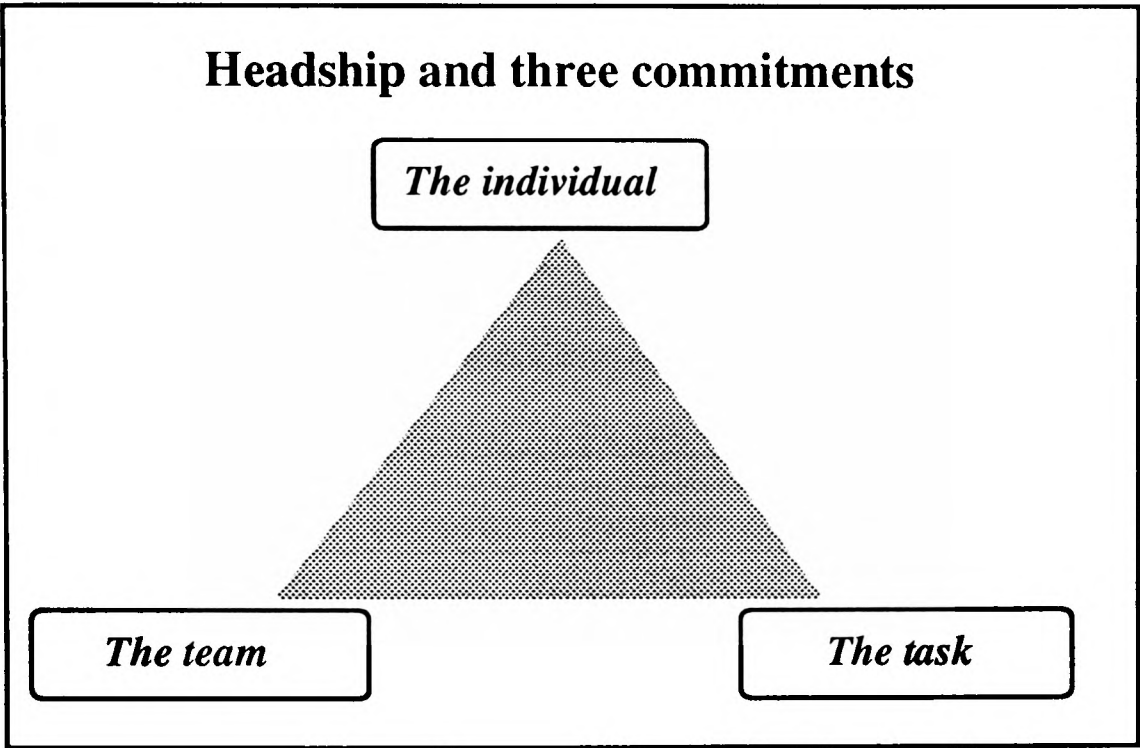
6.5 Significance and Conclusion

In the final section of this chapter, a few of the conclusions drawn through the chapter are brought together to form an analytic understanding of this particular headteacher.

6.5.1 Central findings

The data from this study suggests a tripartite commitment of the headteacher in the exercise of his role in the school. The three aspects of this commitment are represented in Figure 6-1.

Figure 6-1: The tripartite commitment of the headteacher



The foundation for this figure is found in the following transcript excerpt:

GC: Sometimes I go home and I worry that I missed the target because I think I have a tendency as a leader to emphasise the relationships and the personal sides of things. And if you take it, again another triangle... we're into models of triangles today, of the individual, the team and the task, the old industrial model. I have to work ensuring tasks and teams get going. I think probably my natural inclination as a personality is on the individual, next is team, third is task. And I have to monitor myself very carefully to ensure that I'm achieving tasks. (GC-H:1/7-93)

Furthermore, the aspects of commitment to the individual, to the team of the school, and to the task at hand was clearly evident in the data which was presented in this chapter on Graham Chadwick’s headship.

The three parts to this figure serve to bring together a number of the themes that arose from the data. In terms of a commitment to the individual, this is reflected in Graham Chadwick's person-oriented personal constructs, his facilitative ethic, and espousal of the value of individual.

The commitment to task represents the aspect of headship which he articulated as leadership imperatives. Mr. Chadwick appeared to see the headship clearly in terms of the obligations of headship, or positional responsibilities for leadership, and the opportunity that headship created for moving school improvement forward through professional development and school development planning.

The final commitment to the team recognises the extent to which the headteacher sought to develop a reflective community. The term 'community' was deliberately chosen to encapsulate his espoused value of team participation and collective responsibility, and the personal attributes of respect and support which were espoused by both the headteacher and the teachers more broadly.

6.5.2 Questions raised

Finally, the researcher would draw attention to the questions raised from this particular case. In the first instance, questions are generated from the data analysis regarding the role that this headteacher's experience profile played in his conceptions of leadership. Whether or not the holding on LEA level posts had a bearing on his conceptions of leadership could be argued as possible, but the extent and the exact nature are beyond the scope of this study. They are questions, however, that would merit further study.

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Similar questions could be raised regarding this headteacher's length of tenure in the school. The researcher would continue to argue that the range of service lengths adds to the depth of this study, but it also adds to its complexity.

Finally, the researcher is left with questions regarding the exact nature of Mr. Chadwick's beliefs about unilateral action, especially in light of the values expressed from his early work experiences. The data supports a degree of directiveness, but also a balance of directiveness with true sharing of leadership and management.

What this chapter adds to the discussion is another layer to the complexity of headteacher conceptions of leadership—at task to which the final chapter undertakes in discussion.

CHAPTER 7

PRIMARY HEADSHIP: THE CONTINUING CHANGE

Finally, one comes away from this analysis of social interaction and life in social institutions with a pervasive sense of the drama of everyday life... In this drama, *leadership* plays an important part. *Leadership involves the playing of the drama with greater intensity, with greater risk, with greater intelligence and imagination, with greater dedication to making the drama work.* One of the distinguishing qualities of a leader is the leader's passionate commitment to making the drama work better, and better for everyone involved [emphasis added]. (Starratt, 1993, p. 41)

7.1 Introduction

In this final chapter, the findings outlined in the previous three chapters are brought together with particular attention to the implications for theory and practice in primary school leadership. The researcher's intent is to draw together a number of strands which run through this thesis; those of headteacher conceptions of leadership, changes occurring in headship, transformational leadership, and reflective practice as a means of professional development.

Within the following four sections attention is turned, as well, to the influence of core constructs on headteacher conceptions of leadership; indications from the data of transitional forces upon headship; dialectical aspects of headship and conceptions of transformational leadership; and finally implications from the conclusions of this study for theory.

The central contribution of this research is to develop an understanding of headteacher conceptions of leadership in a time of systemic change. The research reviewed in Chapters 1 and 2, illustrates that the focus in prior research has been largely on external forces impinging on headship, or in the 'effective traits' tradition of survey research. Research that has centred on the headteacher, especially the primary headteacher's sense-making of the change, their evolving role in that change, and what they continue to believe about leadership is emergent. This research contributes to that understanding.

The next sections discuss this practitioner understanding, and explore a number of the related theoretical implications for leadership.

7.2 Conceptions of leadership

In each of the case studies the constructs revealed by the headteachers suggested a means of sense-making (Taylor, 1986) for their practice of headship. This personal organisational process of sense-making and understanding underpins personal construct theory (Bannister & Mair, 1968) and formed a central reason for using the repertory grid technique in this study. From this study a number of aspects of inter-relation between personal constructs and conceptions of leadership emerged. These are discussed in the following sub-sections.

7.2.1 Level of awareness of constructs and conceptions

One important aspect of the personal constructs reported by this study was the degree of self-awareness on the part of the headteacher participants. In each case, the utilisation of the repertory grid produced a list of constructs which suggested a reliable index of measures with headteacher espousal and other sources of data.

Congruence between personal constructs and actions was seen in a number of instances in the previous three chapters.

Ken Miller's constructs form an outline of the organisation; that of teamwork, organisation skills, curricular expertise, and ability to draw from experience. Data from the other members of staff, through interviews and the questionnaire, revealed a portrait of a strong leader¹, as one who clearly acted as, and was viewed as, the team leader.

The staff at Warnerton described the headteacher, Patrick Kline, in terms such as 'friendly, supportive, benevolent, caring, strong, involves all staff, hands-on, responsive, and fair' (Warnerton Teacher Questionnaire, Question 3 [Appendix 5-E]). Mr. Kline's personal constructs presented a similar inclination toward the creation of a caring, 'family' approach to school organisation and a mandate for respect for individuals.

Graham Chadwick's personal constructs revealed a reflective, democratic and professional orientation in his thinking about headship and the values that he espoused. Data from other sources confirmed this observation. For example, comments such as the following were found on the teacher questionnaire when asked about the headteacher's leadership style: 'informal, approachable, friendly but determined; democratic/delagatory; consultative, he is quite a reflective person' (Headleymill teacher questionnaire, Question 3 [Appendix 6-E]).

This triangulatory data lends credence to the assertion of match between headteacher constructs, the espoused values of headteacher practice, and the exercise of that practice in the school.

¹ With particular attention drawn to the responses to question 3, Appendix 4-E.

The importance of awareness of personal conceptions and constructs is interwoven within the philosophical tradition of critical theory. The emancipatory nature of critical self-knowledge is seen in the work of the Berlaks (1981), whose notion of engagement in critical inquiry was founded on empowerment, collaboration, and non-coercion. The Berlaks further identify the attributes of initiation of critical self-knowledge as follows:

(1) be cast in terms that do not distort the experience and knowledge of persons acting in the situations; (2) must be conducted without coercion, direct or implicit... (3) requires active involvement of the persons in the situations under study; (4) is most successful if pursued in a group. (p.231)

If critical inquiry is to be accepted as a means of empowering the reflective developing school then headteacher self-knowledge must be a part of that process. This point is argued by Codd (1989) through, in part, the exercise of philosophy-in-action².

The data from this study suggests that the level of critical self-knowledge³ of the headteachers in this study contributed to the development of a reflective culture in the schools of this study.

7.2.2 The personal definition of leadership

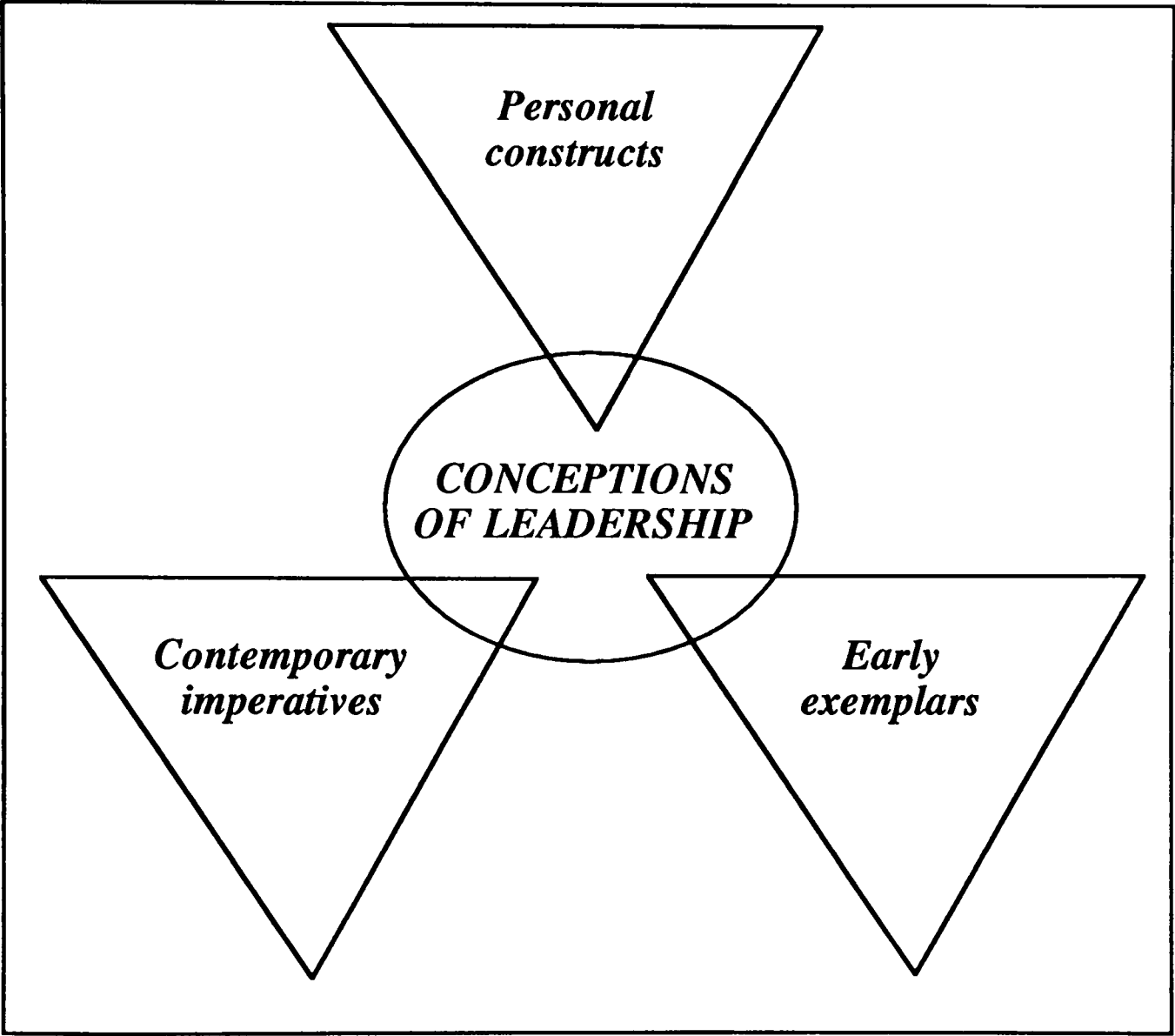
The conception of leadership by the headteachers in this study suggests a process of negotiation between personal constructs, early exemplars, and contemporary

² See also Hodgkinson (1978b; 1983).

³ In part, supported by awareness of personal constructs.

imperatives. Of those three areas, the personal constructs of the individual headteachers in this study form a central *nuclei* around which their sense of headship is built. These three contributors to individual conception of leadership are indicated in Figure 7-1.

Figure 7-1: Constructing a conception of leadership



The data is not sufficient to indicate the degree of influence of exemplars and the shaping influence of such factors as governmental legislation and school change efforts; however, the data suggests that the centrality of the head’s personal constructs would appear to be a highly influential aspect in shaping the headteacher’s conceptions of leadership.

It might be argued that government policy and societal expectations, in a contemporary sense, might exert significant influence on the headteachers' core constructs. This argument would require an historical understanding of the headteacher's constructs and whether they exhibited change as various reform efforts were implemented. The researcher would concede that a dialectical relationship does exist, but that it appears, from headteacher espousal, that constructs have remained fairly stable over time.

7.2.3 Personal constructs and professional identity

In Southworth's study (1995) of a primary headteacher, he argued that the participant headteacher's professional identity was inextricably linked to the headship. This link between headship and identity is crucial as a basis of his hypothesis of identity and domination:

Domination in primary schools occurs as a result of both organizational structure and occupational identities. A primary headteacher approaches the role and discharges his/her responsibilities with a sense of situational self wherein domination is an integral part of his/her professional identity. This professional identity includes both being a head and a teacher and, because the two are consistent and complementary in terms of power, domination is learned and exercised as a teacher as well as when a head. (p. 180)

Southworth adds the 'rider' that this may not be the same for all headteachers. In the case of this study, the researcher would assert that the professional identity of the three headteachers was less a matter of headship, and more a matter of early experience, certain shaping factors of contemporary educational organisations⁴, personal constructs and belief structures.

⁴ Such shaping factors as collegial structures of LMS, greater parent participation, and expanded responsibility for school governors.

The researcher acknowledges that this thesis is not a psychological study and expresses caution in making assertions without reference to the broad literature in identity formation. However, the researcher believes that an interesting aspect of this data is the dialectical relationship which occurs between the headteacher's construct order, conceptions of leadership, and the headship as a role. This is a theoretical question for educational leadership and, therefore, merited mention.

As indicated in earlier chapters, the argument for the inclusion of personal construct psychology in this study is not based solely on a presumption of definitive measurement. Although used widely, there are other beneficial aspects which emerged in this study. As Pope and Keen (1981) observed, 'The grid is perhaps best seen as a catalyst within a conversation between investigator and the individual' (p. 55).

In each case study, the repertory grid served that important purpose when placed alongside the interview data. In addition, all three of the headteacher participants indicated that they found the exercise useful and interesting.

7.2.4 Exemplars: Early formation of leadership conceptions

With each of the headteachers in the study, the influence of early professional experience appeared to form foundation stones in their exercise of leadership. Once again, when viewed in tandem with personal construct data it suggested an influential force in their exercise of transformational leadership concepts.

For two of the headteachers, Ken Miller and Graham Chadwick, early work experiences were reported to have a powerful influence; in both their cases, a powerfully negative example of how they believed that people should be treated.

Statements such as the following clearly indicated the degree of influence found in early work experiences:

GC: So I always made up my mind that I wouldn't follow those sorts of models' (GC-H:1/2-17);

PK: In the early jobs that I had before I went to college, I got so upset through seeing people controlling other people in a very improper way. (PK-W:Misc-346)

As mentioned earlier, the models were not exclusively negative, and often an experience with headteachers early in their career was a positively shaping force.

Graham Chadwick noted:

GC: My final teaching practice, when I was training to be a teacher, was a full term, and I was in a little school in Oxfordshire called (name) Primary School. It was a two-teacher school and the head was this man called (names head). And I idolised that man. I thought, if I could ever be a headteacher, or any teacher as good as that man, I'd be very proud. (GC-H:1/2-19)

Ken Miller reported that sense of headteacher influence as being readily apparent as he visited school later in his career:

KM: So I went to see, a lot of schools, it was interesting to me, really, quite frankly, whatever school we went into it was the attitude of the head that actually coloured how that school operated. If it was effectively managed, in that... I believe people were given opportunities to do things, and for the right reasons. (KM-A:1/2-1016)

7.2.5 Person-oriented constructs

Clearly, a theme which ran through each of the case studies, and which is further exemplified in their personal constructs, is a pervading focus on the human relations aspect of the headship in their leadership. One explanation for this is through the shaping and discursive nature of headship which is predominately to do with people. Also suggestive, is the possibility that part of the reason that the headteachers

nominated for this study retain a high reputation with their colleagues is due to their human-centred orientation. The full nature of the transaction between the human-centred orientation and the requirements of the headship is not fully revealed by this data, however, it suggests an interesting line of further inquiry.

What is clear from the data is that a value toward individuals, toward professional relationships based upon respect, support and accessibility were espoused values of the headteachers. In addition, these same values were seen as imperatives for leadership style and expressed often as a strength and characteristic of their school.

This person-orientation presents an interesting inquiry in a time of changing roles for headteachers. If a managerial function is increasing⁵ for headteachers in post, then whether the idiographic dimension of leadership is increasing or decreasing would form an interesting line of study. There is data from this study to suggest that the headteachers in this study were resistant to forces in this direction, but were also aware that the new responsibilities of LMS forced them to be more attentive to management needs, perhaps over the needs of individuals, at times.

7.2.6 Communicated constructs

There is unanimity suggested from the data in this study that headteachers felt a degree of responsibility for the projection and communication of their values to the larger school community, with particular emphasis on the staff of the school.

One way of understanding that projection is through the notion of social drama, which Starratt (1993) presents. Starratt uses the term 'drama' to refer to the socially expressive actions of individuals in daily life, the performance of self, culture, gender,

⁵ Due to the demands of LMS.

race, authority, age within a social context. Starratt call this a reference to the 'form' of social communication (p. 125), which is also seen in Goffman's (1959) 'presentation of self'.

Also seen in a sociological tradition are the purposes of such a communication of self. In this study, the projection of self, the imprint of the headteacher's personality and presence in the school was a theme in the data. There appeared to be two elements to this projection

First, the maintenance of a 'strong' exterior. The headteachers also spoke of expectations that were placed on them to act in a particular way. As Graham Chadwick stated (and noted in Chapter 6):

GC: And there's traditionally a view of... British school headship, which is, I think, tending now to be inappropriate. I think... they invest too much god-like properties in the figure-head of the head. They don't understand that you're a part of an organisation that belongs to the community.

And I think the expectation on the person as a head, is too great. And the staff, too, still have a paternalistic view of the headteacher, which I think is inappropriate to today's society. (GC-H:1/1-14)

Furthermore, there was an espoused value that projection of a strong exterior was important to the maintenance of staff confidence. As was noted in the transcript data,

GC: So they're picking up signals from me and I'm very aware that if I'm not feeling 100% for whatever reason, that I have to be very careful that I don't communicate that to other people... (GC-H:1/3-29)

GC: So I think there are times when you don't try and pretend you're God, or you're not human, you have to show your human side, your frailty as well. But at the same time not undermine people's confidence in you. So there's a bit of balancing to do. (GC-H:1/3-31)

PK: So I think the leader's got to be somebody who, even if they feel absolutely miserable and low, they can't afford to show it, and even if decisions that are made from outside, have the most damaging, or whether they feel they're going to have the most damaging effects, or news is bad, then it's for a leader to keep the spirits up within the school, I think that's very important. (PK-W:1/1-502)

A second reason for deliberate communication appeared to be the inculcation of certain values to the school community, usually under the category of ethos-building.

PK: I am quite sure that there will be a 'Kline' stamp on this school and it will be a lot to do with my personality and my philosophy as far as children's learning is concerned, and education, broadly.
(PK-W:4/7-702)

GC: And you change the headteacher of a school, and you change that ethos overnight. I've seen it happen. I'm not saying, totally, that the head teacher is responsible for the ethos, but I would say it's a good 60 or 70%. (GC-H:2.5-195)

GC: I think one of the roles of headship is, continually, in conversation with people, to be helping them to gain that vision that you have. You're putting them into the pot of the vision and helping them to see it. (GC-H:3/13-238)

The data supports a conclusion that forces, both internal to the headteacher, and external constituencies compel the headteacher to make clear their conceptions of leadership through the policies and actions they undertake in the school.

