

LEADERSHIP, CHANGE AND THE SCHOOL PRINCIPAL

CENTRE FOR NEWFOUNDLAND STUDIES

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Memorial University of Newfoundland

Leadership, Change and the School Principal

by

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Paper Folio Abstract

Paper one of this folio presents a research proposal that would examine, through ethnographic case study, the instructional leadership role of the principal during this tremendous period of educational reform. The study proposes to investigate the practices of a school principal in the area of instructional leadership to determine if principal practices are commensurate with increased leadership expectations, by educational authorities, in the areas of curriculum and instruction. A broader perspective will also be gained through survey data collected from all principals in one school district. Section I of the review of literature explored three overlapping periods of organizational and administrative study since the turn of this century: classical organizational thought, human relations approach and behavioural science approach. Section II focused on the shift in organizational thought to a new administrative model – School-Based Management. This collaborative approach devolves greater decision making responsibility to schools and places significant emphasis on the instructional leadership role of the principal.

Paper two reviewed the literature on the change process and the role of the principal in effecting school improvement during educational change. This review also examined the instructional leadership role of the principal and how the emerging practices of transformational leadership are reshaping the role of the principal. In addition, this paper advanced that a balanced leadership approach, which supports both instructional and transformational leadership practices, will create the second-order changes necessary for increased student achievement.

Paper three reported on the Ocean Academy experience with educational change. The researcher examined the implementation of a change process to improve student achievement, particularly the performance of students requiring special education services. This paper also detailed the instructional and transformational leadership practices of the principal and how the leadership approach was supported by the literature. The site for this analysis was the school in which the researcher was the principal.

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Memorial University of Newfoundland

Folio Paper ❶

**The Principal and Instructional Leadership,
*A Research Proposal***

August 1998

Introduction

Schools in Newfoundland are in the process of educational reform. "Rising concern for greater school productivity has required government officials, educators, and researchers, to reflect on the past and probe into the future in search of ways to promote more effective schooling" (Sheppard & Deveraux, 1997, p. 3).

Researchers concerned with the effects of schooling on students have paid particular attention recently to the instructional leadership role of the principal, hypothesizing that the principal plays a key part in promoting instructional improvement (Heck & Marcoulides, 1993). Reviews of the effective schools literature have indicated that strong instructional leadership correlates positively with school effectiveness (Ginsberg, 1988; Rothberg & Pawlas, 1993; Stronge, 1993). Principals, by using proper management techniques and leadership strategies, particularly in curriculum and instruction, are expected to have a dramatic impact on the effectiveness of their schools (Pellicer, Anderson, Keefe, Kelley, and McCleary, 1990). The recommendations of the *Royal Commission of Inquiry into the Delivery of Programs and Services in Primary, Elementary, and Secondary Education* (1992) for this province underscore the need for the role of the principal to include leadership in curriculum and instruction matters.

Past and current practice has principals performing largely managerial tasks. Stronge (1990) contends that “principals today have a primarily managerial orientation within the education hierarchy” (p. 1). Stronge (1990) further argues that “an examination of virtually any principalship task analysis study reveals that principals invest significant amounts of time in general administrative duties that can hardly be construed as instructional leadership” (p. 4).

The administrative duties of the principal are important to the safe and efficient operation of schools. However, according to Hansen (1990) the new vision of the principalship is one in which strong instructional leadership is advocated.

When the principal exercises his or her role as an instructional leader, teachers teach better, students learn more, and schools become better places to work and learn. The principal must be a partner in the learning process rather than an overseer to managerial operations and procedural functions. (Hansen, 1990, p. 101)

The importance of the principal as a teaching-learning leader within the school is well grounded in the effective schools research (Kimbrough & Burkett, 1990; Sergiovanni, 1991). The purpose of this research proposal is to use criteria that have been developed from the research literature to examine the instructional leadership role of the principal. The study will involve a case study of one

Newfoundland school principal and a survey of all principals of that school district which espouses the new provincial policy of school-based decision making.

Statement of the Problem

Background to the Study

Public dissatisfaction with the quality of education provided in Newfoundland schools has resulted in an examination of current models of administration and the leadership practices of the principal. "As the public clamours for better schools, better curricula, better teachers, and better-educated students, the pressure weighs heavily on all educators, especially the principal" (Carter & Klotz, 1990, p. 36).

The provincial government, in response to the increasing pressure from the public and special interest groups, such as the Newfoundland and Labrador Home and School Federation, is demanding greater accountability from schools. The *Royal Commission Report* (1992) iterated concern about the quality and direction of schooling in this province. The Commission recognized that educational improvement in Newfoundland schools was dependent on increased collaboration between the stakeholders in education through a decentralized approach in the administration of schools.

The Department of Education in Newfoundland, in devolving responsibility to schools, is advocating a school-based management model through a structured school improvement process. This collaborative model of instructional leadership

is a continuous improvement model through which the principal involves teachers in the decision-making process through a consensus-building approach. This instructional leadership process is intended to facilitate the institutionalization of change at both the individual and organizational level and ensure collective movement towards a shared school vision, resulting in increased student achievement levels.

The pivotal role of the principal in improving school effectiveness is based on studies that have been conducted for the past quarter century. The main idea is: effective schools have effective leaders (Hansen, 1990). In addition, the enhanced instructional leadership role being advocated for the principal is well grounded in the body of data from effective schools research (Andrews & Soder, 1987; Cuban, 1988; Hansen, 1990; Heck & Marcoulides, 1993; Pellicer et al., 1990; Rothberg & Pawlas, 1993). Principals who become involved in instructional and curriculum concerns in their schools see increased student achievement, even in the face of limiting factors such as poverty (Carter & Klotz, 1990). While the educational policy of the Department of Education has principals being touted as leaders with the solutions to the problems that low student achievement present, it is doubtful whether this is fully supported in the educational practice of principals.

That the leadership of the principal in the area of curriculum and instruction is questionable should not be surprising. Smyth (1983) acknowledged that observational reports of principals reveal that many do not possess adequate training in instructional leadership. He states:

At the expense of generalizing, it would seem that the principal's role as an instructional leader, knowledgeable in pedagogy and classroom processes, is very much subservient to his or her role as a plant manager [and furthermore] I don't see principals as being entirely to blame in the matter. They have been very capably aided and abetted by academics who have convinced them of the indispensability of large amounts of organizational theory, administrative behaviour, and economics and politics of education. This has, of course, been at the expense of a sound understanding of teaching and learning theory. (p. 61)

The lack of training for principals in curriculum and instruction is also evident in the preparation programs for administrators in this province. Despite recent changes in the graduate level program at Memorial University of Newfoundland, which replaced the Educational Administration program with the Educational Leadership program, courses in curriculum and instruction are not compulsory to meet graduation requirements.

Given that the behaviours and characteristics of instructional leaders are associated with increased school effectiveness and higher achievement levels, the factors that affect the degree of instructional leadership exhibited by principals are of considerable importance. Department of Education policy in Newfoundland

mandates a more visible role in instruction and curriculum concerns for principals but this does not necessarily mean that principals actually carry out that mandate. Even the importance that the principal attaches to matters that would improve the instructional program does not necessarily translate into time spent on these matters. Campbell and Williamson (1991) in a study that examined the perceptions of principals regarding the importance they actually place on identified daily tasks and the importance they should ideally place on those same tasks report:

The time that principals actually spend on important tasks conflicts with the amount of time they believe should be spent [which means] principals do not have sufficient time to provide the quality leadership expected of them by the multitude of constituents they serve. (p. 115)

Purpose of the Study

The role of the principal is continuing to evolve in response to current restructuring efforts by the provincial government. The shift towards collaborative decision-making has impacted greatly on the expectations of principals to become instructional leaders. The approach by Newfoundland educational authorities is founded in the data from effective schools research which link effective principals with effective schools. Ginsberg (1988) states:

The effective schools research emphasizes the importance of the school principal for success, and highlights instructional leadership as perhaps the key component of the principalship. Reviews of the effective schools literature clearly indicate that instructional leadership is one of several important variables for an effective school. (p. 76)

The efforts to improve achievement of Newfoundland students are being channelled through the school improvement policy of the Department of Education. School improvement initiatives have prompted discussions of more input in the decision-making process at the local school level. This has given rise to some district school-based management pilot initiatives but none on a provincial level (Delaney, 1996).

Given the current significance attributed to the instructional leadership role of the principal mandated through this decentralized approach, this study will explore the instructional leadership practices of the principal as it is demonstrated

in one school district which advocates instructional leadership for its principals under a school-based management model and through the Department of Education's structured school improvement process. The study will involve a case study of the principal in one school to examine the administrator and teacher perceptions regarding the instructional leadership evident in that school. To increase the generalizability of the research findings the study will also conduct a district-wide survey of all principals to explore their instructional leadership practices within their schools.

Significance of the Study

This study will attempt to determine if the practices of a school principal in the area of instructional leadership is commensurate with the policy mandate from the Newfoundland Department of Education. The shift towards a new administrative model which promotes school-based management practices has increased leadership expectations of principals in the areas of curriculum and instruction but study of recent literature in the area of instructional leadership reveals lack of consensus as to what actually constitutes strong instructional leadership by principals. Complicating this lack of consensus is lack of a precise definition of the instructional leadership construct and the influence of past administrative models on leadership practices.

The practical implications of the instructional leadership role of the principal can be assessed by recording observations of the actual practices of the principal and completing a task analysis in addition to an interview of the principal's perceptions of his/her own instructional leadership performance. Subsequent comparison of the intended and actual instructional leadership roles can also be assessed by recording, through focussed group interviews, the perceptions of teachers as to the effectiveness of the principal in fulfilling this role. A broader perspective of principal involvement in curriculum and instruction will

be gained through the administration of a survey instrument to all principals in one school district.

There is compelling consistency in the research findings that strong instructional leadership is associated with more effective schools (Andrews & Soder, 1987; Cuban, 1988; Heck & Marcoulides, 1993; Pellicer et al., 1990; Rothberg & Pawlas, 1993). Given the concern expressed about present levels of student achievement, and the relationship between student achievement and the instructional leadership practices of the principal, this study should contribute significantly to the understanding of the role of the principal as instructional leader.

Review of Literature

Organizations are social entities that have been documented since the known origins of commerce. The newest thing about organization theory is the study of it (Shafritz & Ott, 1992). Hoy and Miskel (1987) reveal that “systematic study of administration and development of theories of organization and administration are twentieth-century phenomenon” (p. 1).

Since the first writings about management and organizations by Muslims, Hebrews, Greeks, and Romans, the basic elements of organizations have remained relatively constant through history. Shafritz and Ott (1992) iterate the fundamental composition of organizations as:

Organizations (or their important constituencies) have purposes (which may be explicit or implicit), attract participants, acquire and allocate resources to accomplish goals, use some form of structure to divide and coordinate activities, and rely on certain members to lead or manage others. Although the elements of organizations have remained relatively constant, their purposes, structures, ways of doing things, and methods for coordinating activities have always varied widely. (p. 2)

Theories about organizations reflect the predominant culture and beliefs of the period in which they develop. Since the turn of this century the study of organizations and administration have been approached from three different perspectives: classical organizational thought (1900), human relations approach (1930), and behavioural science approach (1950) (Hoy & Miskel, 1987). Shafritz

and Ott (1992) describe these three overlapping periods as classical organization theory, human resource theory, and “modern” structural organization theory. Similarly, Hanson (1979) refers to the three bodies of theory as classical organization theory, social systems theory and open systems theory. Section I of this review will give a brief overview of the three general phases under the headings classical organizational theory, social systems theory and behavioural science. This section will also focus on how organizational thought has pervaded the school organization and has affected the role of the principal. Section II will highlight the salient features of the current organizational approach to educational administration, namely, school based management, and the instructional leadership role of the principal.

