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THE PRINCIPAL AS A PERSON

A STUDY OF VALUES IN SECONDARY SCHOOL LEADERSHIP

A thesis presented in fulfilment of the requirements for the degree of

Doctor of Philosophy in Education

Massey University, Palmerston North, New Zealand

Geoffrey Ross Notman

2005
“Sydney’s world, his wilderness where the spirit is tested and strengthened by a pure airiness, great space, is almost always unforested. Or is it? If you can locate yourself here it is in a forest of loneliness, temperamentally, where you are exposed to yourself and everything else. You need strength of purpose, of character; you need courage to stand up here and not avert the eyes. Only through distance can you find yourself. Beyond the far blue, gold, or dun hills and mountains, beneath cirrus edged with gold, there’s a self to be reckoned with.”


ABSTRACT

This research explored the personal dimensions of school principalship. The study described the personal values systems of two secondary principals and suggested how such valuation processes might influence their leadership behaviours. The research was prompted by a lack of detail in the literature about why principals act the way they do and how their core personal and professional values might impact on decision-making and on school directions.

A qualitative case study approach was used to examine the personal and professional lives of an urban and a rural secondary school principal in the South Island of New Zealand over a period of 35 months. Methods of data collection included researcher participant observation and a series of in-depth interviews with the two principals and with significant others. A grounded theory approach to analysis was used that involved a systematic development of categories of meaning drawn from the data. An interpretive paradigm was selected as the research framework. Together with the perspective of symbolic interactionism, an interpretive model of inquiry lent itself well to a focus on principal thought and action, especially in regard to the concept of values-based leadership.

The findings of the research study suggested the centrality of the two principals’ core personal values as a motivating force behind their leadership behaviours. The concepts of values origins, values alignment and the management of contested values were identified as influential features of the values enactment of principalship. The research suggests that reflection-on-self and interrogation of core personal values may be important for understanding the principalship in the areas of emotional and spiritual intelligences, resiliency and personal well-being. The implications of these findings for educational leadership theory and for principal self-development are discussed.

As a consequence, the thesis proposes a values-based model of principal self-development that draws on adult learning principles. The model also includes a framework for critical self-reflection that is built around a process of self-examination, the use of human agency and scholarly literature.
ACKNOWLEDGEMENTS

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CHAPTER 1
INTRODUCTION

SETTING THE SCENE
The literature provides a significant number of studies on school effectiveness, school improvement and the role of the educational leader as a feature of a “successful school”. Nevertheless, there is limited evidence for an understanding of principals as people. Such an understanding may be important as principals engage with educational, social, economic and political change in reform-oriented contexts of the present day.

According to Schratz (2003), pressures have been building on school leaders on a range of fronts: politically (new tasks, school programmes, evaluation); economically (stricter budgets, reduction of expenditure); socially (image of teaching profession, civil servant status); globally (international competition, inter-school rankings); educationally (improved efficiency demands in spite of unfavourable conditions); on a didactical-methodical level (individualisation and a demand for more dynamic teaching); and on a multi-media level (new forms of media and communication). As a result, claims Schratz (2003, p. 395), “schools and their principals are confronted with new challenges for which no centrally defined solutions are offered.”

In response to these external pressures on the school environment, principals have been called upon to review their leadership styles and understandings in what has been termed a post-transformational leadership era (Day, 2000; Sergiovanni, 2001; Bush, 2003). The present study suggests that such a review might include a focus on the personal dimensions of principalship and on people-centred and values-based leadership, as principals deal with a complex range of contingent issues in their schools. From this perspective, the principalship may be conceptualised as a vocation that is not simply a job: it is a way of life, a fusion of, “professional and personal beliefs and experience which were not so much worked out as lived out in the school” (Southworth, 1995, p. 135).

This personalised perspective of leadership is not limited to the field of education. It is part of what Clayton (2004) has referred to, in a generic organisational sense, as ‘three-domain
leadership’, comprising personal, priority/people and professional elements. He viewed the personal domain as incorporating one’s:

- Self-awareness;
- Personal health;
- Psychological well-being, including self-esteem;
- Personal values, likes and dislikes;
- Personal philosophy and concept of meaning;
- Personal objectives. (Clayton, 2004, p. 7)

Within this personal domain of leadership, there has been a small but growing interest in the place of values in educational leadership and in the school as an arena for values enactment, whereby the school is, “the crux of values and of administrative values” (Greenfield, 1991, p. 213). Foremost in the formulation of a values approach to educational leadership and administration have been the theoretical concepts of values theory proposed by Hodgkinson (1978, 1983) and Greenfield (1986). Then, there followed studies undertaken by researchers, such as Begley (1999a, 2004), Day (2000, 2004) and Leithwood (1999), who pointed to the potential influence of an individual’s core values and beliefs on successful school leadership.

However, what have not been prevalent in the educational literature of values-based leadership have been studies that posed research questions in the area of values derivation. For example: What values do school leaders bring with them into their principalship? What influences in their lives shape their later personal and professional values systems? In The Leadership Factor, Kotter (1988, p. 35) concluded:

To account for why they [leaders] were able to do what they did ... it was necessary to trace their experience from birth, through childhood and education and on into their careers. It was the accumulative effect of those many experiences that gave them the assets needed for leadership.

The present study set out to address this gap in the educational leadership literature. The research involved individual case histories of two secondary school leaders, examining their personal and professional values systems and the personal dimensions of their respective principalships.
EVOLUTION OF THE RESEARCH

Research Origins

The origins of this investigation were based on a personal interest in principals' professional development and on previous research studies in this area. First, the researcher has been privileged to work closely with secondary principals in the South Island of New Zealand during the past 14 years. Activities have included principal supervision, appraisals, mentoring of new principals, principal support networks and school liaison visits. Each contact opportunity has afforded an insightful glimpse into the world of the principal and the demands of principalship. It also strengthened the researcher’s view that on-going principal support and development might be better delivered in a more contextualised and holistic manner.

Second, this holistic view of the school principalship has been influenced by two specific research studies that have paralleled the researcher’s experiences in the field. Southworth (1995) used an ethnographic approach to study a primary headteacher in Britain over a one-year period in 1989. His research-based interpretation of primary headship revealed much about the personal dimension of the job and its influence on headteacher development, in addition to the more technical aspects of school leadership and organisation. In a second relevant study, Bell & Gilbert (1996) conducted a three year New Zealand research project on science teachers called the Learning in Science Project: Teacher Development. From their findings, they proposed that teacher development should be viewed as a form of human development involving personal and social, as well as professional development. These three aspects were seen by Bell & Gilbert to be both interactive and interdependent.

The Research Problem

The direction the researcher took in defining the nature of the research problem incorporated three cumulative pathways. The first aspect, within the professional development literature, revealed a view that principal training, on-going support and professional development were largely inadequate and, according to Tirozzi (2001, p. 437), were, “not up to the task of producing the capable principals we need.” It was felt that technical-rational and cognitive features of the work of being a school principal had gained prominence in principal preparation programmes at the expense of affective and personal elements of the principal’s role. For some commentators, like Bolman & Deal (1994), there was a concern about the emphasis placed on the development of the head in relation to the development of the heart.
This led to a second aspect: the problematic nature of the principal’s job as it is currently performed and the personal demands associated with it. The principalship in New Zealand had been subject to the devolvement of administrative responsibilities, following the influential educational administration reforms of 1989 (Lange, 1988) and subsequent complexities external to the school environment, such as increasing social diversity and rapid economic and technological change. From Wylie’s (1997b) research on New Zealand principals, this translated to issues that included cultural diversity in the classroom, high skills levels expected of students, an emphasis on information-seeking skills, enhanced accountability of teachers and principals and an increasing focus on issues of consumer choice.

As a result, principals had to reconsider different facets of leadership in order to deal effectively with a changed educational environment and the research literature has reflected this changing definition of leadership. For example, Piggot-Irvine (2004) concluded, from the National College for School Leadership’s (2003) annual review, that leadership was now largely influenced by a sensitivity to contextual forces. These forces included personal and social contexts (leaders’ own socialisation and upbringing, optimism, stage of career, motivation, enthusiasm, commitment to own professional development); interactions with other leaders (especially emotional interactions); and internal and external environmental issues (school type, circumstance and place, performance, community ethnicity and belief systems). Thus, there has been a call in the research literature for a focus, not on what leadership is or should be, but rather on the reality of what principals actually believe and do.

The third aspect of the research problem focused on the personal domain of principalship and the ramifications of a self-development focus. Leithwood, Begley & Cousins (1994, p. 27), for example, argued that the provision of principal development required, “a better understanding of principals’ internal mental processes and states: the rational aspects of these processes, such as the content and organization of knowledge structures, as well as such non-rational elements as beliefs, attitudes and values.” It appears that the search still continues for appropriate ways to support the person of the principal within the broader framework of professional education for school leaders.
Purpose of the Research

The purpose of this interpretive research study was to understand the personal dimensions of principalship: to gauge the extent of the personal demands of the job and what constituted intrinsic characteristics and motivational forces behind two secondary principalships under investigation. Within these considerations, a fundamental aim was to present a holistic approach to the study of school leadership that moved beyond a monochromatic depiction of a headteacher (Ribbins & Marland, 1994) to a more technicoloured view of the principal as a humanistic leader.

The present study adopted a personalised perspective of leadership and focused on two individual professional lives in the context of their schools rather than focusing solely on their managerial functions. In this regard, the research is consistent with the view of Grace (1995, p. 155) that the study of school leadership, “is about moral values, educational values and professional principles ... School leadership is a cultural, sociological and historical subject for study, not simply a technological one.”

The study aimed to explore the two principals’ personal values systems and how such valuation processes might influence their leadership behaviours. The research findings enabled a values-based model of principal self-development to be formulated which may respond to a gap in the professional development literature.

DESIGN OF THE STUDY

In this study, an interpretive model of inquiry was adopted as the major theoretical framework, using a qualitative case study approach that examined the personal and professional working lives of an urban and a rural secondary principal in the South Island of New Zealand. The study investigated personal and social phenomena (Lincoln & Guba, 1985), focusing on an in-depth understanding of experiences from the participants’ perspectives (Belenky, 1992). Here, the focus was on learning about the meanings that principals assigned to their work and on the values that were part of their being as a principal.

Following Lincoln & Guba’s (1985) work within a naturalistic paradigm, an emergent qualitative research design was used. In this manner, the school-based research began with an
initial focus of inquiry on the workings of the principalship with a purposive selection of two secondary principals providing significant contrast or potential variability (Patton, 1990; Maykut & Morehouse, 1994): one was a female principal in charge of an urban girls’ school with approximately 750 students; the other was a male principal of a small rural co-educational school of 250 students.

Qualitative methods of data collection were employed in the natural setting of each principal’s workplace in order to ascertain how they acted and reacted in the course of their daily lives (Taylor & Bogdan, 1998). These methods included participant observation by the researcher, following the concept of in-dwelling where the challenge had been, “to combine participation and observation so as to become capable of understanding the programme as an insider while describing the programme for outsiders” (Patton, 1990, p. 128). The researcher observed the two principals at work over a three year period in a variety of settings: the principal’s office, school staffroom, a number of different meeting places and at special events, such as end-of-year prizegivings. The second data collection method involved a series of in-depth interviews with principals and with other people of significance to their work in the school: deputy principals, assistant principals, board of trustees chairpersons and the principals’ spouses. Bogdan & Biklen (1992) suggest that such qualitative interviews are particularly useful in gaining participant perspectives and interpretations of events and leadership actions in the wider school environment.

As the research design was emergent, qualitative data analysis was an on-going activity. This is also reflected in on-going analysis of data reported in the research findings as part of within-case analysis in Chapters 4 and 5, comparative analysis of cases in Chapter 6 and a theoretical analysis in Chapter 7. It was primarily an inductive data analysis where the researcher developed insights and understandings from patterns in the data rather than collating data according to pre-determined models or hypotheses. Such a ‘grounded theory’ approach evolved from the systematic building of homogeneous categories of meaning inductively derived from the data, as proposed by Glaser & Strauss (1967).

DEVELOPMENT OF THE RESEARCH QUESTIONS

From an initial statement of objectives and associated literature review of educational leadership, three major focus questions were developed in the research proposal that was
drawn up for this study in 1999. These draft research questions from the original proposal are quoted below, together with a preliminary rationale of significance for each question:

Research Question 1:
What are the demands of a New Zealand secondary principal’s job post Tomorrow’s Schools?

There has been no New Zealand study specifically aimed at secondary principal development since 1990 at the start of the Tomorrow’s Schools reform process. Equally, there has been no research on the secondary principalship to ascertain the long-term impact, not only of the 1989 administrative reforms but also of changes in curriculum, assessment and professional accountability undertaken since the mid 1990s. The research question is significant, given the focus of attention on job pressures such as principal workloads and on reasons why principals in New Zealand are leaving the profession, taking early or enhanced retirement, and why numbers of aspiring principal applicants are becoming fewer (New Zealand Educational Institute, 1999).

Research Question 2:
Is there a personal dimension to the principal’s job? What does it feel like to be a principal? Why do principals invest so much of themselves in their work?

This study will move beyond effective schools and effective principals’ research to focus on the personal impact of the job within individual school contexts. As Greenfield (1995) noted, scholarship in educational administration has tended to accept theories of leadership and management developed in non-school contexts that have been abstract and not context-sensitive. He also noted that leadership should move beyond organisational effectiveness and formal role expectations to include the actions, orientations and personal attributes of individuals. This research will reinforce the notion of the principalship as a contextualised, multi-faceted phenomenon, both in its school-based application and in any associated conceptualisation of leadership theory.

Research Question 3:
What are the implications of a personal dimension for the construction of a theory of principal professional education?

The conceptual progression of this study may be significant in terms of a series of reconstructions during the course of the research. Following investigation of the demands of the principalship, this may lead to a conceptualisation of the principalship relevant to the 21st century and to a reconstruction of what we understand to be principals’ personal and professional needs.
As the study progressed, it became apparent to the researcher that the records of participant observation, initial principal interviews and on-going constant comparative analysis suggested a need to attend, in more detail, to the principals' interpersonal connectedness with their school constituents. Also, further in-depth interviewing of the two principal participants revealed a prominent role being played by their personal and professional values in the enactment of their school leadership. Accordingly, the first and second research questions were amalgamated to maintain a focus on the person of the principal. The first research question then became, “What are the personal dimensions of a secondary principal’s job?”

Conversely, it was established that the third original research question required to be differentiated into two distinctive areas in order to give due prominence to emerging research concepts. First, as the overall focus of the study evolved from the job to the range of personal dimensions within the principalship, it was seen as valuable to match the research evidence from the case studies with the concept of values-based leadership in the educational leadership literature. Hence, the second research question was reframed as, “What are the implications of the findings for educational leadership theory?”

Second, the original aim of formulating a model of principal professional education was found to be too expansive in scope and at variance with the emergent need to focus on the principals’ self-development. Therefore, the research concentrated on using the case study findings to consider issues in principal self-development processes. This led to a reframing of the third and final research question as, “What are the implications of the findings for principal self-development?”

**STRUCTURE OF THE THESIS**

This introductory chapter has provided an overview of the research study. Chapter 2 introduces issues arising from the literature on school leadership. It reviews conceptual frameworks of educational leadership; the major theoretical framework of Hodgkinson’s (1978, 1983) values theory; a values-based perspective of educational leadership; and the personal and professional development needs of principals. The principalship in New Zealand is examined in regard to current role demands and principal development provision. The chapter concludes by discussing conceptualisations of principal development and educational leadership theory.
Chapter 3 presents the study’s research design. The theoretical frameworks of an interpretive paradigm and symbolic interactionism are identified and reviewed in relation to this particular educational research. Principles of qualitative research are described, as are the choice of the case study approach, progression within the study’s emergent design and the role of the researcher. The research method is then presented, together with data analysis procedures that were used and that incorporated grounded theory as a means of interpreting the research data.

Chapters 4 and 5 present the two principal case studies. These cases offer a descriptive profile of each principal’s secondary school, together with an early portrait of each principal, beginning with aspects of their family background before tracing the apparent influences of their adolescence and early teaching experiences leading to principalship. The personal dimensions of the job are then examined under the topic headings of managerial connectedness, interpersonal relationships and the management of personal and professional dilemmas. The focus then shifts to the person of the principal, the apparent influence of their core personal and professional values on specific leadership behaviours and the impact of the job on them as people. Each case study concludes with a summary of evident themes.

Chapter 6 provides a discussion using horizontal or comparative analysis (Miles & Huberman, 1994) in which data are compared across the two principal cases. This discussion is organised around the case study thematic structure and addresses the first research question on the personal dimensions of principalship. In addition to participant observation and in-depth interviewing of the two target principals, multiple sources of data were included from the researcher’s observational records of regional principals’ meetings and from an earlier pilot study of a rural secondary principal.

Chapter 7 refers to the second research question and analyses the case study data in relation to educational leadership theory. Implications of the findings are explored in regard to support for Day, Harris, Hadfield, Tolley & Beresford’s (2000) values-based contingency model and subsequent conceptualisation of what might influence a secondary principal’s leadership practice.
Chapter 8 links values theory and educational practice as a proposed means for building principal leadership capacity. This chapter backgrounds the field of professional education and the role that self-development might play in that process. In response to the study's third research question, a model of values-based self-development is proposed that draws on the present study's findings on values-based leadership. Key values features of the model are outlined, together with principles for implementation and a framework for critical self-reflection.

Chapter 9 presents a summary of the findings, and the research design and applications are discussed. The chapter concludes with suggested recommendations for further research and the researcher's overview of the thesis.
CHAPTER 2
SCHOOL LEADERSHIP: A LITERATURE REVIEW

INTRODUCTION

This chapter presents an examination of the literature on school leadership. This review formed the basis upon which the present study of the personal working lives of two New Zealand secondary principals was developed. A range of conceptual frameworks was identified in the literature. These frameworks will situate notions of school leadership in the current reform era and they provide a particular focus on the overarching conceptual framework of Hodgkinson's (1978, 1983) values theory and a values-based perspective of principalship. This leads to an identification of elements within the personal domain of principalship.

The area of principal development is then examined with a focus on what the literature suggests are the learning needs for principals in contemporary educational contexts. This includes the impact on the principal of job demands and examples of learning programmes adopted in treating principals as adult learners. The principalship in a New Zealand context is also discussed, in order to locate the impact of extensive reforms in New Zealand educational administration in 1989 and their associated outcomes for school principals.

CONCEPTUAL FRAMEWORKS

Conceptualising Educational Leadership

It is evident that there is no agreed definition of educational leadership. Differences in definition reflect the range of educational contexts as well as theoretical perspectives of the writers. For example, Dubin (1968, p. 385) regarded leadership as, “the exercise of authority and the making of decisions” while Greenfield (1986, p. 142) adopted a sociological perspective, challenging the conventional view when he described leadership as, “a wilful act where one person attempts to construct the social world for others.” Such a perspective assumes that organisations are built on, “the unification of people around values” (Greenfield, 1986, p. 166).
This sociological approach to conceptualising leadership provides an insight into the differing assumptions behind the range of definitions and is illustrated by Slater (1995) in his description of different paradigms. From a structural-functionalist perspective, leadership is commonly viewed as a set of measurable behaviours or skills. This has been a dominant perspective in educational administration that advanced concepts such as instructional goal setting, provision of resources, curriculum development and modelling appropriate professional behaviours (Andrews & Sonder, 1987; Hallinger & Murphy, 1987; Barnett, 1990). In contrast, theorists, from what Slater calls the political-conflict perspective, do not tend to think of leadership in terms of behaviours or skills but rather as a power relationship within an organisation where some are dominant and others are subordinate.

Slater says that the constructivist point of view also rejects the functionalist list-making of sets of skills and behaviours, on the basis that almost any behaviour could qualify as a leadership behaviour if it met certain conditions. Instead, the constructivist perspective advocates the conveyance of meaning behind one's behaviour rather than the behaviour itself. Finally, Slater suggests that the critical humanist perspective tends to focus on symbolic aspects of leadership and to view social structure as being socially constructed. This perspective also rejects the notion that social science, in general, and educational administration research, in particular, are value free.

From among the range of leadership definitions encountered in the course of this literature review, Gronn (1996) provides a succinct conceptualisation of the topic. He contended that:

> Whatever the cultural, ethnic, gender and social class components of the context concerned, the two core attributes which best define a 'leader' are influence and identification, while 'leading' is defined as the framing of meaning and the mobilisation of support for a meaningful course of action. (Gronn, 1996, p. 8)

Influence can produce a significant effect on the well-being, policies or behaviour of an individual or a group (Hunt, 1991; Yukl, 1999), not only in a generic organisational sense but also in an area such as educational leadership (Greenfield, 1995). Identification, Greenfield (1995, p. 9) claimed, expresses an emotional connection between leaders and followers, whereby the leader is the person with whom followers (for a variety of motives) identify: "It is someone who inspires them or represents or encourages their aspirations and hopes."
Gronn (1996, p. 9) defined the framing of meaning as, “the capacity to make sense of one's own and others' experiences of the world in palatable ways.” In terms of educational leadership, the significance of the principal's act of sense-making lies in her or his capacity to utilise key symbols such as images, words and ideologies, to reinforce the meaning of events as they occur in the school environment. In this way, the principal, as leader, can mobilise support for organisational interests in their ability to construct meaning for their group members:

Leader as teacher does not mean leader as authoritarian expert whose job it is to teach people the correct view of reality. Rather, it is about helping everyone in the organisation, oneself included, to gain more insightful views of current reality. (Senge, 1990, p. 10)

There are, however, several caveats to these points of leadership definition, particularly when applied to educational contexts. First, there is no automatic link between leadership and principalship. While authority and status may be conferred on the position of 'principal' and public expectation of leadership from that position is not unreasonable, “a head may be a leader but is not one inevitably” (Lantis, 1987, p. 191). Second, there is some division among critical educational commentators as to whether principalship is qualitatively distinct from leadership and whether the two terms are mutually exclusive or inevitably interwoven into the position (Hodgkinson, 1983).

Finally, Gronn identified a further point of debate among researchers. This considered the potential for hierarchical influences to affect adversely the enactment of the leadership role. He cited Burns (1978, pp. 273-274) who viewed leaders as special: as gratifying followers' needs and moving followers to “a higher need level.” This view may lead to a related argument that leaders are qualitatively different from, and more important than, managers, prompting some commentators, such as Jaques (1989), to view leadership as an integral part of a manager's role. This, then, brings into question the nature of leadership and theoretical assumptions that underpin it.

Values Theory

The major conceptual framework for the present study is located in the early work of Hodgkinson (1978) and Greenfield (1986) on values theory, as it relates to the field of educational leadership and administration. There had been a consensus, among a growing
group of supporters of values theory, that values were a springboard for human action (Greenfield, 1986) and that values were central to the successful practice of leadership and administration (Greenfield, 1986; Willower, 1987; Hodgkinson, 1991). The definition of a value had been drawn together by Leithwood et al. (1994), building on the attributes of values in the work of Rokeach (1973) and Hodgkinson (1978). That is, a value:

- is an enduring belief about the desirability of some means; and
- once internalised, a value also becomes a standard or criterion for guiding one’s own actions and thought, for influencing the actions and thought of others and for morally judging oneself and others. (Leithwood et al., 1994, p. 99)

Earlier theories of educational administration as a science had been promulgated in the 1950s and 1960s by theorists such as Simon (1957), Griffiths (1959) and Halpin (1966). Research activity became theoretically oriented and training programmes for educational administrators were based more on the scientific concepts of Taylorism than on educational principles. Also, role expectations, defined in the form of job descriptions, made their entrance into the field of school leadership.

During the 1970s, in recognising the limitations of such scientific theoretical approaches, educational theorists began to promote a values perspective as an alternative theory of educational administration. Evers & Lakomski (1996, p. 5) wrote:

The first of these [theories] was developed by the Canadian scholar, Christopher Hodgkinson (1978, 1983, 1991), and declares administration not to be a science at all, but rather, a humanism. This is because, for Hodgkinson, science deals with factual matters whereas administration is values-laden. Hodgkinson also maintains that decision-making is central to administration. Because knowledge of logic and value constitute the essentials of decisions, administrators’ training will involve some training in philosophy where these matters can be dealt with systematically.

Hodgkinson (1978) initially conceived of a values framework that comprised three categories of values. He contended that Type 1 values were largely metaphysical in nature and were grounded in ethical principles. He referred to these as ‘transrational’ values which were often found in ideological or religious systems and which he regarded as more authentic than the other two types. Type 2 values were differentiated into two separate classifications that were based on a sense of ‘rightness’ because they account for the will of the majority
Hodgkinson referred to them as ‘rational’ values. Type 2a values were grounded in consequences so that ‘rightness’ was defined in relation to, “a desirable future state of affairs or analysis of the consequences entailed by a value judgement” (Leithwood et al., 1994, p. 100). Type 2b values were grounded in consensus or the will of the majority. Finally, the ‘subrational’ values of Type 3 were based on a personal preference of what an individual perceived to be ‘good’. These values were located in the affective or emotional domain.

Hodgkinson later expanded on this initial values classification to look more broadly at implications of values theory for leadership behaviours that were informed by an underlying philosophy of leadership:

Affect, motives, attitudes, beliefs, values, ethics, morals, will, commitment, preferences, norms, expectations, responsibilities – such are the concerns of leadership proper. Their study is paramount because the very nature of leadership is that of practical philosophy, philosophy-in-action. Leadership is intrinsically valutational. Logic may set limits for and parameters within the field of value action but value phenomena determine what occurs within the field. They are indeed the essential constituents of the field of constituents of the field of executive action, all of which is to say that the leader’s task is essentially affective. (Hodgkinson, 1983, p. 202)

Hodgkinson’s philosophical considerations of leadership were later reinforced by deep-level philosophical understandings of principalship that were demonstrated by the two principal participants in the present study.

A second major contributor to the link between values theory and educational leadership and administration was Thomas Greenfield. Greenfield (1983) contended that the focus for social science inquiry was not based on observation and fact but rather on people's subjective understandings. His interpretive approach rejected prevailing positivist theories that separated organisations from the people in them, “Organisations are inside people and are defined completely by them as they work out ideas in their heads through their actions in the practical world” (Greenfield, 1983, p. 1). Greenfield believed that the assumptions of the positivist paradigm were incorrect; they presumed that schools constituted an orderly environment, where people behaved predictably, instead of the reality where the school environment was often chaotic and, some believe, inherently anarchistic.
To understand Greenfield's case for subjectivism and his rejection of a positivist scientific view of administration, the following argument offers a summary of his position:

1. If all the objective evidence there is for a scientific theory is empirical evidence, and
2. If empirical evidence is never sufficient for choosing among competing theories, then
3. Choosing among competing scientific theories of educational administration is ultimately a subjective matter, a matter of human will, intention and values. (cited in Evers & Chapman, 1995, p. 8)

However, Greenfield's subjective assertions were not beyond criticism from those who held positivist views of educational administration. Griffiths (1979) took exception to such 'Great Man' theories and maintained a deductive conception of administrative theory, “a set of assumptions from which propositions can be deduced by mathematical or logical reasoning” (Griffiths, 1978, p. 82). Willower (1979) also refuted Greenfield's propositions by maintaining a pragmatic outlook on educational administration, described by Gronn (1983, p. 26) as a, “kind of conveyor belt or delivery system.” Nevertheless, there was considerable tension between the two competing perspectives of scientific and humanist approaches to the development of educational administration theory. This is represented by Foster (1986, p. 62):

Greenfield’s thesis has profound implications for the study of educational administration and for the preparation of administrators. Two extreme preparatory models suggest themselves. The administrator-as-scientist, schooled in the scientific method and concerned with quantifiable results, applies the findings of social science research as best he or she can, and brings progress to the school by performing all other required scientific or pseudoscientific activities. The administrator-as-humanist, trained in the arts and sciences and experienced in the ways of the world, brings feeling and intuition to the profession. Orthodox theory endorses the scientist model, but the humanist model may offer a more accurate description of the effective administrator.