7.2.7 Implications

Prior research on headship has focused on either traits (Mant, 1983; Sergiovanni & Carver, 1980) or responses of headteachers to various forces, such as LMS (Arnott, Bullock, & Thomas, 1992) or sources of stress (Craig, 1989; Simpson, 1987).

The domain of headteacher conceptions of leadership, especially in primary education is sparse indeed. Studies are beginning to emerge (noted in Coulson, 1990), but the researcher holds that this research makes a unique contribution to the theoretical understanding of headteacher leadership from a qualitative perspective.

There are other contributions to this discussion from various sources. Particularly, the writer returns to a number of the sources reviewed in Chapter 2. If one assumes a stance of organisational complexity, non-linearity, evolution in organisational relationships, as well as participation in new forms by other stakeholders; then an understanding of how leadership is evolving within that actuality is important.

Starratt (1993) identified two major implications from an understanding of drama in social life: 'That leaders should have a sense of the dramatic in their own lives' (p. 130), and that 'leaders should have a sense of responsibility for the drama' (p. 131).

This research moves Starratt's notions forward by more clearly delineating one aspect of social drama, the understanding of personal constructs. The researcher would posit that owing to the high degree of awareness of personal conceptions of leadership on the part of the headteacher, a number of implications can be drawn for practice in the school and suggests three ways in which the headteacher's awareness affects his or her conceptions of leadership. Those implications are seen as follows:

First, headteacher comfort with personal decision-making style would appear to be associated with a clear understanding of the individual's conceptions of leadership. As asserted earlier, that understanding of leadership is mirrored in the personal constructs espoused by the headteacher participants. The data from the studies showed a consistency between the headteachers' espousal of decision-making, and what actually occurred. All asserted that some decision-making, owing to positional responsibilities, clearly rested with them, and others were more appropriate to a senior staff group, or the staff as a whole. There was a range of beliefs regarding this line, but there was consistency within each case.

Second, this clear presentation of self, and the integration of personal constructs in the exercise of leadership, suggests a consistency in teachers' understanding of the school's direction and, therefore, responses which could be expected from the headteacher. The teacher interview data and the questionnaires did not reveal concern on the part of the teachers for understanding how the headteacher may respond in a certain situation. The headteacher's style, and consistency of style and response, was reflected in the data.

Third, the school management and decision-making structure had parallels with aspects of the headteacher's constructs. All three headteachers espoused a collaborative style and sought to share leadership through a structure of shared management. Granted, some of this has become socialised into the culture of school organisation, but in these case studies the researcher observed collaboration and authentic distribution of real decision-making to colleagues in the school.

Headteacher development

Finally, an aspect of this discussion that the researcher believes to be important is the subject of headteacher development. What the researcher means by 'development' is the process of professional growth and change in a systematic and informed manner which enhances the prospect of the headteacher's effective practice. The central elements of such development are growth and change.

In terms of the field of educator professional development, as was illustrated in the literature review chapters of this thesis, the literature is dominated by teacher development. The literature on headteacher professional development, particularly primary headteacher development, is also scant.

In the area of teacher development, there are a number of useful works (Day, Pope, & Denicolo, 1990; Nias & Groundwater-Smith, 1988; Nias, 1989; Oja & Pine, 1983; Whitehead, 1985, 1989). These are important works for the contribution which they add to the discussion, but the lack of research particularly aimed at headteacher development is a weakness in the literature base.

The headteacher development literature, of which there is some (Howard & Arnez, 1982; Pedler & Boydell, 1980; Smyth, 1989) tends to focus more on the development of headteachers in relation to a particular decision-making process, or their relationship to the programme in the school. This is an important weakness in the literature and one which the researcher suggests this study works to fill.

The unique aspect of this thesis' contribution is to examine headteacher development in the context of the headteacher conceptualisations of leadership. The importance of this is based on an assertion that headteacher development in practice begins with conceptions of the role and how that role is exercised in the school. This is seen in the recent work of Eraut (1994) who suggests that an important aspect to the development of professional knowledge and professional expertise is beginning to come to terms with the tacit domain of one's practice.

Finally, perhaps a suggestion that has been missing from the discussion to this point is the effect which such self-understanding of leadership conceptions has on the post holder.

A review of the data from this study found that the headteachers in the study expressed a degree of confidence in their position which might be categorised as actions arising from higher order needs, such as 'self-actualisation' needs (Maslow, 1954).

A review of the difficult episodes of leadership, especially as seen in Chapter 5, is that the most distressing periods relayed were early in the headteacher's career. As Patrick Kline described the challenging episode of his headship, it was a point where he had had little preparation and little opportunity to consider the implications of leadership in the school. The researcher would argue that the further development of the headteacher's conceptions of leadership allowed for a more integrated view to the exercise of his leadership in the school.

This sense of comfort with one's role should not be confused with feeling a lack of pressure; as was clear, the headteachers expressed that they were feeling quite overwhelmed by the changes that were occurring in their schools, particularly with impending OFSTED inspections. The difference between recounting their early headship experiences was that their current sense of direction was more clear in how they perceived the school could, and should, move forward. The headteacher participants knew their belief structures and leadership values, had plans for their practice, and were working to develop a team around a shared ethic in the school. This is an aspect of transformational leadership in action.

The researcher asserts that the data suggests that headteacher conceptions of leadership, based upon a integrated understanding of their personal constructs, holds an important place in the exercise of transformational leadership in the school.

What this section has argued is that conceptions of leadership in the headteacher participants in this research is marked by several characteristics.

First, the headteachers in this study espoused a developmental process in their conceptions of leadership, largely informed by experience, and occasionally involving the exercise of intuition.

Second, the leadership espoused, and compellingly confirmed in triangulatory data, was predominantly person-oriented and formed early in their experience. The researcher observed that this person-oriented formation is largely framed by personal constructs which have biographical strength

Finally, that the constructs held were part of a 'presentation of self' which was seen as an important responsibility in the exercise of headship.

7.3 Transitions in leadership

The notion 'transition' is meant as a reiteration of the contemporary changing nature of primary education. The changes are pervasive in all aspects of the school, from governance to the instructional programme. The existence and source of these changes is prevalent throughout the literature base (Austin & Reynolds, 1990; Craig, 1989; Hopkins & Ainscow, 1993; Weindling, 1992). The principal origin of these extensive and fundamental changes is located in direct governmental action; particularly that initiated by the Education Act of 1988, and subsequent parliamentary acts and policies from the Secretary of State for Education.

7.3.1 Centrality of governmental change forces

The data suggests that the changes are largely located in three particular domains of governmental change initiatives. Clearly the most consequential for the headteachers, and particularly the teachers, is the implementation of the National Curriculum and its changes produced by the Dearing Report recommendations (1993). The continual change, concern for paperwork responsibilities, monitoring, and preparation for SATs were all indicated as major sources of stress for the teachers.

In addition, the interviews revealed a belief by the headteachers that the change agenda for the schools had political overtones. There was an expressed sense that the underlying aims of some of the change legislation was directed toward ends outside of educational improvement. As noted by Williams (1995):

There is a clear and demoralizing belief that a government policy of disempowerment of stakeholders is part of a not-very-well-hidden political agenda... Everywhere, there is prescription and regulation... Since 1979, the politics of educational denigration has flourished' (p. 142-143).

The case for LMS is not shaded with the same categories of concern. The headteachers generally indicated a receptiveness toward the freedom and opportunity created by new decision-making power at the school site level. The data illuminates a mixture of affiliation with the role, but also hints at the same types of pressures which were found by Arnott, Bullock and Thomas (1992) in their research on the effect of the implementation of LMS on headteachers.

Primary school partnerships

One of the more interesting aspects of change in headship is the rise of partnerships in the Oxfordshire primary schools. All of the headteacher participants in this study were active members of a local schools' partnership of some nature. Occasionally, they were members of more than one; such as Ken Miller who was involved with a partnership of area primaries and a cross-phase partnership with the local secondary school. Roaf's (1994) research on partnership in Oxfordshire schools, as well as McConnell and Stephens (1994), indicated that partnerships are not only a pervasive aspect of the Oxfordshire schools' culture, but the arrangement, purpose, and extent of participation exhibits a wide degree of variation across the county.

Partnership, in part, has arisen from a joint desire to resist pressure to become grant-maintained. As Patrick Kline reported regarding GM status:

PK: No, this school has always been a school that has enjoyed partnership with its local schools, and if you follow the course of grant maintained status you're saying, 'blow the rest of you, we're going it alone.' So it doesn't allow for the partnership angle. (PK-W:1/6-537)

The grant maintained initiative, and its underlying value of the introduction of market forces in education, was recognised by the headteachers. Graham Chadwick noted his views in relation to marketisation, which he viewed as detrimental to the co-operative efforts of the schools in the county:

GC: But that's me talking against the dominant cultural shift. The whole emphasis has been on competition. Let's encourage schools to compete with each other, that will raise standards. I don't believe that should be the case. I think you raise standards through co-operation... Where we've gone wrong in education is because we haven't set our agenda, and said what we are trying to do forcibly enough. If we had done that, perhaps the government wouldn't have interfered so much. (GC-H:4/11-309)

Schools' partnership, as discussed earlier, represents a particular opportunity for collegiality and as a forum for articulation of conceptions of leadership. If partnerships continue to grow as centres of collaboration then they may serve as an occasion for the types of continued development and issue exploration in which the headteachers in this study showed an interest.

For the moment, partnerships in this study served as a means of countering hegemonic forces, managing cross-phase transition, co-ordinating aspects of LMS and INSET, and, to a degree, an expression of their values in school leadership.

New alliances

Partnership has not been limited to the area of inter-school co-operation. In addition, there is a sense that partnership with communities and parents is equally important. The researcher would suggest that this study directs attention toward two possible

reasons for this. The first is the public nature of OFSTED inspection; and the second is the legitimated role of parent participation through governance⁶, and their contribution to overall school development planning. In all of the schools participating in this research, parents had been part of a comprehensive audit of the school and its programmes as part of the preparation of the school development plan⁷.

Clearly, governmental change forces exhibited a marked degree of influence in the exercise of headship, in the changing roles of the head, and in defining many of the issues for reflection which occupied the headteachers minds.

7.3.2 Transitional roles

Each of these change forces, as well as the contribution of the headteacher's evolving conceptions of leadership, suggest that the role of the headteacher and the means by which leadership is embodied and conceptualised is in a time of transition. The literature speaks to this movement in repeated articles and essays calling for new forms of leadership⁸. This study moves this forward by suggesting how three primary headteachers are conceptualising that change.

Changing notions of instructional leadership

One of the points of tension for an evolving conception of leadership is the change that is occurring in the headteacher's instructional leadership role. Each of the headteachers indicated their continuing belief that they were responsible for being the *head* teacher. In other words, an exemplar of pedagogical competence and curriculum

⁶ At a minimum, participation in the AGM.

⁷ At Headleymill the researcher compiled the data from the parent audit as an offer-of-service, which was made available to each headteacher as a benefit for their participation.

⁸ As outlined in Chapter 2.

mastery. Certainly there was a range in that espousal, and each headteacher maintained at least a modicum of instruction time. The data would suggest, however, that their espousal did not fully match with what the researcher observed.

In most cases, the researcher found the headteacher's instructional time to be limited and generally not timetabled. Headteachers in this study, and largely due to the schools' size, did not have a need to maintain a timetabled teaching commitment. This would not have been the case in smaller primary schools where it is necessary for the headteacher to maintain a timetabled teaching commitment.

The researcher would submit that this represents a significant transitional shift in headteacher conceptions of leadership. The headteachers in this study appeared to be on the boundary between maintaining a traditional headteacher stance of close alliance with the instructional programme, and a belief that their role was significantly changing towards more strategic management of the school's LMS requirements, development planning, and preparation for OFSTED inspections.

From the data of this study, it appeared that the headteachers were in a time when their conceptions of leadership were changing. The researcher would suggest that as additional aspects of transformational leadership are integrated into headteacher practice that there will be further shift away from a traditional model of the headteacher as the pedagogical exemplar.

One source of evidence for this view from the study was the degree of shared leadership which existed in the schools for curriculum co-ordination and planning. In each of the three primary schools, direct curriculum responsibility was devolved to senior staff, and further to curriculum sub-groups and working parties.

This shift is similar to what was discussed in Section 6.3.3, where Graham Chadwick disclosed his hope that the headteacher would not become a ‘super bursar’, which is similar to the ‘chief executive’ function described by Hughes (1976).

It is here that the notion of reflective leadership in headship holds the greatest promise. The literature on critical reflection in leadership (Bates, 1989; Codd, 1989; Smyth, 1989) is growing and increasingly compelling. The data from this study, as headteachers reported their changing views of leadership, indicates that conceptions of leadership which embody these values are increasing. Language of critical reflection, justification of practice, and continuous growth cycles was evident in the headteacher transcripts.

7.3.3 Facilitative models

Headteachers in this study espoused a facilitative ethic in their leadership role in the school.

GC: The role of head is one of facilitating, ensuring that everybody is participating in all aspects of school life as much as possible.
(GC-H:4/11-314)

BP: What do you see as your role in this whole thing? [With regards to the school development plan]

PK: I suppose as a major facilitator, I think. (PK-W:3/1-622)

KM: So my headship role has changed from being the person who has to come up with all the ideas all the time, and has to lead from the front, and drive, and try to force people to think about things, and bring issues to the forefront of their thinking...

The thinking's coming from them, the driving issues are coming from them, and what I am doing, more than anything else, is being able to say, 'We can do that within the framework of what we've got, but we have to alter some of the structuring...' But that's, really, how I see probably my role as a head now. (KM-A:1/7-1041)

The data would further suggest that there was a wide degree of variation in belief of what ‘facilitation’ means, from Ken Miller’s facilitation through resourcing, to the initiation of reflective thinking which Graham Chadwick relayed.

It is here that the clarity of Sergiovanni and Starratt (1993) helps to illuminate facilitation in a transformational model. Facilitation through the process of ‘re-imagining’ the school:

If supervisors are to play a significant part in the renewal of schools, they will have to move beyond their traditional roles of working within the given environment to exercising leadership in the transformation of that environment... The supervisory process has to be an intellectual process of “re-imagining” the learning situation, of re-imagining the learning environment of the classroom and of the school. The re-imagining, of course, will be done with teachers and administrators as they work together on problems of practice. (Sergiovanni & Starratt, p. 315)

7.3.4 The ‘buffering’ function of headteachers

This study suggests that it is incumbent upon headteachers in primary schools to continue to respond to redefined responsibilities in a number of ways. Data from the headteachers in this study, and to a degree the responses of the teachers, showed that one view of the headteachers responsibility was to the ‘buffering’ function which they performed in the school. This is similar to Wallace’s (1991) ‘gatekeeping function’ and further described by Inbar (1995) as follows:

School principals, in their boundary-spanning or linking agent role (Scott, 1981), interact with the environment in two major modes: by linking strategies that forge connection between the organization and the environment, and by buffering strategies which close the organization artificially from perceived outside disturbances and uncertainties (Scott, 1981). Most interestingly, one of the major buffering strategies is through information processing (Hallinger & Murphy, 1986; Goldring, 1990). The school principal as boundary spanner becomes responsible for the flow of information into the organization. (p. 6)

The researcher would suggest that there are inherent pitfalls in ‘linking agent’ roles for the headteacher. Particularly, they presume a dominant/dependent role between the headteacher and other members of staff, which is anti-emancipatory and antithetical to transformational conceptions of leadership. It might be argued that the ‘boundary-spanning’ actions of headteachers could be transformational if the conveying of information is to free colleagues from un-reflective practice and equip them for decision-making, but not if it is a paternalistic control of information.

Whether used as a means of paternalism, insufficient data exists to make a declarative statement. However, viewed contextually, the headteachers appeared to view such information ‘management’ as a part of their positional role, and as a aspect of a person-centred conception of leadership. Headteachers in this study were empathetic, particularly with the time demands conveyed to the teachers in their school.

7.3.5 Implications for headteachers

As mentioned in the previous section, the headteachers in this study indicated that their role had changed, and was continuing to change as a result, in part, of initiatives from governmental sources. As Ken Miller reported:

KM: What I'm saying is that the initiatives that the government have put into operation, or have put forward, have had to change the way you operate simply because the demands are different... What this government has done... has raised the job of headteacher far above what it had been previously. From the point of view that greater responsibility has been foisted upon the head, in terms of the wider job description. (KM-A:1/6-1037)

The suggestions of transition in headteacher roles, and conceptions of leadership mentioned in Section 7.2, dictate a shift in the model of leadership which has traditionally been associated with headship. Calls for such a new model are multitude

and can be seen in Leithwood and Jantzi (1990), Murphy and Hallinger (1992), Sergiovanni (1990), and Williams (1995).

One clear opportunity suggested by this study is constituent in the definitions and conceptions applied to the exercise of headship. The study showed that the headteacher's conceptions of such terms of leadership and management were not altogether formed and subject to a variation of interpretation. As headteachers continue to negotiate a time of systemic change, a clearer understanding of leadership and administrative mandates, and the differences therein, could serve clarify the imperatives for the period to come.

Transformational conceptions are one form of response to the systemic change. The next section explores the transformational aspects of the study data.

7.4 Headteacher conceptions and transformational leadership

It should be noted that the idea of 'transformational leadership' as a distinct leadership theory was not a part of the headteacher's repertoire in this study. This nominal confusion, however, was not represented in a theory-in-practice understanding of transformational concepts. It is the headteacher's representation of transformational concepts which is discussed in this section.

The aspects of transformational leadership which will be explored are the notions of power and authority in headteacher espousal and practice, and the idea of the nurturance of a critically reflective ethos in the school.

7.4.1 Exercise of power and authority

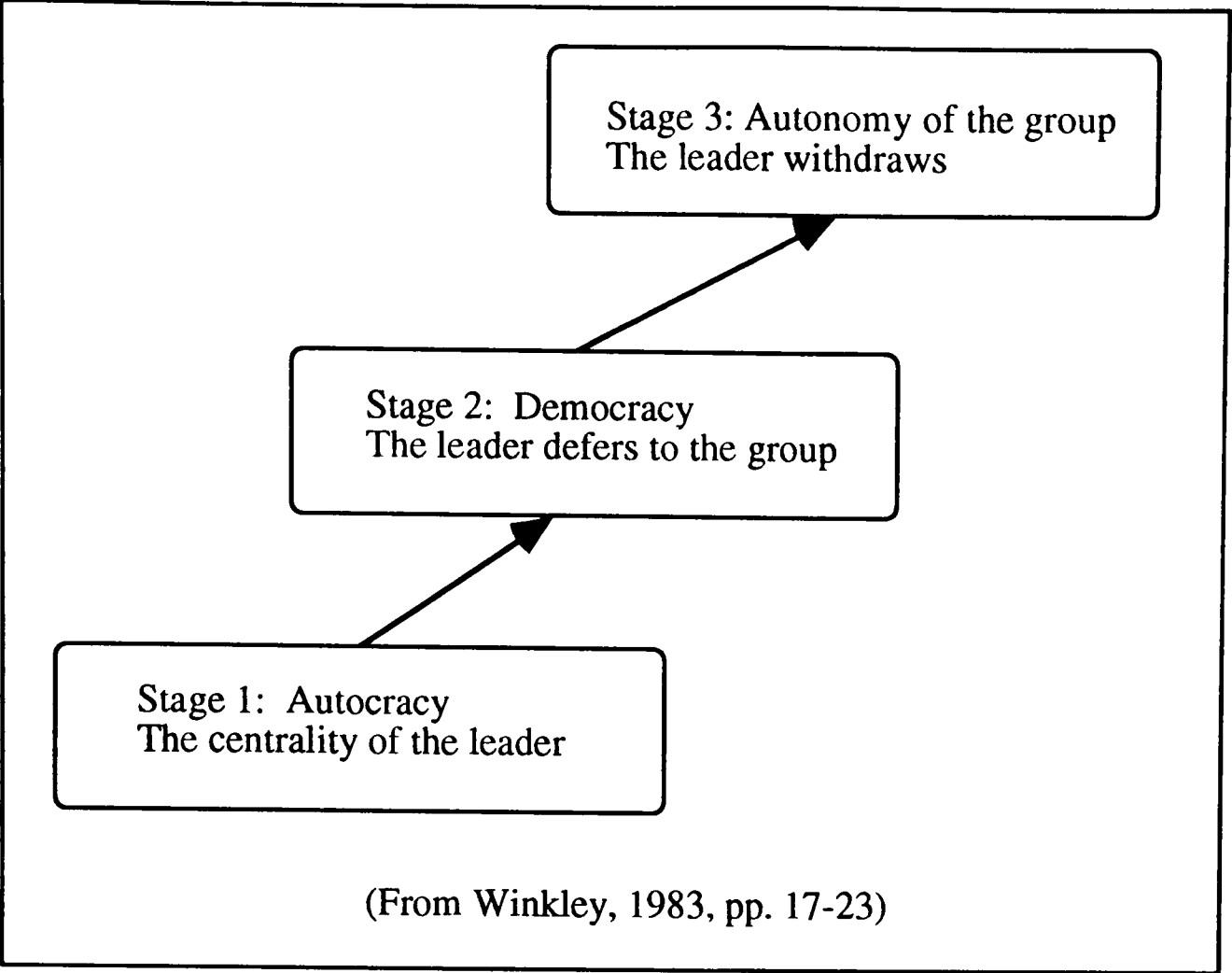
One of the central tenets of transformational leadership is in the exercise of power and power relationships. As Sergiovanni (1991a) states, this represents a shift from a 'power over approach to a power to approach' (p. 57). The foundations for such a view, as articulated in Chapter 2, are to be found in critical theory.

Recognising the headteachers' tacit, and practical understanding of transformational concepts, the data from the study offered a picture of a shift in power approach.

In Chapter 4, it was noted that Ken Miller's headship had moved through three stages. The first stage being a personal clarification of vision for, and direction of the school. The second stage was described as building a staff team to pursue that vision; and finally in the third stage, the redefinition of the headteacher's role into a facilitative function.