Section I - Three Phases of Organizational Theory

Classical Organizational Theory

Generally, three strands of organizational philosophy have intermeshed into what is referred to as classical organization theory: (a) the scientific management approach of Frederick Taylor; (b) Max Weber's sociological description of bureaucratic structure; and (c) the public administration account of scientific management by Gulick and Urwick (Hanson, 1979).

Classical organizational thought was influenced greatly by Frederick Taylor, the father of the scientific management movement. Hanson (1979) describes Taylor as the individual who “defined principles and practices of scientific management which sent shock waves through all sectors of corporate life” (p. 25).

Taylor’s background as an industrial engineer contributed to his ideas that individuals could be programmed to be efficient machines, evidenced by his “time and motion studies” (Campbell & Gregg, 1957; Hoy & Miskel, 1987; Orlosky, McCleary, Shapiro, & Webb, 1984). In 1911, Taylor formalized his ideas in *Principles of Scientific Management* (Taylor, 1916). Hoy and Miskel (1987) reveal the flavour of his managerial theory:

1. *A Large Daily Task*— Each person in the establishment -- high or low, should have a clearly defined task. The carefully circumscribed task should require a full day’s effort to complete.
2. *Standard Conditions*— The worker should be given standardized conditions and appliances to accomplish the task with certainty.
3. *High Pay for Success*— High pay should be tied to successful completion.
4. *Loss in Case of Failure*— Failure should be personally costly.
5. *Expertise in Large Organizations*— As organizations become increasingly sophisticated, tasks should be made so difficult as to be accomplished only by a first-rate worker. (p. 9)

Max Weber’s theory of bureaucracy (Weber, 1946) advocated the view that organizations were most efficient when there were set roles and procedures for all

participants. Typically, bureaucracy is used to refer to a specific set of structural arrangements. It is also used to refer to specific patterns – patterns that are not restricted to formal bureaucracies. It is widely assumed that the structural characteristics of organizations properly defined as “bureaucratic” influence the behaviour of individuals who interact with them (Shafritz & Ott, 1992). However, many of Weber’s bureaucratic views also reinforce Taylor’s scientific management theory.

The value of Weber’s bureaucratic form of organization is underscored by Shafritz and Ott (1992) who contend that his “analysis of bureaucracy, first published in 1922, remains the single most influential statement and the point of departure for all further analyses on the subject” (p. 31). Orlosky et al. (1984) state: “Max Weber cannot be excluded from early theorists, for his sociological explanation of organizations produced a formal bureaucratic model still used in some organizational analyses” (p. 11).

Hanson (1979) summarizes the classical period of thought this way:

the classical theorists believed that an application of the bureaucratic structure and processes of organizational control would promote rational, efficient, and disciplined behaviour, making possible the achievement of well-defined goals. Efficiency, then, is achieved by arranging positions within an organization according to hierarchy and jurisdiction and by placing power at the top of a clear chain-of-command. Scientific procedures are used to determine the best way of performing a task, and

then rules are written that require workers to perform in the prescribed manner. Experts are hired for defined roles and are grouped according to task specialization. Using rationally defined structures and processes such as these, a scientifically ordered flow of work can be carried out with maximum efficiency. (p. 9)

Social Systems Theory

The human relations movement developed in reaction to the “formal” or “impersonal” tradition of classical organizational theory (Hoy & Miskel, 1987; Orlosky, et al., 1984). Students and practitioners of management have always been interested in, and concerned with, the behaviour of people in organizations. However, fundamental changes in the assumptions about the nonrational component of human behaviour did not change until the emergence of work by Mary Parker Follett and the Hawthorne Studies by Mayo in the 1920's (Shafritz & Ott, 1992).

Classical management theory taught that the needs of the organization and the needs of the worker coincided because if the company prospered, the worker would also prosper. However, Hanson (1979) points out:

as an awareness of the basic differences between the needs of the individual (or his or her work group) and the needs of the organization grew, and as worker groups became more sophisticated in the sub-rosa skills of manipulating the production process, management technology gave birth to the “human relations philosophy” as a means of reducing conflict. The argument went that by being considerate, using democratic procedures whenever possible, and maintaining open lines of communication,

management and workers could talk over their respective problems and resolve them in a friendly, congenial way. (p. 10)

The multiple studies by the Elton Mayo team at the Hawthorne plant of the Western Electric Company began as an experiment in the mould of classical organization theory but the results redefined the problems at the Hawthorne plant as social psychological problems – problems that involved interpersonal relations in groups, group norms, control over one's environment, and personal rewards and recognition (Shafritz & Ott, 1992). The Hawthorne studies laid the foundation for the set of assumptions that would displace classical organizational theory.

Bolman and Deal (1991) describe social systems theory in the context of the human resource framework and the following assumptions:

1. Organizations exist to serve human needs (rather than the reverse).
2. Organizations and people need each other. (Organizations need ideas, energy, and talent; people need careers, salaries, and work opportunities.)
3. When the fit between the individual and the organization is poor, one or both will suffer: individuals will be exploited, or will seek to exploit the organizations, or both.
4. A good fit between individual and organization benefits both: human beings find meaningful and satisfying work, and organizations get the human talent and energy that they need. (p. 121)

The conflict between classical organization theory and social systems theory facilitated the development of the behavioural science theory of organizations.

Behavioural Science

Because the classical and human relations approaches ignored the impact of social relations and formal structure on behaviour, the behavioural science approach used both perspectives and added propositions drawn from psychology, sociology, political science and economics. The focus of the behavioural science approach is work behaviour in formal organizations (Hoy & Miskel, 1987).

The classical and social systems theories tend to view organizations as “closed systems” that are isolated and unaffected by their environment. In the early 1960’s, behavioural scientists began shifting their perspectives from a closed-systems to an open-systems perspective. Hanson (1979) states:

Open system theory conceives of an organization as a set of interrelated parts that interact with the environment almost as a living creature does. The organization trades with its environment. It receives inputs such as human and material resources, values, community expectations, societal demands; transforms them through a production process; and exports the product into the environment with value added. The organization receives a return for its efforts so it can survive. The cycle then begins once again. (p. 13)

Today, few contemporary organizational theorists accept the premise that organizations can be completely understood in isolation of events occurring externally. Hoy & Miskel (1987) argue that ‘the issue of open versus closed systems is closed, on the side of openness’ (p. 16). Senge (1990) views systems

thinking as a “discipline for seeing ‘wholes’; a framework for seeing interrelationships rather than things, for seeing patterns of change rather than static ‘snapshots’” (p. 68). Senge (1990) argues the merits of systems thinking for organizations of today:

Today, systems thinking is needed more than ever because we are becoming overwhelmed by complexity. Perhaps for the first time in history, humankind has the capacity to create far more information than anyone can absorb, to foster far greater interdependency than anyone can manage, and to accelerate change far faster than anyone’s ability to keep pace. Certainly the scale of complexity is without precedent. All around us are examples of “systemic breakdowns” ... problems that have no simple local cause. Similarly, organizations break down, despite individual brilliance and innovative products, because they are unable to pull their diverse functions and talents into a productive whole. (p. 69)

In summary, the literature records three overlapping periods of organizational thought that have reflected the society and cultures prevalent at the time. “In order to truly understand organization theory as it exists today, one must appreciate the historical contexts through which it developed and the cultural milieus during and in which important contributions were made to its body of knowledge” (Shafritz & Ott, 1992, p. 2).

Organizational Theory and Evolution of the Role of the Principal

The role of the principal has changed, in no small part, by developments in organizational theory. Organizational thought pervaded the school organization

and affected the style of leadership that was effected by principals. The differing organizational perspectives also influenced leadership selection as decision-making was influenced greatly by the prevailing theory of educational administration.

Sergiovanni (1984) contends that explicitly formulated assumptions of educational administrative theory operate in conjunction with tacit assumptions to define how events ought to be interpreted. The influence of tacit or background assumptions on administrative practice are described as:

how problems are defined, what factors are to be considered, how events are to be evaluated, which decision-making strategies are to be used, and what the standards are by which truth is to be determined can all be traced to the prevailing background assumptions of the administrator and the group in question. As the assumptions change so do the characteristics of practice. (p. 528)

Within the classical theory perspective, the “efficiency principles” espoused by Taylor (1916) are evident in the practices of principals. Sergiovanni (1984) states:

Efficiency principles persevere today as strong considerations in curriculum development, selecting educational materials, developing instructional systems, and in other aspects of educational administration. This continued interest in scientific management can be attributed to a period of economic instability and to demands for accountability felt by all public organizations. But its strength is derived from the attractiveness of efficiency and technical rationality in Western thought. (p. 529)

The influence of scientific management on leadership practices is also underscored by Wood, Nicholson, & Findley (1979) in describing autocratic leadership.

Autocratic leadership centers authority with the status leader, who in turn passes orders down the line for subordinates to follow. In autocratic leadership, communication flows from the top down, and there is little feedback communication from subordinates. In a school with an autocratic principal or supervisor, there is little or no provision for the organization of committees to improve or evaluate the school. The principal is the evaluator of the school, the students, the curriculum, and the teachers; and as an autocratic leader, is considered an expert in all fields of learning as well as an expert in administrative detail. Autocratic leadership works against our society's concept of the importance of the individual. (p. 35)

“The leadership environment as seen through the lens of classical theory emphasizes rationality, clarity, and precision. The same environment as seen through the lens of socio-political group theory emphasizes inconsistency, ambiguity, and compromise” (Hanson, 1979, p. 235). The efficiency perspective did not give adequate attention to the human side of life in educational organizations. Such issues as individual personality and human needs and such conditions as job satisfaction, motivation, and morale seemed to be clearly secondary.

The evolution of organizations into bodies with a strong emphasis on the "person" is iterated by Sergiovanni (1984) as he describes an ideal school situation through the social system's frame of reference:

an ideal school department or unit is one characterized by highly motivated individuals who are committed to objectives from which they derive satisfaction. These individuals are linked together into highly effective work groups. The work groups are characterized by commitment to common objectives, group loyalty, and mutual support. (p. 529)

The leadership required to support such work groups recognizes that it is the group that attains the goals and not the leader, that "...leadership is the performance of acts which assist the group in achieving certain ends" (Hanson, 1979, p. 234). Wood et al. (1979) describe this type of leadership as democratic and contends "the democratic leader is not one who counts hands every time a decision must be made, but rather one who arrives at a decision by utilizing his or her own competencies as an educational leader as well as the opinions of the well-informed" (p. 35).