In 1986, Greenfield added another dimension to this debate with the publication of his paper *The Decline and Fall of Science in Educational Administration*. In setting out an agenda for future inquiry in the administration field, Greenfield (1986) advocated, “a humane science which would use interpretive and qualitative methods of inquiry; which would focus upon power, conflicts, values and moral dilemmas in educational leadership” (cited in Grace, 1995, p. 52). Not only did this broaden the parameters of the scientific/humanist
debate but it also rekindled an awareness of theoretical views, such as Hodgkinson’s (1978),
about ethical and values dimensions of educational administration.

Subsequent studies have supported the theoretical claims made by Hodgkinson (1978, 1983)
and Greenfield (1986); in particular, research carried out by Leithwood & Steinbach (1991)
and Begley (1999a). Leithwood & Steinbach’s (1991) study of chief education officers’
problem-solving strategies identified four categories of values at work. ‘Basic Human
Values’, such as freedom, happiness, knowledge, respect for others and survival, equate to
Hodgkinson’s (1978) Type 1 values based on principles. They also link to Rokeach’s (1973)
terminal values or ‘end states of existence’. Categories entitled ‘General Moral Values’
carefulness, fairness/justice, courage) and ‘Professional Values’ (responsibility,
consequences) represent values that guide decision-making and can be linked to
Hodgkinson’s (1978) Type 2a values of consequence. ‘Social and Political Values’, which
incorporate Hodgkinson’s (1978) Type 2b values of consensus, “recognize the essentially
social nature of human action and the need for individuals to define themselves in relation to
others to make their lives meaningful” (Leithwood et al., 1994, p. 103).

In order to reinforce the complexity of values derivation and implementation, Begley’s
(1999a) study of academic and practitioner perspectives on values illustrated a syntax of
values terminology through an adaptation of a graphic found in several of Hodgkinson’s books
(1978, 1991). This will be of later significance to the present research study in the 'layered'
interpretation of each principal’s key values and their influence on leadership behaviours. This
graphic is shown in Figure 1:
The outer ring of the 'onion' represents the observable actions and speech of the individual, the only way available for making empirical attributions of the values orientations of the individual. The next layer represents attitudes. This is the thin, permeable membrane situated between values and actions or speech. The following layer portrays the idea that attitudes often foreshadow actions that are influenced by the specific values a person holds for whatever reasons.

The key to understanding the nature and function of values, Begley claimed, is found in the next layer of the onion: motivational base. It represents the motivating force behind the adoption of a particular value. Finally, at the core of the onion, there is the self, the essence of the individual: “the biological self, as well as the existential or transcendent self” (Begley, 1999a, pp. 55-56).

The researcher has included this 'layered' approach in the review of the literature in order to underline two features. First, there is the complex, non-linear nature of values acquisition. This stands in contrast to elementary assumptions behind value-mapping exercises in some principal professional development programmes, for example, West (1993), whereby participants are initially put through a semi-structured questionnaire that includes questions such as, “What values will you/did you bring to headship?” Such a pragmatic approach fails to appreciate the intricate and personalised pathways that lead principals to attain their unique sets of values.

Second, examples abound, in the school effectiveness and school improvement literature, on emerging leadership values such as group and individual empowerment (for example, Bredeson, 1994). However, there are limitations in conducting educational research that simply describes or lists values demonstrated by individuals, whether they are principals, teachers or administrators. Of interest, in the present study, is not only what the target principals value but also the reasons why they hold such values in the first place.

**Theoretical Approaches to School Leadership**

From the 1960s to the 1980s, leadership studies were directed towards two dimensions and their interrelationship: task orientation and a people orientation. One theoretical approach to emerge from this interrelationship was **transactional leadership** (Burns, 1978). This
functionalist approach centred on the leader - follower relationship where transactional leadership may involve an exchange of one thing for another between the two parties. Southworth (1998) believed, in a school setting, that this might mean that a headteacher does not intrude too much on teachers' classroom practices and, in return, teachers are reasonably happy to go along with the head's decisions about school policies.

Following this transactional perspective that sought to maintain organisational efficiency, the concept of transformational leadership sought to move the organisation forward in a more substantial visionary sense. While transactional leadership generally focuses on the daily operation of the school and its efficient functioning, transformational leadership concentrates on school improvement and the relationship between school development and student outcomes. At a deeper level, transactional leadership may be seen to exert a power over people while transformational leadership, "discovers power through people" (Tuohy, 1999, p. 174). The aim of transformational leadership is to 'transform' the school by motivating individual staff to go beyond their own needs and work towards a higher collective goal. The role of the principal as transformational leader is to influence staff, help manage the omnipresent change process and provide a vision for future directions, a case that Peters & Waterman (1982, p. 260) described as, "getting the herd heading roughly west."

A further concept arises from the discussion of transformational leadership. Burns (1978, p. 20) viewed transformational leadership as essentially a moral activity: "Such leadership occurs when ... persons engage with others in such a way that leaders and followers raise each other to higher levels of motivation and morality." Thus, there is added to the list of theoretical approaches to school leadership the category of moral leadership.

There have been a variety of interpretations about the enactment of moral leadership in educational settings. For example, Duignan & Macpherson (1992) believed that educative leadership should be concerned with right and wrong, in preference to a focus on leaders' attitudes, styles and behaviours. Lees (1995, p. 225) proposed that leadership in a democracy requires a moral imperative, "to promote democracy, empowerment and social justice." Sergiovanni (1992) also supported the role of moral leadership in education. His goal for American schools is that they be characterised by a covenant of shared values and by an ethic of care and respect. The principals in such schools would demonstrate service for the common good: "In the virtuous school, the leader would be seen as a servant" (p. 115).
The religious overtone of Sergiovanni’s theme is patent. The concept of servant leadership is apparent in the discourse of religious cultures (Youngs, 2004) and is gaining currency in the field of educational management and leadership studies (Sergiovanni, Kelleher, McCarthy & Wirt, 2004). The essential tenets are not dissimilar to those expected of a school leader: a strong sense of connectedness with people, exercise of authority without being authoritarian, being decisive without being divisive, avoidance of misuse of power, being accountable in terms of the degree of professionalism in what one does and adherence to a code of ethics. Such a notion of leadership, when applied to a school context, stands in contrast to contemporary managerial emphases for a principal to be the chief executive officer of an educational and business enterprise.

An integral part of moral leadership is the nature of the values employed by school leaders in the operation of their educational environment. Hodgkinson (1978, 1991) advocated for the role of values in effective educational administration from philosophical and analytical positions. In contrast, a political perspective on the values underpinning moral leadership focuses on the, “nature of the relationships among those within the organisation and the distribution of power between stakeholders both inside and outside the organisation” (Leithwood, Jantzi & Steinbach, 1999, p. 11). A cultural perspective, on the other hand, focuses on those shared values and beliefs that lie at the heart of the school organisation (Nias, Southworth & Yeomans, 1989).

The central orientation of a values-based leadership philosophy, building on the foundational work of Hodgkinson (1978) and Greenfield (1986), is on what leaders think about and value: “Leadership partakes of the values and principles of life as well as operational action. Therefore, it is a question of philosophy, of the principles of reality and of human nature and conduct” (Fairholm, 1998, p. 57). Fairholm proposed the following core principles within a universal model of values-based leadership:

- **Principle One:** The leader's role is in stakeholder development
- **Principle Two:** The leader's role is to create a vision
- **Principle Three:** The leader creates a culture supportive of core values
- **Principle Four:** The leader's personal preparation is in individual one-on-one relationships with followers
- **Principle Five:** Values-based leadership asks the leader to be a teacher
- **Principle Six:** The values-based leader has the dual goal of producing high-performance and self-led followers (Fairholm, 1998, pp. 62-65)
Another related theoretical approach to school leadership is that of situational or contingent leadership. During the 1970s and 1980s, the concept of the influence of context on leadership practice came to prominence with a contingency theory proposed by Fiedler (1967), and by Hersey & Blanchard’s (1977) notion of situational leadership which saw the, “conjunction of the person and the situation” (Day et al., 2000, p. 10). With the advent of interest in the effective schools movement in the early 1980s, Bossert, Dwyer, Rowan & Lee (1982, p. 38) summarised the changing state of leadership theory at the time:

Like earlier leadership studies ... no single style of management seems appropriate for all schools ... principals must find the style and structures most suited to their own local situation ... a careful examination of quantitative studies of effective schools ... suggests that certain principal behaviours have different effects in different organisational settings. Such findings confirm the contingency approach to organisational effectiveness found in current leadership theories.

In a review of the literature on principal effects, Hallinger & Heck (1996) concluded that it was virtually meaningless to study the leadership behaviour of principals without reference to the school context. From their perspective, contextual variables included student background, community type, organisational structure, school culture, teacher experience and competence, fiscal resources, school size and bureaucratic and labour organisation (Hallinger, 2003). They also concluded that contingent characteristics of school leadership should be more explicitly incorporated into theoretical models, a point reinforced by Day et al. (2000, p. 456) who recommended the application of, “contingency leadership which takes into account the realities of successful principalship of schools in changing times, and moves beyond polarised concepts of transactional and transformational leadership.”

What types of situations or contingencies do school leaders typically confront? School type, staff capacities and morale, and community support are among factors that may impact on the contextual setting for leadership responsibilities. In addition, leaders need to be sensitive to the educational situation in which they work and operate. As Southworth (1998, p. 39) comments, “Leaders need to be aware of the power relations in their school, their organisational contexts, individual colleagues’ professional maturity levels and groups’ expectations.” The important point of interest then focuses on how educational leaders respond to the unique set of contextual circumstances presented to them. This point has been reinforced by a key proposition, underpinning the values of school leadership, that they must
embrace the distinctive and inclusive context of the school (National College for School Leadership, 2001).

Applying such concepts to educational settings, Day et al. (2000) conducted a British research study of 12 schools and their headteachers, with the aim of investigating leadership in schools from multiple perspectives, not just into the nature of their leadership but also into headteachers' experience of leadership. Two major findings were that effective leaders constantly manage competing tensions and dilemmas and that effective leaders are, above all, people-centred. Day et al. proposed a values-based contingency leadership model in an attempt to represent the different dilemmas underlying the complexity of leadership and the qualities and skills that allow principals to lead and manage successfully. Their model incorporated five features:

**Values and vision:** The heads in the study communicated their personal vision and belief by direction, words and deeds. As Bhindi & Duignan (1997, p. 29) have commented, in a visionary paradigm for leadership in 2020:

> Organisations are not solely concerned with outcomes, processes and resources. They are also concerned with the human spirit and their values and relationships. Authentic leaders breathe the life force into the workplace and keep the people feeling energised and focused. As stewards and guides, they build people and their self-esteem. They derive their credibility from personal integrity and ‘walking’ their values.

**Integrity:** In many respects, the heads in Day et al.’s study did ‘walk the talk’. Through the consistency and integrity of their actions, they modelled behaviour that they considered desirable to achieve the school goals.

**Context:** The heads in the study were highly responsive to the demands and challenges within and beyond their own school context. In managing people and cultural change, they managed external as well as internal environments.

**Continuing professional development: power with and through:** The heads in this study adopted highly creative approaches to tackling the complex demands of implementing multiple changes. The decision to work with and through teams, as well as individuals, was a common response to the management of change.
Reflection: developing the self: An essential factor was the heads' capacity to be reflective in different ways about their own values, beliefs and practices and those of their staff; the position and progress of their schools in relation to others in local and national contexts; current and emerging policy matters which affected management and the curriculum; and conditions of service in their schools.

This study, by Day et al. (2000), provided the present researcher with a useful direction in his own study in regard to the role of values-based leadership. It was instrumental in helping to suggest why the two target principals acted the way they did in their respective educational environments.

The Place of Values in School Leadership

Branson's (2004) review of the Educational Research Information Clearinghouse (ERIC) database revealed 9033 documents that focused on the study of the school principal's role. Of these documents, 3761 were written between 1990 and 2002 but only 70 centred on the topic of values and principalship. This supports suggestions that there have been few empirical studies in the field of values-based leadership (Sarros, Densten & Santora, 1999) and that the area generally remains poorly understood (Yukl, 1999). It seems evident that values and beliefs may be essential to the successful leadership of a school. One's personal and professional values shape and inform thinking while serving as guides to action. As Leithwood (1994) suggests, values influence principals' expert thinking and, by extension, their behaviour as lenses for viewing problems of practice and as substitutes for professional knowledge in the face of novel problems.

Hodgkinson (1996) proposed that values are derived from an individual's intrapersonal psyche as well as from interpersonal interactions. Thus, it would seem important in research to maintain a balanced perspective of the spheres of influence among a principal's personal values, professional values and the values of the institution. Begley (2004, p. 6) believed that:

The bulk of the literature of leadership and management has not been helpful in this regard, as it reflects a predominantly organizational perspective, to the extent that individual and professional values are often ignored, assumed to be the same as, or fully subordinated to, an organizational imperative.
As awareness grows in the literature about the place of values-based leadership in education, particular themes of interest have begun to emerge. An initial theme is the manner in which principals communicate their vision through relationships with staff and students, and how they build this interpersonal connectedness around core personal values (Harris & Chapman, 2002). These personal values include modelling and promotion of respect for individuals, fairness and equality, integrity and honesty, and caring for the well-being and holistic development of students and staff.

Second, the concept of values alignment can be applied at three leadership levels. At an individual level, the alignment of values is reflected in the congruency between espoused personal values and subsequent leadership behaviours. At an interpersonal level, values alignment is indicated by the degree of consistency among groups or, indeed, by the extent of values conflicts. At an organisational level, part of a visionary leader’s task is, “to align individual and organizational values when creating unity, while leaving room for diverse personal values” (Avery, 2004, p. 109).

Third, the concept of values conflict is regarded as an important arena for the testing of leadership capability: “Values constitute the essential problem of leadership... If there are no value conflicts, then there is no need for leadership” (Hodgkinson, 1991, p. 11). Additionally, Leithwood et al.’s (1994) review of four values-based leadership studies contended that the resolution of values conflicts was a potent aid in principals’ problem-solving strategies: “These studies depicted values as pervasive in the problem-solving of school leaders through their direct stimulation of action and their roles as perceptual screens and moral codes or substitutes for knowledge in response to ill-structured problems” (Leithwood et al., 1994, p. 111).

The present study was interested in possible linkages between the principals’ personal and professional values and the manner in which they directed their respective schools. Thus, it would seem useful to consider how values might shape the thinking and behaviours of principals on at least two levels. The first level of values can be regarded as preconscious. At this level, these values are deeply embedded and are basic to the way we perceive the world. As Hart & Bredeson (1996, p. 249) suggest:
They represent assumptions and beliefs we hold about such things as relationships, organisational structures, the purposes of education in a democracy, human growth and learning, equity, individual liberty and autonomy.

A second level of values includes beliefs that are talked about openly and used to guide choices and behaviours in our daily work and interactions. Hart & Bredeson (1996) present examples of second level values such as fairness, support, appreciation for cultural diversity, honesty and what's right and what's wrong. Congruence may not always exist between these espoused values and first level values by which we live. As a consequence, the challenge for school principals is to 'practise what they preach'.

This emerging interest in values-based leadership suggests a need for a broader exploration of the more generic domain of personal elements within the principalship. Therefore, the direction of the literature review now turns to address, more specifically, an under-researched aspect of educational leadership: the personal dimension and its potential impact on the school principalship.

PERSONAL DIMENSIONS OF LEADERSHIP

Of particular interest in the present study is the person who lies within the professional leader and the extent to which the personal dimension plays a role in the exercise of a school principalship. Jirasinghe & Lyons (1996) found that little empirical research has been conducted into the personality and personal ramifications underpinning the discharge of a head's duties. Instead, the focus in the literature has been on what it is thought that principals could and should be doing. This is somewhat surprising, given the suggestion by Saville & Holdsworth (1990), that up to 70 per cent of the attributes which are associated with success at work are dimensions of personality rather than ability, and the belief held by a number of futuristic commentators that, "the most exciting breakthroughs of the 21st century will occur not because of technology but because of an expanding concept of what it means to be human" (Naisbett & Aburdene, 1990, p. 16).

The following sections explore elements within the literature of the personal dimensions of school leadership. The conceptual underpinnings of human needs theory and their connections to educational leadership will be considered, along with affective influences
within the principal’s job. Isolation in the job and leadership stress factors will be examined, together with the concepts of an ethic of care, values and moral purpose of the leadership position. This discussion of the personal domain concludes with the role of the leadership ‘self’ and the concepts of emotional intelligence, spiritual leadership and resiliency as emergent themes in the developing literature.

Human Needs Theory

Maslow’s (1954) hierarchical pyramid of human needs was a seminal work which proposed that people are motivated to satisfy their needs. The first level of the hierarchy is our physiological or survival needs, such as the need for food, water, clothing, shelter and warmth. The next level comprises safety or security needs that are built around physical protection and an assurance that needs will be met. Social needs constitute the next level in Maslow’s hierarchy and they focus on a sense of affiliation, close associations with other people, being a responsible member of one’s community and a need to love and be loved.

Esteem needs are next in the hierarchical levels. These needs underline the importance of one’s self-esteem, respect from others and the acquisition of self-respect. Then come the growth needs which, “incorporate individuals’ intellectual and achievement needs: the need to know about their world, how to do things, how to access information and the need to accomplish” (Vialle, Lysaght & Verenikina, 2005, p. 169). The ultimate level is self-actualisation where individuals realise their personal growth and their intellectual, social and emotional potential. While Maslow’s human needs theory has been supplemented by the later work of Aldefger (1972) and Ryan & Deci (2000), Maslow himself has acknowledged weaknesses in his theory, “not least the fact that it applies primarily to middle-class, English-speaking, first-world cultures” (cited in Parker & Stone, 2003, p. 46). Despite criticism of human needs theory that people often do not behave in a linear fashion nor as the theory would predict (Hoy & Hoy, 2003), Maslow’s theory does present a holistic way of contemplating interrelated personal needs.

Considering the fulfilment of basic human needs as an important factor in successful psychological development and well-being (Maslow, 1954; Deci, Ryan & Williams, 1996; Ryan & Deci, 2000), it follows that, “experiences of basic need fulfilment in the context of work are essential for principals’ growth” (Assor & Oplatka, 2005, p. 4). For example,
Ribbins (1999) described the satisfaction that long-serving principals gained from new challenges that enhanced their growth/achievement needs. Similarly, reported affiliation needs of women principals, in particular, have been reflected in their need for relatedness with staff, parents and students (Shakeshaft, 1989; Fennell, 1997; Reay & Ball, 2000).

**Affective Influences**

There seems little doubt that the job of a school leader is enacted through multiple domains of affective, behavioural and cognitive performance. In particular, affective performance has often referred to the personal commitment, attraction or charisma at an individual level (Cheng, 1996). Sachs & Blackmore (1998) and Southworth (1998) believed that schools were not always rational places:

> They are first and foremost social organisations, staffed and populated by persons. Schools are loaded up with affect, feelings and emotions. Rational management may be helpful in establishing priorities, plans and targets. Such tactics create clarity and a sense of certainty, but it should not deny that many, including heads, may be motivated by their subjective experience, concerns and ambitions. (Southworth, 1998, p. 16)

Revell (1996) foreshadowed this theme of a non-rational appreciation of the principal's job, following a series of open-ended interviews with 24 practising primary headteachers over a one year period:

> The affective world of primary headship is intense and varied, characterised by hopes and by frustrations, uncertainties and reassurances, irritations and deeper satisfactions. It is threaded through with moments of great joy but beset by inner conflicts of self-doubt, anxiety and by hidden contradictions. (Revell, 1996, p. 393)

Schools are not affectational deserts nor are their leaders immune from profoundly emotional activities resulting from teaching and learning (Fried, 1995). When we think about the added importance of trying to manage the emotions of others and take account of the web of interactions between teachers themselves, teachers and parents, teachers and students, and students and students, “suddenly the emotional dimension of leadership begins to take its rightful place in our considerations” (Beatty, 2000, p. 4). It is appropriate to note that research studies of feminist educational leadership have frequently demonstrated women's involvement of the 'emotional' in their leadership (Blackmore, 1996; Strachan, 1999) and their
ability to explore their personal thoughts and feelings about school leadership (Ehrich & McCrea, 1999).

Allied to this discussion of affective influences on school leaders is the positive element of job satisfaction and the reasons why principals enjoy their work and continue to remain on such a demanding career path. In an interview study of 39 secondary headteachers from the North East of England, Mercer (1997) identified common factors behind principals' job satisfaction. These included personal worth, relationships with all people within the school community and a sense of pride in overcoming difficulties. Similarly, Hill's (1994) survey of 287 primary headteachers in one English local education authority (LEA) showed that relationships with children, teachers, parents and governors constituted the top four category sources of the heads' job satisfaction.

These results, where personal relationships were perceived to be a major source of leader satisfaction, were replicated in a New Zealand small-scale study by Palmer (1997). She examined the teaching careers and backgrounds of 12 successful primary and secondary principals who left their principalship positions, between 1993 and 1996, to take up other careers. The study identified the most satisfying elements of the principals' job as:

- Working with staff, children and various members of the school community;
- Educational leadership and efficient management;
- The autonomy, challenge and creativity of the role.

(Palmer, 1997, p. 90)

Isolation in the Job

In contrast to those personal relationship features that keep principals in their positions, there are inevitably influences, on a personal level, that act to create negative forces in a principal's life. One topic to emerge in the literature has been the theme of the school leader's loneliness in the job. Schmuck & Schubert (1995) make reference to loneliness and the changed nature of principals' interactions with former teaching colleagues, a point reiterated by one of Alvy & Robbins' (1998, p. 20) principal respondents:

[There] is a tendency on the part of many of the teachers to want to set up a we-they stance and an adversary role. And I came into this building wanting to be a friend to everybody. I got shot down pretty fast.
In like manner, Schmidt's (2000, p. 837) study of the emotions of 29 Canadian secondary school department heads revealed a similar finding:

Department heads in this study experienced negative emotions and concomitant feelings of loneliness from their former colleagues when there was an absence of emotional understanding or even empathetic understanding (i.e. understanding of what another is doing without knowing the context of the action and its meaning for the other).

In addition to school leader-teacher interactions, other personnel linkages are under threat from feelings of isolation, often brought about by internal administrative demands and external political pressures. For example, Evetts' (1994) study of British secondary headteachers indicated a developing gulf between manager-heads and the school organisations they were administrating, and isolation from other headteachers as a result of increased competition between schools.

What does not assist the school principal, in any of the above situations, is a remnant of the traditional school management hierarchy: the principal is the only person on the school site with the responsibility for the total educational programme and the delegated power to make executive decisions where necessary. “The loneliness of the long-distance principal” might be an apt metaphor to reflect both the personal isolation from colleagues and the professional isolation of having the ultimate responsibility for operating a complex, ever-changing and often sizeable organisation.

**Stress and Well-being in Leadership**

Of all the categories located for this literature review, there was a large volume of literature on principal stress and burnout. This could be interpreted as a reflection of the demands of the job and the potential cost to principals' personal lives. In addition to the domain of principal stress, there have been similar patterns of stress factors associated with teacher stress. Among the numerous definitions of stress put forward, Kyriacou & Sutcliffe (1978) described stress in teaching as the experience by a teacher of unpleasant emotions such as tension, frustration, anxiety, anger and depression resulting from aspects of the work teachers do. They emphasised the role of the teacher's perception of the circumstances and the degree of control s/he feels (cited in Crawford, Kydd & Riches, 1997, p. 103).
This definition has been reinforced by Leithwood et al. (1999) who investigated 18 empirical studies of teacher burnout between 1984 and 1995. Their study underlined the influence of personal factors in exacerbating and reducing teacher burnout. Such factors were grouped within one of four sub-categories: demographic characteristics, general personality factors, psychological traits and motivational disposition. Leithwood et al. also emphasised the point that teacher burnout may not be the result of a single factor but rather a set of internal and external variables that combine to place undue pressure on the teacher.

There are a number of common stress factors that can be classified under the personal dimension of the principalship. In particular, personnel issues such as tensions caused by recalcitrant or uncommitted staff invoke the classical stress situation of, “being accountable to everyone and being blamed for everything” (Crawford et al., 1997, p. 58). In a similar vein, “... coping with role change and the increased financial responsibilities and unpleasant staff relationship issues severely impair the psychological and physical health of headteachers” (Ostell & Oakland, 1995, p. 184). If these feelings of depersonalisation and lack of personal accomplishment (Gmelch & Gates, 1998) are taken into consideration, then the personal dimension of the principalship is under quite severe pressure.

A limited number of studies of stress and burnout in New Zealand educational settings supported the general tenor of previous findings. Whitehead & Ryba (1995), while acknowledging that stress factors will vary between individual principals, identified staff relationships, role conflict and work overload as stressors for principals. Other stressors may include long hours, conflicting demands from local and government sectors and feeling responsible for situations that are beyond the control of the principal (Wylie, 1997a).

The general implications arising from the above discussion are, firstly, the critical role of personal and interpersonal elements within the principalship, both in the execution of the job and the manner in which a principal copes with the demands of that job. Davis’ (1998) study of the perceptions of 99 California public school superintendents, and the reasons behind leadership failure, confirmed personal factors as one of the most common causes for the derailment of an educational leadership career. Second, as a result of studies into principal stress, there is a growing demand in the literature for school leadership training programmes to better prepare aspiring principals for the realities of the job with an emphasis on understanding its personal dimensions (Whitaker, 1996). Allison (1997) also recommended
that all principals, through regular annual professional development activities, become knowledgeable and skilful in applying various strategies, especially if we are to acknowledge that, "coping with stress is a holistic and polytechnic proposition" (Gmelch, 1988, p. 230).

Underlying the exploration of leadership stress is an overarching concern for teacher and principal well-being and a search for factors which motivate and sustain them in their job (Beck, 1999; Holmes, 2005). For many of the British heads in Baker, Earley & Weindling's (1995) survey, school leadership offered many rewards:

> Headship remains the best job in the educational world – for me! One has a relatively open agenda, enormously varied days, the fascination (and instant delight) of seeing young people grow up, the privilege of working with highly skilled and professional staff and (still) a lot of control over your own patch. (Baker et al., 1995, p. 39)

Researchers in the field of positive psychology see broader causal factors leading to individual well-being. For example, Kasser's (2004) review of research on values and personal well-being pointed to links between intrinsic goals and deep-level values and subsequent higher quality of life on a variety of measures of well-being. Similarly, Ryan & Deci (2000) asserted that human needs satisfaction has a correlation with improved well-being. These two aspects of personal values and human needs satisfaction will be discussed later as influential factors on the well-being of the two principals in the present study.

**Ethic of Care**

In contemplating the ethical dimension of school leadership, the literature reveals an important category of an ethic of care on the part of the principal. If school leadership is to have an ethical basis, then it most probably should meet a fundamental obligation not to treat people as simply a means to an end (Foster, 1989). As Clegg & Billington (1997) suggested, this touches the very core of an individual leader's behaviour, whether as headteacher, senior management or curriculum coordinator. If educational leadership is to be ethical, then it might be concerned with, "the search for the good life of a community within the Aristotelian tradition" (p. 34).

Beck (1990) examined ways that an ethic of care can and should affect administrative practice. She discussed three role labels that could be used to describe a caring educational
leader: (1) values-driven organiser; (2) capable and creative pedagogue; and (3) cultivator of a nurturing culture. These labels, in turn, led to three administrative task areas: organising structures and systems, leading in the instructional arena and promoting a distinct and healthy school culture.