There is some similarity to Winkley's (1983) three stages of leadership. Winkley's three stages are represented in Figure 7-2

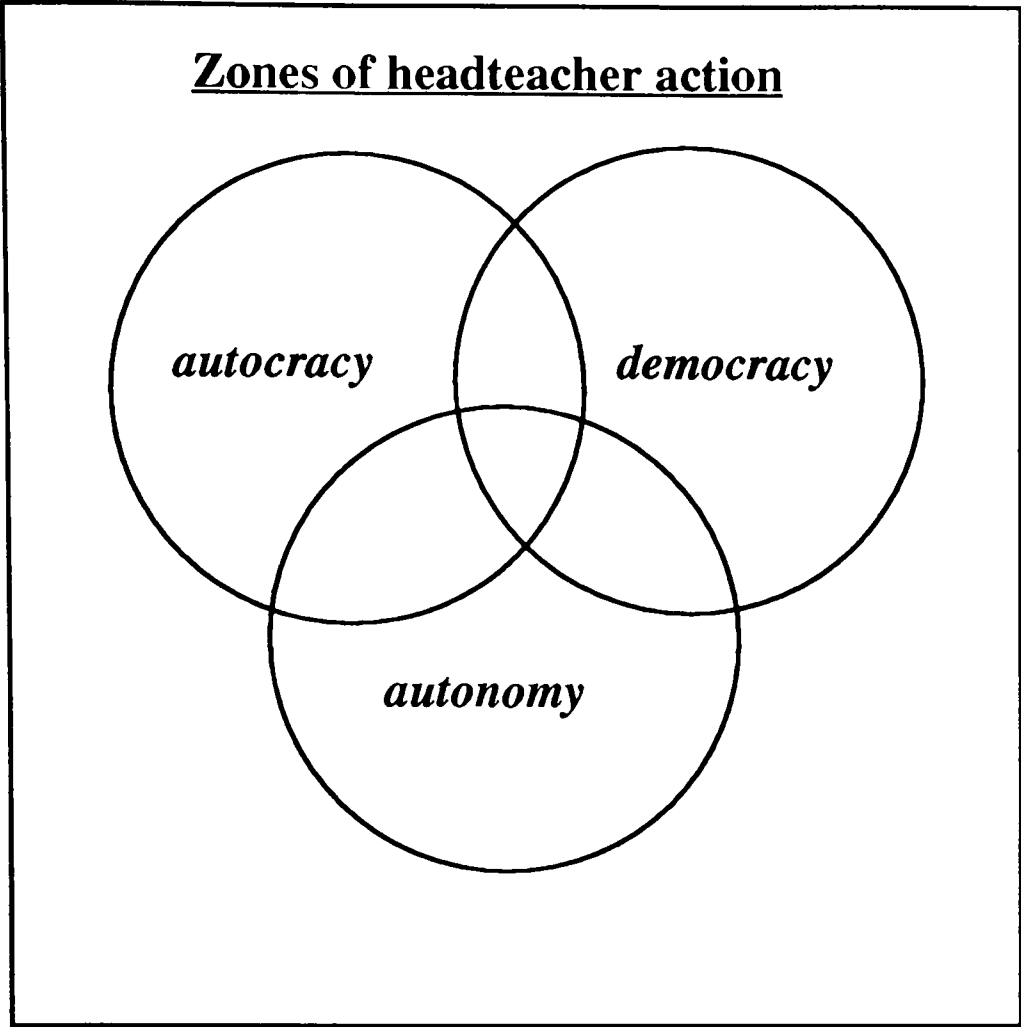
Figure 7-2: Three stages of leadership



Although some similarity is noted, Winkley’s three stages have a linear quality to them that this study did not bear out. Instead, the researcher would suggest that the stages continue to influence one another over a period of time. Perhaps, for this reason, ‘stages’ is an inappropriate term. More descriptively these might be referred to as three spheres of leadership which provide opportunity for differing modes of power and authority. In the case of Ken Miller, three *natures* of influence appeared to be present.

From the data, a different model emerges, one of inter-linking means of action representing power relationships. This model is presented in Figure 7-3:

Figure 7-3: The nature of headteacher influence



In the case studies it appeared that the headteachers moved from one zone of action, (or one form of power, authority, and influence) to another dependent on a number of factors. Some of the factors suggested from the data included length of tenure, receptivity of staff, the nature of a particular enterprise, the ethos of the school, and the emergence of the headteacher’s personal constructs.

This was particularly seen, again, in Graham Chadwick’s headship. Where, although not new to headship, he was just completing his first year of headship at Headleymill. A number of the comments he relayed, particularly regarding the establishment of curriculum teams and a senior management structure, represented an action which might be termed ‘autocratic’. In that instance, although espousing a democratic ethic, it appeared that he chose a more autocratic response in order to enable the establishment of a structure that would support a transformative and democratic decision-making structure. As was noted in Chapter 6, he also espoused a belief that leadership was a responsibility of all in the school.

It might be argued that this has overtones of situational leadership. The difference that the researcher observed from the data is that a *style* is not selected for application to the situation, but rather it emerges from an exercise of the headteacher's conception of leadership and the nature of the task or situation with an increasing emphasis on democratic and autonomous forms of action.

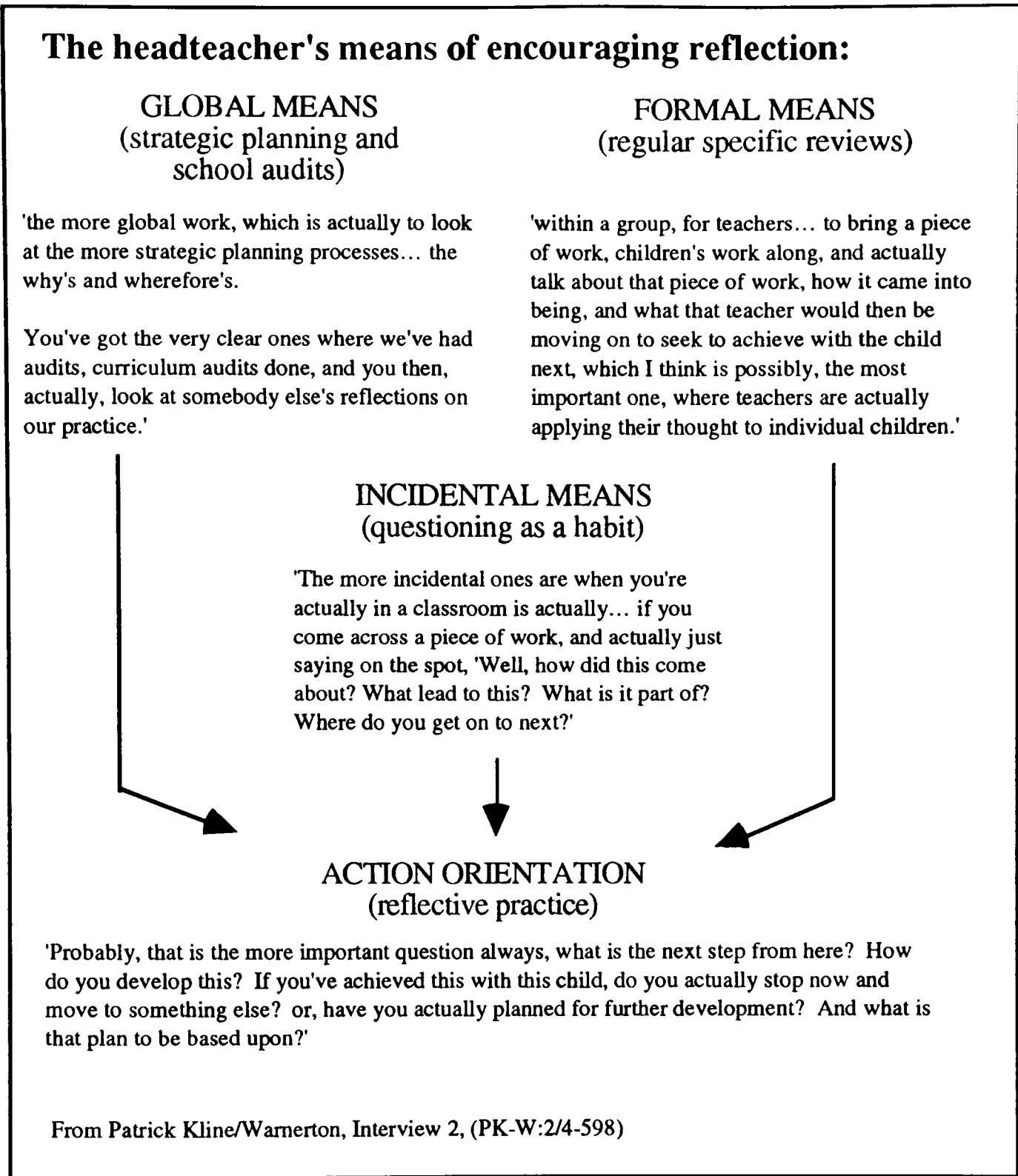
7.4.2 Implications for reflective practice

It is from the idea of illuminative self-knowledge⁹ that this study builds the theoretical base for professional development for both the headteachers and for colleagues within the school.

The primary headteachers in this study each espoused a degree of commitment to the enabling of a reflective culture in the school. The transcript of observational data from the case study of Patrick Kline revealed three possible means for encouraging a reflective ethos in the school, these are illustrated in Figure 7-4:

⁹ Build on Schön's of the 'reflective practitioner' (Schön, 1983).

Figure 7-4: Ways of encouraging reflection



A common thread for each of the three headteachers was the ability to gain knowledge from experience. As Mr. Chadwick noted, ‘Until you've had the experience you don't have the insight’ (GC-H:3/1-186). A problem presented from this view, and one which has practical implications for headteachers interested in reflection, is that of time.

The headteachers in this study spoke of the inability to find time for purposeful reflection. A moment snatched infrequently, some time during vacations, or during

an occasional lull in the incessant activity of the school was the best that could be hoped for. As Eraut (1994) notes, 'Professional learning continues both on and off the job: in action, in discussion and in periods of personal reflection. Most of it is unplanned, even personal reflection taking place more in unplanned moments – when driving to work, talking to a friend or having a bath – than in periods set aside for the purpose' (p. 75).

If headteachers are to gain a clearer understanding of their own personal constructs, conceptions of leadership, and simply time to reflect on the decision they are faced with, then time will continue to be an important variable. The headteachers in this study suggested that the tyranny of time was having an impact on their ability to be reflective. If reflection is not planned in then it becomes a continuing cycle of action based on tacit understanding rather than reflected considered action.

The researcher would suggest that headteachers, especially if they espouse a reflective ethic, need to continue to find ways to create opportunities for greater reflection and consideration.

The headteachers in this study appeared to view the encouragement of reflective practice as an essential part of their leadership. This reflective practice element was predominantly found in use as a means of countering perceived non-reflective characteristics of changing pedagogy, particularly 'teacher-proof' curricula. Furthermore, reflective practice served the practical ends of preparing the school for another change force, the OFSTED inspection of schools.

Action and reflectivity

The data from this research would indicate that the reflection espoused by the headteachers in this study was oriented toward action. As stated in Chapter 6, Graham Chadwick noted,

GC: It's no point at all in being the sort of person that thinks, and thinks, and thinks, and thinks... you've got to be able to take action at the appropriate moment. And that's what a good leader is... a leader takes action. (GC-H:4/3-263)

Reflection, not leading to action could be viewed as a return to a theory/practice dichotomy. As Argyris and Schön (1974) noted,

The professional must be able to act according to his [*sic*] microtheories of action and reflect on his actions, relating them to the governing variables implicit in his behavior and determining the impact of his behavior on the behavioral world (on himself, the clients, the client system), on learning (especially on double-loop learning), and on effectiveness. (p. 157).

The reflective mandate which emerged from this study was a combination of emerging personal reflection, the equipping of teaching staff with reflective skills to counter de-skilling curricular influences, and as part of a cyclic discipline of audits associated with school development planning.

7.5 Further implications for leadership theory

The previous section discussed the implications for the theory and practice of headship, this section addresses a number of the implications for leadership theory beyond those addressed earlier, yet pertaining to the data of this study.

In Section 7.3.4, the ‘buffering’ function of the headteacher was discussed. This placement of the headteacher at the centre of a number of forces suggests further theoretical implications. Another means of viewing the ‘person-in-the-middle’ function of the headteacher is through the conceptions of Giddens’ (1984) ‘structuration theory’. In application to the school setting, the basic tenets of structuration theory suggest that leadership in the school exists not *in* the headteacher, but in the point of interaction between the headteacher’s *agency*, and the *structure* of the school environment. Structuration theory is based on Giddens’ notion of the ‘duality of structure’, which he defines as follows:

By the duality of structure, I mean the essential recursiveness of social life, as constituted in social practices: structure is both medium and outcome of the reproduction of practices. Structure enters simultaneously into the constitution of the agent and social practices, and “exists” in the generating moments of this constitution. (1979, p. 4)

As Starratt (1993) further notes:

At the heart of this analysis is Giddens’ notion of the “duality of structure”. Instead of allowing a dualism of action and structure, Giddens posits a duality: action is shaped by structure but at the same time action produces or reproduces structure. The two are ontologically linked. There is no structure independent of actors who reproduce it. Similarly, there is no social action, free floating and independent of structure. Structure is both the medium and the product of action.’ (p. 26).

There are further manners in which this duality has been viewed, including the aspects of transformational leadership theory which identify leadership as the point of intersection between leader and follower. From a structurationist perspective, this point of interaction is fluid, multi-dimensional, and non-linear. Headteachers do not simply lead, and teachers follow. Instead there are instances when headteacher leadership, through its empowering nature, devolves leadership to others, at which point the leader then becomes follower. Her or his agency, shaped by the structure of

transformational values recursively shapes the headteacher's role and function in the school.

As Williams (1989) noted the shaping function of the headteacher is inextricably bound to the recursive shaping of the follower. The leader and follower exist in dialectical relationship. As he states, (24)

The essential understanding here is a simple one, but often overlooked or ignored: that leaders cannot exist without followers . . . In its essentials, leadership is the power to influence the thinking and behaviour of others to achieve mutually desired objectives. It is not necessarily linked to formal status or authority, but is always dependent on the acquiescence of the followers. (Williams, 1989, pp. 24-5)

The researcher posits two reasons why this theory is useful to this discussion, and why the data from this research contribute to a further understanding of the dialectical nature of leadership.

First, the Giddens notion of 'duality of structure' clearly places the headteacher in the centre between the forces which are acting upon him/her and the actions which are being taken as a part of headship. In this study this was seen in the dialectic that was presented between the headteacher working to establish a 'vision' whilst at the same time being shaped by the vision of the actors within the school. The two are ontologically linked.

Second, the notion of duality of structure frees the headteacher from the 'transactional' (Burns, 1978) and paternalistic modes of management which have pervaded the socially constructed meaning of headship. Headteachers have the potential to understand the 'discourses of power and knowledge' (Bates, 1989, p. 154) which are the legacy of traditional management models.

Watkins' (1986) work serves to illuminate this sense of self-knowledge as an empowering strategy:

People are knowledgeable and active and have an inherent capacity to and can partially penetrate the forms which dominate them. They exercise choices and options in a the way they work and in their actions and reaction within the complex nature of relationships which constitute an organisation. (p. 33)

The researcher suggests that this was an aspect of the conception of leadership which was observed in this study. There are two bases for this suggestion:

1. Headteacher espousal represented an understanding of the transferable nature of leadership in contemporary primary school.
2. Headteacher exercise of power and authority is also transitional, moving from the unilateral exercise of positional power to the integration of a view that power is fluid and is exercised by various constituencies.

7.5.1 Transformational leadership in headteacher development

The changing nature of the primary headship, the need to involve other stakeholders in the decision-making of a school under LMS, and the implications for creating a school ethos of critical reflection to equip teachers to resist de-skilling aspects of some educational 'reform' efforts are presented as reasons for a greater emphasis on transformational notions.

There are two periods which present opportunities when headteachers may encounter transformational concepts from an external source: in pre-service educational opportunities, and in-service professional development.

Headteacher pre-service

Pre-service headteacher preparation would appear to be an important point of contact with thinking about headship, about one's conceptions of leadership, and about the values one brings to the role (Murphy, 1992).

The experiences described by the headteachers in this study suggest that deliberate preparation, rather than a model of headship preparation more akin to apprenticeship, may be of particular benefit.

There are a number of challenges in preparation of school headteachers as noted by Sergiovanni (1986):

A key challenge in preparation is how to help administrators become more reflective professionals who are students of their own practice. At issue should be the kind of professional knowledge they create as they practice their craft and the antecedents that influence this creation. Leadership is a personal thing. (p. 41)

One finding from this study which has bearing on this argument is the somewhat idiosyncratic definitions given to the terms: leadership and management. This study suggests that further development of the differences in these terms would provide headteachers with a means for clearly understanding distinctions between those actions which simply maintain the school, and those which move the school forward towards a commonly agreed goal.

The case studies further indicated a disparate and unclear understanding of what reflection and critical inquiry mean in the school context. There is a passing familiarity with the terminology and an espousal of its importance to the school programme. However, there is no systematic expressed understanding. This has implications for the dissemination of such information and reflects the gap in headteacher preparation.

Headteacher in-service and leadership theory

An aspect of the challenge for headteachers is also the degree of influence of experience in headship. The three headteachers in this study were each experienced headteachers and tended to think in global terms about such issues as school development planning and operation.

This is a view supported in other research. Bullock, James, & Jamieson (1995) found that ‘established-in-post’ headteachers in their questionnaire research were more reflective than those who were new to post. A summary of their findings in decision-making, delegation, and interpersonal skills is found in Table 7-1.

Table 7-1: Aspects of educational management practice

	<i>Decision-making</i>	<i>Delegation</i>	<i>Interpersonal skills</i>
Established-in-post	Reflective and considered approach; take time if needed; understand the complexity of the system, but have identified the priorities	Clear strategies for delegation; have identified tasks for delegation; will transfer authority	If necessary will face up to, and learn from conflict
New-to-post	Challenged by the need to display expertise without situational knowledge; have identified a priority task to establish themselves in the school	Want to lead from front; uneasy about delegation; may not want to overburden colleagues	Aware of the importance of communication and good relationships; want to avoid conflict and ‘settle in’
New-to-management	Have little authority; decisions don’t tend to impact on others	Want to be delegated to; but need power as well as task	Fear of conflict; a typical strategy is to be ‘friendly’

From Bullock, James, & Jamieson (1995, p. 203)

The researcher has put forward three central suggestions from the data. First, that conceptions of leadership were largely personal, were centred in one's constructs and sense-making structures, and were formed early and appear to place persons over products; individuals over systems.

Second, the primary headship in this study was subject to a variety of governmental and societal forces which are re-shaping both the theory and practice of headship. New forms of participation and partnership have involved a re-construction of the headteacher's conceptions of leadership and place them in a unique position to facilitate and mediate the forces at work on, and within, primary schools.

Finally, the data suggested that transformational aspects of leadership which are facilitative in nature—enacted within changing power relationship and empowered by reflective practice—are present, in a developing sense, within the headteachers of this study.

All three findings have implications for a more comprehensive qualitative understanding of the domain, cognition, and development of primary headteachers. Additionally, the sphere of influence of transformational leadership, and leadership in establishing critically reflective schools is emerged as an espoused value of perceived effective headteachers.

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What one can't foresee, of course, is exactly how national and international changes will force yet more changes on the headteacher's role.

There are certain things though that will remain constant... as long as schools exist as communities; there will be certain things that a person will have to do. I don't think it can be all done by committee.
(GC-H:4/11-317)

Review of central thesis

A central and guiding question of this research was to construct an understanding of how headteachers conceive of leadership in a time when the environment in which they exercise headship is undergoing systemic change.

This research suggests that the headteachers in this study primarily conceive of leadership in ways that are not consistent with a bureaucratic/managerial model of headship. The role of intuition, tacit theories, and personal constructs associated with the domain of headship arose in the espoused views of the headteachers.

An examination of the personal constructs of the headteacher participants in this study revealed that as they considered the context of the school, the personal constructs which guided their thinking were largely person-oriented and engaged with the challenge of relationships in the school as an organisation.

The headship, and societal expectations, appeared to be contributing features in the headteacher's conception of leadership. The headteachers recognised a vast array of changes, both in responsibility, in the participation of new constituencies, and in the nature of headship itself. In addition, it was recognised that the context of headship

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was suggesting new partnerships; partnerships between schools, and partnership with parents and community as participants in educational decision-making.

The headteachers' conceptions of leadership appeared to be an integral aspect of their agency in the school and was equally shaped by forces, both historic and contemporary.

Power and authority relationship were also viewed in transition; the agency of the headteacher was not viewed to be entirely unilateral, but suggested a semi-situational exercise which was shaped by conception of leadership and possibly length of tenure. This suggests an expression of legitimate authority as vested in the headteacher, balanced with a view that others, by the nature of their individuality, had an important contribution to the school management discourse.

Further research

Throughout the earlier chapters, opportunities for further, or confirmatory research were mentioned. However, there are a number of added questions raised by this research which would merit further research.

The nature of followership

If one holds that headship, in a transformational sense, is about a 'duality of structure' where leadership is simultaneously exerted by heads and invested in others, creating a dynamic leadership context where a variety of participants exercise leadership; then further research into the nature of followership would be useful.

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Similar questions of the headteachers' conceptions of followership, especially in relation to the changing nature of headship would be a useful line of inquiry.

International comparisons

The literature base which informed this study was international. However, additional studies which explore the development of leadership themes across cultural boundaries could prove interesting. This is especially so as common themes, such as the introduction of market forces gain relevance in a number of countries. Such studies would form a useful base of consideration for those in policy formulation and analysis.

Other types of schools

By the nature of the participant selection for this study, that of perceived 'effective' headteachers of large primary schools, the question of generalisability would be enhanced by further studies in schools with different characteristics. Considerations and conceptualisations of leadership in small primaries, those in urban settings, headteachers with varying lengths of tenure, and other managerial systems, such as grant-maintained status, could develop interesting data.