The school, viewed from an open system perspective, is sensitive to shifts in its immediate environment. This state of flux can be a positive resource since it provides an atmosphere that can facilitate change. This dynamic interplay with the external environment is political in nature since the input and output demands in an open system are often diverse and conflicting. For example, the high school is

expected to maintain tight control over students but at the same time to teach them self-responsibility and initiative (Sergiovanni, 1984). Both these goals are desirable yet conflicting.

Leadership in an open system environment requires a principal who is concerned “with comprehensive planning so that the use of people and resources will be maximized” (Hanson, 1979, p. 14). Sergiovanni (1984) believes that in an environment of dynamic interplay a “satisficing” (p. 531) image of the person and organization is offered as a substitute for more traditional rational images. “Administrators do not seek the optimal solutions to the problems they face but seek solutions that will satisfy a variety of demands. [For example] ... In the schools the “best” reading program is not selected for children but the one which teachers will accept and implement with the minimum amount of difficulty is chosen” (Sergiovanni, 1984, p. 531).

In summary, the role of the principal may be understood within the framework of developments of organizational theory and research. This research indicates that the role of the principal continues to change in response to administrative research and theory. Recent educational concerns have pressured the province to adopt a new administrative model — School-Based Management. This collaborative approach devolves greater decision-making responsibility to

individual schools and places significant emphasis on the instructional leadership role of the principal.

Section II - School-Based Management

School-Based Management

There has been substantial social science research in the area of organizational theory and more specifically, educational administrative theory. The research and resulting theory have seen a kaleidoscope of views that range from classical theory, social system theory and systems (closed and open) theory.

While historical aspects of organizational theory continue to affect the role of the principal as we approach the new millennium, recent education reform and restructuring efforts resulting from the findings of effective schools research are primarily responsible for shaping the principalship in the 1990's. The current approach of school-based management has focussed school improvement initiatives through processes of shared or collaborative decision-making. Rakes & Cox (1994) state: "Since the beginning of the twentieth century, management philosophy has moved like a pendulum from the autocratic scientific theory to the opposite extreme of the human relations theory to the current human resources or process view of administrative decision-making" (p. 98). Sergiovanni (1984) feels that human resources theory is a natural maturation of earlier human relations

theory and compels “shared decision-making, joint planning, common goals, increased responsibility, and positive provision for more autonomy” (p. 530) by principals.

School-based management has become synonymous with “effective schools” and the province is proceeding, albeit cautiously, to implement reforms that will bring about significant change in educational practice. The crux of this restructuring is an environment that will enable school staff to create conditions in schools that facilitate improvement, innovation and continuous growth. This model includes concepts such as shared decision-making (Ambrosie, 1989; David, 1989) participatory management (Fullan, 1995; Gorton & Snowden, 1991) and empowerment (Hess, 1992; Whitaker & Moses, 1994). Bunin (1996) states that “while it goes under a number of labels -- such as collaborative school management, school based governance, and local school management - site based management is a process utilizing shared decision making in the day to day and long term running of the school” (p. 20).

School-based management involves a shared decision-making approach that encompasses all stakeholders in the school community including teachers, parents, and students. The rationale for school-based management, outlined by David (1989), is based on two well-established propositions:

1. The school is the primary decision-making unit; and, its corollary, decisions should be made at the lowest possible level.
2. Changes requires ownership that comes from the opportunity to participate in defining change and the flexibility to adapt it to individual circumstances; the corollary is that change does not result from externally imposed procedures

In practice, these propositions translate into two policies that define the essence of school-based management: (1) increasing school autonomy through some combination of site budgetary control and relief from constraining rules and regulations; and (2) sharing the authority to make decisions with teachers, and sometimes parents, students and other community members. (p. 46)

Newfoundland has recently joined the list of believers in school-based management (Sheppard & Deveraux, 1997). The recent Royal Commission (1992) has “ recognized that an essential component of educational improvement was the development of new models of administration, such as school-based management, which recognize the need for collaboration among various partners” (Sheppard & Deveraux, 1997, p. 3).

The changes being recommended by the Royal Commission (1992) are categorized in the literature as ‘restructuring’ instead of ‘reforming’ since reform tends to be top-down and disjointed in approach, whereas restructuring involves fundamental change that translates into meaningful alterations at the classroom level and ultimately impacts positively on student learning (Anderson, 1993; Conley, 1993; Corbett, 1990; David, 1991; Elmore, 1992; Krovetz, 1993;

Rothberg & Pawlas, 1993; Schlechty, 1993; Whitaker & Moses, 1994). Whitaker and Moses (1994) maintain, "At its heart, the notion of restructuring emerges from a deep-seated and growing disenchantment with the current system, encompassing both the ways in which the teaching and learning occur and the management of the enterprise" (p. 2). This is the course being charted for Newfoundland schools.

Principal as Instructional Leader

"In the beginning there were teachers. Then there were principals. The first principals were teachers. Hence, the oldest form of public school administration was derived from the classroom" (Cuban, 1988, p. 53). Since its inception as the first educational administrative position the role of the principal has continually changed from closely resembling the role of a teacher to a role quite different from a teacher (Wood et al., 1979).

Historical accounts suggest that the principal supervised the school's curriculum and instruction in addition to important, but everyday bureaucratic responsibilities. Cuban (1988) points out that "in 1841 the Cincinnati public schools dismissed schools one hour early each Wednesday to provide for practical improvement in the various studies, lessons, and qualifications appertaining to their professional duties. The principals of each school were directed to use that time to plan, organize, and implement a program" (p. 57).

While the desire for instructional leadership by principals was evident there is a dominant managerial pattern of leadership. The leadership role of the principal has been redirected from school management to instructional leadership. In fact, the main body of effective school's research and educational leadership literature has repeatedly emphasized the importance of instructional leadership in school success (Andrews & Soder, 1987; Cuban, 1988; Heck & Marcoulides, 1993; Pellicer et al., 1990; Rothberg & Pawlas, 1993). For example, a classic study conducted in 1978 by Gilbert Austin and his colleagues compared 18 high-achieving and 12 low-achieving schools in Maryland using the state's accountability data.

The research indicated that one difference between high- and low-achieving schools was the impact of the principal. In higher-achieving schools, principals exercised strong leadership, participated directly and frequently in instructional matters, had higher expectations for success and were oriented toward academic goals. (Sergiovanni, 1991, p. 76)

The research indicates certain essential behaviours that must be exercised by school leaders. They include: (a) identification and expression of a set of values and expectations that place a high priority on instruction in the total school program; (b) a clear instructional goal focus with systematic plans for accomplishment; (c) the ability of principals to share instructional leadership functions with others; and (d) maintenance of a safe and orderly school

environment that promotes learning and protects students instructional time (Pellicer et al., 1990).

Instructional leadership is not a well-defined conceptual construct (Stronge, 1993, Ginsberg, 1988). There is lack of unanimity in the definitions proposed in the literature and many definitions tend to be too broad as to encompass many principal behaviors that can only be construed as managerial. However, there are many sets of characteristics and behaviours that are purported to contribute to the instructional leader's effectiveness:

1. Hansen and Smith (1989) contend that the ultimate goal is instructional improvement and to achieve this goal the principal must provide leadership in staff development, curriculum cycle, clinical supervision and evaluation and assessment.
2. Andrews and Soder (1987) identify the effective instructional leader as one who is highly visible in the school community and performs well in roles of: resource provider, communicator, and instructional resource.
3. Donmoyer and Wagstaff (1988) contended that the most direct way for a school principal to exercise instructional leadership is through the managerial tasks he or she completes every day, such as scheduling,

articulating policies, rules and norms, hiring personnel, supervising personnel, coordinating pupil services, and managing staff development.

4. Stronge (1993) advocates that the principal's primary role be one of educational leadership and be characterized by three general dimensions of behaviour: defining the school's mission, managing the instructional program, and promoting a positive learning environment.

There exists significant disparity in the literature regarding the "best" role of the principal: manager, instructional leader or both (Cuban, 1988; Donmoyer & Wagstaff, 1988; Frase & Melton, 1992; Ginsberg, 1988; Hallinger, 1989; Pajek & McAfee, 1992; and Stronge, 1993). While the positive relationship between instructional leadership and effective schools has already been established (Ginsberg, 1988; Rothberg & Pawlas, 1993; Sergiovanni, 1991; Stronge, 1993), the role of the principal as an instructional leader is not necessarily guaranteed by virtue of the position. Perry and Perry (1991) conducted a multiple-year survey to determine how principals of smaller secondary schools spend their work time and discovered that 68% of principals said they spent less than half their time in the role of instructional leader.

In summary, the role of the school principal undergoes significant transformation when the decision-making is decentralized and schools begin

operating under a school-based management model (Delaney, 1996). This shift in control from the centralized power structure to the local school requires that the traditional managerial role of the principal evolve to encompass that of instructional leader. This shift in administrative thought requires that the principal facilitate the creation of a teaching-learning environment that fosters collaboration with the major stakeholders in education — students, parents, teachers, the community, and that the process ultimately becomes a vehicle for school improvement.

Research Questions

The efforts to improve achievement of Newfoundland students are being channelled through the School Improvement policy of the Department of Education. Given the current significance attributed to the instructional leadership role of the principal mandated through this decentralized approach, this study will attempt a two-pronged approach. The first component will focus on the level of instructional leadership that is actually present in one school that has been involved in school-based decision-making through the Department of Education's school improvement process. The study will examine the principal's and teacher perceptions regarding instructional leadership practices demonstrated in the school. A significant aspect of this study will also involve an examination of the factors that affect the instructional leadership practices of the principal.

A second component of this study will focus on the instructional leadership practices of other principals in the same school district of this province. This segment of the study will involve the distribution of a survey instrument to examine school principals' daily workload and determine through a task analysis the level of instructional leadership that is being practised in the principalship.

This study will examine five research questions:

- 1. What is the nature of instructional leadership?*
- 2. How is instructional leadership evident in the school?*
- 3. What type of activities are principals engaged in on a daily basis?*
- 4. Which principal activities are managerial and which are instructional leadership practices?*
- 5. What are the factors that affect the level of instructional leadership in the school?*

Design of the Study

Methods

“Research design, most broadly conceived, involves deciding what the research purpose and questions will be, what information most appropriately will answer specific research questions, and which strategies are most effective for obtaining it” (LeCompte & Preissle, 1993, p. 30). This study will employ qualitative and quantitative research methods.

There are many orientations and approaches to research within the qualitative realm. Qualitative research takes place in the subjects’ natural setting, and the design includes data collection methods such as participant observation, document analysis, and in-depth interviews. Specifically, social science research has changed into distinct methods over time, by focusing on different core questions and concerns (Kennedy, 1995). One such method is the ethnographic case study, rooted in anthropology, and having multiple research modes. Ethnographers use the methods of intensive fieldwork, particularly participant observation.

Marshall & Rossman (1995) emphasize the importance of the ethnographic interview in gathering the participant’s perspective through a firsthand encounter. LeCompte & Preissle (1993) define case study as “a case is the number of units --

one – studied, whether the unit is a formal organization, a psychotic child, a community, or an encounter group. Because they are reconstructions of a single culture, ethnographies are case studies, by definition” (p. 32). The sample for this case study will be purposeful, and include a school from a district in this province which has schools that are currently involved in the school improvement process and operating under a decentralized management structure. Many school districts in this province would meet this criterion. This will permit the researchers to establish the inquiry process in an information-rich location to ensure collection of relevant data.