Sernak (1998) envisaged a fundamental assumption that each person (student, teacher, administrator) deserves the opportunity to live and learn in a supportive nurturing environment. Thus, school leaders would seek structures and systems capable of promoting personal and school community well-being. This process, it was claimed, would involve undertaking three tasks. Administrators would:

1. Thoughtfully and reflectively cultivate a "driving vision [that would imbue] decisions and practices with meaning, placing powerful emphasis on why things are done as well as how" (Lipsitz, 1984).
2. Through dialogues with others, carefully and realistically assess the system in which they work, considering needs and abilities of various persons, the cultural and moral fabric of the organisation and political constraints and imperatives.
3. Superimpose a vision of the ideal upon the real and seek organisational strategies for moving the latter toward the former. (Sernak, 1998, p. 79)

**Dilemma Management**

The rational/bureaucratic notion, that school administration is a technical enterprise and that administrative actions are morally neutral in their effect, has been variously challenged (Foster, 1986; Sergiovanni, 2000). Because school leaders affect other people's lives, both students and teachers, they can be regarded as moral agents. Seyfarth (1999, pp. 89-91) saw school administrators operating from one of several ethical positions. They may be guided in their leadership actions:

- By personal preferences that refer to their inner beliefs about right and wrong
- By calculating the end results of contemplated actions
- By rules ethics where the principal feels duty-bound to uphold laws, policies and regulations
• By consensual norms; for example, a principal who believes that inclusion is the most appropriate mode of instruction for children with disabilities but is aware that teachers in the school oppose it, must decide whether to accept the group norm or try to change it, or
• By public opinion, with all its inherent dangers of community sentiment and incomplete information.

This perspective should not be seen to imply that the moral dimension of school leadership is a relatively uncomplicated facet of the work. The literature on dilemma management by school principals demonstrates the problematic nature of moral decision-making and choices. For example, Cardno (1994) reported a New Zealand-based study on the management of educational dilemmas. Her research of two principals showed that appraisal activity posed leadership dilemmas arising from tensions between concern to meet organisational goals and concern for relationships among individuals. Similarly, from a Norwegian study of 27 school leaders from three municipalities, Moller (1998) constructed a 'dilemma language' for educational leaders. It comprised two general areas of dilemmas: dilemmas related to loyalty and dilemmas related to control and steering issues. Moral and ethical dimensions were interwoven, particularly with dilemmas related to loyalty.

In the New Zealand school context, the problematic nature of dilemma decision-making was reiterated by Addis' (2002) research which investigated how a sample of primary school principals perceived and managed the process of pupil stand-downs, suspensions and exclusions. The concept of dilemma management was apparent, for example, in the tensions between the need to support misbehaving pupils on an individual basis and the learning interests of the other pupils. Such competing needs were classified as normative-based with respect to a principal's values, beliefs and ideologies, with inherent moral implications for the decision-making process.

If there is a strong sense of moral purpose within the decision-making and problem-solving work of the school principal, then how much credence and support is given to this often implicit dimension? In Grace's (1995) sample of British school leaders, their answer was an unequivocal need for professional support in dealing with value issues and issues of moral purpose in school leadership: “There is a need here to set up courses for headteachers and policy makers to help develop a common understanding of the dilemmas and possible ways out (Male Secondary Head)” (cited in Grace, 1995, p. 155).
In general, the headteachers of state schools in Grace's British study did not feel well equipped to deal with the range and complexity of moral and ethical dilemmas that confronted them. In the present New Zealand research study, it will be important to move beyond listing virtues of the transformative or moral school leader. There is a need to analyse moral and professional dilemmas that two principals face in their work, to determine on what bases they give leadership on complex values issues.

**Sense of Self in Leadership**
Self-knowledge and self-management are leitmotifs that operate within the personal domains of school leadership. Sergiovanni (2001) set the scene by describing the sometimes dormant but integral role played by self-management in a principal's work life. He referred to the management of the self as:

... the ability of heads to know who they are, what they believe, and why they do the things they do. When a head's behaviour can be defended in such a way that others at least understand and at least respect that behaviour, then self-knowledge has been achieved. The management of self is a sleeper of sorts. (Sergiovanni, 2001, p. 52)

Similarly, the point is reinforced by a former headteacher in Pascal & Ribbins' (1998, p. 22) British study:

It doesn't matter how many courses you've been on, and how much you know intellectually about the processes of being a head, if you don't develop an appreciation of yourself as a person ... and [of] your own emotional understanding ... you will never make a good head.

In a broader sense, the centrality of self-development and understanding does extend beyond school boundaries to more universal applications. Gardner (1983), in his seminal work on the nature of human intelligences, drew attention to cognitive thought processes in his description of seven dimensions of intelligence. One dimension he termed *intrapersonal intelligence*: the ability to access and understand one's inner self and idiosyncratic personal emotions, feelings and aspirations.

Palmer (1998) has also taken up the wider meaning and related it back to teachers and teaching. At a deeper level, he referred to the voice of the teacher within, “the voice that
invites me to honor [sic] the nature of my true self” (p. 29). He insists, however, that the
teacher within is not the voice of conscience but of identity and integrity:

It speaks not of what ought to be but of what is real for us, of what is true.
It says things like, "This is what fits you and this is what doesn't"; "This is
who you are and this is who you are not"; "This is what gives you life and
this is what kills your spirit - or makes you wish you were dead."
(Palmer, 1998, pp. 30-31)

There is reference in the literature to the professional self displayed by teachers and principals.
As an example, Kelchtermans & Vandenberghe (1994) distinguished several aspects of the
professional self to be self-image, self-esteem, job motivation, job satisfaction and task
perception. Their research would strongly suggest an extended view that the personal self is
very much in operation in the daily work lives of school leaders. Duffy's (1999, p. 106)
recollection of early days in her headship in England reiterates this notion of the role of self
and one's personal needs, even at the beginning of a professional career:

Running under the intellectual excitement and confidence, then, was a
deeper current of personal need - what I believed 'schools' needed was being
variously complemented and coloured by what I, personally, needed in
order to fulfil myself, to use my talents, to be true to myself, to be happy.

In fact, there is an integration of the professional and the personal selves that places the
personal dimension squarely in the realm of the professional. This is well illustrated in
Southworth's (1995, p. 135) account of the omnipresent demands placed upon Ron Lacey, the
primary principal subject of his case study research:

It's [headship] extremely demanding, totally consuming of the person ... it's
time-consuming ... it's a way of life ... It looks like someone really not
doing anything other than things pertaining to headship. It's a hobby,
everything. You get up in the morning and go to work and you think about
it all day and you come home, perhaps, for supper, and you're still thinking
about it and you go back and spend the whole evening there and you come
back and you're still thinking about it. You try and shed it a little bit before
you go to bed and then you get up and start the whole day again and that
goes on and you just don't shed it, not ever! (Interview)

Headship for Ron had become more than a job. It was an all-encompassing way of life. It
was the fusion of the personal and the professional self that had few boundaries in time and
place.
Palmer (1998) admitted that his concept of a 'teacher within' could be condemned by critics as a romantic fantasy. However, he believed it compels us to look at two of the most difficult truths about teaching and, by association, one could add 'leadership'. First, what we teach will never be assimilated unless it connects with the living core of our students' lives, with our students' inward teachers. The second truth can be even more daunting: we can speak to the teacher within our students only when we are on speaking terms with the teacher within ourselves.

The parallels between teachers and their students, principals and their teachers, students and parents, can be drawn and a resultant hypothesis might be contemplated. If effective leadership, like effective teaching, makes connections not simply on a cognitive level but, more significantly, in the affective domain pertaining to deep-level needs and the inner self, is it then possible that meaningful interconnections between principals and their wider school community also have an emotional and possibly spiritual link? Such possibilities will be discussed in Chapter 7 where linkages are suggested between principals’ core values and their emotional and spiritual intelligences.

**Emotional Intelligence**

There has been a developing awareness in the literature of the leadership self, particularly in the area of emotional intelligence, that has been referred to variously as “emotional geography” (A. Hargreaves, 1999) and “emotional literacy” (Day, 2004). Despite emerging interest in this field, there has been little research undertaken into the emotional content of school leadership (Southworth, 2002).

Gardner’s (1983) early work on the nature of human intelligences highlighted a dimension he termed ‘intrapersonal intelligence’: an ability to access and understand the inner self. Salovey & Mayer (1990) first formulated the term ‘emotional intelligence’ and the concept was later popularised by Goleman (1995, 2000). In his synthesis of research, Goleman (1995, p. 34) defined emotional intelligence as, “the ability to motivate oneself and persist in the face of frustrations; to control impulse and delay gratification, to regulate one’s moods and keep distress from swamping the ability to think; to empathize and hope.” He then identified five domains of emotional intelligence: knowing one’s emotions; managing emotions; motivating oneself; recognising emotion in others; and handling relationships.
Goleman, Boyatzis & McKee (2002) later reduced these emotional intelligence domains to four aspects and associated competencies. The first domain referred to “self-awareness” which included an ability to read one’s own emotions, know one’s strengths and limitations and gain a sense of self-worth. Second, the domain of “self-management” included competencies of emotional self-control, trustworthiness, adaptability, the drive to meet inner standards of excellence, taking initiative and maintaining a sense of optimism. Third, the domain of “social awareness” included social competencies of empathy, organisational awareness and service to others. The fourth domain of “relationship management” included competencies of motivational leadership, developing others through feedback and guidance, change and conflict management, and collaborative relationships.

Day (2004) related the application of emotional intelligence to the school setting where teachers and leaders are enabled to understand and manage their own and others’ emotions as a central part of their work. He also noted other aspects of the operation of emotional intelligence in the context of a school:

It is also important to recognise, first, that emotional intelligence is not something teachers or students possess or do not possess; second, it is not isolated from the social context – cultures of collaboration, for example, are likely to nurture emotional intelligence; third, it may be affected by personal change contexts; and fourth, it can be learned. Regular engagement in forms of reflection, for instance, can assist in growth of one’s emotional as well as cognitive self. (Day, 2004, p. 98)

The developing literature on emotional intelligence, and its application to schools and school leadership, informed the present study in helping to understand the two principals’ interpersonal and intrapersonal values conflicts and their subsequent dilemma decision-making. It also underlined the need for principal reflection on their personal self and their professional self, and how they manage effectively their relationships with staff, students and parents.

**Spiritual Leadership**

The 1990s has seen a resurgence of interest in the spiritual dimension of leadership. This may be the result of an acknowledgement of the role of transformational leadership. It could also be attributed, as Hargreaves (1995, p. 15) contended, to a stronger orientation towards an uncertain future, creating greater nostalgia for past golden ages of traditional subjects, basic
skills and singular values based on clear moral certainties. The discussion will focus on the meaning of spirituality, leadership connections and disconnections, and the concept of the educational leader with ‘soul’.

Any interpretation of spirituality will be highly subjective, personalised to an individual context and dependent on whether its origins are secular or religious. Spirituality, like leadership, encompasses a broad range of life experience and is not an easy concept to define. Zohar & Marshall (2000, p. 5) extended the term to become ‘spiritual intelligence’, as a form of meaning-making capacity: “[It is] the intelligence with which we can place our actions and our lives in a wider, richer, meaning-giving context, the intelligence with which we can assess that one course of action of one life-path is more meaningful than another.” For the purpose of this discussion, the meanings of ‘spirituality’ and ‘spiritual intelligence’ will be confined to the parameters of organisational and educational leadership literature.

Block (1993, p. 48) offered a general definition based on personal values when he wrote that spirituality entails, “living out a set of deeply-held personal values, of honouring forces or a presence greater than ourselves; this is necessary to 'find meaning' in our work.” Other writers in the field of spirituality in leadership refer to some of the outcomes of leadership spirituality as a selfless sense of love and compassion for other people, respect and concern for well-being and life, and a reverence for the universe in which we live (Conger, 1994; Vaill, 1998; Fairholm, 2003). There has also been support for a holistic model of educational leadership based on the notion of authenticity, where 'spirituality' is used, not in any narrow religious sense, but more in a sense of questioning the deeper purpose or meaning of leaders’ actions in connection with values such as trust, honesty in relationships, social conscience and justice in their dealings with other people (Duignan & Bhindi, 1995).

This linkage between one’s personal values set and the notion of spirituality has been echoed in other educational leadership literature. For example, Vaill (1998, p. 219) suggested that leaders are, “propelled into the realm of the spiritual” when their actions are, “scrutinised by others in terms of their values” (cited in Dixon, 2002, p. 57). Similarly, school leaders’ core values and beliefs have been linked to effective feminine leadership styles (Strachan, 1997), while Keyes, Hanley-Maxwell & Capper’s (1999) study indicated that the basis of principal behaviours may be found in their spiritual beliefs.
Connections and Disconnections

In the organisational leadership literature, there is a growing suggestion that modern management's concentration on rationality has neglected the spiritual dimension of leadership and failed to exploit a source of energy and vitality. Bolman & Deal (1995, p. 6) commented: “Perhaps we lost our way when we forgot that the heart of leadership lies in the hearts of leaders.” The discussion of spirituality, as an issue in the business world, seems to emanate, not from any religious perspective but from a problem of disconnection, between what an executive might be feeling and what kind of person the organisation might need as a leader. Vaill (1991, pp. 3-4) claims that, “We have so thoroughly technicalised and intellectualised the job of organisational leader that there is no place for the real passions and pains that men and women in those jobs feel.” Vaill believed we were, then, in a situation where the real feelings of organisational leaders were being systematically suppressed, distorted and ignored in favour of maintaining a front called ‘executive’.

The concept of a spiritual element is gaining credence in the educational literature as writers search for new forms of educational theory, in general, and for a reconstruction of the meaning of school leadership, in particular. While there will always be paradoxes and tensions between rational and ‘spiritual’ dimensions of leadership (Gardner, 1995), nonetheless, there is growing support for the impact on school leaders of making connections between the personal and the professional, and between the interpersonal and the intrapersonal (Cunningham, 1999). Palmer (1998, p. 7) viewed this impact on educators as a daily exercise in vulnerability:

[It] is always done at the intersection of personal and public life ....
To reduce our vulnerability, we disconnect from students, from subjects, even from ourselves. We build a wall between inner truth and outer performance and we play-act the teacher’s part.

Underpinning these considerations of the possible impact of ‘spiritual’ elements, within school leadership, is the prospect of hope and sense of optimism on the part of principals (Conger, 1994; Halpin, 2001). White (1996, p. 10) proposed that, “... lacking hope, one lacks vital spiritual energy. Everything seems pointless and one lapses into apathy.” Without hope in a school setting, principals could well be reduced to unhelpful cynicism in the face of the daily challenges that the job, social milieu and educational bureaucracies produce. As Friere (1997, p. 9) suggests, perhaps that is one of the major tasks of the progressive educator, “to unveil opportunities for hope, no matter what the obstacles may be.”
As part of an International On-Line Conference, entitled "Educational Leaders for the New Millenium - Leaders with Souls", Walton (1999) argued that there could be a hierarchy of educational leadership abilities, the highest order probably involving the 'soul' of leadership or the essence of leadership. Beare (1998) also referred to the 'soul' as a term meaning one's essential self, one's essence, one's deep being. What might this mean in practical terms for school leaders?

Walton (1999) attempted to isolate delineating features of a leader with soul: their presence, their reflectiveness, their development of a personal security, which means they can give much away and continue to lead and grow as well as maintain an innate intuition about the strength and rightness of what they are doing. Heald (1999) asked a sample of 12 New Zealand educational leaders to define the characteristics of a leader with soul. The major features, with the number of responses in parentheses, were identified as: the centrality of people/relationships (10); having a philosophy/vision/depth (8); vitality, energy, commitment (7); and passion (5). These characteristics may be global in nature in terms of similar socio-cultural contexts, and, as such, may neither be mutually exclusive nor the sole prerogative of the soulful leader.

While the commentaries above paint a positive, even noble, picture of the leader with soul, a number of questions have yet to be answered to satisfy those who remain ambivalent about the reality of such terminology. Are there, for instance, particular personalities of leaders who engage the deeper level of the heart and soul? Is the soul of the leader created individually or must there be some collective development of the soul of the organisation? Is it easier to be a leader with soul in a high decile school in New Zealand than it would be in a low decile school? Is it easier in a small school with a staffing level of 20 teachers than in a large secondary school with a staffing component that may exceed 70?

For some commentators in the educational leadership literature, the lofty ideals espoused by such heroic terminology have created doubts about the validity of their claims. The talk of 'spirit', 'soul', 'inspiration' and 'charisma' provokes criticism of romantic seduction and/or religious fervour, no more so than in Gronn's (2000, p. 4) self-proclaimed realist view of leadership. "The search for soul", he asserts, "is symptomatic of a retreat to old shibboleths." Notwithstanding charismatic figures like Mother Theresa or Nelson Mandela, Gronn claimed it was equally possible to point to instances of regressively narcissistic and paranoid
charismatic leader figures. What frustrated Gronn was the assumption that leadership with soul can be conferred on any individual who may or may not have a predisposition to act in this way. It also, in his opinion, disguised the reality that leadership of an organisation is often distributed rather than concentrated on one individual.

Leadership Resiliency

A further aspect to emerge from the educational leadership literature is that of resiliency in the face of challenges posed by disruption, stress and rapid systemic change. While there appears to be no universally accepted definition of ‘resiliency’, an interpretation proposed by Henderson & Milstein (2003, p. 7) provides a possible basis for building educational resiliency in students and educators:

Resilience can be defined as the capacity to spring back, rebound, successfully adapt in the face of adversity, and develop social, academic and vocational competence despite exposure to severe stress or simply to the stress that is inherent in today’s world.

In attempting to identify internal resiliency building blocks, Henry & Milstein (2004b) summarised the resiliency literature to produce 13 key generic factors that are characteristic of resilient individuals. This summary is outlined in Table 1:

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<th>Table 1 Internal Protective Factors: Characteristics of Resilient Individuals (Source: Henry &amp; Milstein 2004b)</th>
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Henry & Milstein also added that our surrounding environments – family, organisations, communities – may affect significantly our levels of resiliency and the efficacy of our coping strategies. This view was supported by Henderson & Milstein (2003) in their exploration of factors that inhibit resiliency among educators. These environmental factors included society’s changing expectations about what schools should do as well as how they do it; the changing composition of the student population in terms of socioeconomic and ethnic backgrounds; and the increasingly critical perspectives of schools taken by their contributing communities.

Henry & Milstein (2004b) went on to develop an updated Resiliency Model whose topic headings, they believed, were applicable to students, educators, parents and community members. Their model proposed six elements. First, positive connectedness with members of one’s educational institution and community groups that provide meaning and value to our lives. Second, clear, consistent and appropriate boundaries that provide guidance to appropriate behaviours. Third, life-guiding skills that included goal setting, planning, problem-solving, decision-making, effective communications, conflict resolution and management, and self-reflection. Fourth, the concept of nurturing and support where one experiences unconditional regard from others. Fifth, with clear purposes and expectations, people can be motivated to grow and develop. Finally, meaningful participation, “confirms that we are not alone, that we have something to offer; and that we have the responsibility to give back to the environments that have nurtured us” (Henry & Milstein, 2004b, pp. 254-255).

One further element can also be considered as important to leadership resiliency: a leader’s capacity for self-renewal. As part of a qualitative study among Israeli primary school women principals in their mid-career stage, Oplatka, Bargal & Inbar (2001) analysed the educational literature concerning leadership self-renewal. They found five prominent elements of the self-renewal process during the principals’ mid-career period. These elements included internal reflection, as well as a self-critique of present beliefs and faiths; reframing of existing life perspectives; searching for new opportunities; replenishing of internal energy; and professional updating through training or through learning by oneself.

The elements of critical self-reflection, re-evaluation of one’s beliefs and values, job and life satisfaction, and professional currency became germane to the consideration of resiliency levels within the two principals of the present study. Also significant was Oplatka et al.’s

**PRINCIPAL DEVELOPMENT NEEDS**

Several themes can be drawn from the literature as being influential on the principalship and on principals' future development needs. Social, economic and political trends have impacted on the work of the principal as have progressive changes and demands in the area of educational management. In addition, the necessity for a principal to engage in reflective practice will be examined briefly, together with the recurring theme of principals' personal development and its implications for future principal development programmes.

**Demands of the Role**

The role of the school principal has undergone fundamental change throughout the last century in response to social change and school reform movements. Beck & Murphy (1993) captured these changes in their metaphorical descriptions of progressive role expectations of the principal: values broker (1920s), scientific manager (1930s), democratic leader (1940s), theory-guided administrator (1950s), bureaucratic executive (1960s), humanistic facilitator (1970s) and instructional leader (1980s).

The changing nature of the principalship in the 1990s centred on an ideologically driven change from the principal as leading professional to a more managerial role as an educational chief executive ( Doughty, 1998; Southworth, 1998). Particularly in the United Kingdom, the managerial function was exacerbated largely because of central government legislative changes in the late 1980s and 1990s. As one head noted in Mortimore & Mortimore's (1991) study, they were left to manage the aftermath of the recent legislative ‘hurricane’.

Similarly, Weindling (1998) commented that, in 1988, eighty per cent of the headteachers in the National Foundation for Educational Research (NFER) project said their role was very different from when they had started their careers and this was largely attributed to the government imposition of the Educational Reform Act. By 1993, ninety per cent of the heads said their role had continued to change significantly over the last five years. In his summary of these changes, Southworth (1998) identified them as emanating from the National
The transition of this change was not a comfortable one for some principals as they had to confront dilemmas and tensions resulting from such role changes. The job invariably involves a balancing act as the principal, at any given time, moves along a leadership/management continuum, dealing with tensions and dilemmas caused by opposing forces. S/he may alternate between being democratic and exercising control, being critical and non-critical, confronting internal and external pressures, motivating staff to anticipate the future yet offering them sufficient stability to cope with the present. Jirasinghe & Lyons (1996, p. 88) reflect realistically that one is unlikely to find a headteacher fully capable of dealing with such a range of behaviours: “There is a danger that the specification sought would need an Archangel Gabriel to fulfil all of its requirements.”

Not only have there been challenges within the job but also principals have been subjected to multiple role expectations from outside, described by Murphy & Louis (1994) as a ‘complexity dilemma’ and by Cuban (1996) as an ‘identity dilemma’. From a pragmatic viewpoint, one cannot deny that the job of a school principal is multi-dimensional. There can be few vocations where one is called on to perform the roles of sociologist, psychologist, community worker, politician, mediator, legal adviser, architect, building contractor, co-curricular coach, administrative manager and professional leader. At a conceptual level, the multi-faceted roles of principals that enable them to meet complex sets of challenges have included the principal as servant, person in the community, moral agent, social advocate and activist (Murphy & Louis, 1994). In their crafting of a strong school culture, Peterson & Deal (1998) ascribed more metaphorical roles to principals such as models, potters, poets, actors, healers, historians, anthropologists, visionaries and dreamers.

It will come as no surprise, therefore, that this multi-layered role expectation of the principalship has produced increased workload consequences. Principals’ fears, that fundamental administrative changes such as school choice and site-based management would greatly increase their workload, have proven correct. Bennett et al. (1992, p. 25) reported that,
“almost three-quarters of the principals hired prior to reform strongly argue that administrative demands have increased since reform.”

Southworth (1998) expanded on the theme of general intensification of principals' work by noting that, in reaction to role expansions described above, the principal's working day has been lengthened. Many heads are back at school two or three nights each week. They are involved with, for example, governance meetings, PTA events and attending to an extended network of communications both inside and outside the school. Headship has become, “a day job with a night shift” (Southworth, 1998, p. 69). Under current educational regimes, both in the United Kingdom and in New Zealand, it has been necessary for principals to assume these multiple roles. The challenge, however, is to make appropriate choices about where their time and attention is best spent in the interests of their school.

The Role of Reflective Practitioner

In most discussions about reflection, Dewey (1933, p. 9) is often quoted in his definition of reflection as, “active, persistent and careful consideration of any belief or supposed form of knowledge in the light of the grounds that support it and the further conclusion to which it tends.” Despite the demanding and, at times, stressful nature of the principal's job, it would seem important that the principal takes time to reflect on decisions, new understandings and implications of actions and experiences. Research on effective principals (Leithwood & Stager, 1989) indicated that they are reflective, particularly in the areas of problem-solving and their general leadership style.

While it is acknowledged that reflective practice may be a vital part of the educational leader's repertoire of skills (Stewart & Prebble, 1993), there is a variety of interpretation of the term according to contextual usage. In a conference address, Edwards (2001, p. 2) saw reflection as a form of 'focused review' related to the job and thinking about the future: “Reflection is a type of mental SWOT analysis from which are likely to emerge new ways of doing things, new approaches to issues and problems and new directions in which to move.” Others, such as Butler (1996), adopted a broader contextual view of reflection. In a proposed model of human agency, Butler situates reflection within two background contexts: the self and social contexts.
In Butler's model, reflection is the central linkage and is the, "open, active communication channel between the outside social context and the inner self" (Butler, 1996, p. 270). In brief, Butler describes public knowledge as all that abounds outside the self in the form of theories, formal knowledge, policy directives, quality assurance processes, hints and folklore, community expectations. Professional practice or performance is human action itself and is developed by reflection on action within a public knowledge context provided by an education community. World view is an individual's own way of looking at the world, a map by which one negotiates the progress of one's life. Personal knowledge is a store of knowledge and understanding attained through lived experience (Benner, 1984).

This model proposed by Butler is represented in diagrammatic form below:

![Diagram of Butler's model of human action]

Butler believes that reflection is a process that is carried on by the self but is often stimulated by events both outside and inside the self. It can design actions and reactions, an aspect best described in the foundational works of Schon (1983, 1987), who contributed significantly to teacher education literature on the role of reflective thinking as a critical process for teacher professional growth.

Schon referred to three aspects of reflective practice. Reflection to action is the creative consideration of current issues, the organisation of relevant knowledge and interpretation of new meanings. It is the forerunner to generating future performance. Reflection in action is a form of reflection within the process of performance. It reviews and evaluates current
actions and is frequently based on formal and informal feedback. Finally, Schon viewed reflection on action as a retrospective examination of experiences. Ideas may be tested for their authenticity and a re-evaluation made, leading to enhanced understanding and appreciation, and a new basis for personal practical knowledge.

A positive impact of reflection for the professional improvement of teachers and school leaders is documented in the educational research literature. For example, continued engagement in reflective practice was mirrored in heightened awareness of ethical and moral dimensions of teaching (Taylor, 1997; Elliott, 1998). Korthagen & Wubbels (1995), cited in Griffiths (2000), suggested two main values of reflection to teachers who used it in their professional practice. First, they had better interpersonal relationships with students than other teachers. Second, they developed a higher degree of job satisfaction. (It should be noted, however, that these were personal advantages of reflection that carried positive professional implications). In addition, Robertson's (1994, p. 13) action research study of 11 New Zealand school leaders indicated that, “reflection from outside perspectives, based on the issues that they were facing in their day-to-day work, was an important aspect of their professional development.”

Underlying this concept of teacher and principal self-reflection is the need for such reflection to be critical in nature. Fink (2005, p. 12) viewed the interrogative function as a significant part of a leader’s job where critical thinking enabled them, “to act as a gatekeeper, to ask the right questions, to know what initiatives to support, what to oppose and what to subvert.” Building on the work of Freire (1972, 1997), Smyth (2001, p. 191) went beyond conventional labels to describe four pedagogical moments in the stages of critical self-reflection:

1. Describe … what do I do?
2. Inform … what does this mean?
3. Confront … how did I come to be like this?
4. Reconstruct … how might I do things differently?

Like teachers, principals must be able to describe the principles or drivers that inform their leadership practice by accessing what Elliott (1987, p. 151) referred to as the, “knowledge, beliefs and purposes that [they] employ in both characterising that practice and deciding what should be done.” The second stage of critical reflection would enable principals to develop
short-range theories or explanatory principles about their leadership actions. Then follows a subjection of such theories and principles to, “a form of interrogation and questioning that establishes something about their legitimacy” (Smyth, 2001, p. 193), and a final stage of reconstruction whereby principals reflect on alternative courses of action.

This imperative for critical self-reflection, together with Brookfield’s (1995, p. 141) notion of critical reflection as “an irreducibly social process”, will be used in the present study to generate a model of principal self-development. This will be a values-based model of self-development which is built on notions of critical self-reflection, on adult learning practices, and on the use of external agency and other scholarly literature.

**Personal Development**

While the personal dimension of leadership has been considered in a previous section, literature on the school principalship continues to underline the importance of the principals' personal development as well as their professional development needs. This emphasis is exemplified by Leithwood et al. (1994, p. 27) who argued that future school leaders, and those responsible for their development, need, “a better understanding of principals' internal mental processes and states: the rational aspects of these processes, such as the content and organisation of knowledge structures, as well as non-rational elements, such as beliefs, attitudes and values.”