Moral Leadership

Further research needs to be carried out to understand how headteachers are conceptualising and integrating calls for the value and moral dimensions of leadership (Leithwood, Begley & Cousins 1994; Foster, 1986; Sergiovanni, 1991a; Smith & Peterson, 1988; Starratt, 1993, West, 1993). Such thoughtful leadership would lend a greater discussion base for those proposing such models.

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Researcher growth

As indicated earlier in the thesis, the conduct of this research bore a number of evolutionary elements. The researcher found that the questions which guided the planning of the study spurred new questions, and retired others. The dynamics of the research context, and the nature of a qualitative inquiry, allowed the researcher a unique opportunity to allow the questions to be shaped, modified, and influenced by the research context.

Particularly, for the researcher, the opportunity to rigorously explore the notion of primary school leadership through qualitative case study was deeply rewarding. In addition, the questions raised, and the implications of this study will generate further research for the years to come.

Closing statement

A compelling aspect of this research is the re-assertion of the necessary role of the headteacher. This research has examined the school, predominantly through the perceptions of the headteacher, but also through the view of those who work as colleagues as well. As a result, a web of relationships has been observed, all of which lead the researcher to new understanding of the role of the headteacher and the influence of individuals' conceptions of leadership.

Clearly, much more needs to be done to further understand the views of headteachers in a wide variety of settings. In small schools, in grant-maintained schools, and urban schools to name a few. In each of those examinations, and as the results of this study are considered, leadership theorists may continue to consider the multiplicity of

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voices which inform the discourse of the research and practitioner communities.

Within that discourse, a number of new models are coming forth, Murphy's (1992) notion of the 'servant leader' being one of those important voices in the discourse. As Murphy states,

'The leadership challenge for administrators is quite complex. Not only must they accept the mantle of leadership—changing from implementors to initiators, from a focus on process to a concern for outcomes, from risk avoiders and conflict managers to risk takers— but they must also adopt leadership strategies and styles that are in harmony with the central tenets of the heterarchical school organizations they seek to create (p. 124).

Or, as Lincoln (1989) noted, 'The role of the transformational leader in a postmodern world may be to recognize the invisible and the voiceless, and to grant them the space to speak and the discovery of their own means to snare and share power' (p. 177).

The way forward in the understanding of primary school leadership, this researcher would argue, is through continued debate, rigorous research, and further discourse with those who inhabit the world of the primary headship. This research aimed to do all three, and particularly to understand headship from the perspective of the headteacher.

Clearly, challenges remain for headteacher (Grace, 1993). The researcher hopes that the way forward will continue to illuminate the world of the primary headteacher, and will shape the efficacy they bring to their work to meet the challenges of the years to come.

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Appendix 3-A: Exploratory interview schedule

Exploratory Interview: Schedule of Questions	
1.	<i>How did you come to be at this school?</i>
2.	<i>How long have you been a headteacher? What was your prior experience?</i>
3.	<i>What makes your school interesting or unique?</i>
4.	<i>What are the aims of your school?</i>
5.	<i>Describe your school development plan.</i>
6.	<i>What is your staff mix (gender, experience, etc.)?</i>
7.	<i>Describe the way your staff is organised. Do you have curriculum co-ordinators? Differentiated staffing?</i>
8.	<i>What are the challenges to teachers' thinking about their practice?</i>
9.	<i>How do you encourage reflection amongst your teaching staff?</i>
10.	<i>What are the sources of stress for teachers?</i>
11.	<i>What sorts of staff development activities are your teachers involved in?</i>
12.	<i>What do you perceive to be the crucial issues in leadership at this time?</i>
13.	<i>Have you seen changes in the demands of the headship since you began your career?</i>
14.	<i>How have you been affected by governmental reform initiatives?</i>
15.	<i>What do you believe about your role as the headteacher in this school?</i>
16.	<i>What do you perceive as your role in staff development in your school?</i>
17.	<i>What are some of the issues/events that occupy your thinking time? When do you find time to think about these?</i>
18.	<i>Do you meet with other heads in any formal or informal gatherings?</i>
19.	<i>In what ways are the governors involved in your school?</i>
20.	<i>Are you linked in any way to the work of the National Primary Centre, or use any of its reports?</i>
21.	<i>Are you optimistic about the future of education?</i>

Appendix 3-B

Appendix 3-B: Repertory grid - elements list - pilot stages 1-3

ELEMENTS (pilot stage 1) (conducted 20.4.94)	ELEMENTS (pilot stage 2) (conducted 11.5.94)	ELEMENTS (pilot stage 3) (conducted 17.5.94)
(1) deputy headteacher	(1) deputy headteacher	(1) deputy headteacher
(2) school secretary	(2) school secretary	(2) school secretary
(3) a staff member you find easy to get along with	(3) a staff member you find easy to understand	(3) a staff member you find easy to understand
(4) a staff member you find hard to understand	(4) a staff member you find hard to understand	(4) a staff member you find hard to understand
(5) an educator you have worked with that you admire	(5) an educator you have worked with that you admire	(5) an educator you have worked with that you admire
(6) chair of governors	(6) chair of governors	(6) chair of governors
(7) LEA inspector/advisor you work most closely with	(7) LEA inspector/advisor you work most closely with	(7) LEA inspector/advisor you work most closely with
	(8) the most intelligent educator you know personally	
(8) a member of staff you would most like to be of help to	(9) a member of staff you would most like to be of help to professionally	
	(10) an employer, supervisor, or officer under whom you worked or served and whom you found hard to get along with	
	(11) an employer, supervisor, or officer under whom you worked or served whom you found easy to get along with	
	(12) a parent in the school you have had frequent positive contact with	
	(13) a parent in the school you have had frequent negative contact with†	
(9) a senior member of staff	(14) a member of staff with the most years of teaching	(8) a member of staff with the most years of teaching
(10) a junior member of staff	(15) a member of staff with the fewest years of teaching	(9) a member of staff with the fewest years of teaching
(11) a member of your local schools partnership who you work most closely with	(16) a headteacher in your local schools partnership/cluster who you work most closely with	(10) a headteacher in your local schools partnership/cluster who you work most closely with
	(17) most experienced LSA	(11) most skilled LSA
(12) self	(18) self as a headteacher	(12) self as a headteacher

† element 13 not used in triads due to change in number of sorts during administration.

Appendix 3-C: Staff questionnaire

Oxford University Department of Educational Studies
15 Norham Gardens
Oxford
OX 2 6PY
Tel. (0865) 274024

Staff Questionnaire

Dear Staff Member:

This questionnaire is part of a study of leadership in primary school development that is being carried out in your school. The aim of this study is to examine reflective aspects of headteacher cognition and leadership in staff development. The information gained from this questionnaire, and the study as a whole, will be used in the completion of a D. Phil. research project.

The study has looked primarily at the activities and perceptions of the headteacher, but your views will be an important part of the information that is being collected. Your perspective on the goals of your school, its leadership, and professional development are necessary for a full understanding of your school.

All responses provided in this questionnaire will be regarded as anonymous. Respondents are not identified on the questionnaire, nor will any responses be attributed to individuals by name. A complete copy of the research protocol is available to any interested party.

The time demands of your position are clearly understood; may I thank you in advance for your participation in this part of the study.

Yours sincerely,

B. S. Portin, D.Phil. Research Student

Instructions:

- Please answer the questions on the following pages. For ease of response, I am quite happy with answers in words and phrases, rather than extended essays. Your succinct responses will be most useful. Do not put your name on the questionnaire.
- Answer the questions in a manner that you would feel comfortable, knowing it will be re-typed without attribution. Any questions may be left blank if you would prefer not to answer. If, however, you find a question confusing please indicate what part of the question is unclear.
- Once completed, please return the questionnaire sealed in the envelope provided. You may give the envelope directly to me, or to your school secretary, who will place it in an envelope for return.
- If possible, please return the questionnaire by _____

Confidentiality and Use of Data:

- I will be the only person who will review the questionnaires. The questionnaires will not be seen by anyone in the form returned except the researcher.

The answers you provide will be processed and presented in a case report (and later in my D.Phil. thesis) as follows:

- Each response will be typed out and grouped with all responses to individual questions.
- Responses will be grouped in categories according to themes.
- Re-typed responses will be presented without any attribution in a case report provided to the school through the headteacher.

This research is conducted under the supervision and direction of the Oxford University Department of Educational Studies and the researcher's academic supervisor, Dr. Vivian Williams.

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Staff Questionnaire

Optional:

- A.

Years of teaching experience (please tick):

0-2

3-5

5-10

10-15

>15
- B.

Current teaching assignment (please tick):

reception/ year 1 and/or 2

year 3 and/or 4

year 5 and/or 6

other

1.

What do you see as this school's greatest strengths?
2.

In what areas do you feel this school needs to grow?
3.

How would you describe your headteacher's leadership style?

Appendix 3-C

4. What are the important issues/activities that a school's management structure (head, deputy, governors, 'management team', etc.) should address?
5. What has your headteacher done that has enabled or encouraged your professional growth in the last year?
6. What professional development activities (courses, collegial planning, extra school responsibilities, degree work, etc.) do you participate in, or plan to?
7. What, in your opinion, are the hallmarks of an effective teacher? (name up to 5)

Appendix 3-C

8. What role does intuition and/or critical thinking play in your teaching?

9. In what area do you feel the greatest pressure or stress as a teacher?

Thank you for your time!

Any other comments you wish to share:

Appendix 3-D: Documents reviewed

<i>Headleymill School</i>	<i>Warnerton School</i>	<i>Arbridge School</i>
• School Prospectus • School log book • Head teacher initiated curriculum audit • Staff handbook • Policy documents • Staff meeting notebook (head’s copy) • School Development Plan (head’s copy) • Staff development survey of School Development Plan • Parent Consultation for School Development Plan • Head teacher personal goals • Job Descriptions notebook (head’s copy) • Governors’ Notes and minutes (head’s copy) • Head teacher’s document: Aims of Classroom Organisation • Head teacher’s document: Primary Education • Oxfordshire L&A meeting notes	• School Prospectus • 1987 HMI inspection report • 1981 - Four-yearly evaluation • School log book • Governors’ Finance sub-committee meeting notes and minutes • M.A. dissertation/study of school • 1990 School Evaluation • Open University course material/using school as a resource management model • Head teacher appraisal • Staff Handbook/curriculum file • School Development Plan (draft) • Governors’ Notes and minutes (head’s copy) • Head teacher’s document: Aims of Classroom Organisation • Head teacher’s document: Primary Education • Oxfordshire L&A meeting notes	• School Brochure • Governors’ Minutes • School Development Plan • Head Teacher Folders (meeting agendas, financial plans, action plans, bids) • Paper on nursery education written by the head teacher • Staff meeting Minutes • 1993 OFSTED Inspection Report

Appendix 3-E: Pilot study field log

Pilot Study Contact

Date	Hours	Primary activity
19.10.93	1.0	initial interview
18.11.93	1.0	planning meeting
23.11.93	3.0	staff meeting
25.11.93	8.0	interview/observation
26.11.93	3.0	interview/observation
29.11.93	6.5	interview/observation
2.12.93	4.0	interview/observation
3.12.93	9.0	interview/observation
9.12.93	7.5	observation/document analysis
10.12.93	4.5	interview/observation
12.1.94	5.5	interview/observation
13.1.94	7.5	interview/observation
14.1.94	3.0	interview/observation
19.1.94	3.0	teacher interview/observation
20.1.94	4.5	teacher & deputy interview
21.1.94	5.0	teacher interview/observation
12.4.94	2.0	follow-up interview
7.6.94	2.5	repertory grid
TOTALS		
17 visits	80.5 hours	

Observed Activities and Events

Date	Activity/Event
18.11.93; 25.11.93; 10.12.93	prospective parent tour
23.11.93	staff meeting
25.11.93; 26.11.93; 29.11.93; 3.12.93; 9.12.94; 9.12.93; 10.12.93; 13.1.94; 14.1.94	class teaching
25.11.93; 2.12.93; 13.1.94	weekly planning meeting with administrative staff
25.11.93; 3.12.93; 10.12.93; 12.1.94; 13.1.94	meeting with senior members of staff
25.11.93; 2.12.93; 3.12.93; 9.12.94; 12.1.94; 14.1.94	office administration, phone calling, etc.
29.11.93; 3.12.93	individual work with students
29.11.93; 2.12.93; 3.12.93; 12.1.94	conferences with parents
29.11.93; 2.12.93	meetings with individual staff
2.12.93; 3.12.93	meetings with applicants for staff positions
3.12.93; 10.12.93; 13.1.94	meetings with school secretary
3.12.93; 10.12.93; 13.1.94	student assembly
9.12.93	student supervision (hall, playtime)
10.12.93; 12.1.94; 14.1.94	facilities management
12.1.94	accompanying students for swimming
12.1.94; 13.1.94	meetings with colleague head teachers
13.1.94; 21.1.94	meetings with LEA officials
13.1.94; 14.1.94	year group meetings

Appendix 3-F: Interview Schedule

HEADTEACHER INTERVIEWS (Pilot Study):

Interview 1 - Topic: Leadership

Question 1: What are the important qualities/characteristics of an effective leader?

Question 2: Who are some leaders that you admire?

Probe: Leaders within your local circle

Probe: Leaders within the broader circle

Question 3: Do you see a difference between the activities of leadership and management?

Probe: Can you provide an example from your role that you consider a management activity?

Probe: Can you provide an example from your role that you consider a leadership activity?

Question 4: Trace your career path to your current headship

Probe: What were some of the roles you had that moved you toward the headship

Probe: Can you think of any events that you feel influenced who you are as a head teacher?

Question 5: Were there any individuals who were significant influences in your leadership development?

Probe: Who were they?

Probe: In what way did they influence you?

Question 6: Has your practice as a head teacher been influenced by government initiatives?

Probe: If so, in what way?

Probe: Impact of the Education Reform Act and its provisions (National Curriculum, Local Management of Schools, appraisal schemes)

Question 7: Has your practice as a head teacher been influenced by those you work with most closely? (other staff, the governors)

Probe: Influence of the LEA

Probe: Influence of head teacher colleagues

Probe: Influence of the National Primary Centre

Question 8: In what way do you sense you have grown the most as a leader?

Probe: Did you seek that growth, or did it arise as a result of your work?

Question 9: Do you believe there are different styles of leadership?

Probe: If so, how would you describe your leadership style?

Question 10: Where does authority rest in your school?

Probe: How was authority vested in these aspects (individuals, groups)

Probe: Is a 'chain-of-command' important to you?

Probe: How does decision making occur?

Question 11: Outline your leadership team/senior management team structure.

Probe: Why is it structured as it is?

Probe: How do individuals get to be in those positions?

Question 12: Where do you think the role of the head teacher is going in the future?

Probe: Will it change?, if so, how?

Probe: How do you feel about this direction?

Question 13: Do you feel that you will be a head in five years time?

Probe: If no, why not?

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Interview 2 - Topic: Reflective practice and practitioner research

Question 1: Describe the most effective teacher or teachers on your staff?

Probe: What makes them effective?

Probe: How do you know what good, or effective teaching is?

Question 2: Do you feel that the necessary attributes for effective teaching are changing?

Probe: If so, how?

Question 3: Do you have thoughts on what has been termed, 'reflective practice'?

Probe: How would you define reflective practice?

Probe: Is reflectivity important in teaching?

Probe: How would one know when reflective teaching was occurring?

Question 4: What is your experience with research, either formal or practitioner based?

Probe: Do you have any familiarity with any of the literature on reflective practice and practitioner research?

Question 5: Do you see the development of a reflective teaching cadre to be an important part of your job as the head teacher?

Probe: (if yes) How do you communicate or build that imperative?

Probe: (if no) Explain.

Question 6: What part does school climate play in teacher growth?

Probe: Who impacts that climate, and how?

Question 7: Do you see a role for practitioner research in the school?

Probe: What is the exercise of that role?

Probe: Do you have staff involved in what you would describe as practitioner research? Describe.

Question 8: How do you, or other members of staff, encourage teachers to think about their teaching?

Probe: How is that communicated or modelled?

Question 9: Do you feel your teachers make pedagogical decisions based on habit and past practice, or reasoned choice?

Question 10: Have governmental initiatives/reforms impacted your ability to think about your practice in the course of the day?

Probe: Which initiatives have had the greatest impact?

Probe: Has the LEA had an impact on how you think about effective teaching?

Question 11: Describe your understanding of the role and aims of the National primary centre?

Probe: Do you support those aims?

Probe: What has been your level of involvement?

Question 12: Are you aware of the NPC practitioner research projects and reports

Probe: Are the NPC materials available to you and your staff?

Probe: If yes, where are they kept?

Probe: Are there other materials that you or your staff draw upon for thinking about teaching?

Interview 3 - Topic: School and staff development

Question 1: Has your school gone through a school development planning process?

Probe: If yes, describe the process.

Probe: Who was involved in the development planning?

Probe: What role did you play?

Probe: If no, describe and equivalent processes of self-study, or Oxfordshire evaluation.

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Question 2: How will the school development plan be used in your school?

Probe: Was the process of development planning helpful? How?

Question 3: Do you have hope for the future direction for your school?

Probe: Do you sense that is a shared vision? If so, how is it shared?

Question 4: What comprises an effective staff development programme?

Probe: If you were given £10,000 strictly for staff development, how would you spend it?

Question 5: What staff development plans are in place for your school this year?

Probe: What has been accomplished to date, what remains?

Probe: Who has responsibility for your staff development plans? (delegated?)

Question 6: Have you had any in service sessions that stand out in your mind as being particularly useful?

Probe: What made them useful, or not useful

Probe: Were those facilitated 'in house', or by outside consultants?

Question 7: What priorities do you and your staff keep in mind when planning for staff development?

Probe: Is there a relation to an overall plan?

Probe: In what ways is staff development needs-driven?

Probe: What is the level of participation in in service activities amongst staff?

Question 8: Have you had a school inspection?

Probe: When? Who conducted?

Probe: What were the results of the inspection?

Probe: What was your/staff reactions to the inspection process?

Probe: If not, concerns, views, or hopes for a potential inspection?

Question 9: What do you perceive as your role as head teacher in staff development?

Probe: Do you, or have you lead in service activities?

Question 10: Do you have an individual goal-setting meeting with any members of staff to discuss their professional growth?

Probe: How do you bring opportunities to their attention which might enhance growth?

Question 11: Are there various staff teams or groups working together on projects or goals?

Probe: Are these ad hoc alignments, or standing groups

Question 12: What are the professional development goals you have set for yourself?

Probe: How did you arrive at those goals?

Probe: What resources do you need to accomplish those goals?

Probe: Will anyone else be involved with you in your development goals?

Interview 4 - Topic: Interaction of leadership, reflection and developmental issues

Question 1: People often use metaphors to capture succinctly complex ideas and situations. Does a suitable metaphor spring to mind which would characterise your school?

Question 2: Do you consider this to be an effective school? If so, in what respects?

Probe: What do you consider to be the school's main strengths?

Probe: What do you consider to be the school's main weaknesses?

Probe: What makes your school's 'effectiveness' unique?

Question 3: What has been one of the most challenging situations you have had to deal with as a head teacher?

Question 4: Do you have a process or strategy with which you approach problem solving?

Probe: Who do you include in your problem-solving activities?

Probe: Who are your confidants, generally?

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Question 5: Contrast your thinking that takes place during the school day, and your thinking about school that occurs off-site.

Probe: Do you feel that you are good at 'thinking on your feet'?

Question 6: Do you consider yourself to be a critical thinker?

Probe: What does that mean to you? How would you define critical thinking?

Probe: How has that affected your leadership?

Question 7: Do you find yourself consciously asking questions about your school's practice, values, or goals? What form do those questions take, are they overt or covert?

Probe: Do you feel it is important to encourage others to ask questions about practice, values, or goals? How do you do that?

Question 8: What hinders teacher development; including factors both at school or outside of school?

Question 9: What core values are you hoping to build in this school?

Question 10: Do you feel that there are aspects of your personality and/or personal interest that are 'rubbing off' on your school? If so, what are they?

Question 11: Do you perceive that there is a filter (grid, value system, goal system) through which you view your school?

Question 12: What must a head teacher be able to do above all else in order to succeed in the head ship?

HEADTEACHER INTERVIEWS (Main Study):

Interview 1 - Topic: Leadership (conceptualisation, development, application, direction)

Question 1: What do you perceive are a few of the important qualities or characteristics of an effective leader?

Question 2: Are there leaders, either in or out of education, that you see as models?

Probe: Are there leaders within your circle of professional colleagues that you have particular respect for?

Question 3: Do you see a difference between the activities of leadership and management?

Probe: Can you provide an example from your role that you consider a management activity?

Probe: Can you provide an example from your role that you consider a leadership activity?

Question 4: What roles have you held in your career that have prepared you for your current role as a head teacher?

Probe: Can you think of any events that you feel influenced how you think about leadership or who you are as a headteacher?

Question 5: Were there any individuals who were significant influences in your leadership development?

Probe: In what way did they influence you?

Question 6: Has your practice as a headteacher been influenced by government initiatives?

Probe: Look especially for influence of local management of schools, appraisal schemes, OFSTED inspections, and the national curriculum.

Question 7: Has your practice or thinking about being a headteacher been influenced or changed by working with this staff?

Probe: Influence of the governors?

Probe: Influence of the LEA?

Probe: Influence of headteacher colleagues?

Probe: Influence of professional organisations?

Question 8: In what ways do you sense you have grown as a school leader?

Question 9: Do you believe there are different styles of leadership?

Probe: If so, how would you describe your leadership style?

Question 10: Outline your leadership team/senior management team structure.

Probe: Who was involved in determining that structure?

Probe: Is there a rationale behind this structure?

Question 11: Do you feel the role of the headteacher will change in the years to come? If so, what will be the nature of those changes?

Probe: How do you feel about these changes?

Question 12: Is there anything to learn from business leadership theory?