This case study will be conducted in a school whose district espouses school-based decision making. The main source of data for this case study will be personal and focus group interviews with teachers and administrators of the chosen school. In-depth interviewing is a data collection method that is used often by qualitative researchers.

Interviews have particular strengths. An interview is a useful way to get large amounts of data quickly. When more than one person participates (e.g., focus-group interviews), the interview process gathers a wide variety of information across a larger number of subjects than if there were fewer participants – the familiar trade-off between breadth and depth. Immediate follow-up and clarification are possible. Combined with observation, interviews allow the researcher to understand the meaning people hold for their everyday activities. (Marshall & Rossman, 1995, p. 81)

The focus group interview involves a group of people, usually from seven to ten persons who have been selected because they share certain characteristics that are relevant to the questions of the study (Marshall & Rossman, 1995). The focus group interview also tends to promote discussion among participants and possibly encourages them to deliberate and explain their responses to a greater degree. As stated in Marshall and Rossman (1995):

The interviewer creates a permissive environment, asking focussed questions, in order to encourage discussion and the expression of differing points of view.... This method assumes that an individual's values and beliefs do not form in a vacuum: people often need to listen to others' opinions and understandings in order to form their own. One-on-one interviews may be impoverished because the participant had not reflected on the topic and feels unprepared to respond. Often the questions in a focus group setting are deceptively simple... The advantages of the focus group interviews are that this method is socially oriented, studying participants in a natural, real life atmosphere ... the format allows the facilitator the flexibility to explore unanticipated issues as they arise in the discussion; the results have high face validity – because the method is readily understood; the findings appear believable; it is relatively low cost; [and] it provides quick results. (p. 84)

A minimum of ten participants will be used in this qualitative study to increase credibility through having multiple data sources. All participants will be advised of the purpose of the study and asked for their informed consent to participate.

LeCompte & Preissle (1993) state: “Key informants are individuals who possess special knowledge, status, or communicative skills and who are willing to

share that knowledge with the researcher” (p. 166). A significant key informant will be the internal facilitator of the School Improvement process. This individual is responsible to promote the use of consensus in decision-making and acts as a liaison between the staff and the administration. The internal facilitator, by virtue of position, will have information-rich data regarding the purposes of the study. Other key informant interviewees that may be interviewed privately are the principal, the vice-principal, and the guidance counsellor.

The study will also have a quantitative element to complement the research findings of the qualitative data. It will employ a survey distributed to each of the principals in the chosen school district. The survey will be developed based on the research understanding of managerial and instructional leadership, and the data from the interviews of participants involved in the school case study. Issues to be addressed include kinds of activities in which principals are engaged and the time dedicated to each of these activities.

Data Analysis

Qualitative research makes use of the researcher as instrument.

Researchers, in their naturalistic paradigm are at the same time the instrument itself, the instrument administrator, the data collector, the data analyst, and the data interpreter. Qualitative research methods such as interviewing and observation depend on the human being as an instrument (Guba & Lincoln, 1981, as cited in Kennedy, 1995). The researcher, by entering into the lives of the participants, brings a range of strategic, ethical, and personal issues that are not characteristic of more quantitative approaches. In this study the researcher will deal with the issue of researcher bias through careful analysis of both qualitative and quantitative sources of data.

The use of multiple data sources and document analysis is in recognition of the researcher's view that current principal practice is not commensurate with the administrative model advanced by the Department of Education. The researcher's bias can be adequately addressed through this method.

Data to be collected from the taped private and focus-group interviews with participants will be organized according to the questions asked in the interview process (refer to appendix A). Responses will be recorded and categorized under the appropriate question category. The principal and/or vice-principal may be

interviewed separately (refer to appendix B) with responses recorded in the same fashion. Documents such as school improvement meeting and staff meeting minutes will be used to triangulate the data collected from the personal and focus group interviews.

The quantitative survey instrument administered to all principals of one school district will increase the applicability of the research findings. The data from the survey instrument will be analyzed using the SPSS software package and will assist in the appropriate classification of the daily activities of the school district principals as either managerial or instructional leadership practices or a combination of both.

Delimitations

A minimum of ten participants will be used in the qualitative data-gathering process to address the purpose of the study. The criteria used to defend the validity of this study will be credibility, transferability (generalizability), dependability, confirmability, and triangulation.

Credibility will be established by investigating the level of instructional leadership evident in a school which has adopted the administrative model of school-based management and is involved in the school improvement process. This administrative approach fosters instructional leadership practices.

Transferability will be established only to populations similar in structure to the school organization chosen. However, the focus-group sessions and multiple data sources will ensure that the findings are valid but representative only to the extent of schools of similar personnel, demographic and administrative composition.

Dependability, according to Marshall & Rossman (1994), occurs when the researcher attempts to “account for changing conditions in the phenomenon chosen for study as well as changes in the design created by increasingly refined understanding of the setting” (p. 145). A thorough accounting of the circumstances during which the study will be conducted will ensure dependability.

Triangulation will reduce researcher bias and will be established from the multiple data sources — multiple interviewees, school improvement minutes, staff meeting minutes and the school report card.

Limitations

A distinguishing feature of qualitative research design is that it is evolutionary and emergent by nature. In planning a qualitative research study the design cannot be fully specified in advance. The naturalistic and inductive nature of the study makes it inappropriate to make all of the research design decisions, such as identification of all participants.

In the design of this study the availability of a suitable site and participants is limited by time and financial resources.

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Appendix A

The following questions will be asked of the teacher participants during the interview.

1. Can you describe some of the activities or events that the principal does to create a better teaching/learning environment in the school.
2. Can you describe some of the activities or events that the principal does to facilitate the development of curriculum in the school.
3. Can you describe some of the activities or events that the principal does to facilitate collaborative decision-making in the school.
4. Can you describe some of the activities or events that the principal does to provide for staff development in the school.
5. What is your understanding of the term: instructional leadership?
6. Has school-based management and the school improvement process encouraged higher levels of instructional leadership in your school?
Examples.
7. Do you believe instructional leadership by the principal and others is desirable in this school? Explain.
8. Do you feel the instructional leadership role is a shared responsibility at this school? If so why?

9. What factors have the potential to facilitate or derail this process? Explain.
10. Do you believe that instructional leadership practices have affected the achievement levels of students? Examples?

Appendix B

The following questions will be asked of the principal/vice-principal during the interview.

1. Can you describe some of the activities or events that you engage in to create a better teaching/learning environment in the school.
2. Can you describe some of the activities or events that you engage in to facilitate the development of curriculum in the school.
3. Can you describe some of the activities or events that you engage in to facilitate collaborative decision-making in the school.
4. Can you describe some of the activities or events that you engage in to provide for staff development in the school.
5. What is your understanding of the term: instructional leadership?
6. Has school-based management and the school improvement process encouraged higher levels of instructional leadership in your school?
Examples.
7. Do you believe instructional leadership by the principal and others is desirable in this school? Explain.
8. Do you feel the instructional leadership role is a shared responsibility at this school? If so why?

9. What factors have the potential to facilitate or derail this process? Explain.
10. Do you believe that instructional leadership practices have affected the achievement levels of students? Examples?

Memorial University of Newfoundland

Folio Paper ②

**The Leadership Role of the Principal Through
Educational Change: A Review of the Literature**

August 1998

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Introduction

Education exists in the larger context of society. As society changes, education too must change (Daggett, 1990). Concerns about what the future holds for schools are widespread. "In most western industrialized countries during the 1990's and the latter part of the 1980's there has been almost universal agreement that education is in crisis and that reform is needed" (Collins, 1996, p. 33). At the forefront of public debate and behind the reforms, are issues related to the performance and achievement of students.

The Conference Board of Canada (1993) iterates some of the concern that exists about the present educational system in this country:

Canada is in the midst of an intense national debate about education and training. People from all walks of life are asking: Is the present system capable of preparing students for the reality of the 21st century? For a working life that is characterized by high technology and rapid change? For the economic, social, political, and cultural pressures that globalization implies? (p. 1)

The role of the principal has come under intense scrutiny as research has focussed attention on the relationship between effective schools and effective principals (Rothberg & Pawlas, 1993). The focus of contemporary educational reform has been expanded to encompass fundamental changes in the way schools are administered and organized. The means of achieving present reform has focussed on two initiatives, namely increasing parental involvement and

implementing school-based decision-making (Collins, 1996). Central to the desire for change was the notion of an enhanced instructional leadership role for school principals (Pellicer, Anderson, Keefe, Kelley and McCleary, 1990).

The focus of this paper is to review the literature on the change process and the role of the principal as a means to effecting change, namely, school improvement. Given recent scrutiny of the school principal for decisions that affect student achievement, this review will also examine the instructional leadership role of the principal and how the emerging practices of transformational leadership are reshaping the role of the principal in the 1990s.

The Change Process

Change, in and of itself, is commonplace in education and while time has seen many problems surface, just as many solutions are invariably enacted through sundry changes in policy. These policy changes usually result in reforms that are very top-down and piece-meal in their approach. The reforms required at this point in time is what Sarason (1990) describes as so fundamental that other changes will be induced elsewhere in the system.

Change theorists have discussed the implementation of change since the 1970s (Rossow, 1990). Hage and Aikes (1970) viewed the change process as

involving four steps: evaluation, initiation, implementation, and routinization.

Others have conceived of the process in terms of initiation, implementation, and incorporation (Bergman & McLaughlin, 1976), and Lipham (1980) synthesized previous work to develop the seven phases of the change process: awareness, initiation, implementation, routinization, refinement, renewal, and evaluation.

Even though changes invoked in an organization are varied and numerous, the change process usually can be conceptualized as involving the statement of a problem, the development of a plan, and the implementation and evaluation of the plan. However, this process may be applied very differently and therefore is situational by nature.

Conley (1993) describes changes of a fundamental and systemic nature as restructuring. Restructuring is also referred to as "changing the system of rules, roles, and relationships that govern the way time, people, space, knowledge, and technology, are used and deployed" (Brandt, 1993, p. 8). Newmann (1991) suggests that the word 'restructure' indicates that the system is so fundamentally flawed that terms such as improvement and reform are not substantive enough to describe the changes that are needed. According to Schlechty (1993)

the process of improvement focuses on doing the same things better with the intent of changing and enhancing the performance of individuals within existing systems [whereas] restructuring is aimed

at changing systems so that new types of performances will be possible and encouraged and new or different outcomes can be produced. (p. 46)

Two key features distinguish restructuring from previous reform efforts:

“it is driven by a focus on student performance, based on the premise that all students can and must learn at higher levels; and it is a long-term commitment to fundamental, systemic change” (David, 1991, p. 11). These marked differences from past reform and improvement efforts underscore a challenge greater than the education system has ever faced. David (1991) contends that in the past reforms have been implemented “one piece at a time in a system of many interlocking pieces [whereas] restructuring tackles all the pieces” (p. 11).