This argument for the importance of principals' personal development was also taken up by Cardno (1996b). In her support of a holistic approach to teacher professional development, she claimed that little formal attention had been devoted to personal skills within school development priorities. She identified relevant skill areas as a social ability to communicate clearly; political ability to negotiate in the workplace; cultural sensitivity to gender and ethnic issues; and interpersonal problem-solving skills, particularly in the context of staff appraisal. The need for personal development was also reinforced by Morris (1994) whose research of Texas principals identified core training needs in interpersonal skills, especially in human relations, receptive communication, conflict resolution and reflective practice.
Such a research example has been strengthened by more generalised references in the literature. One of the factors to emerge from Lortie's (1975) seminal sociological study of schoolteachers was the primacy of teachers' personal experiences in their development and in their programme delivery. This theme has been supported by a number of researchers (Nias, 1986; Bailey, 1987; Oberg & Underwood, 1992; Bell & Gilbert, 1996). They challenged a view of professional development whose aims were to rectify teacher deficits and to implement curriculum and legislative changes. They focused on a more personal view of development whose characteristics include the need to preserve self-identity and to reflect on personal practice.

In the case of principals, Jirasinghe & Lyons (1996) regarded personal development as an integral part of headteacher management competencies. Features included commitment and values, reasoning, communication and self-awareness. Similarly in New Zealand, Wadsworth's (1990a) School Leaders' Project found that the need for personal growth, as opposed to professional growth, was frequently evident. It underlined the notion that school leadership is a whole person task, having intellectual, professional, ethical, emotional and interpersonal elements. This theme was suggested previously by Murgatroyd & Gray (1984, pp. 47-48) as they pointed to a need for leadership training to move beyond a prescribed approach:

Training for leadership cannot be normative, prescriptive, skill-based or problem-centred. Instead, it needs to focus upon the personal and interpersonal qualities of the person. It needs to develop and sustain openness, empathy and warmth and to encourage exchange, acceptance and exploration. Though the aims may be pursued by means of studying specific problems or issues or by exploring key concepts and research, such training needs to be person-centred.

Of interest in the present study will be the extent to which the two case study principals reflect Wadsworth's findings on the need for personal growth and sustenance, and the implications of this personal dimension for on-going principal development.

MODELS FOR PRINCIPAL LEARNING

Global school reform efforts have focused more attention on teacher professional development than on the learning needs of their school leaders. As principals confront the challenges of
school reform, Erlandson (1994) believed they must become active learners who are prepared to analyse and change their thinking and professional practice. This section of the literature review will examine a fundamental question of how teachers and principals learn and what development programmes have been available to assist principals in this process.

**Effective Learning Processes**

A key factor underpinning professional instructional programmes has been a consideration of effective learning practice. Schon (1983, 1987, 1991) questioned the established sequential approach where a novice professional was required to learn theoretical knowledge, then applied knowledge and then how to use that applied knowledge in practice (Bell & Gilbert, 1996). Gilbert (1993, pp. 30-31) summarised Schon's criticism of the established view:

Firstly, there is an assumption that professional knowledge can be produced in isolation from the situation in which it is to be applied …
Secondly, there is an assumption that practitioners work by applying scientifically derived theoretical knowledge to their practice …
Thirdly, there is the assumption that professional competence and technical problem-solving competence are the same thing.

Schon’s counter approach was based on the premise that, when practising a profession, an individual displays knowledge in action, reflection in action and reflection on action. Schon argued that, such are the complex and unpredictable tasks facing professionals in a range of organisations including schools, textbook-type knowledge cannot be applied to those settings in a mechanistic or rational manner. Instead, professionals need to be able to reflect critically on their practical experiences and, therefore, their professional education programmes should be designed to encourage them in reflective practice.

This was followed by Kolb’s (1984) important conceptualisation of a learning cycle for adult learning. In this, he conceived of learning, not as an outcome but as a process, “whereby knowledge is created though the transformation of experience” (Kolb, 1984, p. 38). Kolb’s four phases can be summarised as follows:

Concrete experience: learning from doing in the everyday reality of the workplace;
Reflective observation: the learner observes and reflects on experiences;
Abstract conceptualisation: from phase two, the learner develops their own theories and generalisations. These may be integrated with existing concepts and models to form hypotheses for testing in action;

Active experimentation: the learner experiments with hypotheses developed. This may lead to further concrete experiences, thus reigniting the cycle. (Kolb, 1984, p. 42)

Kolb’s theory of experiential learning has been increasingly applied to school leadership and to management training (Bailey, 1987). Its particular context has often been within a self-development approach to learning. In the case of school principals, it has utilised their workplace setting and their practical experiences on the job as a primary source of learning. This notion of the place of experience in adult learning was linked by MacKeracher (2004) to a values structure that underlines components of our personal model of reality. Some of these components include our:

- Self-system, including how we understand ourselves as actors or our self-concept, and the values we assign to ourselves or our self-esteem;
- Professional or occupational knowledge (meanings, values, skills, and strategies). (MacKeracher, 2004, p. 34)

Principals as Adult Learners

It is only relatively recently that the concept of ‘andragogy’ or adult learning has gained prominence in staff training and professional development programmes within business and educational organisations. Adult learners have often been described as a "neglected species" (Knowles, 1990) and they have gained a profile in the teacher development literature but not to the same extent in the literature of principal development. This profile of adult learning has been enhanced by the growing recognition of experiential and life-long learning, together with the importance of personal approaches to learning (Honey & Mumford, 1988).

Andragogy was a term first introduced by Knowles (1978), under the influence of John Dewey, and can be broadly defined as the science of teaching adults. Burns (1995) believed that educational training programmes have not met the adult's deepest learning need which is to be treated as a self-directed person: “Andragogy is, therefore, student-centred, experience-based, problem-oriented and collaborative, very much in the spirit of the humanistic approach to learning and education” (Burns, 1995, p. 233).
Knowles (1984) suggested that significant differences existed between the concepts of pedagogy and andragogy and the learning patterns of children and adults. Although this distinction represents a false dichotomy for some writers (for example, Dennison & Kirk, 1990; Bell & Gilbert, 1996), it does offer implications for the way people learn at different ages and career stages. Adult learning, in a school context, is also now more closely scrutinised because research indicates that 'effective' educational institutions have effective teacher development strategies and positive community roles (Law & Glover, 2000).

A number of adult educators and writers in the field have written about the principles that are likely to enhance adult learning (Combs, 1974; Griffin, 1977; Knowles, 1978, 1984). The following is a synthesis by Burns (1995) of assumptions behind key concepts of the adult learning model, together with implications for programme delivery (italics in original):

- Adults need to know why they are required to learn something before they are motivated to learn it, and by recognising its personal value or benefit. Teachers and trainers must make a case for this value of the learning for improving the effectiveness of the learners' performance.
- Adults are responsible for their own decision-making and are capable of self-direction while also requiring a climate of collaboration and trust. The role of the instructor is to engage in mutual enquiry rather than transmit knowledge and evaluate their conformity to it.
- Adult learners will display a wide range of individual differences. This means that educational programmes must place more emphasis on a range of individualised learning strategies eg experiential techniques, group discussion, simulation and problem-solving exercises, and peer-assisted learning activities.
- Adult prior learning is substantial, implicit, and needs to be enhanced through new learning experiences. Therefore, a core methodology for adult education is the analysis of experience.
- Adults are task and problem-centred in their approach, particularly to those problems that face them in everyday life. They need to see significant practical relevance if they are to commit to their learning activity. Thus, the appropriate units for organising adult learning are life situations, not subjects.
Adults generally internalise their learning when motivated by intrinsic factors such as quality of life, self-esteem and job satisfaction. This is maximised when learning opportunities are linked with a recognition of a need to know. Adult education must make optimal provision for differences in style, time, place and pace of learning. (Burns, 1995, pp. 235-236)

These core principles of andragogy may usefully be applied to principals' learning. One of the cornerstones of delivering successful leadership programmes may be an understanding of how principals best learn as adult learners; that is, not what they should learn but how and why. Macpherson (1983), in contemplating this question, believed that principals were ideologically professional rather than bureaucratic, being teachers rather than administrators by preparation. He considered they would learn in an adaptive, heuristic, long term and non-linear manner and that their learning would be tied to school-based developments. Leithwood, Rutherford & Van Der Vegt (1987) saw a strong relationship in principal development between theory and practice, a point reiterated by Bailey (1987) who viewed experiential learning as a constructive response to the theory/practice dilemma – learning from experience rather than about it.

This provides support for the application of Kolb's experiential model to principals' learning processes. Principals' concrete experience was found to be a basic element in their professional development (Smyth, 1988; Robinson & Absolum, 1990; Wadsworth, 1990a) and in their personal development (Gray, 1987). Reflective practice may involve individual reflection in action (Schon, 1987) or may involve discussing one's ideas with another person to clarify confusion, identify questions and reach significant insights (Gilbert, 1993). In terms of abstract conceptualisation, Argyris & Schon (1978) claimed that it was useful for leaders to discover their own theories of action, unlock them and learn a new theory to assist their organisational problem-solving. Often, this assisted reflection is supported from the outside in the form of peer-assisted leadership (Barnett, 1990). Finally, active experimentation may be seen as a form of personal pragmatism, whereby the value of any practice is unknown until the receiving teacher has tried it in the classroom and decided that it works (Lortie, 1975, p. 78).

There has been, however, a note of warning sounded to professional programme providers that the underpinning emphasis on the strengths of experiential learning may, in fact, undermine the chances of changing current adult thinking. This is because the thought
processes required for future action may not necessarily be grounded in past experience. If we wish to encourage principals to move beyond their present assumptions, then we may need to extend their comfort zone by introducing new knowledge, questions and issues (Evans & Mohr, 1999). Hence, principals are forced to critique conventional wisdom and to avoid reinforcing accepted practice. Stewart (2000) put this case strongly when he expressed concerns about the inadequacy of relying completely on an individual's or small group's past experience. He saw a real danger that an over-reliance on personal experience would result in a focus on, “better ways of doing more of the same”, at the risk of ignoring the essential moral, ethical, political and philosophical questions that lead to effective and meaningful education. For the present study, this lends support to a need for principal learning and reflection to involve strategies for critical thought and critical interrogation of current and future leadership practice.

As a tangible example of this discussion of adult and principal learning, Townsend (1998) completed a research study on the issues of learning the principal’s job, involving the interactive interviewing of 19 New Zealand principals. She identified two major types of principal learning situation that included Kolb’s conceptualisation of experiential learning: first, foundational learning built on family, educational and relationships with significant others; and second, experiential learning based on situational learning, the synergy derived from multi experiences and intentional learning such as courses, conferences and professional reading.

Approaches to Principal Development

The focus of discussion now moves from the principal as an adult learner to consider the range of approaches taken in the provision of principal development programmes at a more universal level. Conceptual approaches that underpin principal development are reflected in competing approaches to teacher development in the literature: critical and technicist/functionalist.

Critical theorists focused attention on the relationship between schools and society, on power relationships, the social constructedness of knowledge and the work of teaching. They also focused on processes through which the work of teachers is becoming deprofessionalised to fit with a concept of teachers and principals as the managers of pre-determined curricula and
business enterprises (Gilbert, 1993). Critical perspectives of teacher development view teachers as professionals who think critically about themselves as practitioners and their school contexts. The concept of teacher empowerment is central, both as professionals and as human beings in a social and political context. From this critical view, it is argued that teacher effectiveness can only be achieved by, “collaboration, questioning, problem-posing possibilities fostered when teachers work together in small collaborative groups in which genuinely dialogic relationships are possible” (Gilbert, 1993, p. 21).

From a technicist/functionalist viewpoint, the purpose of education is to maintain existing social cohesion and unity and to serve the ‘manpower’ needs of the economy, not to promote critical enquiry. People are conceptualised as passively socialisable instruments of the government and the economy, not as the creators of democratic communities (Middleton, 1989). Teaching is conceptualised as a set of management tasks which enable the transmission of information from teacher to student and teacher development is a technical problem involving finding ways to improve the fit between theory and practice, establishing standards and improving the quality of programmes (Popkewitz, 1985). Examples of a technicist/functionalist approach in New Zealand professional development were the advent of professional standards for principals (Ministry of Education, 1998) and the Education Review Office’s (1998) evaluation criteria for principal performance.

Southworth (1995, p. 204) claimed that a similar conceptual picture of instrumentalism exists in the prevailing emphases on principal and management development whereby, “in school management theorising, a bureaucratic rationality remains largely intact.” Southworth offered two reasons to justify his claims. First, in England, headteacher development had generally been regarded as training. The implicit assumption was that leadership can be trained into people by a person who knows how others should behave and teaches them how to do it (Coulson, 1988). Second, although training courses have recently been given less emphasis, the underlying instrumental rationale remained undisturbed. Southworth argued that this was evident, for example, in the School Management Task Force (SMTF) report (Department of Education and Science, 1990) that promoted the metavalues of efficiency and effectiveness.

Southworth cited three consequences of an instrumental approach to headteacher development: the preoccupation of training courses with technical matters at the expense of critical thinking and reflectiveness; the assumption that a headteacher’s management style is
an objective, rational strategy that is detached from the person; the failure to recognise that heads also need to apply, as part of their job, relevant principles, rules and ideals, since they are moral agents (W. Greenfield, 1991).

In order to test Southworth, Coulson and Greenfield's claims, it is appropriate, at this point in the literature review, to examine a sample of international perspectives on 'training' programmes for principals. Europe (England and Wales, Scotland, Sweden) and Pacific Rim countries (USA, Canada, Australia) dominate the principal development literature in terms of development phases and professional innovation. For the purposes of this section of the review, a representative sample will be narrowed to focus on some national principal development programmes in England and Wales, and in America.

**Preparation and Training in Britain and USA**

After attempts in the early 1990s in England and Wales to support induction programmes for new principals through mentoring, the focus shifted to broader national programmes established by the Teacher Training Agency (TTA). The first example of educational management training came in 1995 with the advent of the Headteachers' Leadership and Management Programme (HEADLAMP). This training programme, for newly appointed headteachers, was to cover a two year period from the time of appointment. Each programme was to focus on a range of leadership and management tasks drawn from defining school objectives, policy development, resource management, assessment of student achievement, staff management and school-community liaison. In addition, a skills matrix was to underline direction-setting, decision-making, management of change, problem-solving, delegation and monitoring processes.

However, there was growing criticism that the issues addressed in training tended to be concentrated on administrative and technical issues surrounding the headship (Blandford & Squire, 2000), and that the whole project lacked a, "coherent understanding of the fundamental and underlying principles of practice" (Kirkham, 1999, p. 21). Inspectorial evidence also suggested that the HEADLAMP scheme achieved mixed results:

It is clear that some headteachers who took part in the programme developed new skills and gained in confidence. On the other hand, there is, as yet, little clear evidence that many participating headteachers have made fundamental changes to their styles of
leadership. There are also significant weaknesses in the quality of some of the training. (Office for Standards in Education, 1998, p. 64)

The second attempt to restructure headteacher preparation came in the form of a qualification, the National Professional Qualification for Headship (NPQH), in 1997. Initially, all candidates were obliged to undertake training in a 60 hours compulsory module focusing on strategic leadership and accountability. Further optional modules were available, depending on the candidate's action plan. These included one or all of: teaching and learning, leading and managing staff and the efficient and effective development of staff and resources.

Like its predecessor, the NPQH also drew criticism for its managerial approach in relying on a competency system (Revell, 1997), its failure to include some consideration of values and professional knowledge (Bolam, 1997) and for the marginalisation of more humane traditions (Gunter, 1999). As a result, the NPQH was restructured in 2000 and shortened to one year of study. Greater use was made of Information Communication Technology, regional centres dealing with training and assessment and a period of residence at the National College for School Leadership. Yet, even the initial prospectus for the National College presents a singular rational view of leadership with its emphasis on training, practicality and enhancement of skills, according to Wright (2001, p. 277): "Alas, in leadership terms, the National College prospectus aligns itself more with a managerialist agenda which also favours doing rather than reflection, action rather than thinking and concentration on means rather than ends."

In the United States, parallel developments in the field of school leadership preparation and training have taken place. Despite the decentralisation of leadership preparation and in-service training, there evolved what Cooper & Boyd (1987) termed the 'one best model' approach. They characterised this model as one in which:

The school administrator is defined as a behavioural scientist, programme content concentrates on management, organisation and leadership theories, and training is delivered by universities who offer master's degrees on a credit accumulation basis but within a state-controlled licensing system. (cited in Bolam, 1997, p. 272).

As in England and Wales, criticism of preparation and in-service programmes in the USA was frequently founded on the paucity of evidence regarding the efficacy of principal training programmes (Haller, Brent & McNamara, 1997) where, "there has been meagre improvement,
at best, and a change of labels at worst” (Shakeshaft, 1999, p. 237). A further commonly supported criticism centred again on the technical/rational approach that stands in contrast to the human reality of school leadership practice. For example, Pitner (1988) concluded from a review of literature that, among other aspects, the learning contexts of educational administration courses in the USA did not resemble the documented environment of school administration; that courses, in general, prioritised written above oral communication and encouraged rational detachment while ignoring the emotional realities of interpersonal situations.

Of particular interest to the themes of this research study was the lack of emphasis on personal development in either of the international settings discussed above. This was in spite of an on-going call for the personal dimension of the principalship to be acknowledged as an influential step in the preparation and training of school principals. The tenor of the counter argument to the technical/rational approach has stressed the importance of flexibility, adaptability and holistic approaches to leadership development.

In the literature of leadership development, there is a desire to highlight personal development based on broader concepts of situational and transformational leadership (Cattanach, 1996; Hall & Southworth, 1997) or, in the case of general teacher development, the concepts of self-development and self-understanding (Bell & Gilbert, 1996). Bailey (1987) also argued that school management training should focus on personal development, helping each principal participant to increase their self-awareness and sensitivity to managerial and professional issues through short experimental workshops. He went on to link the personal development of principals to "learning from experience" and advocated that such development takes place in the context of organisational needs.

Combs, Miser & Whitaker (1999) went further by exploring the implications of a person-centred view of leadership preparation programmes. These included a stronger focus on helping school leaders develop their interpersonal relationship skills, their personal belief systems and their moral and ethical bases for leadership practice. Bolman & Deal (1994) shared this perspective that many leadership training programmes did not connect learning with emotions or ethics and that issues were typically discussed in abstract or neutral terms. Evidently, there is a need for a reconceptualisation of school leadership development programmes that will incorporate more holistic approaches in their design and delivery. That
need could also be extended to the integration of formal learning with more context-grounded approaches, such as the individual's personal growth and development.

**Mentoring and Coaching**

The advent of business mentors and coaches has been part of this extension of leaders' personal and professional development programmes. Dubrin & Dalglish (2003, p. 437) defined the role of the mentor in the development of leadership capacity as, "a more experienced person who develops a protégé's abilities through tutoring, coaching, guidance, and emotional support." In a transformational sense, a mentor can be regarded as an interpreter of events, a change and intervention agent (Saur & Rasmussen, 2003) and, as the mentee develops independence, the role of the mentor changes from one of authority to one of a guide and, eventually, colleague and friend (McLean, 2004).

In terms of school leadership, the mentoring process incorporated both professional and personal support for the principal. In their East Midlands study of secondary headteachers, Bush & Coleman (1995) found that the major impact of mentoring was on the heads' personal skills which were enhanced significantly. As one headteacher indicated, “It’s about me… coming up to speed with some things, picking up on personal skills which were underdeveloped in a previous post” (pp. 63-64).

A further facet of the mentoring process for principals has been described by Day (1995) as 'critical friendship' which builds on the notion of a principal’s self-reflection through an equal partnership with an external agent:

> Critical friendship ... can serve to decrease isolation and increase the possibilities of moving through stages of reflection to confrontation of thinking and practice ... In terms of the appraisal of classroom practice, for example, a critical friend may establish and sustain a responsive, mutually acceptable dialogue through which situations will be created in which the teacher is obliged to reflect systematically on practice. (Day, 1995, p. 123)

The long-term outcomes of such a process have potential to assist the holistic development of principals where the reciprocal nature of mentoring may enable a nurturing of the self and others (Daloz, 1999), and to strengthen the chances of positive interrelationships and of increasing the human spirit (English, Fenwick & Parsons, 2003).
The terms ‘mentoring’ and ‘coaching’ are often used interchangeably (Poglinco & Bach, 2004). In explaining the term ‘coaching’, Bush & Middlewood (2005, pp. 159-160) ascribe three dimensions to development coaching:

- Professionalism: maintaining neutrality and explicit standards of conduct, guaranteeing confidentiality, committed to on-going personal and professional development;
- Purpose: helping the individual to adapt congruently and; therefore; creatively and innovatively to the challenges involved;
- The relationship: a collaboration between two people with the goal of a growth in self-awareness and functioning of the client; power is equal.

This relational component of coaching, together with its drive for principal self-awareness and self-actualisation, again links with the prospect of satisfying human needs. The influence of human needs satisfaction will be used in a later chapter to underpin the role of external agency in the proposal of a values-based model of principal self-development.

PRINCIPALSHIP IN NEW ZEALAND

The present research had, as its primary focus, the study of two New Zealand secondary principals at work. In terms of generating a context for the study, the Education Review Office (1997, pp. 3-4) records that a typical secondary school principal in New Zealand:

- is aged between 45 and 52
- is a man (only 25% are women)
- has been in his or her current position for about five years
- leads a school with 600 students, 50 teachers and 15 other clerical, maintenance and technical staff
- has completed a University degree in English, a foreign language, history, science or mathematics before undertaking a one year post graduate course of secondary teacher training
- has held middle management and senior management teaching positions in a secondary school
- has attended many in-service training courses
In New Zealand, over 300 secondary school principals are responsible, on a daily basis, for the learning opportunities of over 220,000 students, the management of a total budget of over $1 billion and the performance of over 15,000 teachers and other staff (ERO, 1997).

In contemplating the context in which principalship has evolved in New Zealand, it is important to consider some historical features that have shaped the development of school leadership. These features include the demands faced by school leaders, their professional needs and provision of training and, finally, the location of research that has addressed the specific topic of secondary principal development.

Demands on New Zealand School Leaders

New Zealand school leaders' work experience resembles the picture generally described in the wider literature: "It is intense, fragmented, people-focused, demanding and inimical to reflection and sustained pro-activity" (Wadsworth, 1990a, p. 61). Their daily practice is influenced by a combination of external and internal factors, often beyond their professional control.

In a section entitled, "The real world of the secondary school principal", part of an Education Review Office (1997) report on the professional leadership of secondary principals, the impact of the external environment was evident. Principal descriptions of this environment were particularly pessimistic:

They saw family violence, sexual abuse, absence of discipline in the home, lack of parenting skills, low educational expectations and students who were out of control, a loss of traditional values, lack of respect for authority, disruptive students, truancy, vandalism, lack of support from outside agencies, drug and alcohol abuse, and racial tensions as insurmountable pressures on their working lives. (ERO, 1997, p. 31)
The report went on to refer to the unenviable situation faced by many secondary principals as they confronted a series of dilemmas that made competing demands on them. Examples included ethical dilemmas, such as how to deliver the highest quality of education to all enrolled students while simultaneously dealing with students who had developed antisocial attitudes that disrupt the learning of others. It also proved problematic for principals to find the necessary time and resources to deal with urgent problems of student health and safety, with a resultant reduction in time and resources used for priorities in areas such as teacher performance, strategic planning and curriculum leadership (ERO, 1997).

As a result of these external and internal influences, the expectations of a New Zealand secondary principal changed dramatically after 1989. Reforms in education administration, the New Zealand school curriculum, the new qualifications framework, the role of the Education Review Office (ERO), the seamless education system – set against a background of government free market policies - compounded the principal’s workload (Donn, 1993; Bennett, 1994). These reforms added extra responsibilities to the tasks carried out by boards of trustees and contributed greatly to the pressures of the managerial function of the principal as the board’s chief executive. The flow-on effects of these reforms continued to add to the principal’s workload. For example, ERO (1995) reported that principals' time required to coach, support, advise and service a board was considerable, with demands for further advice and support when a change in board membership occurred. As a consequence, the principal’s instructional leadership role was eroded as quality time and attention was diverted to, “managerial aspects having an aura of immediacy and accountability which draws the principal’s attention” (Blairs, 1992, p. 32).

This tension between the forces of managerialism and professional leadership, identified in the broader literature, continued to impact on New Zealand principals in the years following the reforms. This reinforces the prediction, in Ramsay’s (1991) study of 28 New Zealand schools and their communities, of a continuing discrepancy between the new managerial expectations of the repositioned principal’s role and the leadership functions of the job:

We anticipate that tension may arise between the characteristics we identified and recent trends requiring principals to be more managerial. We have no doubt that good principals must be good managers. However, above all else, they must be good professionals. This research has shown conclusively that management skills alone are not sufficient for school leaders. We also found that resources
were required to facilitate the professional development of principals, and that regular release from managerial tasks was essential. We would hope that policy makers would resist current trends to diminish the professional role of principals - a view shared alike by teachers and parents interviewed in the study. (Ramsay, 1991, p. 25)

The ramifications for principals in the execution of their leadership duties were considerable. On a personal level, principals felt stretched and pressured by excessive workloads. This was underlined by extra challenges faced by secondary principals in the area of assessment, with the advent of achievement standards and the National Certificate of Educational Achievement (NCEA) at Year 11 in 2002 and, simultaneously, the secondary teachers' prolonged industrial action regarding the settlement of their collective employment contract.

The personal consequences exacted a toll on principals across all school sectors. In particular, Wylie's (1997b) survey of the changing role of the primary school principal revealed the especially high demands on teaching principals of 4-6 teacher schools. One ex-principal of such a school observed that:

A job that destroys elements of a person's personal life has actually got a weakness in it. It's all very well to send that person on stress management courses and time management courses, but I'm not sure that that really addresses the issue. It's the structure of the job that needs looking at. (Wylie, 1997b, p. 12)

Wylie (1997b) noted also that, while principals were in control of their schools, they often felt they could not control their own personal time on account of unrelenting school demands. The cost, it seemed, was borne by their families and their personal lives (p. 40). The result saw an exodus of primary principals, in particular, from teaching positions. Wylie (1996) reported a 40 per cent turnover among New Zealand primary school principals whose average workload hours had risen from 48 hours per week in 1989 to 60 hours per week since 1990. Half of those principals surveyed cited low morale as a contributing factor and 34 per cent indicated they were planning to retire, take a break from teaching or undertake a career change. The implications of these findings had not changed significantly in the years that followed (Brooking, Collins, Court & O'Neill, 2003).

It must be acknowledged that reforms and consequential role changes were the most marked in the primary sector. While principals left the teaching service, "many more are performing superbly in the new environment and others are coping well" (Harold, 1998, p. 355).
Nonetheless, secondary principals have been, and continue to be, subjected to a raft of demands and unresolved tensions within their job. Concern came from widespread anecdotal support within the secondary sector for one of Wylie's (1997b) findings that fewer teachers and senior leaders aspired to the position of school principal. From the minutes of a Secondary Education Coalition meeting in Wellington, on 17 October 2004, it was noted that secondary principal turnover was at seriously high levels. In 2002, 56 of the 340 secondary principal positions had changed. By October 2003, 50 of the 340 principal positions had changed again and 29 per cent of boards of trustees had reported one or two applications for advertised principal posts.