Probe: Are business leadership models transferable?

Appendix 3-F

Interview 2 - Topic: Effective Teaching (reflective practice, practitioner research)

Question 1: In your opinion, what are the three most necessary qualities for effective teachers?

Probe: Do you feel that the necessary qualities for effective teaching are changing?

Question 2: Do you have thoughts on what has been termed, 'reflective practice'?

Probe: Do you feel it is important for teachers to be able to look critically at their practice?

Probe: How do you know when that kind of critical or reflective teaching is occurring at your school?

Question 3: Where have you encountered research, either formal research, or practitioner based research, such as action research?

Probe: Do you have any familiarity with any of the literature on reflective practice and practitioner research?

Question 4: Do you see the encouragement of a group of teachers being reflective and critically examining their own practice as being an important part of your job as a headteacher?

Probe: How do you communicate and share that interest?

Question 5: What part does school ethos play in teacher growth?

Probe: What part do you feel that you play in building the ethos of the school?

Question 6: Do you see a role for practitioner research in the school?

Probe: How is, or should, that be done?

Probe: Do you have staff involved in what you would describe as practitioner research? Describe.

Question 7: How do you, or other members of staff, encourage teachers to think about their teaching?

Probe: How is that communicated or shared?

Question 8: Do you feel your teachers generally make pedagogical decisions based on habit and past practice, or reasoned choice?

Probe: Where do you think the balance should lie between the two?

Question 9: Do you, or staff members, make use of practitioner research materials, such as those produced by the NPC?

Interview 3 - Topic: School, staff and headteacher development (school development planning)

Question 1: Has your school gone through a school development planning process?

Probe: If yes, when did it occur and describe the process.

Probe: Who was involved in the development planning?

Probe: What role did you play?

Probe: If no, describe and equivalent processes of self-study, or Oxfordshire evaluation.

Question 2: How will the school development plan be used in your school?

Probe: Was the process of development planning helpful? How?

Question 3: At the school level, what comprises an effective staff development programme?

Probe: If you were given an extra £10,000 strictly for staff development, how would you spend it?

Question 4: What staff development plans are in place for your school this year?

Probe: What has been accomplished to date, what remains?

Probe: Who has responsibility for your staff development planning? (delegated?)

Question 5: What priorities do you and your staff keep in mind when planning for staff development?

Probe: Is there a relation to an overall plan?

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Question 6: Have you had any inservice sessions that stand out in your mind as being particularly useful?

Probe: What made them useful, or not useful

Probe: Were those facilitated 'in house', or by outside consultants?

Question 7: How would you assess the level of participation in courses and inservice opportunities by the teachers at this school?

Probe: When a member of staff has been away on a course or for other inset purposes, do you ask anything of them when they return?

Probe: Can you think of any instances where teachers have brought back new insights that have initiated either some discussion or some thinking on the part of other staff?

Question 8: What hinders teacher development; including factors both at school or outside of school?

Question 9: Have you had a school inspection, or any other formal appraisal by LEA advisors or OFSTED inspectors?

Probe: When? Who conducted, how long did it take?

Probe: What were the results of the inspection?

Probe: What was your/staff reactions to the inspection process?

Probe: If not, concerns, views, or hopes for a potential inspection?

Question 10: What do you perceive as your role as headteacher in staff development?

Probe: Do you lead, or have you led inservice activities?

Question 11: Do you have an individual goal-setting meeting with any members of staff to discuss their professional growth?

Probe: How do you bring opportunities to their attention which might enhance growth?

Probe: Do you see appraisal as a teacher development tool?

Question 12: Are there various staff teams or groups working together on projects or goals?

Probe: Are these ad hoc alignments, or standing groups

Question 13: What are the professional development goals you have set for yourself?

Probe: How did you arrive at those goals?

Probe: What resources do you need to accomplish those goals?

Probe: Will anyone else be involved with you in your development goals?

Probe: Have you had an appraisal, if so, how did it influence your goal setting.

Interview 4 - Topic: Interaction of leadership, reflection and school development issues (school ethos, problem-solving, headteacher influence)

Question 1: Do you consider this to be an effective school? If so, in what respects?

Probe: What do you consider to be the school's main strengths?

Probe: What aspects or values of the school would you hope to build in the future?

Probe: Are you optimistic about the school's direction?

Question 2: What has been one of the most challenging situations you have had to deal with as a headteacher?

Question 3: Do you have a process or strategy with which you approach problem solving?

Probe: Who do you include in your problem-solving activities?

Probe: Do you feel that you are good at 'thinking on your feet'?

Probe: Who are your confidants, generally? How did these individuals come to be confidants?

Question 4: Do you consider yourself to be a critical thinker?

Probe: What does that mean to you? How would you define critical thinking?

Probe: How has that affected your actions as a headteacher?

Question 5: Contrast your thinking that takes place during the school day, and your thinking about school that occurs off-site.

Appendix 3-F

Question 6: Do you find yourself consciously asking questions about your school's practice, values, or goals? What form do those questions take, are they overt or covert?

Probe: Do you feel it is important to encourage others to ask questions about practice, values, or goals? How do you do that?

Question 7: Do you feel that there are aspects of your personality and/or personal interest that are 'rubbing off' on your school? If so, what are they?

Question 8: Do feel there is a tension between being directive (being seen as 'being in charge') and being facilitative?

Question 9: Is leadership more a matter of who you are than what you know?

Question 10: What are the aspects of 'pastoral care' that enter into the headship?

DEPUTY HEADTEACHER INTERVIEW SCHEDULE (Pilot & Main Study):

Question 1: ~~What would you describe to be the unique characteristics of this school?~~

Reword: What do you enjoy most about working at this school?

Probe: How would you describe the ethos of this school?

Question 2: What are your roles and responsibilities as deputy head?

Probe: How were your roles and responsibilities determined?

Probe: In what areas to you work jointly with the head?

New Probe: Are there any 'unofficial' roles you play that you feel are important?

Question 3: ~~What do you find to be some of the greatest challenges in school leadership?~~

Reword: What do you find to be some of the greatest challenges in the deputy headship?

Probe: How have governmental initiatives influenced your work, and/or the work of the school?

Question 4: ~~What are some of the important qualities or characteristics of an effective school leader?~~

Reword: What are some of the important qualities or characteristics of an effective headteacher?

Probe: Do you see an difference between the activities of leadership and management?

Question 5: In what aspects of the school have you seen the head's influence to be the greatest?

Question 6: In what ways is your leadership style different from the head's?

Question 7: How do you hope to affect the teaching that takes place in this school?

Question 8: ~~Do you have a view or opinion on what has been termed, 'reflective practice', or 'reflective teaching'?~~

Reword: What are your views on the subject of teachers thinking critically, and consistently evaluating their teaching?

Probe: What role to you hope to play in the nurture of reflection?

Probe: What role has the head played in nurturing reflection?

Probe: How do you, or other staff members, encourage teachers to think about their teaching?

Question 9: When does you find time to think about all of the issues that arise during the day or that are part of your responsibility?

TEACHER INTERVIEW SCHEDULE (Pilot & Main Study):

Question 1: ~~What would you describe to be the unique characteristics of this school?~~

reword: What do you enjoy most about working at this school?

Probe: How would you describe the ethos of this school?

Question 2: Are you aware of the school's goals and objectives?

Probe: What are they?

Probe: ~~What role did you play in identifying those goals and objectives?~~

New Probe: Who was involved in determining those goals and objectives?

Question 3: ~~What are the important qualities or characteristics of an effective school leader?~~

Reword: What are the important qualities or characteristics of an effective headteacher?

Question 4: In what aspects of the school have you seen the head's influence to be the greatest?

Question 5: Can you think of any ways that your head has encouraged you to think about your teaching or teaching in general?

Probe: Have there been others on staff who have also been influential in your thinking about teaching?

Question 6: Have you had to implement any new aspects of the curriculum in the last year?

Reword: Have there been aspects of the curriculum that you have found troublesome?

Probe: ~~How did you plan for that implementation?~~

Reword: How have dealt with that issue?

Probe: ~~How much did you rely on outside resources and how much on your own experience and initiative?~~

Reword: In making curriculum decisions, how much do you rely on outside resources and how much on your own experience and initiative?

Question 7: What, in your opinion, are the most helpful qualities of an inservice session?

Appendix 3-G: Repertory grid method - pilot plan

Stage I Pilot: Date of administration : 20.4.94

- 12 elements, 15 sorts
- Rank Order Analysis

>>> Interim Analysis <<<

Stage II Pilot: Date of administration: 11.5.94

- 18 elements, 20 sorts
- Split-half Analysis

>>> Interim Analysis <<<

Stage III Pilot: Date of administration: 17.5.94

- Modified form - 12 elements, 12 sorts
- Rating Analysis

>>> Final Analysis <<<

Final Form Trial: Date of administration: 7.6.95 (to pilot case study)

- 12 elements, 12 sorts
- Analysis method - Rating

>>> final adjustments to administration procedures<<<

Main Study administration:

- Headleymill: *Date of administration: 21.6.94*
- Warnerton: *Date of administration: 9.6.94*
- Arbridge: *Date of administration: 26.7..94*

Appendix 3-H: Headteacher interview category codingCONCEPTIONS OF LEADERSHIP[COL]

COL: Metaphors [MET]	COL-MET
COL: Decision Making (espoused theory) [DME]	COL-DME
COL: • plans for sharing leadership [SLP]	COL-DME-SLP
COL: • decision making style [ST]	COL-DME-ST
COL: Conception of role [COR]	COL-COR
COL: • issues of power & politics [PP]	COL-COR-PP
COL: • management functions [MGT]	COL-COR-MGT
COL: • instructional leadership [IL]	COL-COR-IL
COL: • leadership management differences [LMD]	COL-COR-LMD
COL: • facilitative role [FAC]	COL-COR-FAC
COL: • presentation of self [POS]	COL-COR-POS
COL: • human relations responsibility [HR]	COL-COR-HR
COL: • educational vision development [VIS]	COL-COR-VIS
COL: • perceptions of/value toward style [STY]	COL-COR-STY
COL: • shared leadership [SLD]	COL-COR-SLD
COL: Characteristics of school effectiveness [CSE]	COL-CSE
COL: • effective teaching [ET]	COL-CSE-ET
COL: • staff development [SD]	COL-CSE-SD
COL: Cognition in leadership [CIL]	COL-CIL
COL: • role of intuition [IR]	COL-CIL-IR
COL: • tacit knowledge [TK]	COL-CIL-TK
COL: • problem-solving [PS]	COL-CIL-PS
COL: • multiple foci of attention [MFA]	COL-CIL-MFA
COL: • description of mental organisation [DMO]	COL-CIL-DMO
COL: • attributes of reflection [AR]	COL-CIL-AR
COL: Personal Reflective episodes [PRE]	COL-PRE
COL: • espoused values [EV]	COL-PRE-EV
COL: • identity [IDT]	COL-PRE-IDT
COL: • person-centred orientation [PO]	COL-PRE-PO
COL: • motivation towards headship [ML]	COL-PRE-MH
COL: • perceptions of self [PS]	COL-PRE-PS
COL: • risk taking [RSK]	COL-PRE-RSK
COL: • effective leader/headship espoused value [ELH]	COL-PRE-ELH

FORCES/INFLUENCES ACTING UPON HEADTEACHER[FOH]

FOH: Influences/forces of a general nature [IFG]	FOH-IFG
FOH: • in-school forces [ISF]	FOH-IFG-ISF
FOH: • other colleagues (LEA, partnership, etc.) [OC]	FOH-IFG-OC
FOH: • personal influences [PIN]	FOH-IFG-PIN
FOH: Forces for change [FFC]	FOH-FFC
FOH: • others perceptions of/reactions to [PRC]	FOH-FFC-PRC
FOH: • societal change forces (non-govt.) [SCF]	FOH-FFC-SCF

Appendix 3-H

FOH:	Governmental change forces [GCF]	FOH-GCF
FOH:	• general governmental policy, DFE [GOV]	FOH-GCF-GOV
FOH:	• LMS [LMS]	FOH-GCF-LMS
FOH:	• other provisions of Ed. Acts [EDA]	FOH-GCF-EDA
FOH:	• marketisation [MK]	FOH-GCF-MK
FOH:	• OFSTED inspections [OFI]	FOH-GCF-OFI
FOH:	Models [MOD]	FOH-MOD
FOH:	• prior position holders [PPH]	FOH-MOD-PPH
FOH:	• other positions held [OPH]	FOH-MOD-OPH
FOH:	• other colleagues [COL]	FOH-MOD-COL
FOH:	• professional development activities[PDA]	FOH-MOD-PDA
FOH:	• other models (i.e. business) [OM]	FOH-MOD-OM
FOH:	Influence of reflective episodes [IRE]	FOH-IRE
FOH:	• conflict situations [CON]	FOH-IRE-CON
FOH:	• emergencies/crises [EM]	FOH-IRE-EM
FOH:	• job-related stress [JRS]	FOH-IRE-JRS
<u>HEADSHIP IN ACTION ON THE SCHOOL SITUATION</u>		<u>[HIA]</u>
HIA:	Leadership in action [LIA]	HIA-LIA
HIA:	• buffering function [BUF]	HIA-LIA-BUF
HIA:	• provision for effective practice [PFE]	HIA-LIA-PFE
HIA:	School ethos [SE]	HIA-SE
HIA:	• ethos building action [EB]	HIA-SE-EB
HIA:	• responsibility for ethos [RFE]	HIA-SE-RFE
HIA:	Change agent [CHA]	HIA-CHA
HIA:	• initiation of change [IC]	HIA-CHA-IC
HIA:	• change leading (modelling, etc.) [CL]	HIA-CHA-CL
HIA:	Decision-making (theory-in-action) [DMA]	HIA-DMA
HIA:	• participative structures [PAR]	HIA-DMA-PAR
HIA:	• unilateral decision-making [UNI]	HIA-DMA-UNI
HIA:	School development planning [SDP]	HIA-SDP
HIA:	• reporting building on past [PAS]	HIA-SDP-PAS
HIA:	• planning for the future [FUT]	HIA-SDP-FUT
HIA:	• INSET [INS]	HIA-SDP-INS
HIA:	Extra-school action [ESA]	HIA-ESA
HIA:	• partnership action [PA]	HIA-ESA-PA
HIA:	• LEA other [LEA]	HIA-ESA-LEA
HIA:	• professional affiliations [AFF]	HIA-ESA-AFF
HIA:	Initiating reflection [IRF]	HIA-IRF
HIA:	• amongst teachers [TE]	HIA-IRF-TE
HIA:	• amongst others (parents, colleagues) [AO]	HIA-IRF-AO
<u>OTHER CODES</u>		
PZQ:	Puzzles/Queries [PZQ]	PZQ

Appendix 3-I: Code frequency by case

CODE	ARBRIDGE	WARNERTON	HEADLEYMILL
COL-MET	3	2	0
COL: Decision Making (espoused theory) [DME]			
COL-DME			
COL-DME-SLP	1	1	2
COL-DME-ST	1	6	1
COL: Conception of role [COR]			
COL-COR			
COL-COR-PP	5	1	13
COL-COR-MGT	1	1	1
COL-COR-IL	2	2	5
COL-COR-LMD	9	2	13
COL-COR-FAC	6	2	7
COL-COR-POS	1	3	12
COL-COR-HR	2	5	12
COL-COR-VIS	4	5	4
COL-COR-STY	3	1	11
COL-COR-SLD	2	8	6
COL: Characteristics of school effectiveness [CSE]			
COL-CSE			
COL-CSE-ET	4	16	13
COL-CSE-SD	1	4	5
COL: Cognition in leadership [CIL]			
COL-CIL			
COL-CIL-IR	1	0	9
COL-CIL-TK	0	1	0
COL-CIL-PS	2	4	1
COL-CIL-MFA	0	1	7
COL-CIL-DMO	1	2	6
COL-CIL-AR	6	7	13
COL: Personal Reflective episodes [PRE]			
COL-PRE			
COL-PRE-EV	4	2	13
COL-PRE-IDT	0	1	6
COL-PRE-PO	2	1	6
COL-PRE-MH	3	0	3
COL-PRE-PS	3	1	5
COL-PRE-RSK	0	7	0
COL-PRE-ELH	12	13	8

Appendix 3-I

CODE	ARBRIDGE	WARNERTON	HEADLEYMILL
FOH: Influences/forces of a general nature [IFG]			FOH-IFG
FOH-IFG-ISF	2	9	8
FOH-IFG-OC	4	8	3
FOH-IFG-PIN	1	1	3
FOH: Forces for change [FFC]			FOH-FFC
FOH-FFC-PRC	0	1	2
FOH-FFC-SCF	2	1	9
FOH: Governmental change forces [GCF]			FOH-GCF
FOH-GCF-GOV	2	5	5
FOH-GCF-LMS	4	5	5
FOH-GCF-EDA	3	6	5
FOH-GCF-MK	0	1	2
FOH-GCF-OFI	5	12	4
FOH: Models [MOD]			FOH-MOD
FOH-MOD-PPH	4	2	2
FOH-MOD-OPH	4	1	11
FOH-MOD-COL	2	3	4
FOH-MOD-PDA	0	3	12
FOH-MOD-OM	1	2	8
FOH: Influence of reflective episodes [IRE]			FOH-IRE
FOH-IRE-CON	0	3	1
FOH-IRE-EM	0	1	1
FOH-IRE-JRS	1	4	8
HIA: Leadership in action [LIA]			HIA-LIA
HIA-LIA-BUF	0	7	4
HIA-LIA-PFE	4	7	5
HIA: School ethos [SE]			HIA-SE
HIA-SE-EB	3	1	6
HIA-SE-RFE	2	2	8
HIA: Change agent [CHA]			HIA-CHA
HIA-CHA-IC	3	1	15
HIA-CHA-CL	1	1	2

Appendix 3-I

CODE	ARBRIDGE	WARNERTON	HEADLEYMILL
HIA: Decision-making (theory-in-action) [DMA]			HIA-DMA
HIA-DMA-PAR	9	5	12
HIA-DMA-UNI	1	1	5
HIA: School development planning [SDP]			HIA-SDP
HIA-SDP-PAS	1	6	2
HIA-SDP-FUT	2	7	8
HIA-SDP-INS	5	1	4
HIA: Extra-school action [ESA]			HIA-ESA
HIA-ESA-PA	4	1	0
HIA-ESA-LEA	0	0	0
HIA-ESA-AFF	0	0	1
HIA: Initiating reflection [IRF]			HIA-IRF
HIA-IRF-TE	1	9	15
HIA-IRF-AO	0	0	1
PZQ: Puzzles/Queries [PZQ]			PZQ
PZQ	0	0	1

Appendix 4-A: Deputy headteacher interview summary (Arbridge)

Question	Summary of responses
<i>1. Unique characteristics of school; school ethos, enjoyable aspects</i>	good relationships with parents; children; nice whole community involvement; staff get on very, very well; (the school) seems to engender the environment that the children feel safe and secure; accepting ethos; open caring environment
<i>2. Roles and responsibilities as deputy head</i>	has changed dramatically since the ERA of '88; [school development plan]; member of senior management group; just being seen to be seen; supporting head and... colleagues in other ways; encouraging staff; classroom teaching; communication link from staff to head
<i>3. Greatest challenges in school leadership (especially as relates to deputy role)</i>	can't be expert in every area of the curriculum; teaching full time and reading new documents that come through; budgetary requirements; head of large schools could... be portrayed at the managing director and the deputy as the chief executive; we're now supposed to be experts in everything; whether you want education to be curriculum led or budgetary led; National Curriculum
<i>4. Important qualities or characteristics of an effective school leader</i>	a lot of tolerance; working with colleagues in a collaborative way; involve staff in decision-making; to be seen; more open... to actually care for children; the ability to cajole people; to be aware not to make too excessive demands on teachers; involving everyone in the whole life of the school
<i>4a. Differences between leadership and management</i>	managing is actually managing the day to day running of the base; [leadership] to be able to be seen to lead the school forward, in a very coherent manner... to be able to carry people with you
<i>5. Head teacher's influence in the school</i>	change; his whole thing is the change and the ethos of the school
<i>6. Difference in deputy and head teacher leadership styles</i>	maintaining the perspective of a class teacher in a large school when non-teaching heads become further... removed from the day to day workings and demands of managing a large class
<i>7. Deputy's affect on teaching in the school</i>	(availability to staff to discuss curriculum concerns)
<i>8. Views on 'reflective practice'</i>	always evaluating, always reflecting
<i>9. Deputy's reflective time</i>	mostly in bed at night; holidays; easier when didn't have a classroom commitment

Appendix 4-B: Teacher interview summary (Arbridge)

Question	Response - Teacher 1	Response - Teacher 2	Response - Teacher 3
1. a. <i>Enjoyable aspects of school; ethos</i>	the children; team work of the school; support from colleagues; sharing of resources and ideas; support with challenging situations; mentor when NQT; friendly school, generous in term of ideas and resources; relaxed atmosphere, but everybody is working incredible hard; thorough planning; demanding atmosphere, but not in a negative way; collegial planning team	staff, fun to be with; supportive ethos, everyone is very aware of helping each other out; everyone is approachable; you're actually actively encouraged to go talk to people all the time about what you're doing	the kids; the staff; child-centred ethos; collegial atmosphere
1. b. <i>Reactions to appraisal</i>	n/a	found it daunting; it was done by an external advisor from the county... that was quite worrying... you knew he was going to come in and sit and watch you; (on peer appraisal) it's very difficult to have someone who is from your peer group... judging you and your performance; In effect, all it did was make me focus on that one thing for two weeks, rather than everything else... so, I really didn't find that I benefited from it	main benefit is time to discuss what you're doing; extended, committed time; can be beneficial for both appraiser and appraisee
2. <i>School's goals and objectives</i>	not as aware when first arrived; just beginning to understand them and take them on board; policies are designed in working groups, the curriculum areas; built from a consultative process	really, it's[development plan information] fed to us from a team; I think it's important to know what the rest of the school is doing... I think you need to know for progression's sake	most familiar with own curriculum area; school development plan has taken up far too much time
3. <i>Important qualities or characteristics of an effective head teacher</i>	offer you the opportunity to try things, and realises that they won't always work, or be as effective; approachable, someone you can talk to and you know they're actually listening... interested, and will do something about a problem; treat you as a professional; gives you responsibility when you're ready for it, but not demanding it too soon; a PR man; someone who knows the curriculum; a man of all trades	have to be approachable; we all feel that if a problem arose in the classroom, that he will back us... that's important to know that we're going to get his support	somebody you can talk to; have confidence in, in situations where you wouldn't feel so confident yourself; always backs staff with parents; values what people do; shares responsibility; delegates and leaves you to do it