Elmore (1993) believes that to effect change in the structure and culture of a school one must start at the school level. This is reflective of current school-based decision making, that is, decisions should be made closest to those affected by them. Notwithstanding, change almost invariably meets with resistance and initially does not produce desired results. This is described by Fullan (1991) as an “implementation dip”, the tendency for most innovations to make things worse before they get better. Since opportunity for success or failure is ubiquitous to any change, a climate that fosters risk-taking is necessary. Pellicer et al., (1990) in

their research found that instructional leaders take risks for definite reasons because they know the positive effects that it has on others.

In summary, change is prevalent in all organizations and the process of change usually involves the identification of a problem and the development, implementation and evaluation of a plan. Present reforms must commit to restructuring – fundamental, system-wide change that is driven by a focus on student performance. The principal, as the leader of instruction, must create an environment that facilitates the implementation of change in the school.

Instructional Leadership

Successful implementation of well-planned changes in the school are facilitated through effective leadership. The leadership role of the principal has been redirected from school management to instructional leadership (Andrews & Soder, 1987; Bolender, 1996; Cuban, 1988; Hansen 1990; Pellicer et al., 1990; Wise, 1992).

Kimbrough and Burkett (1990) reported on numerous research studies of how effective principals perform, and concluded that “the principals saw themselves as instructional leaders whose main function was to provide the best possible programs for the students, including concern for providing materials and resources for the classroom and providing leadership in implementing new

practices" (p. 13). Hart and Bredeson (1996) in their review of the effective schools research concluded that one salient school-level factor accounts for much of the empirical evidence on school characteristics associated with higher-than-predicted student achievement, namely, instructional leadership.

However, some researchers are quick to point out problems with that assumption. Firestone and Wilson (1985) explain: "Research on effective schools has promoted the view that schools can be organized to improve instruction, and principals have a key role to play. Still, that optimism must be tempered by the knowledge that schools are loosely-linked organizations, where the impact of the principals on instruction is limited" (p. 25). Hart and Bredeson (1996) also highlight studies which argue that while instructional leadership practices by the principal have been attributed to effective schools, i.e. higher standardized achievement scores in mathematics and reading, that in fact, these are very narrow measures of the desired educational outcomes in schools. Furthermore, there exists a role-conflict problem for principals. "Principals daily face pressures of competing images about what their role should be, and even the best have a difficult time maintaining an appropriate balance between the tasks of managing a smooth-running school and serving as a catalyst for and facilitator of instructional improvement" (Kimbrough & Burkett, 1990, p. 16).

Wise (1992) describes the principal's new role as that of team leader rather than middle manager:

The principal must be someone who can work with teachers as peers and who can work effectively with parents and the rest of the community. So the principal's job requires facilitative and consensus-building skills. The principal is the "team leader" within the school system -- not simply an "enforcer" of rules and regulations. The principal must constantly be asking him or herself "What can I do to best support and develop my team?" (p. 53)

In fact, the main body of effective school's research and educational leadership literature has repeatedly emphasized the importance of instructional leadership in school improvement and indicated certain essential behaviours that must be exercised by school leaders. They include: (a) identification and expression of a set of values and expectations that place a high priority on instruction in the total school program; (b) a clear instructional goal focus with systematic plans for accomplishment; (c) the ability of principals to share instructional leadership functions with others; and (d) maintenance of a safe and orderly school environment that promotes learning and protects students instructional time (Pellicer et al., 1990).

Instructional leadership is broadly described by Krug (1992) along five dimensions:

1) Defining Mission

Effective schools have a stated purpose that principals clearly communicate to teachers, students, and parents. A clear sense of mission is particularly important during times when schools are undergoing structural changes.

2) Managing Curriculum and Instruction

Effective leaders actively support curriculum development and keep abreast of curricular and instructional developments.

3) Supervising Teaching

The focus of the effective instructional leader is more broadly oriented to staff development than to performance evaluation.

4) Monitoring Student Progress

Good instructional leaders need to be aware of the variety of ways in which student progress can and should be assessed.

5) Promoting Instructional Climate

Instructional leaders are responsible for creating the conditions under which people want to do what needs to be done.

Heck, Larsen, and Marcoulides (1990) advocate a model of instructional leadership which posits that principals may influence school student success through "managing the political relationship of the school to its environment,

supervising the school's instructional organization, and building a positive climate for learning" (p. 101).

Oftentimes the bureaucracy associated with change intimidates teachers and principals into staying with the status quo. It is a reality that solutions to curriculum problems often require the principal to act now and get permission later. Pellicer et al. (1990) indicate study findings that reveal principals are often frustrated with their inability to cut through the red tape and deal with school problems effectively.

[Principals] were forced to "go through the channels." In some instances, the more successful principals bypassed the red tape or acted pending approval. This approach seemed to motivate others. At the very least, it was noticed and appreciated within the school. (p. 37)

There is general agreement that principals should be strong and effective instructional leaders. However, Bookbinder (1992) declares that research and experience suggests that principals do not provide this leadership unless certain conditions are satisfied, namely:

- i) School system decision makers have reduced those obstacles that keep principals from fulfilling their instructional leadership role.
- ii) Instructional leadership is understood and observable, and therefore able to be implemented.
- iii) The assessment of instructional leadership behaviours results in reliable and valid information, and provides the principal with useful development data. (p. 40)

The principal who is an effective instructional leader clearly envisions the school's purpose and what it seeks to accomplish. Change is invariably a consequence of goal-setting and requires that "a vision, direction, or intention be clearly articulated" (Schlechty, 1993, p.48). Determining the direction in which to proceed will involve an analysis of the values and beliefs system of all stakeholders in the school community. In turn, this encourages the staff, students, parents, and community to arrive at a sense of common and shared purpose and unites all the school's activities (Bookbinder, 1992). The notion of involving all stakeholders in articulating change underscores that "visioning is a joint process" (Miles & Louis, 1990, p. 59). Bolender (1996) states: "Visioning unlocks the will to change; practice, feedback and reshaping unlock the skill to effect change; combined they unlock the energy to empower the change process" (p. 15).

Fullan (1991) proffers ten guidelines to principals who would successfully lead their teachers toward and through change, which include instructional leadership practices such as, taking risks, empowering others and building a vision (pp. 167-168).

In most instances highly-motivated, goal-oriented individuals serve as the initial change agent. However, lasting change requires more than the efforts of a

single individual. Consequently, introducing lasting change will require the cooperation and support of a variety of people (Gorton & Snowden, 1993).

This finding is consistent with an observed characteristic of instructional leaders, namely, sharing responsibility for instructional leadership. Instructional leadership is not limited to school principals. "Leadership in the restructured school is provided by many individuals, as opposed to one authority figure, and teachers function as a community of scholars helping one another through discussions, coaching and reflective activity" (Rothberg & Pawlas, 1993, p.73).

The sharing of responsibility empowers teachers; they act and are treated as professionals (Maeroff, 1988). Dubrin (1995) states that empowerment is "the process of sharing power with team members, thereby enhancing their feelings of personal effectiveness" (p. 21). Empowerment is dependent on giving teachers the opportunity to have meaningful input in the decision-making that affects the development of programs, climate, and curriculum within a school.

In summary, the instructional leadership practices of the principal are a reliable predictor of student achievement and are a key factor in any change within schools. Without the principal, it is unlikely that meaningful change will truly occur. The effective principal must be a change agent and exercise instructional leadership by defining the school mission, managing curriculum and instruction,

facilitating staff growth and development, monitoring student performance and promoting an instructional climate. This is best accomplished when the principal is facilitative and shares responsibility for instructional leadership.

However, leadership will not be effective if limited to one person. Sharing instructional leadership encourages teachers to take functional leadership in areas that they have expertise and will impact positively on student performance. The team approach empowers staff and provides a shared vision of school improvement.

Transformational Leadership

Leadership is the pivotal force behind the creation and survival of organizations, necessary "to help organizations develop a new vision of what they can be, then mobilize the organization change toward the new vision" (Bennis & Nanus, 1985, p. 3). This, however, will require a new type of leader: "the new leader ... is one who commits people to action, who converts followers into leaders, and who may convert leaders into agents of change. We refer to this as transformative leadership" (p. 3).

Leithwood (1992) views the central purpose of transformational leadership as the enhancement of individual and collective problem-solving capacities of school staffs; such capacities are exercised in the identification of goals to be

achieved and practices to be used in their achievement. Transformational leaders are those “who bring about positive, major changes in organizations” (Dubrin, 1995, p. 62).

Organizational effectiveness and leadership are inextricably woven (Sheppard, 1995). The effective schools literature is replete with examples of principals as change facilitators and demonstrates “that the principal is considered to be a prime factor in the process of change and school improvement” (Hall & Hord, 1987, p. 51). Sheppard (1995) contends that a primary role of the transformational leader is to engage in behaviors that create a school climate or ethos that is conducive to such school improvement. Leithwood (1992) states that if school culture is to be focused on a school ethos of collaboration, professionalism, and shared vision, then the principal must be transformative.

Transformative leadership is leadership for change (Brown, 1993). Leithwood and Jantzi (1990) summarize the role of the transformational leader as one that involves: helping teachers develop and maintain a collaborative, professional school climate; helping them solve problems together more effectively; and fostering teacher development. When the principal acts as a change agent in accordance with the transformational leadership framework, which

espouses sharing leadership and collaborative decision making, change is possible (Sagor, 1992; Sergiovanni, 1990a; Sheppard, 1995).

Transformational leadership is not about leadership style but about the 'transforming' influence on professionals in schools. Sagor (1992) suggests that the three building blocks of transformational leadership are a clear and unified focus, a common cultural perspective, and a common push for improvement.

Today's schools are in need of what Fullan (1991) refers to as second order change, which seeks "to alter the fundamental ways in which organizations are put together, including new goals, structures and roles (p. 29). Transformational leadership provides the focus for such changes. Leithwood (1992) explains:

The collective action that transforming leadership generates empowers those who participate in the process. There is hope, there is optimism, there is energy. In essence, transforming leadership is a leadership that facilitates the redefinition of a people's mission and vision, a renewal of their commitment, and the restructuring of their systems for goal accomplishment. (p. 9)

In contrast, transactional leadership is concerned primarily with managerial efficiency and is based on an exchange of services for various kinds of rewards that the leader controls. Transactional leadership practices identify what needs to be done to attain a desired objective and may increase follower confidence and motivation but do not necessarily stimulate improvement (Leithwood, 1992).

Notwithstanding, transformational and transactional leadership practices are viewed as complementary. Bass (1985) sees transformational leadership as containing transactional components: contingent reward and management by exception, in addition to the transformational components: charismatic leadership, individual consideration and intellectual stimulation. Bass (1985), Sergiovanni (1990b) and Sheppard (1995) see transactional practices central to maintaining the school but it is the transformational practices that provide the incentive for people to attempt improvements. Supervision and management practices that characterize transactional leadership are crucial to the smooth operation of schools. However, any real improvement in collaboration, teacher development and problem-solving that will cause systemic changes will require transformational leadership.