**Provision of Principal Development in the New Zealand Context**

Programmes of professional preparation and continuing development for principals and senior leaders have been slow to develop in New Zealand (Robb, 1988; Alcorn, 1993a). In the ten years since the reforms of 1989, there had been little national coherence in terms of a planned educational development programme for school leaders (Macpherson, 1998; Wylie, 1998). This was despite an increasing acknowledgement by the Education Review Office (1999) that there was no formally-recognised "profession" of principals, no formal qualification required to be a school principal, and that this lack of concerted training was out of step with that expected in similar executive management positions:

> It would be unusual and unwise for any commercial, community or voluntary organisation responsible for a critical large-scale human service comparable to education to appoint a chief executive or executive director who had had no prior experience in high level strategic management or substantial training in the craft of enterprise management. (ERO, 1999, p. 12)

There appeared little consensus about how principal development should be carried out (Stewart, 2000). In general, principal professional development and school development decisions were taken by individual principals and their boards of trustees, yet not always in an effective manner, according to the Education Review Office:

> All too often, a board of trustees (as the principal's employer) has not made adequate arrangements to ensure that its most important employee is kept fully up to date with modern management and leadership practices and has regular training and retraining in professional matters. (ERO, 1998, p. 23)
Although the professional training environment remained largely uncoordinated through the 1990s, principals as individuals had access to qualification programmes from nearly a dozen tertiary providers offering some 20 courses of study (Edwards, 1998). Provision has been predominantly through Colleges of Education and some universities and polytechnics. These included post-graduate diploma and masters courses in educational leadership/management. Modes of delivery vary: face to face contact, distance education supplemented by block vacation teaching. In addition, principals are offered in-service courses and seminars through local in-service groups, often School Support Services attached to the Colleges of Education, or focused leadership activities coordinated by institutions such as the University of Auckland’s Principals’ Centre, the Education Leadership Centre at the University of Waikato and the New Zealand Principal and Leadership Centre at Massey University. Despite a collective smorgasbord of provision, principal participation is not obligatory and remains dependent on an individual willingness to attend and, to an extent, on geographical location.

However, a heightened government awareness of the need to offer centralised support for school principal development became apparent in 1999. ERO’s (2000a, p. 5) Annual Report noted, “sustained political interest in reforming the arrangements for educating and training principals and teachers.” For example, in what began as the Mentor Project in 1999, the New Zealand Principal and Leadership Centre at Massey University developed a programme known as the New Zealand Principal Professional Learning Communities (NZPPLC). These professional learning communities of some 200 principals are still continuing throughout New Zealand with four to five principals per group. The PPLC’s are based on a model of reflective practice whereby participant principals meet and talk about educational leadership research and how it might be applied to a school context. Group meetings include discussion based on reflective questions that are designed to encourage deep level thinking and learning about key principles of school leadership. Principals are required to maintain a written record of their reflections. In addition, the PPLC learning communities provide principals with personal support and periodic opportunities for shared problem-solving in dealing with interpersonal issues in their schools.

In 2001, the Ministry of Education convened a series of reference group meetings to investigate the development needs of newly-appointed principals. These meetings, under the direction of the Hay Group, were charged with the responsibility of identifying the skills, knowledge, attributes and competencies of first-time principals. As a result, the Minister of
Education made a budgetary announcement of a package of initiatives to enhance leadership and management capabilities of principals. The budget set aside $27.4 million over four years to meet the costs of such initiatives. This package comprised the following features:

- An induction programme to support all first-time principals during the first year after their appointments;
- Development centres to inform principals and their boards about effective professional development for individual principals over the short to medium term;
- A guideline on professional development which principals can consider undertaking at different times in their careers;
- An electronic network with a facilitated discussion forum, examples of good leadership and management practice and leased laptops. This network would give principals the opportunity to collaborate and share good leadership and management practice, and to develop their information and communication technology skills.

In April 2002, the inaugural national programme for first-time principals took place in Auckland. This four day residential induction course for primary and secondary school principals from around New Zealand was conducted by the Ministry of Education through the University of Auckland's Principals' Centre. The initial four modules were focused on the themes of Getting Started, The Learning School, School Organisation and Development and Future Directions. These themes or 'strands' were situated within four competency clusters which the Hay Group research had earlier identified as Vision and Leading, Striving for Excellence, Building Community Relationships and Self-Efficacy. For the first time in the history of the New Zealand school principalship, a large-scale, coordinated programme of induction for all new principals was established at a national level.

Research on the New Zealand Secondary Principalship

Since the watershed years of the 1989 administrative reforms, New Zealand research into the secondary school principalship has been sporadic. Not infrequently, the sample group for study has been a small-scale mix of primary and secondary principals. The research methodology has often been mono-directional in its single application of an interview or questionnaire technique as a data gathering device. There have been some in-depth analyses
of the primary and secondary principalship combined, often in the form of masters and doctoral theses; for example, Robertson (1991, 1995); Palmer (1997); Strachan (1997); and Townsend (1999).

Typical of a single application approach was Day's (1991) survey of a small sample of nine primary and ten secondary principals in the Wellington district. The purpose of the written survey was to assemble a list of 'areas' for management by school principals and to seek some ranking of the areas from two specific groups of principals: 'beginning' principals (those with two years service or less) and 'experienced' principals (those with more than two years of service). The mean ranked order of training areas, as perceived by the total sample group, were in priority: Managing People, Managing the Organisation, Managing the Curriculum and, an equal fourth priority, in Managing Oneself, Managing Change and Leadership. These findings will be germane to this research study's focus on the personal dimension of the principalship for they represent, in the perceptions of the principals themselves, both a contrast to the managerial perspectives of leadership adopted by the central agencies and an on-going desire and need for training assistance in the key areas of professional and personal skills.

Over the past decade, there have been a small number of research studies that centred solely on the work performed by secondary principals. A summary of this research follows. It provides a backdrop to the present study in the identification of work demands, relevant training processes and an occasional glimpse into the personal world of the secondary school principal.

Following on from Wolcott's foundational ethnographic study of The Man in the Principal's Office, which offered a penetrating insight into the private world of a school principal, Edwards (1986) produced the first major study of a New Zealand secondary principal in the form of a doctoral thesis. This ethnographic study detailed the personal and professional world of a principal in a co-educational secondary school by revealing aspects of principal socialisation processes and culminated in the development of a cultural theory of principalship.

Robinson et al.'s (1990) study focused on two Auckland secondary principals and the resolution of educational dilemmas. They drew on the theories of Argyris (1982) to help explain the challenges of organisational effectiveness faced by the two principals and the
relationship between professional development and participative management. They concluded that the objectives of the 1989 reforms could not be achieved until the emphasis on structural change and school-based planning was supplemented by a much stronger emphasis on interpersonal practice. This theme of principals' dilemma management was later taken up by Cardno's (1994) doctoral study that sought to discover what kinds of dilemmas arose for two secondary principals in the context of implementing a staff appraisal policy and how their theories of practice constrained their ability to resolve complex problems. The research concluded that training programmes for school leaders should accord significance to the expectations held of principals to perform a dual role as evaluators and developers of staff.

In 1989, Edwards (1991) used an action research approach to develop the leadership and management capabilities of a group of secondary school leaders in South Canterbury. In what became known as the Aoraki Management Project (AMP), this pilot scheme blended theory and practice as it built on key concepts derived from the effective schools movement. As Edwards (1991, p. 7) indicated, this programme was based on, “the perception of the professional educational leader being a business manager, a leader of people, a curriculum planner and evaluator and a manager of change.”

Barwood (1999) used an action research methodology to investigate the induction training needs of four new secondary principals in the Waikato and South Auckland regions in 1997. Unstructured interviews and questionnaires were used to gather information about issues facing new secondary principals. The findings of this small-scale research were based around three features. The first feature identified what was valued by principals in their preparation for principalship: teaching service and a variety of life experiences. The second feature located key elements in an induction programme: clear guidelines set by the board of trustees and mentoring assistance. Third, major issues for new principals were identified as changes in collegiality as a result of newly-won status, loneliness of the position and the impact of the job on principals' private lives.

In relation to the general area of principal personal development, four further studies based in New Zealand are of relevance to this thematic feature and form a link between the local literature and the present research study. Wadsworth (1990a) conducted a four year research investigation that involved 48 principals, 46 of whom were secondary principals from the Waikato, South Auckland and East Coast regions. The School Leaders Project was carried out
under contract to the Ministry of Education and sought to determine the professional development needs of New Zealand secondary school principals. The project was developmental and concerns-based, collegial and collaborative in that participants were to engage their staffs in collaborative exercises addressing some aspect of school improvement.

One major finding to emerge was the role of the personal dimension in the job and a suggestion that self-development lay at the heart of professional development. The pathway of Wadsworth’s research was instructive. Newly-appointed principal respondents were asked to rank their most problematic professional concerns. While the task relating to maintaining morale and to running an effective school appeared to be first, over half the group ranked personal maintenance as number one or two. Wadsworth (1990b, p. 49) noted that the 14 most problematic tasks fell into three major groupings:

- **personal** (personal maintenance, devising a school philosophy and fostering one’s own professional development)
- **interpersonal** (maintaining morale, interpersonal skills, developing a learning climate, influencing students’ school experience, making innovations and dealing with social problems)
- **technical** (instructional leadership, balancing educational and non-educational tasks, curriculum development, running an effective school and programming)

Following further analysis, Wadsworth established that personal and interpersonal tasks made up sixty-one per cent of the problems while the technical aspects of the job made up thirty-eight per cent. Wadsworth, therefore, deduced that principals would require more assistance in the personal domain of their work.

This hypothesis was supported by the later research of Robertson (1995) whose doctoral study focused on the concept of principal partnerships of 12 primary school leaders between 1992 and 1995. In addition to the study's formal conclusion that principals working in partnership assisted their critical reflection, professional interaction and educational leadership development, a significant interpersonal thread was woven throughout the study. One of Robertson’s recommendations, to professional development groups offering assistance to principals, was to address a range of interpersonal skills required of principals as they confronted issues such as conflict resolution in relation to competing values: “Principals
found it hard to be truly educative leaders when they did not always have the skills to resolve values dilemmas” (Robertson, 1995, p. 278). Furthermore, there needed to be leadership development for principals that focused, “on the articulation of educational values and beliefs and the ability to lead from a strong educational platform which is shared by those affected by the leadership decisions made in the school” (Robertson, 1995, p. 279).

The third research study of relevance to the working lives of New Zealand secondary principals was carried out by Mexted (1999). This masters study examined the leadership roles of six women secondary principals in a new right environment. As indicated in the earlier discussion of the leadership literature, personal elements within the principalship emerged as strong foundational influences on the principals themselves and on their jobs. Mexted identified the importance of personal relationships to all of the women studied; in particular, informal support networks, the crucial influence of partners on their career and personal development and their involvement in professional organisations or networks: “Such organisations provided a neutral context [in which] to reflect on broader issues and to let off steam” (Mexted, 1999, p. 128, italics in original). The research participants also had very clear leadership goals, strongly supported by values of care, inclusion, responsibility, consistency and empowerment. In a new right environment, the women principals believed that values and high standards were more important than ever.

Of concluding interest were the women’s beliefs in the power of caring for others and motivating their staff and students to, “new levels of achievement and spiritual awareness” (p. 166). This ‘human factor’ had also been reinforced by Strachan (1997) in her study of the feminist educational leadership of three women who were principals of New Zealand co-educational secondary schools. Her ‘human factor’ encompassed the women's personal values systems; their educational philosophy; their commitment to putting students' needs first; the involvement of the ‘emotional’ in their leadership; the energy needed to bring about change in a context of managerialism; and the ethnicity of the principal.

The fourth research study to illuminate this personal dimension was carried out by the Hay Group (2001) as part of the Ministry of Education investigation of New Zealand principals' professional development needs. They employed an interview and focus-group methodology in their in-depth study of 25 first-time principals who were classified into those demonstrating baseline competencies and those highly effective principals who displayed
distinguishing competencies. Principals were interviewed for three and a half hours using a “Behavioural Event Interview” technique where they described, in detail, how they actually performed their jobs.

The research findings revealed a number of competency clusters, two of which were located in the realm of personal values and development. A core competency reported was that of Deeply-Held Conviction, a desire to maintain quality educational and holistic outcomes for students. A second competency cluster revolved around the concept of Self-Efficacy that related to, “a principal's capacity to manage their own behaviour and deal with a range of challenging and/or stressful situations, drawing on inner reserves of confidence and relying on personal resilience” (Hay Group, 2001, p. 13).

Finally, research began in 2004 at the University of Waikato on a pilot programme for aspiring principals. This involved weekend workshops and school-based coaching where participants worked with a reflective coach to develop an individual action plan designed to meet their leadership needs. This pilot programme was established in response to identified challenges of how to develop and recruit quality leaders for New Zealand schools.

Thus, beginning with Wadsworth's (1990a) study, there has been an increasing awareness in the New Zealand educational research literature of the role of personal development within the principalship. The present study aimed to extend further the investigation into personal elements within the working world of two secondary principals.

CONCEPTUALISING PRINCIPAL EDUCATION

From an examination of the literature so far, there is evidence for a need to refocus on ways in which we educate current and aspiring principals (Bolam, 1997; Blandford & Squire, 2000; Wright, 2001). Principals need to be both trained and educated. They do require managerial expertise but they also need to engage with larger philosophical issues and questions surrounding the field of educational leadership (Fairholm, 1998; Combs et al., 1999). Theoretical considerations are essential components to be accessed, not only in principal education programmes themselves but also in finding ways to explain the dynamics of the school principalship and the reasons why principals act as they do:
One of the reasons why we need theory is to help get some grip on complexity, to narrow the problem, to develop parallels with other situations that might seem different but provide the basis for new ways of looking at things. Only theory can give us access to unexpected questions and ways of changing situations from within. (Schratz & Walker, 1995, p. 107)

In order to build a background to theoretical considerations of how to educate principals, developments within the concept of professional education will be discussed, including the notion of ‘reprofessionalising’ teaching and school leadership. The discussion will then move to examine the field of theory in relation to the professional development of principals and in situating the role of self-development.

**Professional Education: An Educational Perspective**

The domain of professionalism and professional education is a central concept in previous research into school principalship. The often promulgated notion of the principal as 'leading professional' invites consideration of what it means to be a professional. According to Hoyle's (1980, p. 45) definition, a profession:

- performs a crucial function;
- demands considerable skills for use in routine and especially non-routine situations;
- requires its members to draw on a body of systematic knowledge;
- requires members to undertake a lengthy period of study which inculcates professional values;
- focuses on clients' interests and has a code of ethics;
- enables professionals to make their own judgements vis-à-vis appropriate practice;
- rewards training, responsibility and client-centredness, with high prestige and high levels of remuneration.

Following this general description, Fullan & Hargreaves (1992) described the concept of educational professionalism as one which promotes autonomy in terms of independent thinking and reflective practice, and one which assumes responsibility for both personal and professional growth. More specifically, Garrett & Bowles (1997), cited in Law & Glover (2000, p. 251), focused on three elements of what it means to be a professional in education:

- a professional will have undergone a lengthy period of professional training in a body of abstract knowledge (Goode,
a professional is controlled by a code of ethics and professional values (Barber 1963, 1978; Hughes, 1985; Coulson, 1986);  
• a professional is committed to the core business of the organisation; ie the quality of student learning (Coulson, 1986).

The literature also revealed a continuing conflict in nature between professionalism in education and in the corporate world. Where professionalism is commonly acknowledged to promote independence of thought, Saul (1997) believed that the corporatist approach seemed to miss the simple, central role of higher education – to teach thought: “Because the managerial elites are now so large and have such a dominant effect on our education system, we are actually teaching most people to manage not to think” (p. 15).

Another contrast lies in the doctrine of technical rationality which assumes that a profession is an occupational group whose practice is grounded in knowledge derived from scientific research (Hopkins, Ainscow & West, 1994). Schon (1987) argued that, although technical rationality portrayed professional competence as a technical problem-solving competence, the problems of the real world did not always present themselves so clearly. Instead, they were messy, indeterminate and often problematic situations. This rejection of a technical-rational approach was also supported by Sergiovanni (1991, p. 14):

Professional knowledge is created in use as professionals face ill-defined, unique and changing situations and decide on courses of action. Professionals rely heavily on informed intuition as they create knowledge in use.

As a consequence of professional and techno-rational tensions, the by-product of deprofessionalisation has been a constant concern across all sectors of the teaching profession, including both principals and teachers. While some commentators viewed the on-going restructuring of education as an enhancement of teacher professionalism (D. Hargreaves, 1994), others saw teachers' professional prospects as diminishing. For instance, A. Hargreaves’ (1994) critique of managerial models argued that managerialism strips away teacher professionalism and teachers' opportunities to use their professional judgement, leaving them with little more than ‘technician’ status.
The latter perspective has been supported elsewhere in the literature. For some writers, mandated curriculum content has resulted in the disenfranchisement of teachers, in the demands of heightened efficiencies that maximise outputs (student learning) at minimum cost (eg Darling-Hammond, 1988) and in the diminished sense of ownership of their craft (eg A. Hargreaves, 1994; Goodman, 1995). Similarly, Hargreaves (1984, p. 189) pointed to the deprofessionalising impact of teachers' limited contribution to their own learning:

If teachers are told what to be professional about, how, where and with whom to collaborate, and what blueprint of professional conduct to follow, then the culture that evolves will be foreign to the setting. They will once again have 'received' a culture.

In summary, Butler (1996, p. 266) defined the malaise that typifies dominant professional development forms when he stated:

... the training solution has within it the seeds of its own limited effectiveness because it is an externally prescribed skilling process rather than a problem-correcting process focusing on personal beliefs, values and experiential knowledge. (cited in Nayler & Bull, 2000, p. 56)

In addition, the field of teacher and principal development has exhibited a number of on-going tensions, particularly in New Zealand, with a variety of stakeholders in respect of decision-making processes about the goals, processes, content and conditions of professional training and professional development for educators (Locke, 2001). Locke identified these stakeholders as: the state, as principal funder, wanting a say about the kinds of professionals that should be produced to make the education system function effectively; the community, through such organisations as the School Trustees Association; the tertiary education sector, especially via its qualification-granting and monitoring agencies; and teacher associations themselves, especially where they have a voice in deciding entry qualifications to the profession. Locke (2001, p. 35) argued accordingly:

Where teachers lack a professional body to act as advocate and consultee in decision-making processes in respect of teacher training and professional development, they are in a weakened position as a profession and susceptible to having their body of knowledge challenged and eroded.

Teachers and school leaders are at the cusp of postmodern professionalism. In this educational environment, teachers and principals are called on to interact with diverse and
complex client groups who possess pluralistic educational and social values; where the
demand for individual and group input into the school operation is growing; where multiple
teaching and learning approaches are required to deal with the myriad of tasks facing
classroom practitioners and school principals alike. Hargreaves (1997, p. 108) foreshadowed
future challenges in this way:¹

Whether this postmodern age will see exciting and positive new partnerships being created with groups and institutions beyond the schools, and teachers learning to work effectively, openly and authoritatively with those partners; or whether it will witness the deprofessionalisation of teaching as teachers crumble under multiple pressures, intensified work demands and reduced opportunities to learn from colleagues is something that is still to be decided. That decision should not be left to 'fate' but should be shaped by the active intervention of all educators who really understand the principle that, if we want better classroom learning for students, we have to create superb professional learning for those who teach them.

The need portrayed here, by Hargreaves, for supporting teachers in their learning, can equally be applied to a 'reprofessionalisation' of principals' learning. What sort of reform within professional education will produce this outcome? How will educational theory contribute to the practice of professional reform for school principals? A brief examination of emerging theories of principals' personal development may help inform a response to these questions.

Theories in Principal Development

The Person of the Principal

The theme of the role of personal development was taken up by Cardno (1996b) in her proposed model for the holistic professional development of teachers and, by implication, school principals. This framework for conceptualising such professional development was based on school development, curriculum development, management development and personal development. Cardno (1996b) noted that a whole range of skills fell into the area of personal development: the social ability to communicate clearly; political ability to negotiate

¹ In 2002, the New Zealand Teachers' Council was established to act as a professional educational body that would oversee, among other things, developments in areas such as the professional development of teachers. It was a government-controlled body whose intentions have been variously interpreted as setting professional standards for teachers and principals to protect the interests of the major stakeholder (Ministry of Education, 1997) or as extending centralised control over teachers' conditions of service rather than to empower them as professionals (Sullivan, 1999).
and reach mutually acceptable agreements in the work place; and cultural sensitivity to a range of gender and ethnic issues.

In linking the 'person' of the principal with the demands of a school leader's job, Greenfield (1995) identified five inter-related role demands that constitute a principal's demand environment. These included moral, social/interpersonal, instructional, managerial and political aspects of the school demand environment. In particular, Greenfield (1995, p. 69) noted, within the social/interpersonal dimension, that the daily working world of the school leader was largely social in nature:

School administrators work directly with and through other people to influence, coordinate, and monitor their efforts, and to develop and implement programs and policies to accomplish the school's goals. Most of this work is accomplished through face to face interpersonal interactions. As Gronn (1983) observes, "talk is the work" (p 2) of school administration. Indeed, under normal circumstances, little of significance can be accomplished by a school administrator relying only on the authority of office or position.

Similarly, the moral dimension of school administration was very dependent on the character, personal beliefs and values of the principal:

This [moral] role demand requires the administrator to make judgements regarding school programs and policies and to rely on leadership to influence the actions and orientations of teachers and students. These judgements are influenced by the character of the administrator, by the ethics of the profession of school administration, by the standards of good conduct characterising the normative community of educators extending through history. (Greenfield 1995, p. 69)

**Self-Development**

In addition to broad-based personal and interpersonal considerations behind the continuing education of principals, a focus has also emerged on the self-development of school leaders. Previously, most work on the self-development of managers made little reference to the 'self' (Isaac, 1995). This concept had been earlier defined by Hamachek (1992, p. 4) in a study of the development of the 'self':

Broadly defined, the self is that component of our consciousness that gives us a sense of personal existence. Defined more specifically, the
self is the sum total of all we refer to as ‘mine’. As a central aspect of our existence, the self houses our total subjective and intrapersonal world; it is the distinctive center of our experience and significance.

It is evident from the literature that one’s ‘internal’ leadership requires a strong sense of self-awareness and a preparedness on the part of a principal to pursue self-development and renewal (Oplatka et al., 2001; Dempster, 2002; Assor & Oplatka, 2005), as opposed to the traditional concept of ‘training and development’ (Clayton, 2004). Self-awareness has been viewed as one of the primary responsibilities of being a leader and as a cornerstone of emotional intelligence (Massey, 2003). There have also been links drawn between leaders’ levels of self-awareness and their connectedness with those around them: “A principal’s or teacher leader’s self-awareness permits that person to see how behaviours, words, ideas, and feelings are entering into his[sic] relationships with others” (Donaldson, 2001, p. 118).

It is hoped that the search for self-knowledge by school leaders results in an enhanced “intrapersonal understanding of their ‘platform’ of belief about their work and, most important, about themselves as people and as leaders” (Donaldson, Bowe, McKenzie & Marnik, 2004, p. 540). This view, in turn, may help promote efforts at self-improvement and, using Argyris’ (1991) single-loop and double-learning loop techniques as an example, enable principals to, “process feedback about oneself to improve personal effectiveness” (Dubrin & Dalglish, 2003, p. 428). The search for leaders’ self-knowledge has a deeper significance, according to Maslow (1968), in its links to one’s inner values system and in its connectedness to the values of others:

The search for identity is, in essence, the search for one’s own intrinsic, authentic values. Especially is this clear when we remember that improved self-knowledge (and clarity of one’s values) is also coincident with improved knowledge of others and of reality in general (and clarity of their values). (Maslow, 1968, p. 194)

In comparison, conceptualisation of the self-development of business managers in the corporate world involved a focus on self-learning and on predominantly objective features of the job. The point is underlined by Pedler, Burgoyne & Boydell (2001, p. 4):

We define self-development as personal development with the manager taking primary responsibility for her or his own learning and for choosing the means to achieve this. Other commonly held views on the meaning and purposes of self-development are:
• career development and advancement
• improving the performance in an existing job
• developing certain specific qualities or skills
• achieving total potential self-actualisation.

From an educational leadership perspective, Wadsworth’s (1990a) study of New Zealand secondary principals reinforced the need for greater attention to be given to self-development and self-maintenance as a central core of the professional development of newly-appointed or relatively inexperienced principals. In his study, Wadsworth determined that honesty and openness were fundamental to a principal’s development because of the close connection between personal and professional activity. This need for self-development of school leaders was reiterated by one of Wadsworth’s participant principals:

'It’s so easy to carry on and do just that. And I know personally I need lifting out of that and so the selfish thing is, is this going to help me personally in my job – not for the other people’s benefit, for mine? I hope that that will spread, but for my own self-image and feeling about my self, and that’s pretty important when you’re bogged down with lost property and the nonsense.' (Wadsworth, 1990a, pp. 106-107)

The role of self-development will form an important part in the present study’s contribution to the field of principal education. A proposal for a values-based model of principal self-development will build on emerging concepts in the educational leadership literature, particularly the interplay between self-awareness and one’s human needs, personal values and subsequent leadership behaviours.

The concepts of teachers’ and principals’ personal development and self-development, as contributing factors in their professional growth, are developing themes in the literature. Researchers have emphasised the interrelationship of personal, social and professional dimensions in professional development and argue that the separation of personal and professional is neither necessary nor desirable (Sadowski, 1993; Southworth, 1995; Bell & Gilbert, 1996).

There is an evident need to maintain a balance of the personal components within principal development, least the technology of leadership, with its required knowledge and competencies, assumes inordinate importance:
There is no doubt that leaders need knowledge (or access to knowledge) and a range of skills in order to be effective. However, these have to be contextualised in terms of personal values, self-awareness, emotional and moral capability. This is not to produce another set of formulations but rather to argue for leaders who have self-knowledge and are able to learn and so grow personally. (West-Burnham, 1997b, p. 141)

This reinforces the concept advanced by Dempster & Beere (1996) and by Cardno (1996a), among others, that the levels of principal development are multi-dimensional. The traditional technicist approach, which emphasised skills and knowledge, must be viewed as part of a more holistic approach that incorporates personal and social elements. It is the ‘tip of the iceberg’ and can be represented as follows:

![Iceberg model of principal development](image)

**Figure 3 Iceberg model of principal development** (Adapted from Spencer & Spencer, 1993)

This research study will explore what is happening ‘below the waterline’ in the working lives of two secondary principals and the extent to which the personal dimension affects the enactment of their principalship. It will also explore how such findings may inform the
reconstruction of elements within educational leadership theory. Finally, in response to a perceived gap in the educational leadership literature, the present study will consider the implications of this personal dimension for the future self-development of principals.

SUMMARY

It is evident from this literature review that there are a variety of theories, interpretations and practices within the field of educational leadership. Equally, as Buckley (1985) indicated in a summary of the training of secondary school principals in Western Europe, there is no one best way of preparing or training school leaders. What is clear, however, is that principal development will be required to move beyond a mere instrumental rationale to incorporate personal, social and ethical elements, as well as the technical dimensions of school leadership and organisation.

The range of issues arising from the review of the literature has been considerable. Three major areas stand out as worthy of consideration in this research study of two secondary principalships in New Zealand: the impact of the personal dimension on the principal's position, and the implications of this dimension for educational leadership theory and for principal self-development.

Greenfield's (1995) list of situational imperatives also provided a helpful linkage to backgrounding the role of the personal dimension in the principalship. The instructional, managerial and political components will vary in magnitude from school to school (Cuban, 1988). The moral and social/interpersonal dimensions, as suggested by Greenfield, are relatively constant in most schools: “These demands make a school a highly normative work context and necessitate a much higher reliance on leadership than is typical of administrators in other types of organisations” (Greenfield, 1995, p. 68). Of interest in the present study will be the influence that personal and interpersonal dimensions have on the job of the principal.

The following chapter will build on elements of the literature review which led to the aims that guided the research project and to the development of three research questions. It will then examine essential features within the study's research methodology and research strategies frameworks.
CHAPTER 3
RESEARCH DESIGN

PART 1 - RESEARCH METHODOLOGY

INTRODUCTION

The aims for this research study emerged and developed incrementally from key concepts arising from the review of the school leadership literature. The following section describes the specific aims that guided this research:

1 To investigate and identify the personal dimensions of leadership experienced by two New Zealand secondary school principals.

This key initial aim underpinned the study and linked with the researcher’s professional experience of working closely with regional secondary principals over the past 14 years. As a result, two researcher assumptions informed this first aim:

(a) A school principalship cannot be viewed in an educational vacuum. It is subject to influences of centralised policy; political, social and economic impact; cultural and community considerations; change processes; and human vagary.