Appendix 4-B

<i>4. Influence of head teacher on school</i>	energy to get things moving; keen promoter of the school; way he deals with parents and talks to children and emphasises those aspects to staff; school development planning; getting the right people to do the jobs, delegating; created a relaxed atmosphere where people can talk to each other; creates a condition where you can admit you don't know all	<i>has delegated curriculum planning</i> ; always involved in parent activities; involved in trips away with the children; it's more... the atmosphere of the school, rather than the curriculum; doesn't really have anything to do with what we do on a day to day basis in the classroom; very open with visitors	involving parents more, opening up the school, bringing it to life, making children important; making school a nice place for children, establishing child-centred ethos
<i>5.a. Headteacher's encouragement to think about own teaching</i>	you can experiment more, as a professional you take the best from that and develop it the next time; providing time to look at other schools	always ready for us to go on courses; he's very keen for us to keep up-to-date (sent me on courses) by that made me think beyond my classroom to wider things and that's woke me up to the progression... he changed my attitude there	indirectly through inset, highlighting things in the school that he thinks are good
<i>5.b. Others' encouragement to thinking about own teaching</i>	similar strengths noted in mentor, team, curriculum co-ordinators	influence of colleague in first two years of teaching; I've definitely found that I am not afraid to approach other people, I am much happier going to someone I know... and saying, 'I need help.' The school is set up to actively encourage that	colleagues and Open University course
<i>6.a. Difficult curriculum issues</i>	scope of curriculum as an NQT	music, as a non-musical person	weighting on some curriculum areas; technology hard
<i>6.b. Resources for making curriculum decisions</i>	experience seen as the most important resource; other colleagues	most of this year has been run on what worked last year... next year it will change again; I think it's probably mostly experience, and what has worked before	planning for curriculum happens across school; a lot of it's down to experience
<i>7. Helpful qualities of an inservice session</i>	if the participants leave more confident; doing versus talking	depends on the reason why you go... if the course doesn't meet that specific reason, then it was a complete waste of time going	geared towards teachers being able to develop their own schemes of work; things to use immediately
	Interview date: 16.6.94	Interview date: 15.6.95	Interview date: 16.6.95

Appendix 4-C: Arbridge field report

Arbridge Field Schedule

Date	Hours	Primary activity
14.4.94	1.0	initial planning
19.4.94	1.5	observation/staff meeting
20.4.94	3.0	interview
21.4.94	4.0	shadowing
28.4.95	2.0	interview
3.5.94	6.0	interview, observation
4.5.94	1.5	observation/governors meeting
18.5.94	1.5	interview
20.5.94	1.5	observation/interview
23.5.94	1.25	interview
24.5.94	.5	interview scheduling
6.6.94	1.25	deputy interview
9.6.94	1.25	teacher interview
15.6.94	5.5	shadowing, teacher interview
16.6.94	1.0	teacher interview
28.6.94	2.0	interview
5.7.94	4.0	observation, interview
6.7.94	1.5	observation meeting
19.7.94	1.25	interview
26.7.94	1.5	rep. grid
17.1.95	1.5	re-interview
Total Hours	44.5	

Documents Reviewed: Arbridge

School Brochure
Governors' Minutes
School Development Plan
Head Teacher Folders (meeting agendas, financial plans, action plans, bids)
Paper on nursery education written by the head teacher
Staff meeting Minutes
1993 OFSTED Inspection Report

Appendix 4-D: Constructs elicited (Miller/Arbridge)

Sort	Emergent Construct	Contrast Pole
1	Deeper and clearer understanding of curriculum issues and are better equipped to explain them in a logical way	Can contain children, entertain, but not necessarily understand the process behind educational development
2	Greater empathy with personal issues in schools; more personal involvement	Not having a close association ¹
3	Experience, <i>learned from prior experience</i> , background experience	Not as capable of learning from experience
4	<i>An ability to put oneself in another's shoes</i> ; understanding and sympathy of another's experience	<i>Not as able to see another's role.</i>
5	Organised in thinking and planning	disorganised
6	lacking clear purpose, thought, ability to organise	intelligent, clear thinking, wider view, better perception of whole continuity
7	Strength of character, <i>ability to handle the confrontation that comes with responsibility</i>	avoids situations where conflict or self confidence is at risk
8	Tolerant, smooth over rough parts with people	self-assertive, wilful, <i>short with people</i>
9	Are able to organise large events, organisational skills, detail planning	<i>not thinking through, disorganised</i>
10	better organised, plan with a clear plan-goal in mind	disorganised
11	closer bond to the organisation, see in terms of a professional team	keep themselves outside the team
12	able to make decisions that affect people with confidence, have a tough edge	maintain a soft edge in decisions about people

N.B. Constructs in *italics* were suggested by the interviewer and agreed meaning from the interviewee

bold indicates the elements matched for the construct

¹ Construct is largely due to role in school, immediate attachment.

Appendix 4-E: Summary of teacher questionnaire (Arbridge)

1. What do you see as this school's greatest strengths?

The school has a happy atmosphere with good staff/staff and staff/parent relationships. It is a welcoming school.

Friendly atmosphere, willingness to share ideas. Collegiate approach to curriculum development and school plan.

Working as a team, supporting one another. Close links with parents. A caring environment.

Forward thinking. Respect for other colleagues as professionals. "Team spirit" within year groups and as a staff. Welcoming atmosphere. Links with parents.

Strong links with parents. Good atmosphere amongst staff. Good leadership. Motivated children/teachers.

Dedicated staff. Flexibility of staff.

2. In what areas do you feel this school needs to grow?

More release time to observe other teachers.

Lines of communication between areas of the school need to be developed so that we begin to feel as one rather than separate units.

More consistent use of resources- staff and monetary - greater consideration of pupils' needs (i.e. is it fair to move staff to unfamiliar areas just to give them experience for career development even if it is not in the best interests of the children).

Involving larger number of staff in management and planning issues. Focused planning of topic work given the restrictions of curriculum demands, resources, time etc. Sharing of subject expertise within the staff. Assessment -formative particularly.

Tighter organisation and better communication between year groups.

We need to spread specific curriculum expertise evenly across the school over period of years.

3. How would you describe your head teacher's leadership style?

Usually clear. He rarely makes decisions without consulting members of staff Usually invites comments / suggestions but when he is following a line that others are not willing to follow, he does on occasions 'dictate' and there is no further discussion (very rarely, so rarely that when it does happen, you remember it)

Fairly autocratic though couched in a friendly exterior.

One which has a clearly held direction and positively followed with him as the leader.

Figure head in school and within county. Chooses to delegate much of the management and planning to senior staff. Strength is in ability to relate to people - staff and parents. Communicates well on 1-1 basis but not a "born communicator".

Even handed, respectful, generous, fairly organised, not afraid to take awkward decisions, strong leader.

Generally- through delegation to a few members of the senior management team. Sometimes hectic which leads to the head being autocratic. The head tries to make himself available to everyone at any time which can lead to frustrations amongst staff whose appointments are cancelled or frequently interrupted.

4. What are the important issues/activities that a school's management structure (head, deputy, governors, 'management team', etc.) should address?

New N.C. draft proposals. Staff development. Finances- implications for school/ children.
Environment- when will we get our extension?

- i) Development of a communication system between staff which keep all fully informed.
- ii) Greater initial consultation involving the whole staff to allow decisions to be formed by the senior staff/ governors which is not only informed but also carries the current thinking/ feelings of the school as a whole.

School Development Plan encompassing:-
financial basis- budgeting, allocation of budgets, etc., resourcing
staffing- placements, responsibilities pastoral and curriculum, professional development of staff
curriculum offered in school- inc. planning/ assessment etc.
home school links inc. governors, play groups, secondary schools, parents...
buildings and site.

Ensure an environment where both pupil and teacher feels secure, happy and valued.

Communication. Continuity/ progression. Adapting to changes. Budget. Future nos. Image.

Continuity (curriculum). Career development (opportunities). Finance. Home/ school links.

5. What has your headteacher done that has enabled or encouraged your professional growth in the last year?

Encouraged me, given me responsibility, made me feel that my opinions are valued. Given me time to develop my own interests (in area of school). Taken my advice when discussing my 'area' of education in this school.

We have talked about possible career development. Head encouraged experience in other year groups.

Increased my profile within senior management group.
Involved me in more management issues.
Enabled me to go on 20 day Geography course.

Given me the chance to move from part time to full time to get experience of infant class teaching (though this arose

Frequent meetings to discuss a variety of issues particularly vision for coming years and my part in that. Release for training, working with colleagues.

Responsibility for new developments in the school has been placed under my guidance.

6. What professional development activities (courses, collegial planning, extra school responsibilities, degree work, etc.) do you participate in, or plan to?

School Development Plan Group. Senior Management Group. Governors ... [sub?] -group on Curriculum. History/ Geography Co-ordinator + co-ordinator of Humanities working group.
R/Y1 Team meetings.

Inset co-ordinator. Assessment/ Profiling co-ordinator. Senior Management Team.

Any Oxfordshire ...[Maths Team courses I feel I need to attend?]. Co-ordinator for ...[Maths?].
Member of management team. Area ...[Maths?] Group meetings.

None.

Delivery of Inservice for specific curriculum area. School development plan meetings. Working party- allied to in-service- for development of a scheme of work. Twilight and day courses allied to curric. area.

Co-ordinate R.E. Working in a Maths working group planning a Scheme of Work.

**7. What, in your opinion, are the hallmarks of an effective teacher?
(name up to 5)**

- i) Good interpersonal relationships.
- ii) A confident approach to discipline.
- iii) Patience/ tolerance.
- iv) Clarity of expression/ communication.

Good communication.
Clear planning
Good organisation.
Flexibility.
Dedication to whole school.

- 1) Comprehensive planning.
- 2) Differentiation.
- 3) Flexibility.
- 4) Awareness of current thinking/ ...[research etc.- overview ?]
- 5) Evaluation of practice.

Effective communication skills.
Reliability.
Ability to work with colleagues (team work).
Understanding of the curriculum.
Careful planning/ organisation.

Cares for children.
Can maintain good discipline.
Is prepared to put effort into the work.
Can get along with people- other staff and parents.

Ability to:- communicate
organise
manage
differentiate
assess.

8. What role does intuition and/or critical thinking play in your teaching?

It is vital in understanding the individual needs of children and relating to them at an appropriate level.

Important! They are complimentary and essential in practice in order to be able to adapt to the many and varied demands of the job. Intuition helps when dealing with people- how they are feeling? etc. Critical thinking necessary for improving practice- why didn't that work?

Never thought about it.

Intuition plays a major part but is informed by experience and critical reflection...

An important part, but it is built upon past experiences.

Many years of teaching- rely on intuition quite often but not in isolation. Flexible planning is vital. Too tight and the children don't receive the best you have to offer.

9. *In what area do you feel the greatest pressure or stress as a teacher?*

The demands of the National Curriculum- finding time to cover all areas while ensuring that the children have a good grounding of the basics-Reading, Writing, Maths.

Demands placed upon us by legislation has meant that we are expected to be accountable, to be open, to meet the needs of each individual and their parents etc. Usually such pressure is minimal but it can be overwhelming particularly when you can't seem to please anyone!

Paperwork.

Meetings.

Wanting to do the best by a large number of children- meeting all their individual needs.

i) Paper work additional to the teaching commitments.

ii) Form filling!!

iii) Never any opportunity to withdraw/ relax from the pressure of the pupils- no 'free' marking time.

Outside the classroom! All the paperwork the Gov. is forcing upon us. Having to write down in detail the things we have been doing 'intuitively' for years. And the Gov. changing its mind so often an all NC areas.

Workload.

Questionnaire Statistics:

Number of questionnaires distributed	17
Number of questionnaires returned	6
Percentage returned	35%
Years of experience:	
0-2	
3-5	1
5-10	2
10-15	
>15	3
No response	
Current teaching assignment:	
reception/years 1 and/or 2	3
year 3 and/or 4	2
year 5 and/or 6	1
other	
No response	

- Notes:
- Order of respondents has been changed for each question.
 - [brackets] indicate note added by researcher, or unclear term.
 - If a respondent left a question blank, this is indicated [no-response]

Appendix 5-A: Deputy headteacher interview summary (Warnerton)

Question	Response
1. Unique characteristics of school; school ethos, enjoyable aspects	Being a teacher of the children; teamwork aspect, as well as ability to make your own mark; support from the head, and through the team structure
2. Roles and responsibilities as deputy head	first a full-time class teacher; age group co-ordinator; curriculum leader for science; deputising for the head; senior staff; joint aspects with head-staffing, liaising with governors; leading by example in the classroom
3. Greatest challenges in school leadership (especially as relates to deputy role)	Keeping a full-time class going; multiplicity of jobs; continuing to lead by example
4. Important qualities or characteristics of an effective school leader	Leading by example; knowing the children; ability to facilitate in every way possible the environment of the teacher, to assist and support; managing budget and resources to enhance the teachers' job; keeping up staff morale; setting limits around what the school will take on
4a. Differences between leadership and management	managers work is in the background, could be a faceless person; leaders are the opposite, a respected person who people know; doesn't see a separate role for the primary head, need to implement LMS and know what happens in the classroom
5. Head teacher's influence in the school	personal contact with children; corrects children in a positive manner; subtle influence based on relationships; influence with staff by taking interest in them; a head that is seen; hand's-on style
6. Difference in deputy and head teacher leadership styles	(answered as if deputy were a head) would take less time involving absolutely everyone in decision making; would seek a quicker means in a balanced manner
7. Deputy's affect on teaching in the school	eliciting opinions widely from affected parties; making sure teachers question what is being asked of them
8. Views on 'reflective practice'	sees appraisal as one means of influencing reflection;
9. Deputy's reflective time	weekends, usually

Date of interview: 6.5.94

Appendix 5-B: Teacher interview summaries (Warnerton)

Question	Response - Teacher 1	Response - Teacher 2	Response - Teacher 3
1. a. Enjoyable aspects of school; ethos	Head's priority is people within the school; head's gentle, enabling, leadership style; head runs the school very well; head takes genuine interest in people; We... decide what initiatives that <u>we</u> want to take, and we've actually got the freedom to do that, and yet we've got the support of (head) because, he likes to see developments, he likes to see things moving on and not just being very static; you get lots of encouragement to try things out, to have a go at things; school is constantly moving forward; friendliness of children and staff; very open... place to work; partnerships in every direction	level of support from everybody; willing to help at any time; the children; ethos is caring, genuine care; collegiality especially amongst department	friendliness of staff, parents, children; organisation from the top, clearly defined job goals; open, caring ethos; social skills of the children are advanced; staff collegiality, especially amongst year group; sharing work and planning as a department; comfortable work environment; caring, family ethos
1.b. Reactions to appraisal	negotiated with head; head had suggested one goal from two areas of responsibility; he left it very much up to me to say what I wanted to be appraised on; still underway.	helpful to be able to choose appraisal targets, one a strength and one where you are not so confident; two people see things completely differently; sometimes we're not very good at stepping back from ourselves and seeing what we actually do.	finds self-selection of the topic of appraisal to be good
2. School's goals and objectives	main ones are that the children are literate and articulate; spend each day together in laughter, learning and love; we want the children to be happy and confident and to find things that they are going to need, to do things that they're going to need in later life, but also to find things that they enjoy doing, which are going to equip... to find their own strengths; although developed collegially, there is the head's imprint on it	providing similar opportunities for children; caring environment; offering as much as you can to allow them to blossom and fulfil their own potential	The 3 'Ls' stands out [laughter, learning, love]; valuing children as individuals; family approach
3. Important qualities or characteristics of an effective head teacher	someone who's available; he's very approachable; he does negotiate, and he's involved; he knows people, he's a very good people person; a good teacher in his own right; he's actually very good at [knowing] what makes his staff tick, and to a certain extent how to deal with parents	fair, balances the workload for everyone; prepared to listen; strength of character	leading by example; total commitment to the school; cool and calm approach to people, responds consistently; not wasting time

Appendix 5-B

Question	Response - Teacher 1	Response - Teacher 2	Response - Teacher 3
4. Influence of head teacher on school	I think it's very much his school... and this school shares his personality; because he's very supportive and wants to be in the thick of things, at times he's had problems with delegating. He wants to be there, and he wants to be involved in everything because he feels that he should be, not because he's trying to make it go the way he wants it to go; with individual children, if there's a problem, he doesn't leave people on their own to sort it out; he wants to be in there fighting with you; people on the staff feel that he's on our side, even in little things; don't think he'd ever try and impose things that he knew nobody wanted to do; he's not telling us what to do, he's negotiating with us; I can't think of any situation in school that he's actually not directly part of; He gives a lot of himself to the school.	very much involved in everything; leads by example; strength, capable; a very firm leader, but not an unapproachable one; approachable and caring; 'family' feel of the school comes from the head	head lives the job, works harder than anyone; influential at staff meetings; social sort of person
5.a. Headteacher's encouragement to think about own teaching	He's definitely an enabling head. He wants people to go on courses and develop their own profession; he provides opportunities; he tailors positions to people; he's very encouraging if you come up with ideas	regular meetings in NQT year; choice of problem focus was with teacher; support in thinking through how to handle difficult situations in the classroom	providing the opportunity to go on a course
5.b. Others' encouragement to thinking about own teaching	working alongside somebody who is an excellent practitioner; former staff member who encouraged people to say how they felt	partner teacher helpful in areas of curriculum that are her expertise, balance of another's view; other staff always willing to offer ideas in regular conversation in staff room	
6.a. Difficult curriculum issues	fitting it all in; time for all aspects of the curriculum; loss of flexibility; (personally) science and technology	art; planning the curriculum; balancing student, team, and National Curriculum interests; number of meetings that need to occur; administrative requirements of the curriculum	meeting the needs of differing student abilities within the constraints of the National Curriculum; appropriateness of some portions of the curriculum with infants
6.b. Resources for making curriculum decisions	balance of interest and expertise;	government legislation and the National Curriculum balanced with school planning; experience of what worked decides what stays in the plans	own experience; ability to bring in other resources; other curriculum co-ordinators
7. Helpful qualities of an inservice session	It's got to be something that everybody sees a need for, rather than somebody saying, 'It's about time we did music, let's do music.' It has to be something that we know that we want to do; we don't need to be lectured; active	hand-on; being talked at, or read to not helpful; bright, practical ideas that you can go and try; useful and practical	fun, lively and practical with ideas that you can take back to your classroom and use right away; day sessions work better than after school
	Interview date: 11.5.94	Interview date: 12.5.94	Interview date: 13.5.94

Appendix 5-C: Field report (Warnerton)

Warnerton Field Schedule:

Date	Hours	Primary activity
7.3.94	1:00	planning interview
10.3.94	:45	site visit
14.3.94	7:45	interview, meeting observation
15.3.94	6:00	interview, staff meeting
16.3.94	2:15	governors' sub-committee mtg.
17.3.94	3:45	document analysis
24.3.94	1:30	interview
19.4.94	4:00	interview
26.4.94	2:30	observation
27.4.94	2:30	interview
4.5.94	5:30	interview, meeting observation
6.5.94	1:30	deputy interview
11.5.94	5:30	interview, teacher interview
12.5.94	1:30	teacher interview
13.5.94	1:45	teacher interview
16.5.94	1:00	observation
23.5.94	2:00	document analysis
Total Hours	50.75	

Documents Reviewed: Warnerton

School Prospectus
1987 HMI inspection report
1981 - Four-yearly evaluation
School log book
Governors' Finance sub-committee meeting notes and minutes
M.A. dissertation/study of school
1990 School Evaluation
Open University course material/using school as a resource management model
Head teacher appraisal
Staff Handbook/curriculum file
School Development Plan (draft)
Governors' Notes and minutes (head's copy)
Head teacher's document: Aims of Classroom Organisation
Head teacher's document: Primary Education
Oxfordshire L&A meeting notes

Appendix 5-D: Constructs elicited (Kline/Warnerton)

Sort	Emergent Construct	Contrast Pole
1	comfortable putting forward their own views	reticent, keep ideas to self
2	clarity of vision for education, personal vision matching a global vision	does what their told, picks up the latest fad, not matching practice to any belief
3	underlying care for people	lack of care for people
4	time management, ability to set boundaries to time commitments	inability, or reticence to set boundaries on one's time commitments
5	good with adults and a desire to help	not good with adults, unwilling to help
6	work with a high level of modesty in terms of their own worth; lack of being over-bearing	persons very much 'full of themselves'; very domineering, tread on peoples' feet at times
7	² seek to find common ground in the most polarised situation	inability to not be controlled/ dominated by particular factors in polarised situations
8	³ the ability to come to a quick decision and live with it	agonise over decisions too long
9	understanding of children's needs in teaching and planning	lack of understanding of children's needs in teaching and planning
10	⁴ willing to volunteer to help and support others either individual or groups	reticent to help and support others, would need persuading
11	don't express a willingness to take a lead in groups	willing to take a lead in groups
12	having high expectations of themselves and others	laissez faire in respect to self expectations

Date of administration: 9.6.94

² Respondent indicated that this one was hard; first suggested non-permeable construct of 'head teacher'.

³ Extended pause in offering construct (1:50)

⁴ Asks if constructs can be repeated. "I find it more difficult as I go through." Pause (2:35)

Appendix 5-E: Summary of teacher questionnaire (Warnerton)

1. What do you see as this school's greatest strengths?

A highly motivated and committed staff; good community links

The staff—they are very 'together.'