Sheppard (1995) reported that the appropriateness of transactional leadership with emphasis on supervision and management, or transformational leadership with emphasis on administration and leadership is dependent upon the environmental culture and the degree to which current educational practices are valued. He finds that "while one aspect can be emphasized in a particular environment, a balanced approach must be maintained" (p. 11).

Leithwood (1994) outlines a synthesis of transformational leadership practices categorized as follows: develops a widely shared vision for the school;

builds consensus about school goals and priorities; holds high performance expectations; provides individualized support; follows through on decisions made jointly with teachers; models good professional practice; distributes the responsibility and power for leadership widely throughout the school; strengthens school culture by (a) clarifying the school's vision for teacher collaboration and for the care and respect of students; and (b) sharing with staff norms of excellence for both staff and students; and engages in frequent and direct communication, using all opportunities to make public the school vision and goals.

Leithwood (1992) contends that transformational leadership encompasses strategies for altering power relationships in schools and therefore should “subsume instructional leadership as the dominant image of school administration, at least during the ‘90s” (p. 8). These strategies include implementing school-site management, increasing parental and teacher participation in decision-making, and enhancing opportunities for the exercise of teacher leadership. However, he also believes that successful first-order changes associated with instructional leadership often depend on supports provided through significant second-order changes that are associated with transformational leadership.

Instructional leadership focuses on improving the technical, instructional activities of the school through the close monitoring of teachers’ and students’ classroom work. Yet instructional leaders

often make such important 'second-order changes' as building a shared vision, improving communications, and developing collaborative decision-making processes. (p. 9)

Current educational restructuring initiatives are of the second-order nature and require leadership with a similar focus. Sheppard (1995) and Leithwood (1992) also acknowledge that instructional leadership behaviours contribute to the attainment of the fundamental goals of the transformational leader. In fact, the more recent "broad" images of instructional leadership contain the central dimensions of transformational leadership. However, further research is required "to explore the relationship between instructional leadership and the practices of transforming teacher and student attitudes and beliefs through the redefining of educational goals in an atmosphere of collaboration and commitment" (Sheppard, 1995, p. 11).

In summary, the history in North America of attempts to change schools suggests that significant and lasting school improvement can seldom be prescribed, mandated, or directed by agencies or individuals outside the school. Schools therefore, must assume the responsibility of implementing changes that will improve the achievement of students. It is the principal who is the crucial implementor of change. In other words, any proposal for change that intends to

alter the quality of life in the school depends primarily on the transforming leadership of the principal.

The strong support for emergent leadership practices in this tremendous period of reform is readily evident. The new educational leader in schools is one who commits people into action, who works hard to develop latent leadership qualities in others, who converts these new leaders into agents of change. These behaviors constitute a transformational image for principals which is central to the more recent broad images of instructional leadership.

Conclusion

In this paper, it has been shown that the change process will require the principal to possess the qualities of an instructional leader and that of a transformational leader. It is necessary for the instructional leader to supervise and evaluate instruction, coordinate the curriculum, monitor student progress, protect instructional time, frame the school goals, provide incentives for teachers and for learning, and promote professional development. However, these actions alone are not sufficient. One must also have the qualities of the transformational leader to be successful in collaboratively defining the essential purpose of teaching and learning and then empowering the entire school community to reach set goals. In this environment teaching and learning is transformative for everyone involved.

Furthermore it may be said that instructional leadership and transformational leadership, as described in the literature, often overlap. For example, building a shared vision, improving communication, and developing collaborative processes to empower others are within the domain of instructional leadership but are linked with second-order changes that can also be transforming to others. This intertwining of instructional and transformational leadership is indicative of the complexity inherent in school systems. The potential transforming characteristics of instructional leadership and the effectiveness of the principal are probably more closely linked to the interpretation of the activities in which principals engage. Effective leaders tend to find opportunities in all areas of leadership to meet the unique needs of the school community.

Governments, at all levels, in attempting to restructure the delivery of education, have already felt the difficulty inherent in the change process and all advocates of second order change should be cognizant of the time-frame involved, and the resistance to change that will occur. Realizing that there are no quick fixes to systemic problems may provide the initiative and patience to enact lasting change which will impact positively on levels of student achievement.

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Introduction

All provinces in Canada have been undergoing educational change as governments search for ways to promote more effective and cost-efficient schooling. The Newfoundland Education system is presently embroiled in a tremendous period of change that targets the delivery of educational programming to primary, elementary, and secondary students. At the forefront of educational debate and behind the reforms are issues related to performance and achievement of Newfoundland students.

The agents of change are the stakeholders in the education process. The provincial government, with increasing pressure from the public and special interest groups, is demanding greater accountability for the educational dollar that is invested in the business of schooling. There exists in this province, "concern about the quality and direction of schooling" (Williams, 1992).

The focus of present restructuring efforts was the development of new models of administration with an emphasis on collaboration among the various partners in education as a vehicle for school improvement (Sheppard & Devereaux, 1997). The emphasis on greater productivity through the involvement of all stakeholders in the education process has placed great demands on the principal. Primarily it has created the expectation of an enhanced instructional leadership role for school principals (Heck & Marcoulides, 1993; Stronge, 1993).

The focus of this paper is to examine the implementation of a change process at one school to improve student performance, particularly the performance of students requiring special education services. This paper will also detail the leadership practices of the principal in the implementation of this change and how the leadership approach is supported by the literature. The site for this analysis is the school in which the researcher is the principal.

The Process of Change

No one concept appears more consistently in the literature on instructional leadership than the importance of beginning change with a strong sense of vision (Doiron, 1994; Pellicer et al., 1990; Rothberg & Pawlas, 1993). Rothberg and Pawlas (1993) contend that “creating a vision for a school and maintaining that vision through planning and implementation is not an easy task, but successful leaders will accomplish this goal. One cannot lead others without a vision of where the organization is going.” (p. 74). That change is not an event but a process has been established in Paper 2. The change process in this school was conceived as involving the statement of the problem, analysis of the problem, the development of a plan, and the implementation and evaluation of the plan.

The restructuring efforts proposed for this school required change of the theoretical belief systems of the school staff. For example, tradition held that

parents supported the school through volunteer efforts such as fundraising, corridor supervision and teacher assistance. However, as a school we were striving for second order change as described by Sarason (1990) which seeks to alter fundamental ways in which organizations are put together, including new goals, structures and roles. The desire in the school was for parents to become involved in the decision-making process at the school. However, Fullan (1991) cautions that if changes do not involve any real difference – increased student learning, then it has been for nought.

Background

Ocean Academy exists in the rural community of Black Harbour and is serviced by the six communities in the southern area of the electoral district of Hibernia. The major employer of the area continues to be the regional fish plant and a significant other being the forest industry. Other employment is government based and, because of the condition of the fishery, the area has seen a significant out-migration of people and their families. This has impacted heavily on the school along with an already declining enrolment. As of September 1997, the school population was 254 compared with 320 in 1991. The declining enrolment would have been larger except that there has been a substantial number of social service based families that have migrated to this area, particularly Black Harbour.

This town has become a "magnet" community for low-income families since a major Newfoundland and Labrador Housing Corporation building project four years ago. This combined with an already burgeoning lower-income sector finds us with approximately 55% of our students coming from very low (social assistance) to low-income families.

The school has a total of 21 full time and 0 part time educational staff which includes 17 classroom teachers (including 1.0 administration unit) and 4 special services personnel. Special services personnel are: 0.5 guidance counsellor, 0.5 learning resource teacher, 2.0 special education teachers, and 1.0 challenging needs unit as well as the support of 1.0 student assistant. In addition Ocean Academy has access to district office support staff including an educational psychologist.

The Problem

The ultimate goal of educational change is enhanced student learning and increased student achievement. This was the context for proposed changes in the school regarding low achievement scores in the basic skill areas of reading and writing. In particular, through change we have been attempting to address the desperate needs and performance outcomes of "special education" students.

Special education students are categorized as either categorical or non-categorical special needs students. Categorical special education includes visually and hearing impaired students and 'challenging needs students' who have documented severe mental or multiple handicaps and generally spend most of their school day in a special class. Non-categorical special education includes students who have special educational needs but who do not meet the criteria for any of the above designated categories of special need. These include students with mild and moderate cognitive delay, learning disabilities, behaviour disorders and other learning problems (Canning, 1996). Schools are allocated Special Education teaching units for categorical and non-categorical students on the basis of prescriptive formulas.

The change initiative for this school has primarily addressed the non-categorical special needs students with particular emphasis on low-functioning (mild and moderate cognitive delay) special needs students. The vast majority of students that have been assigned non-categorical status have a reading difficulty only and, as Canning (1996) indicates, "nearly half the students on special education teacher caseloads in this province have a reading difficulty only, and do not have a specific learning disability or impaired cognitive functioning"(Canning, 1996, p.24). While there may have been some confusion over the placement of

these students and whether they were the responsibility of the regular classroom teacher or the special education teacher, the seriousness and extent of the problem were borne out in the low achievement levels. Notwithstanding internal jurisdiction, the school was still charged with the responsibility of meeting their needs.

Lack of the required competencies in reading and writing had caused considerable concern at all levels, since it was a reality that significant numbers of students, usually special education students, were being advanced through our system until they reached the senior high level (Grade 10). At this time special education students were slotted in the lowest academic route and usually spent a minimum of four years to complete the program. In too many instances the program was not completed and students withdrew. School statistics show that in the past five years thirty-six students have dropped out of school, with a high of ten students four years ago and three to four per year since 1994. This exceeds the provincial average but, statistics aside, our school did not want to lose any students to this form of attrition.

A major criticism of student advancement was, and continues to be, that students did not gain the minimum required skills in reading and writing, yet they assumed responsibility of those skills by being in the next grade level. In most

instances the constraints of the physical plant (i.e. room size) prevented retaining students, even if the best interests of the child were served. In any event retention was rarely an option and the Grade 10 class of 1994 was testament to the problem that existed. Thirty-two students were registered in Level I and twelve of those students had serious reading and writing difficulties. Local assessments administered by school personnel found many of these students operating three to five grades below level.

Analyzing the Problem

Ocean Academy was not meeting the needs of the school community, in particular students with special needs, and required fundamental changes in program and its delivery to these students. As outlined in Paper 2 it is evident that the principal is the pivotal player in facilitating change or maintaining the status quo. However, the efforts of the principal must be complemented by others in the school community to ensure increased student performance.

As a school we have endeavoured to avoid complacency through improvement initiatives of individual teachers, with recognized advocacy at the school and district administrative level through various means such as budgeting and Program Incentive and Development Grants. However, lasting change requires more than teachers or administrators acting in isolation.

This finding is consistent with an observed characteristic of instructional leaders - sharing responsibility for instructional leadership. Principals become a leader of leaders through a participatory management model which empowers teachers, parents and the community to improve student learning (David, 1991).

This collaborative model of instructional leadership, arising from the school effectiveness movement, has been advocated in Newfoundland schools by the Department of Education through a structured school improvement process – Challenge for Excellence. In this continuous improvement model the principal involves teachers in the decision-making process through a consensus-building approach. This approach facilitates the institutionalization of change at both the individual and organizational level and ensures collective movement towards a shared school vision.