(b) The principalship is under considerable pressure through demands such as:
   ▪ Managerialism at the expense of instructional leadership;
   ▪ Associated increase in workload;
   ▪ Increased expectations of staff, students and parents;
   ▪ Increased public and political accountability.

2 To determine the nature and impact of the personal dimension within the secondary principal’s job, with a view to enhancing educational leadership theory.

3 To use the educational leadership literature and research findings to suggest future directions for the self-development of school principals.
Arising from a review of the school leadership literature, the present study investigated three interrelated questions about educational leadership and about being a New Zealand secondary school principal. The first question focused on the research aim of the personal dimensions of leadership in two secondary schools: “What are the personal dimensions of a secondary principal’s job?” The second question was intended to link elements of these personal dimensions in the literature, and particularly the research findings, to concepts that might enhance educational leadership theory: “What are the implications of the findings for educational leadership theory?” The third question aimed to fill a gap in the educational leadership literature about the process of principal self-development as a strategy in support of a principal’s personal growth: “What are the implications of the findings for principal self-development?”

Part 1 of the Research Design chapter focuses on a number of elements within its research methodology. These elements include the study’s qualitative approach which informed the organising framework of the research design. The theoretical frameworks of interpretivism and symbolic interactionism are outlined, together with relative merits of the case study approach and its contextualised perspectives. Finally, major principles of grounded theory are considered, as is the role of the researcher in qualitative research studies.

QUALITATIVE RESEARCH

The term ‘qualitative research’ is often used interchangeably with other terms such as phenomenology, case study and ethnography. It is also referred to as naturalistic enquiry, where the researcher and participants interact in ordinary settings. Such interactions are seen as value-laden and they may differ according to the various participants in the research (Lincoln & Guba, 1985).

The research design for the present study was founded on a qualitative research perspective in which the researcher used a variety of data gathering strategies including documentary sources, observation, interviewing and survey methods. It was intended that the design should generate data that would help theorise the work of the principal and, from that process, to theorise a model of principal self-development. The present study focused on two secondary principals, their personal experiences and their thoughts and reactions to their
work. Hakim's (1987, p. 26) generic definition suggests that qualitative research is well positioned to reflect this exploration of the personal dimension:

Qualitative research is concerned with individuals' own accounts of their attitudes, motivations and behaviour. It offers richly descriptive reports of individuals’ perceptions, attitudes, beliefs, views and feelings, the meaning and interpretations given to events and things, as well as their behaviour; displays how these are put together more or less coherently and consciously into frameworks which make sense of their experiences; and illuminates the motivations which connect attitudes and behaviour, the discontinuities, or even contradictions, between attitudes and behaviour or how conflicting attitudes and motivations are resolved in particular choices made.

Qualitative Design

A useful basis for understanding qualitative design was outlined by Maykut & Morehouse (1994, pp. 43-47) who suggest eight characteristics of a qualitative approach to research. It is these characteristics that constitute the organising framework of this research design:

1. **An exploratory and descriptive focus**
   The focus of inquiry of the present study was an exploration of the personal dimensions of two secondary principalships. It attempted to discover the dynamics of a social phenomenon from the viewpoint of the principal participants (Lincoln & Guba, 1985; Maykut & Morehouse, 1994). Belenky (1992) has chosen the term interpretive-descriptive research to refer to studies that rely on people’s words and meanings as the data for analysis.

2. **An emergent design**
   An emergent research design has been used in this study that approximated Maykut & Morehouse's (1994) adaptive model. This meant that the school-based research began with an initial focus of inquiry on personal elements within the principalship, and an initial sample of two principals. During the on-going processes of data collection and continuous data analysis, the focus of inquiry was refined to concentrate on the phenomenon of values-based leadership. Inductive data analysis was performed on a regular basis, so that insights, elements of theory and questions could be identified and targeted within an optimum time frame. There came a point, however, where the study
data became less ‘emergent’ and more ‘saturated’ in terms of theoretical development, and the research was brought to a conclusion.

3 **A purposive sample**

Maykut & Morehouse (1994, p. 45) commented that purposive sampling, “increases the likelihood that variability, common in any social phenomenon, will be represented in the data, in contrast to random sampling that tries to achieve variation through the use of random selection and large sample size.” In this research study, the sampling procedure has been purposive in its aim to achieve variability with an examination of the personal and professional life of a female principal of a large urban girls’ secondary college and that of a male principal of a small rural co-educational secondary school.

4 **Data collection in the natural setting**

It is a feature of qualitative research that investigation occurs in naturalistic settings where participants’ experiences can be examined in the context of their daily lives (Maykut & Morehouse, 1994; Taylor & Bogdan, 1998). The data for the present study were collected from a range of settings in which the principals worked: for example, their offices, classrooms, school assemblies, staff meetings, board of trustees’ meetings and regional secondary principals’ meetings.

5 **Emphasis on ‘human-as-instrument’**

The researcher her/himself plays a key role in the qualitative research process. The qualitative researcher has the additional responsibility of both collecting the relevant data and deciphering, “meaning from that data which is most often in the form of people’s words and actions” (Maykut & Morehouse, 1994, p. 46). The role that the researcher played in the present study will be detailed under a separate heading.

6 **Qualitative methods of data collection**

The data collection methods reflected a range of common strategies within the qualitative research domain. These strategies included participant observation, following the concept of ‘in-dwelling’ (Patton, 1990); in-depth interviews with principals and others significant in their work; and the collection of relevant documentation such as the school prospectus, principal newsletters, board of trustees’ minutes and the latest reports from the Education Review Office. Observational data
were collected in the form of field notes while interviews were audiotaped and transcribed in preparation for data analysis.

This multi-perspective of a principal in action (via documentary evidence; observation in situ; discussion with each principal about what they are doing and why; and discussion with others about what the principal is doing and why) was viewed by Ribbins (1997, p. 10) as providing access to a range of data that contributes to, "an enriched portrait of heads and of headship" (cited in Gunter, 2001, p. 58). This was the intent in the present study.

7 Early and ongoing inductive data analysis
Qualitative data analysis was primarily inductive, whereby the researcher developed insights and understandings from patterns in the data rather than collating data according to predetermined models or hypotheses. Such a 'grounded theory' approach, proposed by Glaser & Strauss (1967), evolves from a, "systematic building of homogeneous categories of meaning inductively derived from the data" (Maykut & Morehouse, 1994, p. 47). The research methodology that underpins this grounded theory approach to data analysis will be described in a following section.

8 A case study approach to reporting research outcomes
Maykut & Morehouse (1994) claimed that the results of a qualitative study are most effectively presented within a rich narrative or 'thick description' reporting mode of the case study. In this present study, the cases of the two respective principals are presented within a narrative framework that seeks to illuminate the principals' actions and thinking through excerpts from their interview data and from observational field notes of the researcher. The merits of the case study method will be conceptualised under another heading below.

According to Denzin & Lincoln (1998), the array of theoretical perspectives that exist within the field of qualitative research is considerable. However, for a particular study, it is important to identify a theoretical framework that will sharpen the focus of the lens through which our meanings of the world are constructed. The following section focuses attention on the paradigm or interpretive frameworks that underline the research methodology of the present study.
THEORETICAL FRAMEWORKS

Interpretivism

The aim of inquiry within the interpretive paradigm is to understand and reconstruct the meanings that people hold. For interpretivists, as Morrison (2002, p. 18) suggests, “reality is not ‘out there’ as an amalgam of external phenomena waiting to be uncovered as ‘facts’, but a construct in which people understand reality in different ways.” Interpretivism acknowledges that there are multiple realities for both observer and observed and that these may change as understandings are shared and reconstructions are formed. The usual positivist criteria of internal and external validity, reliability and objectivity give way to terms such as credibility, transferability, dependability and confirmability. Educational researchers working within this paradigm seek insights into individual perceptions of the world, and their social interaction within it, and seek to understand individual cases in preference to statistical sampling strategies that are claimed to allow for generalising across wider populations.

Heck & Hallinger’s (1999) framework of approaches for studying school leadership was used as a starting point in order to identify a particular theoretical pathway for the present study (refer Appendix A). Using this framework, an interpretive research paradigm was chosen to best reflect an exploration of the personal dimensions of principalship that would be grounded in people’s experience. The research orientation would be that of sense-making in schools and sense-making of principals’ leadership behaviours in particular. The paradigm was to be an interpretive and a values-oriented one, presented in the form of a case study.

For the present study, the focus was on learning about meanings that principals assigned to their work and on the values and beliefs that were part of their being as a principal. The inquiry aim was to understand the current personal demands on the secondary principalship and, with shared interpretation of meanings between the researcher and principal participants, to arrive over time at more informed and sophisticated reconstructions of the principals’ leadership thoughts and behaviours. The essential philosophical assumption of this qualitative research was that people construct, interpret and assign meanings to their world. In the present study, the principals’ meaning of their school world was obtained through observation, interview and survey methods and interpreted through discussion between researcher and principal participants.
Symbolic Interactionism

Within this broad interpretive research paradigm, the researcher made use of the social psychological theory of symbolic interactionism, building on the work of Herbert Blumer (1969). Blumer, cited in Schwandt (1998, p. 233), claimed that symbolic interactionism rested on three premises: First, human beings act towards the physical objects and other beings in their environment on the basis of the meanings that these things have for them. Second, these meanings derive from the social interaction (communication, broadly understood) between and among individuals. Third, these meanings are established and modified through an interpretive process: “The actor selects, checks, suspends, regroups, and transforms the meanings in light of the situation in which he [sic] is placed and the direction of his [sic] action … meanings are used and revised as instruments for the guidance and formation of action” (p. 5).

These three premises have been translated into a research design in the present study, based on the principles of the centrality of meaning, the social production of reality and the role of subjectivity (Charon, 1998). In the present study’s research design, this has been evidenced, first, in the observation of the participant principals in their natural school settings where the educational context can play a significant part in leadership behaviours. Second, it was incumbent upon the symbolic interactionist researcher to understand the principals’ perspectives on their personal and professional lives and how those meanings may have developed and changed over time. Third, the subjective experiences of each principal, revealed during the interview process, were a key part in helping the researcher to build an understanding about the construction of their personal worlds.

In addition, two important implications of this symbolic interactionism framework were evident in the research strategies employed. The first implication was to emphasise the researcher’s role as an active participant in the worlds of the people being studied. In this way, the researcher was enabled to investigate the leadership phenomena from the position of an ‘insider’ through a process of verstehen or empathetic understanding, and to strive to see, “the situation as it is seen by the actor, observing what the actor takes into account, observing how he [sic] interprets what is taken into account” (Blumer, 1969, p. 56). Second, this theoretical framework encouraged the use of a qualitative case study methodology. As well
as being synonymous with fieldwork and participant observation, the case study approach enabled the researcher to examine two authentic school leadership contexts.

In this discussion so far, the researcher has described some definitions of qualitative research, its generic characteristics and theoretical frameworks. Four relevant areas will now be discussed in further detail, in relation to the research methodology and strategies of the present study: case study methodology; contextualised research perspectives; principles of grounded theory; and the role of the researcher.

CASE STUDY APPROACH

Yin (1989, p. 23) defined case study research as incorporating an, “empirical study which investigates a contemporary phenomenon within its real-life context, when the boundaries between the phenomenon and context are not clearly evident, and in which multiple sources of evidence are used.” The use of a case study approach in naturalistic contexts is also supported by Burns (2000, p. 46) who says that the approach allows a research investigation to, “retain the holistic and meaningful characteristics of real-life events.”

The relative merits of the case study approach have been debated from a range of research perspectives (Kemmis & McTaggart, 1988; Altricher, 1993). Positivist researchers traditionally criticise the method for its lack of statistical testing and its lack of scientific rigour which, it is claimed, allows the subjective involvement of the researcher to produce equivocal evidence or biased views. Another common concern about the case study is that it offers little basis for scientific generalisation based on sampling theory, given that its sample is often composed of a very small number of cases. A third perceived weakness is the excessive time involved and massive documentation produced, particularly when employing data collection methods such as ethnography or participant observation. Perhaps the tenor of the scientific perspective towards case study research has been best expressed by Kemmis (1980, p. 100) in a word of warning: “Those who expect to follow the progress of science in brilliant light will be ill at ease following the case study worker stumbling from lamplight to lamplight in the fog!”

However, for the interpretivist researcher who seeks to describe presenting phenomena, the case study offers significant opportunities. These include case study data being strong in
reality; the data can suggest patterns of association between various factors; and they can illustrate the complex nature of social phenomena with a capacity to illuminate discrepancies or conflicts between the viewpoints held by participants (Adelman, Jenkins & Kemmis, 1976). From the perspective of the critical theorist, there are also strengths within the case study method. Schon (1983), Kemmis & McTaggart (1988) and Altricher (1993) advanced the notion of “reflection-in-action”. Kemmis & McTaggart commented on a case study’s capability as a “step to action”, whether being directly interpreted or used for internal feedback or formative evaluation.

As a form of qualitative research design, the case study is broadly defined by Creswell (1998) as an in-depth exploration of a bounded system (e.g. an activity, event, process or individuals) based on an extensive data collection. The two case studies of the present investigation focused on two individual secondary principals and were “bounded” by time (three years data collection) and place (two secondary school campuses). Research strategies of observation, interviewing, survey method and access to documentation provided extensive, multiple sources of information to portray an in-depth picture of each principal’s personal and professional practice. Following Merriam’s (1998) contextual emphases, the researcher also located each case within a broader context, particularly geographical, social and economic settings of the rural school.

Creswell (2002) also identified three types of qualitative case studies. When a case itself is of interest because it has unusual or meritorious features, it is called an ‘intrinsic case’. A second type of case is an ‘instrumental case’ where its purpose is to illuminate a particular issue. Finally, case studies may include multiple cases called a ‘collective case study’ (Stake, 1995). In the present collective case study, the working worlds of two secondary principals were described and compared in order to provide insight into the nature and impact of their personal and professional work. This was later followed by an analysis of themes or emerging issues and a subsequent interpretation or assertions about the cases by the researcher (Stake, 1995).

In the present investigation, the educational style of case study was based around an exploratory and descriptive focus proffered by Maykut & Morehouse (1994). The exploratory phase of the research study began with a pilot study to verify the research design, sources of information and the nature of substantive leadership issues. The phase continued in the two
major cases with an initial “what” research question that explored the nature of the personal dimensions of a secondary principal’s job. It also sought, at a later stage, to discover possible theoretical considerations grounded in data from a social phenomenon (Yin, 2003). An advantage of the exploratory case study is that it can point to a need for further data collection outside of a qualitative case study approach, such as a survey or experimental method. Conversely, Yin (2003) saw that a major challenge with exploratory case studies can arise when researchers wrongly use data collected during the pilot or initial phases as part of the ensuing case study.

The descriptive elements of the present case studies were located in the description of a phenomenon within the context of an urban and a rural New Zealand secondary school, that is, the personal and professional world of the school principal. The descriptive case study approach enabled the researcher to see what a principal actually does, to trace personal and interpersonal developments over time and to discover a key phenomenon in the form of values contestation within the personal dimension of principalship. However, there can be limitations to descriptive case study as Yin (2003, pp. 25-26) has observed:

Descriptive studies typically fail to specify a priori the critical ingredients of the phenomenon to be described. Data collection then rambles as a result, and the ensuing case study may even contain undesirable, circular reasoning – the final description constituting a contaminated combination of what may have been expected and what was found.

It should be noted that, on account of the restricted periods of time available to the researcher for field observations, the present study did not engage in an action research approach that would have involved a systematic process of solving educational problems and suggesting subsequent improvements to each principal’s leadership practice.

In the present two case studies, the principals’ data were situated within a narrative inquiry methodology that showcases, “personal histories of participants embedded within social history of schools and schooling” (Connelly & Clandinin, 1987, p. 130). This complements the methodology of a number of researchers who employed this narrative method to demonstrate foundational influences on school leadership practice (for example, Bloom & Munro, 1995; Benham & Cooper, 1998; Townsend, 1998). In the present study, narrative and personal history have been used to show how personal values and background, together with
professional pathways leading to principalship, might shape the leadership behaviours of the two principals.

The choice of a case study design, therefore, has been in keeping with the study's aims, research questions and overall qualitative stance. Case study is, as Merriam (1998, p. xiii) described, “a particularly suitable methodology for dealing with critical problems of practice and extending the knowledge base of various aspects of education.”

**CONTEXTUALISED PERSPECTIVES**

Inherent in the case study approach, and in the world of qualitative research, is the concept of context and its role in modern educational research. McGee (1998) asserted that educational research faces a dilemma in the postmodern age. On the one hand, educational researchers have been criticised for not developing explanatory models to enhance the understanding of teaching and learning (D. Hargreaves, 1996; 1997). However, such a goal does not sit easily with those who work from a postmodern perspective and who, “tend to question the value of rationality, to reject grand theory to favour local knowledge over systemic understanding, to eschew large-scale studies and to view the world as an indeterminate place beyond coherent description” (Constas, 1998, p. 27).

In relating educational research to the topic of school principalship, Ribbins & Marland (1994, p. 6) claimed that the role of the contemporary headteacher required not just more research but new methods of research; in particular, new approaches to produce an account of headship in three contextualised ways:

- As a situated perspective, where the reader must be offered much fuller access to the view and actions of the headteachers involved across a representative range of issues and events.
- As a contextualised perspective, which locates what heads say and do within a context of the views of significant others (senior and other staff, pupils, parents and governors) in the community of the school.
- As a contextualised perspective in action.
Ribbins & Marland had four objectives: to observe heads as they enact their role in relevant situations; to discuss with heads what they are trying to do and why; to set these accounts against the view of significant others; and to compare and contrast the available evidence in the hope of producing enriched portraits of heads and headship. The present study has followed this contextualised research approach in its on-site, in-depth observation and interviewing of two secondary principals, together with significant others, over an extended time period.

**GROUNDED THEORY**

The characteristics of qualitative research suggest two important underlying elements of qualitative data analysis. First, data analysis is an on-going research activity where the design is emergent. Second, the analysis is primarily inductive whereby the research outcomes evolve from the, "systematic building of homogeneous categories of meaning inductively derived from the data" (Maykut & Morehouse, 1994, pp. 46-47). As a consequence, most qualitative research is directed towards building theory.

Qualitative data analysis is neither fundamentally a mechanical nor a technical process; it is a process of inductive reasoning, thinking and theorising (Taylor & Bogdan, 1998) where data collection and analysis are complementary processes. Through data collection methods such as participant observation and informant interviewing, grounded theory researchers are continually in theorising mode and trying to interpret and make sense of the data.

Strauss & Corbin (1998) described three relevant approaches to analysing qualitative data. First, the data can be presented without analysis and the participants speak for themselves without interpretation. Second, the researcher reconstructs the data into a recognisable reality for the participants. Third, Glaser & Strauss (1967) developed the notion of grounded theory or theory that is, “inductively derived from the study of the phenomenon it represents” (Strauss & Corbin, 1990, p. 23). This approach necessitates a high level of interpretation and data abstraction to arrive at the underlying concepts and tenets of theory that may explain the phenomenon under investigation. The grounded theory approach, advocated by Glaser & Strauss, formed the basis of analysis for the present study and is now outlined further.
The concept of a grounded theory was proposed by Glaser & Strauss (1967) in response to a disproportionate emphasis in previous sociological literature on the requirement to verify theory. They proposed a change that would concentrate more on generating theory through a process of inquiry and discovery into a particular social setting. This discovery aspect of the grounded theory approach is illustrated by Schatzman & Strauss (1973, p. 12):

The discovery process and the questions raised by the researcher need not be related to any “received” or prior theory .... The researcher is free to think of any or all pertinent theories and assumptions about his subject matter, and thereby frees himself from substantive orthodoxy. What he does need is some theoretical perspective or framework for gaining conceptual entry into his subject matter, and for raising relevant questions quickly.

Denzin (1970) contended that all data, qualitative or quantitative, served four basic functions for theory: to initiate new theory and to reformulate, refocus and clarify existing theory. For the present research, no established theory of principal personal development was located in the research and conceptual literature. Thus, the grounded theory approach was the strategy by which the researcher sought to construct theoretical approaches built from, or “grounded in”, the data gathered from the principals and their school contexts. In this way, the researcher learned about the personal, social and professional realities of the principalship from the perspectives of the participants, without emphasis on pre-existing theories for testing or verification. The endeavour was to secure a certain, “legitimacy of knowledge grounded in the idiosyncrasies of lived experience” (Piantanida, Tananis & Grubs, 2004, p. 327).

A grounded theory is constructed directly from the data through documentary analysis, observation and interview, and is continually developed during the course of the research. The process of theory building is achieved by comparing and relating evolving concepts and theoretical ideas, themes and categories as they emerge from the initial phases of data collection. This, in turn, may offer direction for future data collection and analysis and further developments in theory formulation, as indicated by Glaser & Strauss (1967, p. 40):

In the beginning, one’s hypotheses may seem unrelated, but as categories and properties emerge, develop in abstraction, and become related, their accumulating interrelations form an integrated central theoretical framework – the core of the emerging theory.

2 Blase & Blase (2002) used this method of analysis in an educational leadership study to investigate a sample of 50 American teachers who believed they were subjected to long-term mistreatment by school principals.
However, it must be acknowledged that a number of challenges present themselves when using a grounded theory approach and the present research study is no exception to this. Problematic areas have included establishing when a theoretical saturation point has been reached in the analysis, and knowing when a theory has been developed sufficiently — premature closure, often because of time constraints, may cause a theory to be incomplete or to lack sufficient depth. A further challenge and limitation of the grounded theory technique lies in dealing with the problem of replication (Eisenhardt, 2002). This is acknowledged as an impossible task, given the dependency on the interaction between the data, informants and the researcher. But, as Hutchinson (1993, p. 190) points out, “The point of theory generation is to offer a new perspective on a given situation, and good and useful ways of looking at a certain world.”

ROLE OF THE RESEARCHER

Qualitative Postures

In this study, the researcher followed two qualitative postures advanced by Maykut & Morehouse (1994). First, the posture was adopted of ‘in-dwelling’ which, for the purposes of naturalistic enquiry, can mean, “being at one with the person under investigation, walking a mile in the other person’s shoes, or understanding the person’s point of view from an empathetic rather than a sympathetic position” (p. 25). While the researcher is part of an investigation as a participant observer and as an in-depth interviewer, he/she must also be removed from the situation to rethink the meanings of the experience.

Second, the concept of ‘human-as-instrument’, as developed by Lincoln & Guba (1985), was used in the present study. Lincoln & Guba (1985) suggest that a person is the only instrument flexible enough to capture the complexity, subtlety and constantly changing situation that is the human experience. Further, a human investigator has knowledge-based experience, possesses an immediacy of the situation and has the opportunity for clarification and summary on the spot. Finally, a human investigator can explore the atypical or idiosyncratic responses in ways that are not possible for any instrument that is constructed in advance of the beginning of a study.

Through these two postures, the meanings of phenomena of each principal’s world were both constructed and reconstructed. Tacit knowledge of each principal’s situation was gained.
through the process of in-dwelling by which the researcher gained access to new meanings of each principal's work. As Maykut & Morehouse (1994) pointed out, meaning is both joint (arising from relationships) and multiple (understood from discreet points of view within relationships). Conversely, the human-as-instrument was the most appropriate way to access these meanings since, "the human instrument, unlike the objective instruments of the positivist paradigm, can capture the joint and multiple meanings of human experiences" (Maykut & Morehouse, 1994, p. 39).

**Researcher Influence**

The notion of complete objectivity in research recording, and in the level of detachment between participants and researcher, has been challenged (Oakley, 1981), as has the myth of 'hygienic research' that is free of observer influence (Stanley & Wise, 1993), and the aspiration to make research 'researcher proof' (Ball, 1990) in the hope of achieving research's 'immaculate perception' (Wolcott, 1994).

However, there is considerable unease about the pervading effects of researcher influence. Altricher & Posch (1989) claim that teacher researchers are not without prejudices in the field because they already live and work in it and have much relevant knowledge of the educational situation. Scheurich (1995) made a forceful comment in his criticism of the influences that a researcher brings to any research study. Among the plethora of 'interpretive baggage' that Scheurich (1995, p. 249) cites are, "training within a particular discipline, epistemological inclinations, social positionality (the intersection of race, class, gender among other key social locations) and individual idiosyncrasies, the interaction of which can be complex and ambiguous." In addition, he registers his concern that the researcher then imposes an interpretive methodology with the use of categories, conceptual schemes and theories upon the unknowable. The result: "Order has been created. The restless, appropriate spirit of the researcher is (temporarily) at peace!" (Scheurich, 1995, p. 249).

On the other hand, Scheurich's negative interpretation of research 'baggage' fails to appreciate a major underlying issue; that is, the role of the person of the researcher in a research study. As soon as we choose an area for investigation, we have made a choice that reflects who we are and our values about what is important. For the present study, the professional assumptions that the researcher brings to the study have been acknowledged in
the introductory section on research aims. Potential influences from the researcher’s background are now considered.

The researcher for the present study has had ten years of secondary teaching experience in the curriculum areas of English and foreign languages, and six years in senior educational leadership positions as an Assistant and Deputy Principal. He has also been involved in secondary teacher and principal education for 14 years: coordinating regional in-service courses, working with school advisers and working as an adviser in the field of school management. His post-graduate studies focused on educational administration and, specifically, on principal leadership. Past research experience has included investigating cases of three primary school boards of trustees during their selection process to appoint a new principal (Notman, 1995). As stated previously, his particular professional interests have been in principal appraisal and principal support mechanisms through activities such as mentoring and group support networks.

As a consequence, the two principal participants in the present study were known to the researcher from previous working relationships. Such professional contact with the participants may have ‘coloured’ the investigation both positively and negatively. For example, the researcher’s presence occasionally caused interviewees to recall shared professional experiences and their thoughts and opinions may have been an unconscious reflection of the past relationship.

There is, therefore, a paradox within the qualitative researcher’s perspective: it is to be, at once, an in-dweller in relation to the experience and meanings of the principal’s world and, at the same time, to be aware of how one’s own assumptions and biases may be influencing perceptions and understandings of the research situation. Wax (1971, p. 3) provides a way forward in understanding how to resolve such a research paradox:

Obtaining something of an understanding of an insider is, for most researchers, only a first step. They expect, in time, to become capable of thinking and acting within the perspective of two quite different groups, the one in which they were reared and – to some degree – the one they are studying. They will also, at times, be able to assume a mental position peripheral to both, a position from which they will be able to perceive, and hopefully, describe the relationships, systems and patterns of which an inextricably involved insider is not likely to be consciously aware. For what the social scientist realise is that,
while the outsider simply does not know the meanings or the patterns, the insider is so immersed that he [sic] may be oblivious to the fact that patterns exist at all.

While such a differentiation may go some way to help solve the objective-subjective dichotomy within qualitative research processes, what assists the qualitative researcher is a planned, disciplined and thoughtfully critical set of procedures and analyses. This will be the subject of the next section of this chapter which presents the research strategies employed during the course of this study.

The first part of this chapter has presented a discussion of the study's research foundations. It has provided a background to the directions of the research and features of qualitative research. These have included theoretical frameworks; case study methodology; contextualised perspectives; and the concept of grounded theory. It concluded with an examination of the problematic role of the qualitative researcher.

The next section of the chapter describes, in more detail, the range of research strategies used in undertaking the case studies of the respective principals at Hounslow College and at Riverside High School.
PART 2 RESEARCH STRATEGIES

INTRODUCTION

In Part 2 of the Research Design chapter, the researcher describes the sampling techniques used to locate two suitable sites for investigation and ethical considerations required to protect the principal participants. The fieldwork phases are then presented in chronological order, as are the procedural steps undertaken to gain access to the schools. The data collection process is outlined, together with analysis procedures that incorporated grounded theory as a means of interpreting the research data.

SAMPLING

In qualitative research, purposive sampling is employed, whereby participants are carefully selected for inclusion, based on the possibility that each participant or setting will expand the variability of the sample (Maykut & Morehouse, 1994). Maximum variation sampling is where the researcher, “attempts to understand a phenomenon by seeking out people or settings that represent the greatest differences in that phenomenon” (Patton, 1990, pp. 56-57).