Leadership—Headteacher; caring atmosphere, pupils & adults alike; Its overall high standard & expectations.

STAFF—very supportive, helpful and friendly; LSA's, Special Needs support good; well-resourced, including artefacts; Generally, the school has a caring atmosphere. The welfare of the children is central.

1. A "caring" well organised head;
2. A group of committed teachers who work well together
3. A well-cared-for & stimulating environment

Lively, committed staff – excellent resources

teamwork; Wide variety of strengths/interests in curriculum areas; positive attitude & atmosphere—friendly; Care, concern & support of management and staff; hard working ethos; beautifully maintained environment; enthusiastic children!; No 'barriers' between governors, teachers, ancillary support

partnership teaching; a lively staff; a friendly working environment; the approachability of 'senior' staff; a very strong head—absolutely committed to the school.

High aims in all aspects—; Forward thinking; Strong motivation—both adults & children; Teamwork

Team work of staff; Contribution by governors

Dedication of staff; Community spirit "one large family"; Very supportive and caring atmosphere; Vastness of curriculum strengths & expertise helps ensure that children are offered a broad balance of opportunities.

Governors, staff and parents work well together for the good of the school—; head teacher is a good manager (of people and money); good ethos—feeling of a 'School Family'

Leadership of headteacher; Co-operation and teamwork through a series of interlinking structures—teaching pairs, age groups, curriculum teams; communication and 'openness' with parents; Quality, provision & use of resources (good budgeting)—including relatively generous provision of non-contact time for all staff (not common).

The Head; The staff—whole team—teachers & ancillaries & N.C.S. & Special needs & caretaking & secretarial etc.; Its ethos of all working together—staff(all staff, not just teachers)/children/parents; Its friendly & welcoming atmosphere; Openness to new ideas & willingness to innovate & be in the forefront of new developments.

well resourced (staff/L.S.A./equipment) as a result of careful financial management; co-operation of staff (i.e. working in co-operative partnerships, sharing ideas/children).

Working together as a team; sharing the same ethos.

sense of community for both children and staff; well resourced; pleasant atmosphere

2. In what areas do you feel this school needs to grow?

Increasing links with the community?

Don't know

The School Development Plan is "ongoing" and it taking the school forward.

Management of large groups of children in the hall is detrimental to discipline and ethos—most assemblies start with negative behavioural/noticeboard items. Shorter, formative assemblies.

1. Greater cultural awareness.

A 'user-friendly' as well as effective profile system for recording children's work—the one we have is not an easily manageable process.

Special Needs (time & resources)—this is happening now.

Links between age ranges; Support for new teachers.

[no-response]

music

[no-response]

Communication – as the school's increased in size so communication has become increasingly complex—its all too easy to assume everybody's aware of something just because we know it ourselves.

*At present the school is growing both in staff & pupil numbers. Communication can be a problem as there are so many channels & avenues to be covered.
i.e. better modes of communication.

head -->	Head of	--->	Area meetings	--->	L.S.A's
	Infants	--->	"	--->	"
	Lwr Jnr	--->	"	--->	"
	Upper Junr	---->	"	--->	"

*Maintaining current levels of resourcing

Using the network of consultants more effectively; Raising the level of communication across the staff.

[no-response]

Greater links with the secondary school on the same campus; More provision (financial and otherwise) for experts from outside to work in the school, e.g. artists, writers etc.

Some curriculum areas --> eg Maths/Science but they are growing; Perhaps some 'technical' content in INSET on how [children] learn etc.

3. How would you describe your headteacher's leadership style?

Usually sensitive – tries to consult wherever possible and inclines towards democracy (to quote a past 13 year old pupil "Democracy is where you can have what you want 'till the leader wants something different"!)' Sometimes the Head "switches off" when listening; He can transmit his own anxiety sometimes which makes staff edgy.

Oversees all areas; Divides up responsibility; Involves all staff in whole school issues; A strong but fair leader; approachable—prepared to listen

Appendix 5-E

[Head] tries to show a collegial approach. However, with a staff this size it is almost impossible to achieve collegiality without some form of political 'bargaining' coming into play. A strong leadership style, but very supportive of individual staff.

He has high expectations for all staff; Supportive. Caring (can be approached); Does discuss/liaise. friendly and supportive

Firm, strong; Has a clear [site] of the aims he is trying to achieve; Leads by example—expects staff to work hard and works hard himself.

leads from the front; involves staff in discussions but decides what needs to be done without spending a long time talking about it; leads with obvious care and concern.

Leading by example – 'hands on'; [collegant]—wanting all to share in the decision process (although still wanting to retain the final say); –valuing all peoples ideas.

Benevolent; Gentle; Enthusiastic; Responsive; He builds on strengths & encourages new skills to develop; Supportive; Encouraging; Consultative

--> Open; --> delegates responsibilities through Area co-ordinators Inf/L.Jnr/U.Jnr & curriculum co-ordinators.

On the whole very democratic but there are undercurrents of micropolitics at work in as much as an appearance of collegiality exists but the direction a decision needs to go is clearly pointed out. We always know what the head desires. As we tend to share the same [ethos] we desire it also. The leadership is effective because we feel part of the decision making process. I think it also makes a difference that our head is a likeable person.

generally supportive but can subtly persuade people to his way of thinking; good people manager.

A caring, religious man who thinks of the children, parents and staff as an extended family. Leadership style is one of negotiation not confrontation, occasionally 'backing away' from on awkward situation.

Informal but he has vision. He knows what he wants for the school.

Successful!; Total commitment to needs of staff and children; Visionary; You are fortunate in your teaching career if you are able to teach just once with a head of this calibre.

Leads by example. He takes an interest in all areas of the school—nothing too insignificant; Takes a close interest in the staff, without "interfering".

1. He leads by example – He comes and teaches alongside us. He delegates through Senior Staff

4. What are the important issues/activities that a school's management structure (head, deputy, governors, 'management team', etc.) should address?

Staff development; Managing the boundaries; effective curriculum development; A stable working environment; Balancing the experience of staff.

General matters; Finance; Staff/appointments/development; School development; Appraisal

Admissions to school; Staff personal problems; structural issues; INSET; finances

Curriculum balance within all age-groups & class areas; Discipline; Staff training opportunities/career development.

staffing; resourcing (books and equipment)

staffing–structure, development, levels, etc.

Communication!; Involvement of all in decision making processes & evaluation; A workable & meaningful school development plan.

effective budgeting; keeping update & aware & implementing all the new curriculum guidelines.

Budget; Curriculum design/curriculum change; Discipline; Classroom practice' whatever is decided on the school development plan (not in this particular order)

[no-response]

School budget; Implementation of National Curriculum; Staffing; Ethos of school and how it can be maintained

Streamlining organ/management issues so that staff can concentrate on those issues which more directly concern them i.e.. teaching methods, curriculum planning & evaluation.

General School Policy & Ethos; Curriculum statements; Development planning; Professional development; Staffing policy

Effective budgeting; Keeping up with the (changing) legal requirements for schools; Supporting the teaching staff.

They should have an 'overall' picture of the school – Seeing that the National Curriculum is being met. The finance of the school. Is there a balance of new & experienced teachers?

Staffing – balance between skills/personalities/ages/experience; Environment – buildings/equipment; Interpretation of National Curriculum/Statutory requirements; Formulation of policies; Staff development

Staff support on 'discipline'; Ensure we meet requirements of the law; Newly qualified teacher integration; Curriculum co-ordination deployment; Staffing, premises, budget.

5. What has your headteacher done that has enabled or encouraged your professional growth in the last year?

Financed several courses; Given the area in which I work a higher priority.

Given freedom to develop own professionalism; informal chats about issues related to the classroom and parents.

Allowed attendance on inset courses; Given an incentive post in only 2nd year of teaching. (shared with another staff member).

–encouraged course attendance; –allocated me time to work on my specialist subject in other areas of the school other than my own class; –involved me discussions about future projects

Encouraged visits to conferences; Discussed whether time was right to move for promotion elsewhere (came up during appraisal process).

Allowed me to make decisions & take risks. Also, allows us to make mistakes then makes sure he's on hand to offer solutions & support; Given me the opportunity to lead meetings, represent the school etc.; Given me responsibility for the management of several budgets!

– encouraged in the membership of a curriculum team; – enabled me to attend courses.

– Given me the chance to work alongside an NQT in a leadership role; – Supported ideas I have had within my co-ordinator role.

Appendix 5-E

given cover to participate in below [OCC courses]

Given the opportunity to plan and resource my chosen curricula area of interest, staff meeting time, non contact time.; Recently went on a consultancy course & gained a Diploma in Professional Studies

No – but he knows that I will get what I need – he is interested in my master's work.

Offered positive support & encouragement; Financial good management.

He has been very positive and supportive; We had regular weekly meetings for the first term, and he has always been available for me if I want to discuss any problems; We have agreed an ongoing development programme for me in this, my first year of teaching.

Organised and/or led inset days.

Sanctioned a series of INSET course attendance; Inclusion in Maths planning team

Awarded me an incentive post as a co-ordinator for a curriculum area (subject)

Paying for courses; Offering to pay for substantial future courses; Suggesting that I run a team (review curriculum matters & policy)

6. What professional development activities (courses, collegial planning, extra school responsibilities, degree work, etc.) do you participate in, or plan to?

conference attendance; considering starting part II of M.A. course started a year ago.

Lots of extra school responsibilities & planning sessions; Courses in spelling, geography, R.E., art & time management during this academic year; Next year, who knows?!

*I would like a post of responsibility in the next year; *Current year: member of technology team in its review year; courses: D. T.- after bearing course, science - AT 1 course.

'B' post; Resource Management within the school; public relations; photographs- reflecting the school life.

participated in several OCC courses; eg. science assessment; lang; early years.

I may add to the previously mentioned diploma [DPS] & study for a degree.

I'm doing my masters at the moment & Ill do any spec. needs courses which come up.

Courses particularly targeted at reading/special needs education.

As above. Weekly meeting with [head] for the first term. Since then, less regularly (2/3 a term?)

Relevant courses as & when they occur.

Maths INSET; Part of Maths team working on scheme of work for the whole school.

1. Maths courses/English/RE/Humanities "teams"; 2. Considering starting my Masters Degree– possibly next year.

M.A. in educational management (current); Guitar club; Chess club; Heading technology review team (leading audit); Day courses.

Courses; Visits.

Curriculum courses to develop classroom practice. Curriculum responsibility in a couple of years time.

Whole post of responsibility – co-ordinator role; Inset courses--> maths/geog.

attended courses (1/2 day or whole day) when suitable/relevant ones are circulated.

7. What, in your opinion, are the hallmarks of an effective teacher? (name up to 5)

Good relationship with the children; Sound knowledge and understanding of the curriculum; planning thoroughly and effectively; Delivering lessons in a wide variety of ways to aid the children in their understanding; having high but achievable standards (Not in this particular order)

good management/planning; sensitivity to the children's needs; imagination and flexibility.

Good personal relationships; High expectations; A sense of humour; Patience; Stamina

An ability to assess the correct intervention point ([as] Vygotsky terms the ZPD!) before teaching, the teach effectively at that point, to [remove] scaffolding at the right place, to assess when child has moved on. Zone of proximal development (ZPD = stages 1 & 2 of learning process whereby learner needs teacher input)

Intuitively a good communicator with children & adults alike; Understanding; Approachable; Flexible

good classroom management; sound discipline; "appropriate" tasks set.

Knowing your children and starting from where they are now; Creating a stimulating yet secure environment; Good organisation; A sense of humour; A willingness to 'learn' with your pupils

Confidence/familiarity with subject material; ability to predict/recognise children's perceptions of/reactions to new experiences; ability to talk and listen to children/laugh with children; ability to stay calm for at least 75% of the time; willingness to liaise/communicate/co-operate with colleagues and parents.

(in no particular order); An organised planner; A firm but fair disciplinarian; Positive, approachable, calm and enthusiastic personality; A reflective practitioner – constantly evaluating; HARD WORKER!

1) The ability to communicate effective planning; 2) To teach to an 'individual' level; 3) Good management of time/classroom; 4) Flexibility within a planned day/week.

High expectations for all children; Careful planning – structure/use of other adults; good adult/child relationship; Home/School link; Good/fair discipline.

Well planned; Patient; flexibility; Support for others; Able to co-operate and work as a team member.

fairness; dedication; high expectations both of self & pupils; good preparation; accurate knowledge of children's ability.

awareness of the educational needs of children; relates well with children (and has a sense of humour); good organisational skills; willing to share ideas; offers children a stimulating environment.

1. 'good' relationships with children; 2. consistent approaches to children; 3. ability to recognise a child's need (intellectual) in an activity and provide task accordingly; 4. balancing challenging the child vs consolidating skills (developing confidence & self esteem while also putting the child in 'risk' situation); 5. to reflect on one's own practice constructively.

Good management (of classroom, children, resources, other adults time & money; Sense of humour; Good planning; Someone who is still a child at heart; Someone with the ability to bring out the best in those with whom they work.

(1) Well planned (daily & long term); (2) Organised; (3) Aware of the individual needs of the children within the area; (4) Has her own (in relation to the schools) policy towards behaviour and is consistent in punishment but fair

8. *What role does intuition and/or critical thinking play in your teaching?*

Intuition: how I handle & respond to children; how I work/approach teaching sessions; how I assess immediate needs of children

Critical think: planning, paperwork

Intuition—a minor role, usually when responding to a pupil.

Critical thinking—I'm not sure what this means. I think critically about all my planning, and about the work I presented with for assessment.

Having an insight into the work of a group or individual child is of great benefit. "Knowing" your class, its needs etc.

I am personally inclined to intuition rather than critical thinking – my downfall!

Individual judgement depends upon the situation. I would use my own initiative – intuition in most situations (i.e.. in the classroom) but would make higher authorities aware or seek support from higher authorities if I felt they should or need to be aware.

(1) [intuition] Within the classroom—work often happens on a completely different level or in a different direction than planned – I tend to use my intuition to allow different 'routes' – whilst trying to hold together the critical aims.

(2) [critical thinking] Reflecting on the work done by children / my planning [use of] time/ introducing work/ classroom management

[no-response]

Unsure

Quite important - ability to adapt/change presentation of work if it's obviously not working is an asset; When humour/sternness required to deal with situations as they arise – comes with practice or use of intuition.

intuition - important in planning and in everyday situations (government constraints seem to give us less opportunity to be intuitive?)

critical thinking - important in analysing children's responses and planning ahead

A great deal; Mostly informal; Need more formal channels to develop this (appraisal has been a first step).

I'm more into the former! I think experienced teachers are guided by a lot of intuition and an ability to adapt & be flexible.

– a skill you use more than you probably realise. Intuition is often right, ask how many teachers can predict the S.A.T's result before they happen. I'm sure not many teachers are wrong?

They play a significant role in my teaching because it is part of knowing and understanding the children thoroughly. I need to be intuitive when setting work and critical in order [to] progress.

It is important in certain situations but is not a substitute for poor planning.

Less and less as we now have more and more of what we teach imposed on us.

Intuition plays a part in initial assessment i.e.. I use it to decide how I will assess. After that critical thinking takes over – i.e.. I critically appraise what the child knows & how I will teach, then how the lesson went.

9. In what area do you feel the greatest pressure or stress as a teacher?

After-school meetings; Time management (There is never enough time!); Lack of communication—especially in a big school; Conflict between school work & time spent with my family

Last minute change to routine or programme where control of the situation is surrendered to fate

Paper work. (in addition to class teaching paper work)

Time/Number of meetings; Recording in the profiles; 'Repetition' of information; The continual changes to an ill thought-out government policy on curriculum.

Reporting on children—rainbow forms, profiles, etc.; Within a class, coping with a disruptive child.

Carrying out government S.A.T.s.; Keeping up with record keeping and profiling; Attending all the meetings required.

Time taken in meetings/doing administrative work which may not be directly related to work in the classroom, as it robs me of time I would prefer to spend preparing/trialing work for the children.

-insufficient time to talk with children and for them to talk to me; -one to one quality reading time is difficult with large classes of children; -pressure to teach "subjects" to infants who still need far more 'play' experiences

Parents – a greater sense of accountability; – the increasing frequency in which you have to explain your actions to parents.

Lack of time; Too much paperwork; Too many meetings; For most teachers, being with the children is the most satisfying, least stressful part of teaching – its' what we all think we're there for!

– personally from parents they often expect extremes far too much or far too little and as a teacher you are expected to often deal with difficult or confrontational situations without the knowledge or skills to deal with them, in often spontaneous and immediate situations; * meetings!!

-The paperwork with is involved with recording and assessing; - If you are working in a partnership where your partner does not pull his/her weight. I have experienced this in the past and this can be stressful; - An aggressive parent can cause stress.

meetings outside classroom when there is a mountain of work to be mounted/displayed.

Vast quantities of 'paper' to read, discuss & comment on. Too much testing and box ticking. Too many meetings.

time to get everything done; making sure the work is targeted exactly right for each child.

Paperwork, justification of professional judgements and decisions; Where own philosophies are at odds with N.C. and government policies in general.

I don't know about the greatest. Areas include: • planning effectively; • possible legal ramifications of dealing with children (false accusations...); • taking on board the domestic problems of children in the class; • pressures created by "over-prescriptive" N.C.

Other comments:

Good luck with your thesis!

Despite some negative comments I would not leave teaching. It is still a job which is rewarding, interesting and different everyday.

To me teaching is about [moving] the child's understanding, first by scaffolding his learning, then withdrawing at an appropriate pace, until the child can support himself. Too much 'other stuff' interferes with this process. I also find the Nat. curriculum an insensitive [unreadable] for teaching & learning in this way. Large classes inhibit accurate assessment of where the child's [unreadable] point is.

apologies for hurried replies and poor handwriting.

These thoughts, notes & jottings were written on a Sunday afternoon – in those few precious minutes before preparing work for the following week. I hope they will be useful!

Questionnaire Statistics:

Number of questionnaires distributed	27
Number of questionnaires returned	17
Percentage returned	63%
Years of experience:	
0-2	4
3-5	1
5-10	4
10-15	3
>15	5
No response	
Current teaching assignment:	
reception/years 1 and/or 2	6
year 3 and/or 4	3
year 5 and/or 6	6
other	2
No response	

- Notes:
- Order of respondents has been changed for each question.
 - [brackets] indicate note added by researcher, or unclear term.
 - If a respondent left a question blank, this is indicated [no-response]

Appendix 6-A: Deputy headteacher interview summary (Headleymill)

Question	Response
<i>1. Unique characteristics of school; school ethos, enjoyable aspects</i>	remarkable staff, hardworking, generous with their time; good spirit; children are settled; no real discipline problems; facility; team spirit; purposeful ethos; education for the whole child
<i>2. Roles and responsibilities as deputy head</i>	work on level with the headteacher in flattened hierarchy; monitoring the National Curriculum; communication... making sure that everybody knows what's going on; odd jobs like ordering of stock; making sure the school is running smoothly; general discipline; teaching; discuss issues with the head; part of management team
<i>3. Greatest challenges in school leadership (especially as relates to deputy role)</i>	messing people about is the thing you've got to watch out for; communication with a large staff; balancing teaching role against administration role so that I don't lose sight of the class
<i>4. Important qualities or characteristics of an effective school leader</i>	sensitivity; patience; an ability to duck-and-weave; got to have vision... you've got to know in the short term where you're going; should be a good teacher; a lot of contact with the children
<i>4a. Differences between leadership and management</i>	subtle; leadership is into coercion and control... pushing; management is involving people, ownership, involving other people in making the decisions with you, carrying them; being prepared for people not to accept what you want and having to re-negotiate; you've got to be able to make the final decision and stick by it
<i>5. Head teacher's influence in the school</i>	planning; pulled a disparate group of people into a team; cross-phase planning; we never had so many meetings [takes us away from classrooms]
<i>6. Difference in deputy and head teacher leadership styles</i>	subtle; I'm more of hands-on person; prefer to lead from behind
<i>7. Deputy's affect on teaching in the school</i>	more of a facilitator... free people to do their own thing; make sure they've got all the things they need to do the job; make sure that things are working properly
<i>8. Views on 'reflective practice'</i>	essential; as a team you help each other; it's in the ethos [more tacit than expressed]
<i>9. Deputy's reflective time</i>	at night

Appendix 6-B

Appendix 6-B: Teacher interview summaries (Headleymill)

Question	Response - Teacher 1	Response - Teacher 2	Response - Teacher 3
1. a. Enjoyable aspects of school; ethos	freedom of expression; self-esteem; pleasant environment; good relations with the children and parents	working with the staff; staff as personal as well as professional friends; well-resourced with advantages of a big school; warm, friendly ethos, sensitive to the development of the whole child	school size, large school can divide up the responsibility, teamwork; communication; seek the best for pupils, high standards; strive to be excellent; caring staff; head treats staff with respect; he makes you believe in yourself
1.b. Reactions to appraisal	reassuring; positive experience though not necessarily revealing of new insights	n/a	use of video was uncomfortable, wonders if it is authentic; welcomes feedback; sees improvement and self-examination as a part of continual practice
2. School's goals and objectives	great degree of involvement by whole staff, increased workload for all teachers; teacher no. 1 responsible for budget, member of management team; school development plan has moved forward an enormous amount since head's arrival	students' needs are first, then involvement in added responsibilities; most involved in the environmental goals, which is particular responsibility	particularly responsible for Maths, which provides focus for involvement in broader goals; sees the school development plan as a part of necessary school and personal professional development
3. Important qualities or characteristics of an effective head teacher	management skills; he's a very reflective sort of person, probably none more so; doesn't condemn people for failing	able to support what is best in each individual teacher; draw out common policy rather than impose; decision-making, when to consult, when to decide and inform; good at talking to all ages and types of people; being a counsellor; representing the school to other heads; public relations; being oneself; knowing when to shield staff	someone who is on-the-ball about what's going on; someone who can lead you; sense of humour; stable moods; exercises flexibility in leadership; provides quality feedback; measures tasks given
4. Influence of head teacher on school	how far the school has come; now a clear focus of direction; mission statement; policy development; communication much clearer; given many more confidence; head makes you think about teaching and life in general; consultative decision-making	policy development; increased written documentation	greatest influence in making staff discuss what we do; made us all talk and share
5.a. Head teacher's encouragement to think about own teaching	head communicates teaching expectations (directly/indirectly); through the process of writing a mission statement; policy building; informality with rigour; head is a generous person, want staff to improve and develop all the time; head has standards of teaching but doesn't condemn for not matching his standards	always keen that we be reflective; encouragement in teacher practice; involves staff in decision-making discussion in a purposeful manner	(see comments 1.b.); head's style in encouraging to take on new areas of responsibility
5.b. Others' encouragement to thinking about own teaching		indicates the influence of other teacher-leaders in the school	collegial discussions, not unsolicited advice; competent staff seen as a resource