Initial involvement of our school in the school improvement process required an analysis of our school profile. This examination revealed a need to raise achievement levels in the areas of reading and writing. The results of the national (Canadian Test of Basic Skills) and provincial (Criterion Referenced) assessments in which our school participated from 1986 - 1992 revealed deficiencies, particularly in these areas. For example, CTBS results for tests administered in grades 4, 6, and 8 during that time, place our school considerably

below the average provincial percentile rank, with the exception of Grade 4. The 1992 results for Grade 4 were unusually high because there were only four Grade 4 students that year. Other reading scores of a criterion-referenced nature do not show a significant difference from district and provincial scores but the school still tended to place below district averages. Given that reading competency is required for success in most areas of the curriculum, it is assumed that depressed reading levels affect the outcomes of other student assessments. Generally, performance outcomes of students place the school below or at par with the district and province.

At the same time, individual teachers with the support of the administration were involved in innovative projects that were exposing students to enhanced learning experiences. For example, the school was a leader in the area of technology, and implemented a computer literacy program for grades 4 - 9 in 1989. As a result of our efforts in the area of computer technology we were invited to participate in national telecommunications projects. These efforts, while providing enriched learning experiences for our students, did not address the problem of depressed student competencies in reading and writing. Analysis of the situation and the performance indicators pointed to several contributing factors.

The first of these factors was the low readiness levels of kindergarten pupils. Students who were registered in our school for kindergarten were coming from varied backgrounds but many were not prepared for school i.e. low competencies in letter and number recognition. These students came from families in a very low income bracket. This is consistent with the findings from Canning's (1996) report, *Special Matters: The Report of the Review of Special Education* which concludes that "demographic indicators imply that the majority of these children who need assistance are from poor families. The main reason for this seems to be that they do not learn to read in the early years of school and then fall increasingly behind their classmates" (p. 12).

The second factor that negatively impacted on the special needs students was the allocation of special education teachers. Special education teaching units are allocated to schools in the district on the basis of enrolment. The number of teachers was primarily arrived at through government formula. Seven non-categorical special education teachers were assigned per 1000 students. This meant that even if schools demonstrated need it was very unlikely that the district could allocate more resources. Student needs in the school, ironically those assessed by district personnel, far outweighed the human resource capabilities allocated through government formula.

Thirdly, the deployment of the special education units contributed to low student performance levels. The school administration, in consultation with special education teachers and regular teachers, determined how the special education time was deployed. This consultation process was carried out at the beginning of the school year and need was the most significant criterion in the decision-making process.

The approach to deployment varied with the grade; usually special education teachers were involved in team-teaching in the primary and elementary, taught Mathematics and English to separate groups of regular special needs students in junior high and often taught non-academic courses in Mathematics and English in the senior high.

Student progress using this approach was minimal. Student success at the elementary level was achieved to a greater degree since the team-teaching strategy promoted a more structured approach. The experience at the junior and senior high levels was quite the contrary and did not address the learning problems of these students.

Five years ago a partial solution emerged through staffing decisions by the former principal and since that time there has been significant progress. During that process teachers who were experiencing burn-out in their assignment with

special education students were transferred to the regular classroom and highly trained, motivated special education teachers were hired. However, the effects of the recent past are still being felt in the system as students already years behind their peers advance into the senior high program.

If the situation persisted, these students would not reach their academic potential. The majority are low functioning but it is the consensus of school staff that if intervention strategies had been implemented before and during their initial arrival at school, the present situation could have been much more positive.

Lack of involvement by the home and ineffective remediation practices all tended to contribute to a school culture that promoted mediocrity. It is the opinion of this observer that the situation was unknowingly the circumstance since the vast majority of the staff were competent and committed teachers.

As a school we were unable to inspire and provide the supports for many students, in particular special education students, to reach their full academic potential. The pursuit of academic excellence was limited.

Development of the Program

The focus of this change process would require effective leadership at the school level. As stated in Paper 2 the effective principal would be one that maintained a balanced leadership approach. For improvement to occur in this

school there was the realization that the principal as instructional leader must direct efforts towards improving the delivery of special education services in the classroom. This would also include increased monitoring of student and teacher performance in the classroom. However, to effect lasting change the principal must ensure that the transforming practices of collaboration, teacher development and shared vision were used to induce second-order change in the school.

As principal it would be my responsibility to create and facilitate an environment in which the necessary changes could take place. The resulting transformational and instructional leadership practices would result in increased parental involvement, foster greater ownership of school decisions and impact positively on student performance.

Parental Role

The major stakeholder in education in this province, the parent, has been disenfranchised in most educational policy matters (Williams, 1992). This finding by the Royal Commission into the delivery of education in this province has spawned legislation by the government of this province to increase parental involvement in the schools through School Councils. A School Council will be instituted for each school and composed of elected persons that include a minimum of three parents, thereby ensuring parents a voice in the decision-making process.

The principal, by virtue of position, is a member of the School Council and through legislation is directly charged with the responsibility of ensuring the efficacy of the School Council. Other members of the School Council include a minimum of two teachers, two community representatives and one senior high student if applicable.

There is widespread endorsement of parental involvement in schools. Epstein (1987) noted that "research findings accumulated over two decades ... show that...parental encouragement, activities, and interest at home and participation in schools and classrooms affect children's achievements" (p. 119).

At Ocean Academy student achievement in the areas of reading and writing were being affected by the preparation they received for school. Sewall (1991), best summarizes the situation in commenting:

Some children come to school brimming with the tales of Beatrix Potter. Others have never seen a book, cannot identify colors, and need medical attention more than arithmetic. Education always interacts with home values, and its success turns on habits, beliefs, and notions of acceptable behavior (p. 208).

Since a significant number of kindergarten children were from families of low economic status, our school had more than its share of children who required fulfilment of basic needs such as food and clothing before teachers could consider student achievement in the classroom.

To address this problem, while also recognizing the need for sensitivity, financial support was provided by local organizations, at the request of the administration, to meet the needs of the affected children. A breakfast program was established, intent on targeting those students who were in most need, but to ensure student anonymity the program was promoted for the entire student body. This removed the stigma attached to such programs and maximized access to the students with genuine need. Culyer indicates that "many children arrive at school unfed, half asleep, ill prepared, and poorly motivated (Culyer, 1985, p. 132)", and as a school we felt that children whose basic needs are met, are children ready to learn.

To attack the problem of low student achievement levels through parental involvement in the school required the formulation of a plan. The plan objectives were two-fold: 1) to improve and increase the frequency of existing communications between the home and school, and 2) to create formal procedures to ensure regular participation of parents in school level decision-making and direct involvement in the education of their child.

Shared Vision

The goal of increased student achievement required the principal to play a crucial role in creating a learning environment that is conducive to meeting the

needs of students with learning difficulties (Canning, 1996; Hajnal & Stanviloff, 1996). Therefore, the responsibility of programming is vested in the principal who must ensure that the needs of all students are being met. In the past, the special needs students of our school were subjected to a program that was scratching the surface and not meeting their real needs. Our school was allocated special education units by the district and they were being deployed but the individuality of students was rarely a consideration. The administration, not having any training in the special education area, relied on the special education teachers to know what was best for the students. The teachers, at the time, were less than diligent in their efforts and therefore the entire process was only a token effort in meeting the needs of special education students.

In facilitating positive changes in the area of special education “principals must ensure that a vision for the school is in place, facilities are adequate, resources are allocated, staff roles are defined, staff development is encouraged, and effective decision-making processes are in place” (Hajnal & Stanviloff, 1996, p. 4). The building of a vision does not imply that the principal mandate one. Vision setting is a collaborative process that involves the collective staff group. Special education students of our school and their needs were not part of the existing vision and it was incumbent upon the principal to ensure inclusion. The

underlying motivation for me, as principal, was to build a vision of special education that was truly shared and internalized by all teachers in our school.

The principal as the instructional leader of the school must demonstrate commitment through actions supportive of the established vision. Underlying this vision for special education students in the school must be the assumptions: 1) all children can learn; 2) all children should be educated in the least restrictive environment; and, 3) the responsibility to meet the needs of special education students rests with the entire school community.

Working towards a common vision empowers teachers to make and support decisions they feel enhance teaching and learning environments and are conducive to increased achievement levels for students with special needs. A positive disposition by the principal, and the importance he/she attaches to equal opportunity for all to succeed, will imbue teachers with a sense of confidence that goals for special needs students are realizable and important.

In the Canning (1996) report "principals reported having had little if any professional preparation for planning and administering special education. Their pre-service training rarely included anything directly related to special education services. Even principals who have graduate level training have not been required to take courses related to special education" (p. 231). This was the situation that

faced our school as well; but, as principal, the realization of the need for a more effective delivery of special education services was motivation to get involved.

Special Education teaching personnel were hired to provide an infusion of focus and energy for learning and were instrumental in imparting a deeper understanding of special education students and their needs, not only to the principal, but to the entire teaching staff. Even without extensive experience in special education, principals who believe that it is their responsibility to support students with special needs will search for ways to learn about their role. As principal, I determined that my role would involve active participation in the Special Education Program Planning Team and the unequivocal support to provide for the needs of special education students.

This support also took the form of instructional supervision in the area of special education. Since my background training did not include special education training I relied heavily on the newly appointed Special Education Department Head. Sharing leadership with such competent, dedicated personnel facilitated achievement of our goals and objectives for students, and for teachers for whom competency issues had arisen.

Implementing the Program

Implementation of an innovation requires extensive planning for positive changes to occur. The presence of an organized plan will include comprehensive strategies to minimize resistance to change. Thorough planning complemented the desire for a collaborative approach to tackling problems in the school. Team building was an integral component of school improvement efforts.

The hierarchy of power, with the principal as “boss”, was being discarded in favour of an inverted hierarchy where the school community, that is, students, teachers, and parents, provide meaningful input and is the driving force behind improvement efforts.

Initially, the school district sponsored professional development in the area of team building. An external facilitator, from the school district, was assigned to the school and led inservice activities designed to examine the characteristics and roles of school improvement teams. They included shared vision, open communication, appropriate working methods, evaluation and refinement of objectives. Special attention was given to problem solving strategies and consensus building.

The following action plan outlines the route chosen to increase the levels of parental involvement, collaboration and teacher empowerment to impact positively

on student performance. It should be noted here that this process is ongoing and subject to further change as results are evaluated through the school improvement process.

Step 1 – Awareness of Parent Satisfaction Levels

The level of parent satisfaction with the school was determined through the administration of a Parent Satisfaction Survey. Survey instruments of this type can be purchased commercially or if the correct instrument cannot be found then it can be constructed by local personnel. Feedback from this survey indicated the satisfaction levels of parents and the direction parents desired for our school.

Step 2 – Increase Parental Access to School Information

A communications system was approved for implementation to enable parents contact with the school on a daily basis to gather information regarding the activities of their child. To that end, a school-business partnership was secured with Northern Telecom and Newfoundland Telephone, along with involvement from the community, to provide a technological solution, namely, a voice mail system. This system provides each parent with an electronic mailbox that contains only pertinent information for parents regarding their children.