While some past studies have focused on a single case study for their inquiry into the lives of a principal (Wolcott, 1984; Edwards, 1986; Southworth, 1995), the researcher chose to study two secondary principals in their unique educational environments. This offered an opportunity for comparability, especially under the procedure of ‘maximum variation’ sampling. A second selection criterion was that the differences between the two schools would be exacerbated by a rural/urban mix in the sample. It was hoped that such a distinction would provide for differences in areas such as philosophy of education, school culture, student intake and practical daily operations of the school, taking into account geographical location. A third selection consideration was that both schools should be within reasonable access of the researcher’s workplace. This would enable the researcher to meet family and work responsibilities, as well as the time and travel demands of an extended period of fieldwork.

The following procedure was used to achieve maximum variation with a small heterogeneous sample. Three rural secondary schools in the South Island were identified for consideration. School A was a Year 9-13 co-educational school of 600 students situated in a large rural
service centre. This school was eliminated on the basis of its high student numbers and its location in a town of moderate population. Schools B and C were very similar in their characteristics: Year 7-13 co-educational schools of approximately 200-300 students located in small rural towns, each with a male principal. School B was approached in the first instance on account of the ease of travel access during the winter months. With agreement to participate from the principal and board of trustees of School B (to be known as “Riverside High School” for the purpose of this research), the researcher then focused his attention on the potential pool of 13 urban secondary schools in a South Island metropolitan area.

Under the principle of maximum variation sampling, the schools were virtually self-selecting when three essential variables were progressively applied to develop a sampling profile. First, to contrast with the co-educational nature of Riverside High School, the variable of school type (that is, single sex) was applied. This variable reduced the pool of available schools from 13 to seven. Second, a variable of principal gender was applied to provide maximum variation to Riverside’s male principal, with the result that four female principals of single sex schools were available to be considered. Third, the variable of school size was applied. Given that Riverside’s school population was approximately 300 students, a larger sized single sex school with a female principal was sought.

From this category, two possible principal candidates were considered at School D and School E. Both were Year 9-13 girls' schools, each with a population of approximately 800 students. Apart from the usual professional relationship with principals as part of his work, the researcher had little previous contact with the principal of School D. In contrast, the principal of School E had worked closely with the researcher in past years in professional development roles and had been employed by the researcher for a period of time as an adviser to schools. The challenge of professional objectivity existed and so the researcher selected School D as a likely site for the research project. The school subsequently agreed and will be referred to throughout the study as “Hounslow College”.

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DATA COLLECTION

Ethical Considerations

Essential ethical guidelines were outlined by Anderson (1993, p. 20) under five general headings:

- That risks to participants are minimised by research procedures that do not necessarily expose subjects to risks;
- That the risks to participants are outweighed by the anticipated benefits of the research;
- That the rights and the welfare of the participants are adequately protected;
- That the research will be periodically reviewed;
- That informed consent has been obtained and appropriately documented.

This study aimed to meet these basic ethical requirements. Following similar ethical guidelines and with the approval of the Massey University Human Ethics Committee, documented informed consent was obtained from each board of trustees and principal at the outset. It was important to stress to principals that the researcher had a responsibility to protect them from potential risk or harm as a result of their participation in this research exercise. Other protective features included an acknowledgement that each principal’s welfare superseded the interests of the researcher and that they always reserved the right to decline to participate in or withdraw from the study at any time. In order to enhance the study’s dependability and its ethical protection, interview transcripts and preliminary drafts of their case study and Chapter 6 were forwarded to each principal, thereby providing them individually with the opportunity to have clarified, amended or withdrawn, any aspect of their case study with which they felt uncomfortable.

Of vital concern throughout the period of the research was the first consideration suggested by Anderson (1993). The exposure of principals to subsequent risk by public identification was minimised by conferring on each school an assumed name and by changing the names of the principals and significant others quoted in the study. Similarly, during individual principal interviews with the researcher, it was paramount that confidentiality and trust was upheld, especially when principals wished to express personal feelings about people and events. Therefore, it was undertaken that tape recordings of each interview would be transcribed only
by the researcher and that, in line with University human ethics policy, all records would be destroyed at the conclusion of the study.

**Timeline of Phases in the Fieldwork**

Blumer (1969) noted that qualitative inquiry into a study of an empirical social world had two fundamental parts: exploration and inspection. Blumer viewed the exploratory phase as having two interrelated aims: to gain an in-depth understanding of the new phenomenon under consideration and to let the research directions and data gathering be grounded in this phenomenon. By inspection, Blumer indicated an in-depth analysis of the empirical content emerging from the study. Here, the researcher developed propositions based on the data that were gathered. Such analytical activity set the basis for subsequent development of grounded theory.

*The first seven months: March 1999 - September 1999*

The exploration and inspection phases that Blumer suggested had parallels in the present study. The exploration phase began with a pilot study in March and May at a rural secondary school that was not selected for the main study. This consisted of trialing observational and interview techniques and, from the data gathered from both methods, of determining the capacity of the early research questions to identify influential issues that impacted on the principal and his work. The researcher spent three days recording observations in the principal's office and recorded a total of eight hours of interview time with the Principal, Deputy Principal and two Assistant Principals.

Structured interview questions were based on topic areas such as principals' job demands, their feelings about their own job and why school leaders invest so much of themselves in their work. The initial data from this pilot study suggested that school leaders needed to spend more time on administrative matters, at some personal and professional cost. It appeared that this was brought about by the increased requirement for accountability and compliance measures, particularly from central educational agencies. The pilot study confirmed the methodological benefits of qualitative data collection in the form of fieldwork observations and interview techniques, and the coding process of constant comparative analysis. In this case, the data analysis produced 32 preliminary coding categories derived
from participant observations and from focused interviewing of the principal and significant others. These coding categories would be instructive for the case studies that followed.

This pilot study was followed by entry to the two target schools, beginning in April 1999, and to regional principals’ meetings where observations began in July. This period of exploration continued for the next ten weeks. During this time, the researcher was able to gain an overview of the job of the principal, as it was performed in his/her office and around the school, and of the wider social and educational worlds of teachers and students. The regional principals’ meetings gave a broad perspective on the generic issues and demands faced by secondary principals and on the reactions and interactions of the two principals.

In October, the researcher left the field to conduct preliminary data analysis on information gathered to that point and to reflect on the term’s observations, as well as on the efficacy of research techniques. The study’s research questions were reassessed and confirmed, prior to commencing the more intensive inspection phase.

The next seven months: March 2000 - September 2000

The researcher changed employment in November 1999 and, with the demands of establishing a new programme, was unable to resume investigative work on the study until March 2000. This inspection phase saw the researcher immersed in the school world, not only with the complexities of life in the principal's office but also with the dynamics of the staffroom and the interactions of students, teachers and parents. This phase was one of consolidating categories of meaning from the data gathering and reflecting on emerging issues. The focus remained on the job demands facing each principal and on principal association meetings, while the basis of reflection on the part of the researcher remained at a technical level of description and interrogation of data.

In October 2000, the researcher obtained permission to take six months leave from the research study in order to meet the increasing demands of his new position as a programme coordinator in teacher education.
The middle 12 months: April 2001 - March 2002

During this consolidation phase, the focus of the study underwent a shift from the job of the principal to the person of the principal. Observation and interview work concentrated on the personal dimension of the principalship and negotiated meanings, as the relationship of trust deepened between the researcher and the two principal participants.

Of necessity, the basis of reflection of the researcher now intensified to reach more critical levels of awareness of personal implications for the principals and their work. For example, in keeping with a contextualised perspective, a 'biodata' interview was conducted with each principal. Subsequent transcription of the interview and collaborative discussion of emerging data enabled the researcher to determine formative influences on pathways to their principalships.

At the beginning of April 2002, the researcher left the field of study temporarily to complete aspects of the literature review. This, together with the emerging observational and interview data of the 12 month consolidation phase, provided the researcher with a refined area of investigation to discuss the personal dimensions of principalship with the two principals and with significant others.

The penultimate six months: October 2002 - March 2003

On-going analysis of data provided a basis for further in-depth interviewing of each principal in relation to the personal contexts of their jobs and also of significant others within each school community. This analysis began to reveal the nature of each principal’s core values or deeply-held convictions, their sense of moral leadership, sense of self and their reaction to work pressures. The period of time, at the end of the 2002 school year, proved particularly valuable for both researcher and principals to review reflectively the data gathered, the interpretations of meaning conferred on the data and the research process itself that had begun in mid 1999.

The final three months: April 2004 – June 2004

During the extensive period of writing up the two principal case studies from April 2003 to March 2004, on-going constant comparative analysis of the data took place. This revealed the emergence of a major category of meaning, the concept of values-based leadership. The
researcher then returned to the field to gather further data on this emerging theme. This included an administration of the Rokeach (1973) Values Survey and subsequent in-depth interviewing of each principal about the nature and impact of their core personal and professional values.

**Gaining Access**

Participant observers traditionally gain access to institutions by requesting permission from those in authority. In the present study, the initial approach for gaining access to schools was directed to the principal and to the board of trustees. Although the researcher was known to the two schools and principals, it was important that the process of gaining entry to both institutions would lead to the establishment of a research, rather than a consulting, relationship. The process of gaining access was carried out in a series of stages over a four month period in 1999.

**April**

Following the initial sampling process described above, the researcher made informal contact with the two target principals during the course of a routine school liaison visit. They responded positively and expressed an interest in the research project. Both principals indicated that they saw the educational value of the research for future principal training and support. From a self-interested viewpoint, they believed that there would be benefit to them professionally in the feedback on what constituted the principal’s job in their school and how well they were reacting to its inevitable demands. The researcher also made a formal approach to the Secondary Principals’ Associations of two South Island regions to gain permission to observe their meetings (refer Appendix B). It outlined the objectives of the study and the code of ethics that underpinned the research. Consent was given by both groups for the researcher to observe their meetings for the duration of the research.

**May**

A detailed two page information outline was prepared and forwarded to each principal for their consideration. It aimed to present all the necessary protocols for gaining informed consent and included sections on the study’s objectives, rationale, rights of participants and security of data (refer Appendix C). The researcher followed this up with an informal visit to clarify issues arising from the document and to answer questions about the research.
methodology in particular. Verbal agreement was secured from each principal that they were willing to participate in the research. This enabled a formal approach to be made to their respective governing bodies.

A formal letter of request was forwarded, along with an information outline, to each board of trustees. This gave essential details of the project and an offer to speak in person to the board should they request it (refer Appendix D). The two boards were also sent a copy of an Agreement of Understanding that set out the directions of the study, the principles of informed consent and other ethical guidelines (refer Appendix E). In return for these undertakings, each board would agree to allow the researcher access to the school site, to document resources and to observe and interview appropriate personnel. Both boards of trustees responded affirmatively. The Board of Hounslow College believed that they had sufficient information, from the letter of request and from the principal, and they did not require further clarification from the researcher. However, the Riverside High School Board of Trustees asked the researcher to attend its next meeting.

June

The researcher visited the Riverside Board of Trustees to clarify elements of the research project and to answer trustees’ questions and concerns. Trustees registered two concerns: the issue of protecting the anonymity of the school and what would happen, from an ethical viewpoint, if one staff member objected to the researcher’s presence in the school. The researcher’s explanation of the ethical protections behind the principles of informed consent was accepted by the board and they gave their permission for the research study to proceed.

July

Ball (1990) reminds researchers that permission from the principal and governing authorities does not always guarantee the cooperation of teachers and students. Therefore, it was necessary to meet with the staff of both schools and to share with them the same information outline that had been distributed to their principal and board of trustees. This session took place at an after school staff meeting at Riverside and at a morning staff briefing at Hounslow. Hounslow’s staff had no questions in response to the researcher’s description of the project and unanimously agreed to participate. The staff at Riverside were more circumspect in their approach and asked questions of clarification before agreeing to participate. These included:
Will you be able to get round the school as well as work with the principal?

Where does your thesis go to after it’s finished?

Will you want to speak to any of us at some stage?

Can you help us turn the principal around? (plus much laughter)

The final group of ‘stakeholders’ in this research were the students. Like the staff, they were an integral part of the principal’s world and needed to be informed of the reasons behind the researcher’s presence in their school. This was accomplished in both schools by the researcher speaking to a full school assembly, outlining the purposes of the research and offering a reassurance that he had not been sent by parents to spy on them!

The researcher anticipated two problematic areas in gaining access to the school sites. First, there was a possible danger of the researcher being overly identified with school authority figures. To overcome this potential difficulty, the researcher ensured that time was spent with staff at interval, lunchtime and after school, and that he did not sit in close proximity to the principal during staff meetings. Second, there was a potential conflict of interest between the researcher’s professional role as a school management adviser and his research role as a participant observer. To offset this possibility, each principal and the researcher agreed to conduct a formal evaluation each term to assess any conflict between the two functions. The situation, however, was ameliorated during Term 4 1999, when the researcher ceased his professional development role and moved to work in another institution.

**Participant Observation**

When conceptualising the qualitative researcher role, it was interesting to note the range of possibilities for researcher involvement in the field, beginning with Gold’s (1958) typology. He outlined four modes by which researchers may gather data: the complete participant, the participant-as-observer, the observer-as-participant and the complete observer. The midpoint of these roles sought to balance, “involvement with detachment, familiarity with strangeness, closeness with distance” (Adler & Adler, 1994, p. 379). Observers can assume roles that range from the subjectively-lived experience to that of the openly detached view; from the hidden or disguised voyeur, who watches from outside or with a passive (even electronic)
presence, to the active participant involved in the setting who acts as a member and not as a researcher so as not to alter the flow of the interaction unnaturally (Adler & Adler, 1994).

As indicated in a previous discussion, the researcher’s role was that of participant observer. This followed the concept of in-dwelling rather than adopting the approach of a detached researcher seeking scientific objectivity. The challenge was to, “combine participation and observation so as to become capable of understanding the program [setting, participants] as an insider while describing the program for outsiders” (Patton, 1990, p. 128).

As Southworth (1995) discovered, an in-depth understanding of the work of principals was only possible through participant observation and by spending long periods of time in the school. In his case, participation involved some teaching, ancillary tasks, relief teaching and attending meetings. By participation, he hoped to achieve credibility and experience of the head’s leadership, not only through personal observation but also through the views of significant others.

In the present study, the researcher situated himself initially at the non-participant/spectator end of the participant observer continuum during principal observations (Patton, 1990). Subsequently, the researcher moved to a more overt participant observer stance that attempted to involve the principal participants as collaborators in the research and to promote a dialogic relationship where the researcher works with their subjects rather than on them. The advantages of this stance included reducing the power differential between the researcher and the principal (Mishler, 1986). A second advantage was to establish rapport with participants through an open and honest exchange. This was essential to in-dwelling and to achieving useful study outcomes. Another advantage of this method was the researcher’s capacity to see and experience events from a perspective that may be lost on insiders (Schatzman & Strauss, 1973).

Conversely, it is important that the potential limitations of this observational technique are discussed. The notions of researcher bias and predisposition, problems of gaining entry, generalisation and time intensiveness, have all been documented in the research methodology literature. Similarly, criticism has been directed at the areas of validity (susceptibility to bias from subjective interpretations) and reliability (inability to generalise observational findings).
These problematic areas will be addressed later in the data analysis section on validity, reliability and generalisation.

**Observational Settings**

The two urban and rural secondary principals were observed over a total of 29 months, spanning the period from July 1999 until December 2002. The initial observations were focused on the job demands of each principal. A wide range of data was collected, in the first instance, to cover the eventuality that seemingly unimportant events and discussions could assume greater importance as familiarity with the setting and the data grew. An overall total of 465 hours’ observations of the two principals were carried out in a variety of professional settings that were deemed relevant to this research study:

*The principal’s office*

This site was clearly the focus of interest throughout the study, especially in the early observational phase. Its function as the ‘clearinghouse’ of school daily operations presented the researcher with a privileged insight into the inner workings of the school and into the professional life of the principal. Here, principals conducted meetings with their senior leadership teams, Heads of Department, individual teachers, trustees, parents and students. On occasions, meetings included representatives of external educational agencies, community groups, police and legal advisers.

*School staffrooms*

A considerable amount of time was spent in staffrooms, prior to and after school, and during morning intervals and lunchtimes. This enabled the researcher not only to build a rapport with the staff but also to observe the group dynamics and aspects of the principalship, such as the principal’s influence on the staff, his/her leadership style and how the staff perceived their principals as people. Formal meetings in the staffroom that involved the principal included daily staff briefings, Monday afternoon professional meetings and boards of trustees monthly meetings.


External environment

Opportunities were taken to accompany the two principals when they ventured outside the immediate environment to work with people associated with the school. For example, Riverside’s principal and deputy principal conducted an evening house group discussion with a selected group of six rural parents some 10 kilometres from the town. The principal of Hounslow was accompanied to a café lunch meeting with a visiting international consultant who worked on behalf of the school recruiting students in Asian countries. On such occasions, the researcher was able to observe a broad spectrum of events and people to compare with data gathered from within the school.

Special events

There were occasions when the schools held special events to which parents and interested members of the community were invited. These events included special assemblies, speech competitions, sports days and formal end-of-year prizegivings. On one occasion, the researcher was asked at Riverside to be filmed as a ‘senior teacher’, to help increase staff numbers on the assembly stage as part of a video presentation that would be used for overseas student recruitment.

Attendance at meetings

As noted above, internal school observations included attendance at staff meetings, subject meetings, board of trustees and occasional meetings in the principal’s office between the school leadership team and concerned families. In addition, the researcher attended between three and four meetings annually of two regional Secondary Principals’ Associations between 1999 and 2004. Here, observations were carried out to determine the nature of current job demands and principals' reactions to these demands.

Recording

It is important for the rigorous analysis of data that a qualitative researcher’s field notes record accurately observations and relevant conversations that have been written down without interpretation or inference as to why certain events happened the way they did.
The researcher’s recording of events and people’s views took the form of field notes, memo writing and transcribed interviews. The researcher used a dual approach when making notes in the field. An A4 page was divided into two columns: the first two thirds of the page was devoted to recording events and the conversations as they occurred. The remaining third of the page was left blank. This column served two purposes: the researcher could add, at the end of the day, supplementary comments of his own (for example, thematic connections, points to raise with individuals in a subsequent interview). The blank space also allowed room for categorisation of themes in the ensuing process of data analysis (refer Appendix F). A similar method of recording was employed for interviews with the principals and significant others. These interviews were tape recorded and transcribed for further analysis. Again, a space was left blank at the side of each transcription for the purposes outlined above (refer Appendix G).

In addition to field notes, the researcher maintained an on-going file of memo writing throughout the study. These memos fulfilled the role of a research diary and recorded reflections about the research process, emergent issues, personal interpretations of an observation or of an item in the conceptual literature. It also proved useful as an historical record of the pathway that the study took and of the shifts in the researcher’s thinking as the research progressed.

**Interviewing**

The difference between a qualitative research interview and other standard forms of interviewing has been illustrated by Mishler (1986, p. vii):

> At its heart is the proposition that an interview is a form of discourse. Its particular features reflect the distinctive structure and aims of interviewing, namely, that it is discourse shaped and organised by asking and answering questions. An interview is a joint product of what interviewees and interviewers talk about together and how they talk with each other. The record of an interview that we researchers make, and then use in our work of analysis and interpretation, is a representation of that talk.

The qualitative interview is particularly useful when one is interested in gaining participant perspectives and the language and meanings constructed by individuals (Bogdan & Biklen, 1992). The task of ascertaining information and attitudes that exist inside of people’s
heads is not an easy one. The researcher must depend on what the interviewee says are their beliefs and feelings. In addition, there is the variable of the interview process as a form of social interaction (Taylor & Bogdan, 1998). In social interaction, meanings are not simply communicated but constructed. It is not a case of interview subjects being ‘passive recipients’ and being asked the right questions. Rather, it is a case of the respondent developing new insights and incremental understandings of their experiences and being encouraged to articulate them by careful interviewing techniques. An interview does not simply provide ‘data’. It is, in fact, a dynamic complex interaction that requires a researcher to think critically about what they are doing and why they are doing it.

In managing the interview situation, the researcher was mindful of setting the right climate or atmosphere that would encourage the informants to discuss their thoughts and feelings honestly and without fear. The format of the interactive interviewing of principals was dictated by its place in the sequence of the research (for example, preliminary interviews were generalised and aimed particularly at establishing rapport and trust). They then became more focused in subsequent interviews as they related to the research questions and to emerging propositions. While there is no formula for successful interviewing, Taylor & Bogdan (1998) suggested that necessary interview attributes should include being non-judgemental, letting people talk, paying attention and being sensitive to people’s needs or personal situations. The ultimate aim of in-depth qualitative interviewing is, according to Taylor & Bogdan (1998, p. 101), “learning how people construct their realities – how they view, define and experience the world.”

Interview sample

The method of determining who would be interviewed for this research study was based on the strategy of theoretical sampling (Glaser & Strauss, 1967). The number of interviews conducted was not as important as the potential of each interview to assist the researcher in developing theoretical insights into the phenomenon under study. In this case, the type of people interviewed was varied until a range of perspectives on the workings of the principalship was uncovered. Initially, the principal served as the primary informant, both as the focus of the research and as a collaborator. Reflections on their personal feelings and philosophies provided valuable glimpses of their respective worlds. Senior staff members, ancillary staff and board of trustees personnel made up the list of significant others who could
act as sources of clarification, offer perceptions of the principalship and who could cross-check some events from the researcher’s observations. People in the ‘significant others’ category were interviewed near the conclusion of the study (refer Appendix H). This was a deliberate strategy to ensure researcher acceptability and to elicit honest answers from informants who felt comfortable in the researcher’s presence.

In the later stages of the research, the internal school sample of informants was widened to include the spouses of the principal. Each principal agreed that the personal and social dimensions of the job were so pervasive that the perspectives of ‘non-school’ or external sources were necessary if a holistic picture of the job was to be achieved. A total of 48 hours were spent in interviewing the respective principals and significant others associated with their work.

**Interview protocols**

The following interview protocols were developed as a methodological framework prior to gaining information from individual respondents. First, the two principals and significant others were asked to complete a research consent form that enabled interview data to be gathered (refer Appendix I). Second, each principal was asked to undertake a biographical interview that included critical events from the past. This procedure was adopted following McBride’s (1994) research experience helping British headteachers to search for their values. McBride (1994, p. 400) wrote:

> I believe that a person’s values can only be established through a supportive and interactive dialogue with that person. It is not simply a matter of asking people. For the pockets in the mind are deep set and we need to open the pockets with each head and we need to probe together.

The ‘biodata’ interview format was adapted from an interview framework employed by Pascal & Ribbins (1998) to establish a portrait of each principal across a range of personal and professional issues (refer Appendix J). It was hoped that this biographical data would reveal foundational learning experiences from key influences such as family, schooling and career progression. Also, such an interview strategy might create meaning as to how their core professional and personal values came to be derived and to enlighten the basis of the personal self (Kelchtermans & Vandenberghe, 1994). It was also anticipated that such interview data would underline the complexity of principals’ experiences and how they were,
“affected by life history, previous role preparation, inherited school culture, external environments and personal-belief factors” (Day & Bakioglu, 1996, p. 222).

Values Survey

Towards the end of the data gathering phase, a values survey was conducted with the two principals. For this purpose, the Rokeach Values Survey (Rokeach, 1973) was used as a straightforward method for determining each principal's key values (refer Appendix K). It contained 18 ‘terminal’ values or end values that, “reflect the ultimate reason(s) why people behave in a certain manner” (Parker & Stone, 2003, p. 17) and 18 ‘instrumental’ values or means values. These means values, “precede and feed end values ... [and] provide the motivation to achieve desired goals” (Parker & Stone, 2003, p. 17). The survey had been designed originally to serve as an all-purpose instrument for research on human values and it is claimed that its application over many years has produced reasonably reliable and valid measures of variables that are of central importance to the individual and to society (Rokeach, 1973).

A major question for the researcher, in using this values survey format, was how the prescribed values would be interpreted by the two principals. Rokeach (1973) had countered this concern by focusing on the psychological significance that a particular value has for a particular person rather than on its semantic meaning, namely, the manner in which the respondent ranks a particular value in relation to other relevant values.

At the conclusion of the administration of the values survey, a semi-structured interview was conducted with each principal. Questions were based on values areas derived from fieldwork, interview analysis and from the values survey itself (refer Appendix L). In addition, the ensuing conversations between the researcher and principal were assisted by the use of probe questioning (Patton, 1990), designed to elicit in-depth reflections from each participant on the topic of values-based leadership.

Documentary Sources

A range of documentary evidence pertaining to the function of each principalship was gathered. This documentation included internal school sources such as the school charter; the annual prospectus and school magazine; school newspaper and newsletters; principal’s report
to the board of trustees; minutes of staff and board meetings; and the principal’s job description. External documentary evidence was collected from occasional newspaper articles; the latest Education Review Office report; and minutes of regional Secondary Principals’ Association meetings.

**Fieldwork Issues**

The fieldwork phase of any investigation can present the researcher with problematic issues both within and outside of the research methodology. In this research, a number of issues were encountered in the fieldwork that were not dissimilar to those cited by Edwards (1986) in his ethnographic study of a New Zealand secondary principal, and by Harold (1995) in her qualitative study of three New Zealand rural school boards of trustees. The format of the following table has been adapted from both these studies and categorises the problematic areas encountered in the present study, along with their attempted solutions.

<table>
<thead>
<tr>
<th>ISSUE</th>
<th>SOLUTION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>LOGISTICAL PROBLEMS</strong></td>
<td></td>
</tr>
<tr>
<td>Accurately recording legible details of rapidly occurring events or conversations</td>
<td>Coded as quickly as possible. Gaps to be filled in as soon as possible after the recording</td>
</tr>
<tr>
<td>Deciding when it is inappropriate to make notes</td>
<td>Anticipating situations of tension and or conflict; sensing feelings of unease in participants. No notes were ever recorded when principals interviewed students, parents or teachers in their office</td>
</tr>
<tr>
<td><strong>PHYSICAL PROBLEMS</strong></td>
<td></td>
</tr>
<tr>
<td>Dealing with physical tiredness/boredom – especially recording late evening meetings after a day in the field</td>
<td>Take a “time out” in one’s mind; physically leave the room for a brief period</td>
</tr>
<tr>
<td><strong>PROFESSIONAL PROBLEMS</strong></td>
<td></td>
</tr>
<tr>
<td>Receiving requests for advice and guidance in a professional role; resisting the urge to reciprocate</td>
<td>Giving brief, factual or non-committal responses</td>
</tr>
<tr>
<td>Over-identification with principal as an authority figure</td>
<td>Sitting at a distance from the principal in public; “dressing down” to distance oneself from a position of power</td>
</tr>
</tbody>
</table>
DATA ANALYSIS

Grounded Theory Approach

The collection of data, as discussed, leads to a consideration of the processes for analysing that data using a grounded theory approach. Glaser & Strauss (1967) identified two key elements for developing analysis using grounded theory: theoretical sampling and constant comparative analysis. Strauss & Corbin (1990, p. 176) defined theoretical sampling as, “sampling on the basis of concepts that have proven theoretical relevance to the evolving theory.” It is reiterated that data collection and analysis are inextricably linked and on-going in this grounded theory process (Strauss & Corbin, 1990; Hutchinson, 1993).

As the data are interrogated, low level hypotheses or propositions begin to suggest themselves. Descriptive statements explain events or phenomena, together with circumstances in which they occur. Such propositions are tested by the researcher during on-going observations and informant interviews. Strong propositions will gain greater support and become ‘saturated’; weaker propositions will lose support or will be contradicted and become ‘redundant’. As this process of testing propositions continues, strong propositions will form emerging patterns or themes which may then be broken down into sub-categories.

Following the strategy suggested by Glaser & Strauss (1967) and Lincoln & Guba (1985), the method of constant comparative analysis was used to develop theory within the grounded theory approach. The objective and format of this research methodology is described by Hutchinson (1993, p. 200) as follows:

The constant comparative method is the fundamental method of data analysis in grounded theory generation. The aim of this method is the generation of theoretical constructs which, along with substantive codes and categories and their properties, form a theory that encompasses as much behavioural variation as possible. The proposed theory is molecular in structure rather than causal or linear.