Appendix 6-B

Question	Response - Teacher 1	Response - Teacher 2	Response - Teacher 3
6.a. Difficult curriculum issues	much of it is impossible; changes; time for it all; range of ability in classroom; time for planning	no particular aspects; overladen with recording	religious education, preparation and multi-cultural presentation; time; low priority given to anything that isn't a core subject
6.b. Resources for making curriculum decisions	head's delegation of areas of the curriculum to members of staff; rely, in part, on priority directives; key stage planning structures; year group meetings	balance, encouraging student learning interest guides decision making	if you don't use intuition, you can't be a teacher
7. Helpful qualities of an in service session	providing help; don't want to be given another job to do; don't care to role play, want serious input; not participant development of the agenda and input	do not like to find time wasted with present time demands; presenters who don't assume that you are ignorant; speakers who have taught the age they are speaking about	need input on the new National Curriculum; application to classroom is important; presenters who make the application clear
	Interview date: 28.2.94	Interview date: 4.3.94	Interview date: 8.3.94

Appendix 6-C: Field report (Headleymill)

Headleymill Field Schedule:

Date	Hours	Primary activity
25.1.94	1:15	planning interview
27.1.94	2:00	evening community meeting
1.2.94	3:00	initial interview, site observation
2.2.94	8:00	interview, observation
3.2.94	3:00	interview, observation
7.2.94	8:00	interview, observation, staff mtg.
9.2.94	7:30	interview, observation
10.2.94	4:45	interview, partnership lunch
11.2.94	2:30	interview
22.2.94	4:15	observation, deputy interview
23.2.94	6:30	interview, various meetings
24.2.94	1:30	interview, questionnaire
25.2.94	:30	questionnaire
28.2.94	7:15	interview, teacher interview
1.3.94	6:30	document review, governors mtg.
4.3.94	4:00	observation, teacher interview
8.3.94	1:00	teacher interview
10.3.94	2:00	concluding interview
21.6.94	1:30	repertory grid
Total Hours	73.5	

Documents Reviewed: Headleymill

School Prospectus
School log book
Head teacher initiated curriculum audit
Staff handbook
Policy documents
Staff meeting notebook (head's copy)
School Development Plan (head's copy)
Staff development survey of School Development Plan
Parent Consultation for School Development Plan
Head teacher personal goals
Job Descriptions notebook (head's copy)
Governors' Notes and minutes (head's copy)
Head teacher's document: Aims of Classroom Organisation
Head teacher's document: Primary Education
Oxfordshire L&A meeting notes

Appendix 6-D: Constructs elicited (Chadwick/Headleymill)

Sort	Emergent Construct	Contrast Pole
1	highly reflective; consider problems from many point of view before giving response; thinking deeply about issues, coupled with care	total carelessness, uncaring, lack of care
2	care for me as a person; total awareness of other people's thoughts and feelings; objectivity and subjectivity together	doesn't care for me as a person; aware of thoughts, but not always aware of the emotional context; totally objective
3	greater perception of, and understanding that education lies within a wider network; responsibility beyond just school; <i>global vision</i>	focus more on own school or self. <i>parochial vision</i>
4	look at the reputation of the school; school specific; image of the school in the community; what parents think of the school; institutional dynamic	looks at how the individuals are within the school; concerned with individuals within the school; person dynamic
5	sensitivity to other people; to people's needs, wants; person-centred	insensitivity to other people's feelings
6	putting yourself out for someone else; doing something for somebody else; caring for others; low degree of self-centredness	high degree of self-centredness
7	ambitious in terms of professional development	not so ambitious; professionally un-motivated
8	interested in child development; <i>child centred</i>	not too interested in child development
9	⁵ depth of experience, knowledge of education based on experience	in-experienced (not necessarily short-served) lack of knowledge gained from experience
10	lack of empathy about other people; self-centredness; stubbornness	open personality; easy to get along with; integrated personality; confident about themselves; sensitive
11	⁶ Sense of humour with the headteacher	<i>more formal in interaction with headteacher</i>
12	people who have influenced the head, receptive to their influence	people who head has influenced; receptive to head's influence

N.B. Constructs in *italics* were suggested by the interviewer and agreed meaning from the interviewer.

Date of Administration: 21.6.94

⁵ Initially given as non-permeable construct of experience.

⁶ Construct initially given as same as number 4. Asked for another

Appendix 6-E: Summary of teacher questionnaire (Headleymill)

1. What do you see as this school's greatest strengths?

Highly committed staff - hard working and professional;
Good parent support - financial support;
Well resourced school

Strong team of teachers - generally speaking;
Extremely good infant dept. - very thorough, caring, close teaching team;
Staff with a good sense of humour;
New building;
generally well-resourced.

1. Support of staff for each other
2. Common view of discipline
3. General conscientious approach to classroom work and care for children within school.
4. Generous support by L.S.A.'s and Caretaker

The way in which teachers work together as a team, sharing ideas, offering support and encouragement;
The range of experience and expertise throughout the school;
The way Partnership is encouraged between teachers, parents and children;
The ability to share humorous happenings in school.

Support of the staff for each other;
interest & caring for each other;
support for each other in curriculum planning;
Common conscientious attitude to the job, and the care of the children;
Generous support of L.S.A's, caretaker, etc.;
Common view of the place of discipline within the school.

United and supportive staff with a good team spirit;
A staff with high ideals;
Caring leadership

Support of the staff for each other - and its warmth and humour;
Common view of discipline in the school;
Generous support by L.S.A's, Caretaker, etc.

Good staff, work environment and resources.

Staff, pupil, parent relationships;
Good team work;
Beautiful environment;
Shared values

- a) Committed and hard working staff
- b) Good relationships among staff, and between staff and parents
- c) Parental support
- d) High academic expectations
- e) Pleasant environment

A talented and dedicated staff that works well as a team now;
Shared ideas and a support structure in place

Very reasonable children, generally;
Supportive community;
Good staff and leadership;
Nice new building;
Extensive grounds;
Good resources

2. In what areas do you feel this school needs to grow?

Amount of time required at meetings after school to detriment of classroom planning;
Lack of central (?)

Lack of storage space for resources;
Lack of spare classroom bases. These would be useful for small group teaching;
Could do with a separate gym
Teachers don't have enough non-contact time to further professional development

The amount of time required at after school meetings to the detriments of classroom planning and organisation;
Lack of a central resource area

A weakness - I don't know if it constitutes a great weakness... length of service of some staff in this school is great, this may lead to a lack of willingness to adopt new teaching methods and accept different ways of doing things.

Amount of time required at meetings after school, to detriment of classroom planning;
Lack of a central resource centre.

Danger of putting a higher priority on delivering the National Curriculum than on responding to children's actual individual needs and interests;
Too much paperwork.

Over stressed staff - too many meetings;
Self satisfaction leading to introspection. We know that we are the best school in (village). Maybe we don't learn enough from others in the partnership.

Over-stretched and over-stressed staff, leading to sketchy individual planning and display, and consequent guilt feelings!

The spread-out site;
Wide differences in provision as regards classrooms;
Play environment (hopefully to be improved on);
More able and better trained dinner supervisors would help

Me;
Lunch time supervision and play area - it's an asphalt desert about to be tackled;
Over loaded teachers due to burden of change and at times, excessive workload - particularly amongst those staff with the greatest responsibility

Communication problems - a large staff means time is needed to consider all views, discuss and come to decisions. Often no time to complete this process satisfactorily

Occasionally, for its size re: communication problems;
Lack of sufficient provision in past for National Curriculum policies, etc. - we're doing too much catching up in too many areas now. (It's like being on a roller coaster!);
No central resource area and an impractical Activities Room;
Key Stage 2 dept. has good reputation amongst parents but is very traditional in its approach and a long way behind KS1 in record keeping, assessment etc. (with a certain reluctance to catch up!)

3. How would you describe your headteacher's leadership style?

informal, approachable, friendly but determined

Good overview of the school's legal requirements and responsibilities;

Good analysis of what has to be done, but not always aware of workload on his staff.

democratic/delegatory

Team work. - delegated - giving all staff ownership of decisions;

Still too distant - (head) still isn't really a 'hands on Head' but he's getting a lot better. The actual nuts and bolts of organisation past (sic) him by at one time - He was full of ideas; Getting better now!

Friendly, coercive, delegatory, appreciative ----- not always fair!

Managerial - he's an excellent manager;

Democratic - we all have a say in all the things to do with the school - almost!

Consultative - he is quite a reflective person. He came to the school a year ago and listened and adapted his ideals to (school);

Leadership is shared wherever possible - almost anyone can join the management team;

(head) has final say;

He is keen on everyone having a say and creating task groups for particular jobs

Quietly persuasive;

Extremely good at delegating but gives reassurance if you ask for it;

Seems to have a clear view of how school should 'appear' to run - not always aware of reality of time and energy needed to be a full time, well planned, happy resourceful teacher!

Very managerial - good at delegating but also good at encouraging others' professional development;

Very diplomatic with parents;

Tends not to get involved at roots level e.g. rolling sleeves up and mucking in;

Less of a teacher type head as in relationships with children

By example;

Good overview of schools legal requirements and responsibilities;

Good analysis of what has to be done but not always aware of work load on his staff.

Dynamic! Always enthusiastic. Sometimes I struggle to keep up with him.

The school benefits enormously from his extensive knowledge of education.

A good overall view of the school's legal requirements and responsibilities;

A good analysis of what has to be done; but when delegating he is not aware of over-load on some members of staff.

4. What are the important issues/activities that a school's management structure (head, deputy, governors, 'management team', etc.) should address?

(Head) has created a web of inter woven dependency which supports the whole. No one should feel isolated - everyone is encouraged to feel they have a part to play. (Head) doesn't believe in hierarchies but in team building;

Personally speaking - the stress and work load for those at the heart can be considerable

Shared managerial responsibility is a strength;

Anyone wishing to be a part of the team can join.

Leadership is more democratic.

Strengths: More opportunities to have an input in managerial decisions;

Fair management structure, encompassing various view points

I can't comment as I represent the management!

(no comment)

The concept of a management team has been established and holds regular meetings; Views of governors not always known by staff.

The school seems to be well organised with regular managerial meetings.
Communications from management and governor meetings are sometimes not clear or full;
There do seem to be many meetings in the school as a whole - could be a strength or a weakness;
Role of deputy head is not especially clear. His management role is not clearly identified to the rest of the staff. His job seems to be much underrated.

The concept of a management team has been established and so more staff are involved in this; regular meetings are held;
The governors seem to me to be a remote body.

Strengths: Common objective, everyone working together to provide the best possible education for the children;
Everyone kept informed about important issues.
Weaknesses: Nominated Governors, council/parish. Are they as interested in school as parent/teacher governors?

There is full support for teachers;
Views of governors not always known;
Lack of contact between governors/teachers.

There is more of an open discussion than before (head's) arrival about key issues, and staff are made to feel that there is more democracy, even though feeling aren't always acted upon. Sometimes (head) acts upon ideas etc. without proper consultation with those it effects (as is his right as head) but feelings can be hurt as a result. I speak from personal experience and knowledge of others.

Management team do not appear to hand on much information - it would be nice to know what is discussed at those meetings - but individual members are always approachable.

5. What has your headteacher done that has enabled or encouraged your professional growth in the last year?

Generally encouraging and supportive;
Allowed me to attend course for my own professional development for the benefit of the school;
Given me total control in the co-ordination of my responsibilities and organisation of my timetable.

This is now a subject that is discussed;
Job descriptions;
Appraisals being established;
I have had the opportunity to discuss, with other professionals, subjects relating to children for whom I'm responsible in the school day.

Some of our staff meetings have been thought provoking and have encouraged me to reflect more deeply on certain areas of my teaching;
As a member of the management team, I've become more involved with the overall school development plan. I feel I've grown professionally through this involvement.

We have liaised closely over a particular child.

Was given the opportunity to become school (subject) co-ordinator;
Was asked to go on Steering Committee and agreed as I believed it wouldn't involve an excessive amount of work and was partly a favour to (head) since no one else was keen to?!

Given me the opportunity to be part of an extensive 20 day (subject) course for both personal and co-ordinator development. Thank you!

Appendix 6-E

A lot - increased my responsibility in leading teams - involved me far more in management decision taking.

Increased my stress and workload.

Increased my self-confidence.

He involves others in [his?] decision making which can be stressful if you yourself are a reflective person.

An enormous amount that is easy to underestimate. Style of staff meetings - shared curriculum responsibility - Key stage meetings all give confidence and ideas that add to professional capabilities.

Encouraged my personal interest in drama (Unfortunately, not allowed me to change year groups, but this not a great problem).

Freed me up for non-contact time. Given me the opportunity to see aspects of the school at work.

Given me the chance to reflect on my own practice. I have learned a lot through appraisal.

He's encouraged me to go for another job!!

Provided me with an opportunity to teach more co-operatively with a shared area;

Supported the development of grounds

Job descriptions clarified; process of appraisals established

6. What professional development activities (courses, collegial planning, extra school responsibilities, degree work, etc.) do you participate in, or plan to?

Curricular Meetings in specific curriculum areas organised by the L.E.A.

Language Co-ordinator;

Member of Partnership English Curriculum Group;

Member of Partnership Steering Group;

Infant pianist!!;

Talks to parents - e.g.. New Parents' Meeting; Curriculum Meetings-for new parents: -for parents of SAT. pupils.

I find being Maths co-ordinator demanding enough-it has involved a great deal of learning and questioning both in my knowledge and in gaining leadership experience.

Inf. 'Tech' consultants course;

KS2 team leading;

(school) management team

Courses for my area of responsibility;

Hopefully after appraisal target for self improvement will be fulfilled -(inset and courses;

Inset days and staff meetings have improved professional development too.

None really. I would like to work part-time or job-share, but this has not proved possible.

Take up a headship

Development of school's environment and environmental curriculum;

Co-ordinator of R.E.

Inset courses

Partnership Level: Special Needs Committee;

In school: responsibility for Special Needs which involves many meetings with other staff, parents, educational psychologists, etc.;

Day and Twilight courses organised by the County with specific reference to Special Needs.

Inset courses;

management team

School Inset Courses;
Meetings related to SATS;
Represented the school for 2 years on Learning and Assessment Network;
Recently completed Open University Professional Development Course.

7. What, in your opinion, are the hallmarks of an effective teacher? (name up to 5)

Good discipline;
Careful planning;
Methodical and organised;
Good relationships with the children;
Good at handling stress!!!! (sense of humour??)

- a) Settled, happy, calm classroom atmosphere;
b) Children's work book reasonably tidy and attractive, and show varied work and good progress;
c) Purposeful planning
d) Attractive displays and general classroom environment;
e) Children eager and interested
-

Sensitivity to parents, children, and staff;
Good solid planning;
Good display and use of room;
Effective time management and differentiation;
High standards and expectations of all the children;
Ability to communicate at the correct levels;
(Not in order of importance. There must be lots more.)

respect for individuals;
ability to empathise;
calm;
enquiring mind;
sense of fun

Good planning and classroom management;
Empathy with children;
Co-operative working with other members of staff
Establishment of discipline;
Differentiated tasks

Organisation;
Enthusiasm;
A sense of humour;
Patience;
Determination

Good planning and classroom management;
Empathy with children;
Co-operative working planning with other members of staff;
Discipline;
Differentiated tasks for the class.

Structured, thorough planning;
Clear objectives always in mind;
A desire to work closely with colleagues, to share/exchange ideas;
To establish happy, yet professional relationships with children and parents;
To be well informed on the curriculum and to be constantly updating one's knowledge
To set high standards for oneself and to encourage the same from the children

Appendix 6-E

1. Good planning and classroom management;
2. Empathy with children;
3. Co-operative working with members of staff;
4. Good discipline;
5. Differentiated tasks

caring/kind;
make good relationships with children, staff;
sense of humour;
effective communicator;
effective planning and preparation

1. Good relationships with children;
2. Planning matched to real needs of children;
3. Open teacher - ready to learn, share ideas;
4. Keep smiling! Fun to be with.

The teacher requires personal qualities which they take into the learning situation;
Excellent relationships with the children;
Good discipline;
A sound appreciation of the subject matter and the aims of the lesson;
Good organisation

8. What role does intuition and/or critical thinking play in your teaching?

Both play a large and vital part! I continually reflect on my teaching, relationships, etc. and planning and provision for individual needs (be they social, emotional or academic). I would be good to have more time to put reflection with more effective action.

An important part.

Experience aids intuition, the more experience the more intuition. It's bound to play a part in my teaching;
Not sure what is meant by critical thinking --> I frequently reflect on teaching situations and am quite self-critical. Always questioning what I'm doing and why.

Both essential.

Intuition... being sensitive to the needs of pupils might lead one's teaching in a different direction. I hope I am always open to the leading of my intuition.
I'm not sure about critical thinking. I probably should be more critical of my own performance as a teacher but there never seems to be enough time.

Both qualities essential.

It is important to me to be flexible and respond to the children whilst having planned critically considering the day(s) before.

I am an intuitive teacher. Ideas occur to me and I get the children to follow them.
I also spend a great deal of time planning and evaluating my work.
I also use intuition for classroom control--How do I know how loud my class is? How do I know that a child is off task?

Varies with situation;
Relationships with children probably intuitive but (I hope) in an informed way;
Planning and objectives more critically based.

A large role in connection with relationships and monitoring the needs of the child.

A large role;

We have to constantly reflect/re-examine our decisions and strategies—we are often on our own in our personal relationships with adults and children – we behave intuitively in them and they are the heart of our effectiveness.

Too much of a role at present. We are asked to think a great deal about what we're doing sometimes resulting in lack of self-confidence.

9. In what area do you feel the greatest pressure or stress as a teacher?

Additional paperwork and demands on time other than directly related to classroom work:

Curriculum always changing;

Additional pressure from parents with the rise of 'parent power'

Balancing demands of planning and teaching a class of children with all the other demands on time and energy - co-ordinating areas of the curriculum, meetings, etc.

Time. If I'm in meetings I'm not doing things in my room;

Monday is my non-contact day but it shunts everything else up into four days;

My room gets untidy. I lose papers. I don't mark their own topic bks. I don't chat to the children because I'm trying to catch up on lost time.

Too many meetings after school, meaning insufficient time for proper classroom preparation;

Non-contact time too brief;

Exhaustion;

Bad press.

Rapid change – which is then changed again=overload

Too much paperwork—it reduces teaching time—relationship time—planning time and energy;

Phew!

Teaching is exhausting—that can be stressful;

Satisfying the head, parents, advisers, children can be almost impossible—that can be stressful.

Dealing with people can be stressful.

The anxiety and effort involved burns people out.

Pressure from implementing aspects of national curriculum that are not directly related to the classroom. i.e., retraining ourselves to understand what is really required by N.C.—leading to more paperwork.

Not being able to really concentrate on planning and preparation and working with children!

Form filling—school admin.;

Profiles/records;

SAT's and their administration;

MEETINGS!!;

lack of time to implement ideas, etc. from INSET, or have a good look through school resources, etc. to improve/extend classroom practice, or just to do display!!;

We need more non-contact time – i.e. quality time of at least half a morning on a regular basis, not just the odd 15 minutes of assembly time. As infant I get less non-contact time from singing/assemblies anyway.

Additional paperwork;

Curriculum always changing;

Additional pressure from parents with the rise of parent power.

Keeping up with the constant changes in the National Curriculum and everything that that involves—AT's that are changed, record keeping to be updated, explanations to parents, etc.

It would be beneficial to all teachers to have several years of consolidations and to be told by the Government, from time to time, that we are doing a good job!

Additional demands of paperwork, planning for an ever-changing curriculum;
Additional pressure from parents with the rise of “parent power”;
Some weeks would had 3, 4 or 5 meetings after school, often going on until 5:30 PM and two lunch
time meetings. School closes at 6 PM and so time in the classroom is strictly limited.

Administrative pressure in association with what seem to be ever increasing demands/changes of and
with the National Curriculum.

Other comments:

Many of my comments seem to be negative but I do think that (school) is a brilliant school. The
standard of work is exceptionally high. The staff is wonderful. The community is fantastic. If I get
a headship I shall quietly model my school on the best of (this school).

Whatever the pressures, frustrations and causes of depression and feelings of inadequacy in the job
just now, the experience of being with small children and being able to assist in their development
remains essentially joyful.

(no comment written)

Nice meeting you...

(no comment written)

As in many schools, the new reforms, National Curriculum, record-keeping, Assessment etc.
permeate upwards from Yr. 2 teachers, who are on the chalk face. This is sometimes frustrating, and
we tend to bear the brunt of the above. At times I feel that there is a lack of understanding (and good
will to understand) and sympathy from KS2 teachers, who aren't directly effected.

(no comment written)

(no comment written)

(no comment written)

(no comment written)

(no comment written)

(no comment written)

Questionnaire Statistics:

Number of questionnaires distributed	18
Number of questionnaires returned	12
Percentage returned	67%
Years of experience:	
0-2	0
3-5	2
5-10	1
10-15	2
>15	7
No response	0
Current teaching assignment:	
reception/years 1 and/or 2	5
year 3 and/or 4	3
year 5 and/or 6	3
other	1
No response	0