Parents monitor assigned homework, upcoming test dates, and keep abreast of current topics in the classroom by using the telephone to connect to their

electronic mailbox. This accountability for the student has meant greater homework completion rates and in general students performed better on teacher evaluations such as assignments, projects and tests. The use of voice mail has also increased the accountability for teachers who must provide information for parents on a daily basis.

Step 3 – Parental Involvement in Educational Programming

Parent representatives have participated in committees that make decisions related to educational programs. Participation has also included direct involvement in learning programs. For example, parental commitment to ensure that the child reads at least one book per week. This may also include formal mechanisms to ensure that suggestions, complaints, and praises are not lost but communicated regularly to the appropriate individuals or groups.

Step 4 – Reading Intervention Initiatives Through School Improvement Process

Through a collaborative process the staff identified reading difficulties as the greatest priority at all levels, but especially for non-categorical special education students. The School Improvement process resulted in the establishment of the Reading Initiatives Action Team to examine the general reading and writing levels of students and enact, in cooperation with the administration, a plan to raise

the reading levels of all students but particularly those with reading difficulties. As a result, the Reading Initiatives Action team promoted the following: 1) the Drop Everything And Read (DEAR) program which encouraged all persons in the school building, namely, students, teachers, support personnel, and administration, to take the first 15 minutes of each school day to read for pleasure; 2) K - 6 students participated in the Cabot Classic Reading Challenge. A neighbouring school challenged the school to have students sign a contract to read a certain number of books in a specified period of time; 3) the Accelerated Reader Computer Monitoring Program was used to track student progress in reading comprehension through computer generated tests. A significant number of reading resources were purchased for use with this software program; and, 4) the administrative finance team allocated financial resources for the purchase of reading materials and resources for all grade levels. Emphasis was on materials that complemented the thematic approaches in K - 6.

Other initiatives, though not necessarily under the auspices of the Reading Initiatives Action Team, included early intervention strategies that targeted the primary students, especially grades K - 1. A pre-school program had been in operation at the school for the past 15 years but the scope and breadth of this program had increased significantly since 1995. Pre-school children are now

involved in educational programming for an afternoon per week (two hours) for the duration of the school year.

A pilot full-day kindergarten program was implemented in 1996 to allow further contact time between the teacher and students. The focus of this program was two-fold: to provide additional instructional time to combat the deficiencies some children bring to their kindergarten experience; and, to enrich the learning experiences of students who need to be challenged outside the regular program. In both the pre-school and kindergarten program parents were encouraged to be active participants in the classroom.

Step 5— Special Education Program Planning Team

A Program Planning Team comprised of the principal, Special Education Department Head, special education teacher and guidance counsellor was formed to monitor the delivery of special education services in the school. This collaborative approach was consistent with that advocated by Canning (1996) who recommended the formation of a team “to determine the educational needs of each student identified as requiring special education services and to decide what learning environment would be most conducive to the student’s success” (p. 19).

All students requiring special education services, usually upon the referral of the classroom teacher, are placed in the least restrictive environment. This can

involve placement in the regular classroom under the team-teaching approach, a group of students in a separate classroom setting with the special education teacher, or small groups under direct instruction by the special education teacher.

A significant role for the program planning team had been diagnostic in nature. In the past, students may have been receiving special education services but the nature of the educational need was rarely fully identified, especially students with learning disabilities. The current approach involves consultation with the educational psychologist in the determination of specific learning disabilities and levels of cognitive functioning. This process also takes place much earlier in the student's career with screening occurring in kindergarten to determine the level of readiness of each child. There was significant emphasis on early intervention. In addition, the Program Planning Team had taken the responsibility of implementing, in conjunction with the classroom teacher, the recommended instructional strategies to best meet the needs of the student. This included: 1) modification of evaluation strategies to include scribing or oral testing for learning disabled students, and 2) modification of course objectives or provision for alternate programming at all grade levels.

The new approach was not without opposition from students and teachers, and required persistence from the Program Planning team to ensure that student

interests were being served. Support from the administration was critical to ensure that the new approach was effectively implemented. The greatest challenge was in educating the regular classroom teacher and ironically, some special education teachers themselves.

In the implementation of this plan, the school started slowly. All proposed initiatives did not begin simultaneously but were phased in as feedback indicated that it was appropriate.

Evaluation of the Program

During the implementation process, the administration had ensured adequate provision for staff and parent development and feedback from participants. This feedback then provided a reference or framework for continued development and implementation.

Parent/Teacher Voice-Mail Training Sessions

The introduction of the voice-mail system meant significant responsibility for teachers and parents. Since the innovation was technological in nature, it had potential for negative reaction from technophobiacs whether they were teachers or parents. Therefore, adequate training in accessing the voice-mail system had to be provided. Since a school-business partnership had been struck to implement the system, local telco personnel along with the administration assisted in the training.

Since teachers were the primary dispensers of information to the system, it was crucial that this group felt reasonably comfortable in their use before parents became participants. This approach reduced the frustration of both groups and minimized negative feedback from parents at the outset.

After teachers were comfortable using the voice-mail system for intra-school communications then parent-training sessions proceeded. To ensure that all parents had opportunity to participate, information sent home indicated that the school would be flexible in scheduling training sessions. The school had to be prepared to meet parents on their terms. This included, aside from group training sessions, alternatives such as individual visits to school, inservice over the telephone and visits to the home.

Special Education Teacher Training

Increasing student achievement is a function of the effectiveness of instructional strategies. Students in general and students requiring special education services in particular, must have appropriately trained teachers to meet their educational needs. In Newfoundland schools this is not always the case. Canning (1996) reports that only 50 percent of teachers assigned under the non-categorical and challenging needs provisions have an undergraduate degree

preparation in special education and this is further exacerbated by lack of training on the part of administrators.

In this school the majority of students requiring extra assistance had reading difficulties and an increasing number of students were being diagnosed with learning disabilities. Given that students in special education degree programmes have not been required to take courses in reading and learning disabilities, it was fortunate to have lead personnel who kept abreast of current theory and practices and were willing to share their expertise through local inservice. The administration also advanced the time and financial resources to ensure that teacher training occurred. Resistance to the new approach was evident from some high-school teachers who felt that for many of these students the problem was work ethic, not learning disabilities.

Fullan (1991) suggests, preparation for a change is important but oftentimes the change may have to proceed while there are still apprehensions and questions. If behaviors can be changed first, then attitudes can be worked on later, when participants feel more comfortable using the new approach.

Feedback

Crucial to the implementation of any innovation is finding out how well it is working. Fullan (1991) indicates that evaluation is necessary for further

development. Therefore, in the process of evaluation it must be determined if the changes impact positively on student achievement levels.

Evaluation was both quantitative and qualitative in nature. The qualitative form involved the administering of a parent satisfaction survey after the innovation had been in place for a specified time. Teacher satisfaction was also measured through formal (survey) and informal (staff meetings) means. Quantitative measures involved determining the frequency and level of parental contact with the school and comparing this with the statistics prior to use of the innovation. A recent survey completed by the Communications Action Team showed that 90% of K- 6 parents, and 60% of 7 - 12 parents used the voice-mail system on a regular basis and found it to be an effective means of keeping in touch with the school. Some parents of senior high students indicated that their use was limited since they felt that their child was performing quite well in school and were mature enough to handle their course responsibilities independently.

Teacher reports, standardized and criterion-referenced tests are indicating that the implementation of school improvement initiatives through collaboration and teacher empowerment are increasing student achievement levels. Recent CTBS scores in particular reveal that students from the school are well above the provincial average. However, aside from these sometimes questionable measures,

there is positive feedback from special needs students. A significant number of students, through use of oral testing and scribing, in addition to modification of course objectives through the Senior High Pathways program, are performing better on teacher evaluations and thereby meeting graduation eligibility requirements. In addition, Quality of Life surveys administered by the Department in 1993 and 1995 reflect positively on the school culture. Students rated their school experience very highly, significantly higher than other students in the province on issues such as: School is a place where I like to be; I feel important; teachers treat me fairly in class; teachers help me do my best; and I feel good about my work. Continued support from the principal will ensure that teachers have the training and resources to deliver instruction in a manner which recognizes the uniqueness of the individual.

Summary

Effective schools research shows that the manner in which the principal governs the school, builds strong school climate, and organizes and monitors the school's instructional program are important predictors of academic achievement. The achievement of students does not just happen. The effective leader knows how to transform the school through planning, and recognizes the importance of sharing leadership and the vision of the school. This approach facilitates the

attainment of school objectives through advocacy of change. The instructional leader is a calculated risk-taker who fosters a climate of change that results in increased student achievement.

The changes needed in our school required the administrators, particularly the principal, to become change agents. We have attempted to address the low achievement levels of students, particularly special education students. Through instructional and transformational leadership practices the principal improved the home-school relationship, promoted collaborative staff development, and empowered teachers through shared decision-making to develop a teaching-learning environment which increased student performance.

Studies have shown that students get better grades, have better attitudes toward school, and have higher aspirations if parents are actively involved in school and encourage their children. Creating the necessary atmosphere of cooperation and understanding between schools and parents will require a dramatic shift in how schools are currently viewed. The establishment of School Councils in our province is a meaningful step in the right direction -- a mutually beneficial partnership.

Student performance can further be enhanced if teachers are attuned to their professional development needs. Canning (1996) underscores the need for training

in the area of special education after finding that many teachers in this province “reported having many students whose needs are beyond their expertise” (p. 230). Teachers must be actively involved in planning inservice activity, providing training, support, and feedback on the progress of the improvement effort.

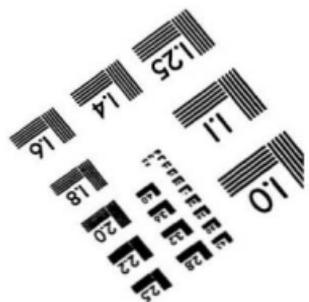
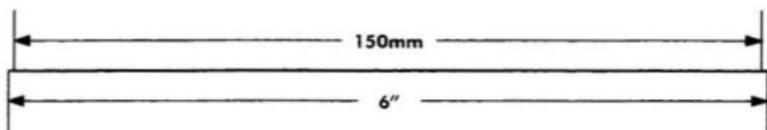
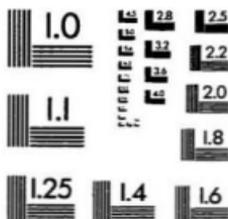
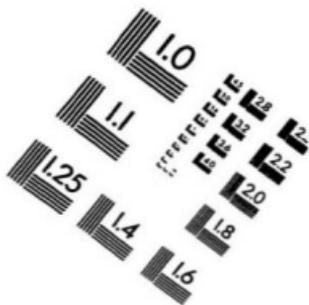
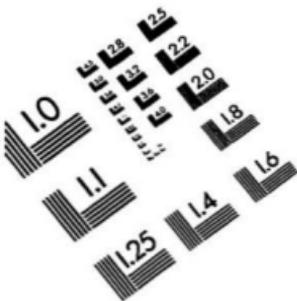
If teaching and learning are to improve for all students, we require change, fundamental change that affects every aspect of schools. Ancillary to this systemic change is the demand for fortitude to withstand the process.

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IMAGE EVALUATION TEST TARGET (QA-3)



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