In brief, this mode of analysis involves on-going, systematic organisation and classification of the data into a range of categories. A coding system is used by which data are broken down, conceptualised and re-formed in different ways: open coding breaks down, conceptualises and categorises the data; axial coding reconstitutes data in new ways while selective coding explores relationships and patterns across categories. In this way, open coding breaks down the data into small pieces at a concrete level. The data are then elevated to more abstract
levels by axial and selective coding in a regenerated array of concepts and themes drawn from (grounded in) original interviews, field notes and documents.

The stages of development of a grounded theory approach have been adapted from Taylor & Bogdan (1998) and are summarised in the following Figure. This figure is provided to demonstrate, in a visual way, the linkages that can be made between key phases in building grounded theory, their associated tasks and a data summary of the case studies’ findings at appropriate stages of the research investigation.
THEORY BUILDING PHASES

DATA COLLECTION

THEORETICAL SAMPLING

CONSTANT COMPARATIVE ANALYSIS

THEORY GENERATION

THEORY BUILDING TASKS

Collect data from multiple sources

Identify themes or develop tentative concepts and ideas based on data
- Language
- Quotes
- Practices/behaviour

Review and compare other data ("how do other data relate to this theme?")

Collect additional data ("what additional data might shed light on this theme?")

Confirm/discard/refine/elaborate on theme, concept or idea, using triangulation strategy

Verify categories and a core category after theoretical saturation

Formulation of grounded theory

CASE STUDIES' FINDINGS

Participant observations, interviewing, documentary evidence, values survey

Broad Thematic Areas:
Daily operation, Curriculum, Interpersonal, Groups, Student activities, Decision-making, Personal, Care of students, Risk management: Changeable nature of job: Professional, School culture, Rural community

Initial data reinforces personal connectedness of each principal with their job and with their school community

Additional data gathered on principals personal and professional values that might influence their leadership behaviours

Themes triangulated thorough comparison of documentary evidence, observational and interview data, and the extant literature

Personal dimension categories of managerial connectedness, interpersonal relationships, dilemma management, underpinned by the core category: centrality of core personal and professional values

Grounded propositional statements support centrality of core values in two case study secondary principalships

Figure 4 A version of the grounded theory approach
Data Analysis Process

Preliminary coding

All field notes from the school sites and from Principal Association meetings were photocopied for analysis of the hard copy. Audio-taped interviews of principals and other informants were transcribed and photocopied for similar analysis. Each page of written data was coded at the top according to their relevant categorisation. For example, interview transcript and informant T2004/M:5 (2004 interview with Riverside principal Max, page 5); field note F2002/S:6 (2002 field note from regional principals’ meeting, page 6); and documentary sources D2001/HC (document from Hounslow College, accessed in 2001).

Using photocopies of each page of field notes, interview transcriptions and documents, a line(s) was drawn across the page to denote the appropriate passage with an accompanying notation on a particular theme (for example T2003/H:12/Frustration – indicates that the transcript of a principal interview at Hounslow demonstrates this outcome of the principal’s work (refer Appendices F and G). This theme was referred to as a ‘unit of meaning’ and formed the basis for deriving a set of low level categories of meaning. These units of meaning were then cut up and taped onto separate large index cards, along with other similarly derived categories. This manual approach to data coding was chosen by the researcher to allow a closer connection with the richness of the qualitative data and to generate theory grounded in the data (Charmaz, 2000; Basit, 2003).

Theoretical sampling

The process of discovery of emerging categories or propositions began by re-reading the data in order to ascertain recurring themes, phrases and topics. This process generated an array of concepts or theoretical ideas grounded in or drawn from the field notes, interviews and other data sources. Each theme or concept, called the “first provisional coding category” (Maykut & Morehouse, 1994, p. 135), was written at the top of a large sheet of paper in preparation for the numerous units of meaning to be coded against them where there was a suitable fit established within that provisional category. These 13 broad thematic areas are listed in Table 3 below.
**Constant comparative analysis**

The inductive axial coding process began by taking one provisional coding category at a time and matching the cards with their units of meaning against each category. If a data card did not fit the first provisional category, it would be categorised elsewhere. This ‘look/feel alike’ criterion was proposed by Lincoln & Guba (1985) as a way of describing the emergent process of categorising qualitative data and of inductively deriving relevant categories of meaning.

Preliminary coding categories were identified from the initial data of both case studies gathered during the period 1999 – 2002. Broad thematic areas were chosen to highlight the division of provisional categories following the axial coding process. In this initial analysis, Hounslow College data revealed 59 provisional categories while Riverside High School numbered 45 categories. These provisional categories are displayed in Table 3:

<table>
<thead>
<tr>
<th>Theoretical Sampling: Broad thematic areas</th>
<th>Axial Coding: Provisional categories</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hounslow College (n=59); Riverside High School (n=45)*</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Day to day running of the school</th>
<th>Administration</th>
<th>Overseas recruitment</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Charter revision</td>
<td>Property</td>
</tr>
<tr>
<td></td>
<td>Enrolments</td>
<td>School regulations</td>
</tr>
<tr>
<td></td>
<td>Executive meetings</td>
<td>Staff competency</td>
</tr>
<tr>
<td></td>
<td>Financial</td>
<td>Staff appraisal</td>
</tr>
<tr>
<td></td>
<td>Government agencies</td>
<td>Staffing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Curriculum</th>
<th>Academic curriculum</th>
<th>Extra curricular activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment</td>
<td></td>
<td>Resources</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Interpersonal</th>
<th>Availability</th>
<th>Public relations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interpersonal</td>
<td>Power relations</td>
<td>Staff welfare</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Walking around</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Groups</th>
<th>Board of Trustees</th>
<th>Special education</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Parents</td>
<td>(RTL'B's)</td>
</tr>
<tr>
<td></td>
<td>Parent-Teacher Association</td>
<td>Staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Students</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Student activities</th>
<th>Cultural</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Ethnic</td>
</tr>
<tr>
<td></td>
<td>Events</td>
</tr>
</tbody>
</table>

<p>|                     | School Fair |
|                     | Lunchtime   |</p>
<table>
<thead>
<tr>
<th>Decision-making</th>
<th>Crisis management</th>
<th>Prioritisation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Dilemmas</td>
<td>Problem-solving</td>
</tr>
<tr>
<td></td>
<td>Instant decision-making</td>
<td>Tensions</td>
</tr>
<tr>
<td>Personal</td>
<td>Family</td>
<td>Personal</td>
</tr>
<tr>
<td></td>
<td>Feelings</td>
<td>Principal's health</td>
</tr>
<tr>
<td></td>
<td>Impact of job</td>
<td>Sense of humour</td>
</tr>
<tr>
<td></td>
<td>Motivation</td>
<td>Sixth sense</td>
</tr>
<tr>
<td></td>
<td>People skills</td>
<td>Time management</td>
</tr>
<tr>
<td>Care of students</td>
<td>Gatekeeping</td>
<td>Student welfare</td>
</tr>
<tr>
<td></td>
<td>Student discipline</td>
<td></td>
</tr>
<tr>
<td>Risk management</td>
<td>Health and safety</td>
<td>Risk management</td>
</tr>
<tr>
<td></td>
<td>Legal issues</td>
<td></td>
</tr>
<tr>
<td>Changeable nature of job</td>
<td>Challenges</td>
<td>Hands-on approach</td>
</tr>
<tr>
<td></td>
<td>Changeability</td>
<td>Interruptions</td>
</tr>
<tr>
<td></td>
<td>Fragmented nature of job</td>
<td>Metaphors for job</td>
</tr>
<tr>
<td>Professional issues</td>
<td>Change management</td>
<td>Professional</td>
</tr>
<tr>
<td></td>
<td>Effectiveness</td>
<td>Reflection</td>
</tr>
<tr>
<td></td>
<td>Future of principal</td>
<td>Strategic planning</td>
</tr>
<tr>
<td></td>
<td>Leadership training</td>
<td>Teaching a class</td>
</tr>
<tr>
<td></td>
<td>Peak performance</td>
<td>Workload</td>
</tr>
<tr>
<td></td>
<td>Proactivity</td>
<td></td>
</tr>
<tr>
<td>School culture</td>
<td>School climate</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Rural community</th>
<th>Community issues</th>
<th>School context</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>House meetings</td>
<td></td>
</tr>
</tbody>
</table>

* Where Riverside data revealed different categories than Hounslow, these are highlighted in italics.

Having grouped the cards together using the look/feel alike criteria, the categories were refined further by writing rules for inclusion in that category, (that is, what properties were common to the group of cards under each category?) Each ‘rule’ was set out as a propositional statement to reflect the essential meaning contained in that group of data cards. Helpful questions during this constant comparative analysis phase included: What do these quotes or observations have in common? What is going on here? What does this tell me about how people view their world? How do these themes relate to each other? (Taylor & Bogdan, 1998). The cards were then re-evaluated to ensure compliance with each generic proposition. Any irrelevant cards were excluded on the basis of the rules for exclusion, not on
the look/feel alike criterion. Such cards were held over to be included in another substantive category or placed in a miscellaneous grouping.

The selective coding section of the data analysis then explored the relationships and patterns across categories instead of within categories. All propositional statements (rules for inclusion) were examined to identify those propositions that could stand alone and those that could form salient relationships and patterns. Where two or more propositions were connected, they became “outcome propositions” (Maykut & Morehouse, 1994, p. 144). The data collection and analysis continued until a, “theoretical saturation point is revealed” (Strauss & Corbin, 1990, p. 188). At this point, categories and their interrelationships were well supported and verifiable. Any unanswered questions would require a return to the field in search of further data.

As an example of the constant comparative method, the Riverside High School case study will be used to show stages of the coding process at work. As noted, initial axial coding analysis of the Riverside case study resulted in 45 provisional categories of meaning being grouped under 13 broad thematic headings. Under selective coding, these were reduced to nine headings once relationships and patterns were established across categories. These headings or categories were: Administration; Changeable Nature of Job; Curriculum; Dilemma Management; Human Relationships; Government Agencies, Personal; Professional; and Rural Community. For each major category heading, a list of properties was developed, together with rules for inclusion or related propositions. An example of this process is represented in Table 4:
Table 4  Selective Coding Categories and Propositional Statements:
Riverside High School

<table>
<thead>
<tr>
<th>Major Category</th>
<th>Properties of Major Category</th>
<th>Propositional Statements for Major Category</th>
</tr>
</thead>
</table>
| **ADMINISTRATION**             | • Financial  
• Property  
• Physical resources  
• Daily operation | The principal’s daily administration is wide-ranging, on-going and reflects a mix of paperwork and interpersonal interaction with students, staff, parents, trustees and community members |
| **CHANGEABLE NATURE OF JOB**   | • Interruptions  
• Workload  
• Priorities  
• Time management  
• Future of principal  
• Dealing with own feelings | The nature of the principal’s job tends to be episodic with periods of calm and crisis, and dichotomous in terms of competing tensions, values and needs |
| **DILEMMA MANAGEMENT**         | • Crisis management  
• Critical incidents  
• Problem-solving  
• Decision-making processes | The principal’s management of ethical, professional and political dilemmas involves decision-making on the basis of serving the best interests of the students |
| **CURRICULUM**                 | • Assessment  
• Curriculum areas  
• Co-curriculum | Teaching and learning constitutes the core business of the school and is the focus of the principal’s on-going attention |
| **HUMAN RELATIONSHIPS**        | • Senior Leadership Team  
• Board of Trustees  
• Parents  
• Students: discipline-international  
• Staff: welfare-issues  
• Community groups  
• Communications: availability- lunchtimes-walking around  
• Motivation | The effective operation of the school is reliant on the principal’s ability to facilitate, inform, motivate and communicate with all constituents within the wider school community |
| **GOVERNMENT AGENCIES**        | • Ministry of Education  
• Education Review Office  
• New Zealand Qualifications Authority  
• Impact on school  
• Impact on Principal | The ubiquitous influence of government agencies supports and guides the school operation, yet is perceived to be inimical to local educational needs |
| **PERSONAL**                   | • Feelings  
• Gate-keeper role  
• Interpersonal links  
• Personal values  
• Principal’s health  
• Reflection  
• Impact of job on family  
• Future career of principal | The principalship makes demands of the principal’s personal time, his interpersonal capability and is a testing ground for his personal beliefs and values |
| **PROFESSIONAL**               | • Change management  
• Effectiveness  
• Pro-activity  
• Professional values  
• Priorities  
• Tensions  
• Training  
• Time  
• Teaching a class | The principalship makes demands of the principal’s ability to manage change, set school priorities and tests his professional values and beliefs about education |
| **RURAL COMMUNITY**            | • Community issues  
• School context  
• House meetings  
• Sense of community  
• Public relations  
• Strategic management  
• Personal involvement | The principal is a pivotal point of connection in the interdependent link between school and rural community: educationally, socially and economically |
On-going constant comparative analysis of relationships and patterns across the two case studies revealed overarching categories of managerial connectedness, interpersonal relationships and dilemma management, all of which were underpinned by an intense personal involvement of each principal. This is reflected in a summary cross-case analysis of overarching categories (refer Table 17, Chapter 6). There, Table 17 sets out a summary of these three overarching categories, their accompanying propositional statements and further questions posed as part of a broadening focus of inquiry.

Accordingly, the initial writing of the case studies was framed in terms of the personal demands and dimensions of the principal’s job. However, there remained further questions, as part of a broadening focus of inquiry, as to the role of each principal’s personal and professional values systems and what personal influences, values or beliefs caused them to lead their schools in the way they did.

In order to seek answers to these questions, the researcher returned to the field in 2004 to administer a values survey to each principal and a series of semi-structured interviews on the broad topic area of values-based leadership. This re-entry to the field was necessary to probe an emergent theme and, as Eisenhardt (2002, p. 16) pointed out, “if a new line of thinking emerges during the research, it makes sense to take advantage by altering data collection, if such an alteration is likely to better ground the theory or to provide new theoretical insight.”

Theory generation
As a result of further data gathered from the two principals about values-based leadership, the researcher was able to gain, first of all, an appreciation of each principal’s personal connectedness with their job and the centrality of their core values. This was achieved through the process of symbolic interactionism between researcher and principal as we jointly interpreted shared meanings of, for example, ranked personal values and their linkages to the principal’s professional values. This understanding was also enhanced through the grounded theory approach of within-case and cross-case constant comparative analysis. These preliminary theory generation approaches are reflected in a later discussion of case study findings in Chapter 6.

Second, the triangulation of documentary evidence, observational and interview data analysis, and relevant concepts of the educational leadership literature, formed the basis of an overall
theoretical analysis in Chapter 7. This enabled the researcher to verify the Personal Dimension categories of managerial connectedness, interpersonal relationships and dilemma management, underpinned by the centrality of each principal’s core personal and professional values. These findings were used to support theoretical features of Day et al.’s (2000) values-based contingency leadership model.

Finally, a series of ten summary outcome propositions were built around the theme of values-based leadership and grounded in data derived from the two case study principalships. To achieve these summary outcomes, data were triangulated from a variety of data sources including document analysis; participant observation; structured and semi-structured interviews of principals and significant others; values survey; and principal review feedback (refer Table 19, Chapter 7). These theoretical outcome propositions were then used to form a proposal for a values-based model of principal self-development in Chapter 8.

Validity and Reliability

As discussed earlier, traditional validity and reliability measures proved problematic when viewed in the context of this study and in the qualitative domain in general. The traditional measures of conventional research criteria (internal and external validity, reliability and objectivity) tend to be inconsistent with the principles of qualitative research:

The conventional criterion of internal validity fails because it implies an isomorphism between research outcomes and a single tangible reality onto which inquiry can converge ... the criterion of external validity fails because it is inconsistent with the basic axiom concerning generalisability ... the criterion of reliability fails because it requires absolute stability and replicability; neither of which is possible for a paradigm based on an emergent design ... the criterion of objectivity fails because the paradigm openly admits investigator-respondent (or object) interaction and the role of values. (Lincoln & Guba, 1985, p. 43)

Thus, qualitative researchers have sought to devise and apply a different set of criteria: “Validity has taken on wider meaning; today, it is associated more closely with truth value – the correspondence between research and the real world – rather than limited to measurement” (Wolcott, 2005, p. 160). Of relevance to this study is Kvale’s (1996) conception of a social construction of validity in the form of validation of an investigation at seven stages, beginning with the soundness of the theoretical assumptions that underpin the study; the adequacy of research design and ethical considerations; quality of interview
questioning and member checking of information; accuracy of translation from oral to written language; logic of the data interpretations; the forms of validation relevant to a specific study; and the veracity of the report’s major findings, as well as the role of the readers of the report in validating the results.

In addition, Lincoln & Guba (1985, p. 36) suggested criteria such as transferability rather than the conventional external validity, where the qualitative researcher, “can provide only the thick description necessary to reach a conclusion about whether transfer can be contemplated as a possibility.” They also suggest dependability, by checking with participants on the fairness of the account and by checking the accuracy of particular information; and credibility, by prolonged engagement in the field, persistent observation and triangulation.

This research investigation attempted to follow the essential tenets of validation proposed by Kvale. The theoretical frameworks that inform the study have been linked to the initial set of research questions, while the preceding discussion on qualitative research laid the foundation for building a valid research design in which the assumptions and procedures have been made explicit. In particular, the claims for validity for this qualitative study are based around free and open access to the school sites by the researcher; regular attendance on site; observations carried out over a lengthy period of time; in-depth interviewing of the two target principals and significant others; and an extended observation of regional principals to validate emerging themes.

In response to meeting criticism of reliability features in qualitative research, the researcher followed suggestions put forward by Edwards (1986) in his ethnographic study. First, a prolonged period of time in the field enabled the researcher to gather a detailed set of credible data. Second, the length of time spent in participant observation provided an opportunity to gain a deeper understanding and knowledge of the workings of the principalship. A third feature involved taking time to step back from the investigation to check and adjust the methodology, such as the pilot study at the outset and time away from the school sites to reconsider the findings and the methods of data collection and data analysis.

Finally, central to these aspects of reliability and authenticity in this study of secondary principals, are the principals themselves. They played a key role in a number of Kvale’s validation stages and, as Robertson (1995, p. 82) reflects on her study of New Zealand
principals, “the participants of this research should be its greatest critics of validity: they lived it, experienced it, and have negotiated the resulting theory.” In this present study, its ‘trustworthiness’ is tested through the on-going discourse and collaboration between the researcher and principal respondents, a concept of validation that has been well supported in the field of inquiry-guided research (Mischler, 1990; Strauss & Corbin, 1998; Taylor & Bogdan, 1998).

**Triangulation**

Inherent in the design of qualitative data analysis is the method of triangulation. In its broadest sense, triangulation is defined as the use of multiple methods in a single research study to gain an in-depth understanding of a particular phenomenon (Mathison, 1988; Denzin & Lincoln, 1994). It is also viewed as a means of checking out insights gleaned from different informants or different sources of data (Taylor & Bogdan, 1998).

Following Mathison’s (1988) conception of triangulation, it is anticipated that three outcomes might result from a data triangulation strategy. The first is that of **convergence**, whereby data from different sources and methods will provide evidence that will result in identifying a single proposition within the research topic. A second outcome is **inconsistency and ambiguity** among the data which present alternative propositions. A third outcome is **contradiction** which offers an opposite view of a proposition. The value of triangulation is not seen as a technological solution to a data collection and analysis problem but rather as a technique that provides more and better evidence from which researchers, “can construct meaningful propositions about the social world” (Mathison, 1988, p. 15).

The triangulation process, as Miles and Huberman (1994, p. 267) argue, should be an integral part of any qualitative research:

> Perhaps our basic point is that triangulation is not so much a tactic as a way of life. If you self-consciously set out to collect and double check findings, using multiple sources and modes of evidence, the verification process will largely be built into data collection as you go. In effect, triangulation is a way to get to the finding in the first place – by seeing or hearing multiple instances of it from different sources by using different methods and by squaring the finding with others its needs to be squared with.
Data triangulation was an essential contributor to the research methodology in the present study. The researcher used a variety of data collection strategies, namely documentary sources, observation, interview and survey methods. In addition, informants within and outside of the school environments were contacted. These included senior administrators and teachers, trustees and the principals’ spouses. In this way, multiple perspectives were gained into the personal lives of the two principal participants.

**Generalisability**
In this case study research, the purpose was to describe, via the process of ‘thick description’, two case studies of secondary principals at work. No statistical approach was followed that might attempt to generalise from a sample population to other populations of school principals. In this regard, it may be useful to think of generalisability more in terms of reconstructed meanings than in terms of mathematical probability, more in terms of, “circumstantial uniqueness and not on the obscurities of mass representation” (Burns, 2000, p. 474).

This study’s qualitative stance compares with Wolcott’s (1984) seminal ethnographic study of *The Man in the Principal’s Office* that focused on the description and understanding of a single case. In the present study of two cases, the aim was to gain an intimate appreciation of the personal and professional working lives of secondary principals in two different school settings. There can be no claim made that either case would be representative of another individual principal nor of another specific school context.

However, the researcher would argue that two components of generalisation may occur at later stages. First, generalisation may occur when the data are theorised and that theoretical model carries original ideas and interrelationships into a broader context of human meanings and action (Wolcott, 2005). This was evident in this study when the research findings were used to formulate a construction of a model of principal self-development by drawing together common elements from the two case studies and from observations and informal discussions at regional principals’ meetings.

A second component of generalisation focuses on the notion that it is also the reader who generalises. As Donmoyer (1990) suggests, the reader may consider a case in terms of its similarity to circumstances they are interested in and then consider the possible implications
for their environment and practice. For example, another secondary principal may interpret these research findings by relevant application to his/her school context. Subsequent reflection against their own knowledge base and educational experiences may enable that principal to find meaning and applicability to their particular school situation.

OVERVIEW OF THE RESEARCH PROCESS

This final section of the chapter has focused on practical and theoretical aspects of research strategies employed during the present study. Specific data collection methods were discussed, as well as the grounded theory approach which the researcher used as a framework for data analysis. The research conventions of validity, reliability, triangulation and generalisability were also examined in relation to this qualitative study.

Figure 5 displays a time-chart of the present study. It presents an overview of the different phases of fieldwork, together with a summary of the stages of data collection and on-going data analysis of coding classification and verification.
<table>
<thead>
<tr>
<th>Time</th>
<th>Phases of Fieldwork</th>
<th>Data Collection</th>
<th>Data Analysis</th>
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<tr>
<td><strong>1999</strong></td>
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<tr>
<td>March 1999</td>
<td>Presentation of research proposal</td>
<td>• Pilot study of rural principalship</td>
<td>Preliminary data analysis and review of research strategies</td>
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<td>March 1999-September 1999</td>
<td>Period of Exploration</td>
<td>• Early orientation observations</td>
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<td></td>
<td>• Gaining access to school sites</td>
<td>• Preliminary observation of regional principals’ meetings</td>
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<td>October 1999</td>
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<td><strong>2000</strong></td>
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<tr>
<td>March 2000-September 2000</td>
<td>Period of Inspection</td>
<td>• Document collection</td>
<td>Data classification</td>
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<td>• Participant observation</td>
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<td><strong>2001-2002</strong></td>
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<tr>
<td>April 2001-March 2002</td>
<td>Biodata interviews</td>
<td>• Informal conversations with participants</td>
<td>On-going data analysis by constant comparative method</td>
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<td></td>
<td>• Informal conversations with participants</td>
<td>• Participant observation</td>
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<tr>
<td>April 2002-September 2002</td>
<td>[Completion of Literature Review draft]</td>
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<td><strong>2002-2003</strong></td>
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<tr>
<td>October 2002-March 2003</td>
<td>Semi-structured informant interviews</td>
<td>• Semi-structured informant interviews</td>
<td>Refinement of coding categories</td>
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<td></td>
<td>• Participant observations</td>
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<td><strong>2003-2004</strong></td>
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<td>April 2003-March 2004</td>
<td>[Completion of drafts of two case studies]</td>
<td>• Values survey</td>
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<tr>
<td>April 2004-June 2004</td>
<td>Period of Broadening Focus of Inquiry</td>
<td>• Semi-structured principal interviews</td>
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<tr>
<td>July 2004-December 2004</td>
<td>Period of Triangulation and Verification</td>
<td>• Participant observations conclude</td>
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<td></td>
<td>• Observations of regional principals’ meetings conclude</td>
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<td><strong>2005</strong></td>
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<td>January 2005-December 2005</td>
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<td>Drafting of final thesis chapters</td>
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Figure 5 Overview of the research process
The following chapter marks the beginning of the narrative of two case study principals and their personal and professional worlds. It also presents a contextualised perspective of the individual school environment in which each principal worked.
CHAPTER 4
HOUNSLOW COLLEGE: A PRINCIPAL CASE STUDY

This chapter begins with an introduction to Hounslow College and an early portrait of the principal, Helen Aiken. The case study is then presented using two major focus areas. First, the personal dimensions of the principal’s job that emerged from the research data are reported in terms of managerial connectedness, interpersonal relationships and dilemma management. Next, a focus on the principal as a person includes an analysis of the principal’s core personal and professional values using data obtained from semi-structured interviews and reinforced by subsequent principal feedback. It also includes an examination of the role of values in the principal’s leadership, together with an exploration of Helen’s sense of self and the impact of the job on her as a person.

SCHOOL PROFILE

Hounslow College is a Year 9-13 girls’ secondary school situated in a metropolitan area in the South Island of New Zealand. It has a staff in excess of 50 teachers. It has a population of approximately 800 students of whom over 40 are international students. The ethnic mix of students covers a range of predominantly European students with a small number from Asian, Maori and Pacific Island backgrounds.

Hounslow College offers its students a broad-based educational programme that includes a variety of academic, sporting and cultural pursuits. Intensive learning support programmes are used to assist levels of academic achievement and are regarded as a particular feature of the school.

AN EARLY PORTRAIT OF HELEN AIKEN, PRINCIPAL

Early Influences

Helen was the middle child of three girls born into a middle class family where her mother and father followed clerical and professional careers respectively. She saw her mother as an alert, bright and intelligent woman who, in the traditional nurturing role, devoted a good part
of her life to caring for her husband and bringing up the family. In relation to her father, Helen commented:

All of us [children] were determinedly fairly feminist because Dad was a fairly patriarchal, authoritarian father. So there was no way we were going to be trodden over by any male. But the same man was also responsible for us all having excellent education and good qualifications and superb jobs.

(Interview T2001/H:1)

Helen was asked if the influence of the family had shaped, in any way, her aspirations to become a teacher. Her reply may not be an uncommon one within the teaching profession:

The teaching thing is fascinating ... hidden values somewhere. Dad's brother and his wife were prominent teachers in the South Island/North Island inspectorate. My sister's a teacher, I'm a teacher - don't know why. Not that it was just a good thing for girls to do. I think it was a lot deeper than that. Something to do with a rounded education.

(Interview T2001/H:2)

Allied to this teaching linkage was also a strong concept of service within the family, of doing things to assist other people in a work-related sense or simply in a spirit of neighbourhood help.

Helen's recollections of early influences that affected her values and views on life were typical of a 1950s style of upbringing in urban New Zealand: Sunday School, Brownies, organised sport, a range of club activities. In addition, school life and a series of significant teachers were to have a profound formative effect on shaping her personal and later professional development. Among a group of women with progressive outlooks whom Helen encountered in her secondary schooling, there was a senior English teacher whom she described as a Shakespearean enthusiast and essentially responsible for her studying for a Masters degree in English; two vibrant people who led the school; and her French teacher who was also the tennis coach. She found the approval, confidence and personal interest from these female teachers and principals a lasting influence on her.

The sporting world also had an important bearing on Helen's development as a young woman: 10 years as a member of a surf club; training daily at 6am for national surf life saving competitions; and playing tennis at representative level for several years. In her sporting activities, Helen noted a key common factor: she discovered that her strong academic work
ethic at school, which had seen her achieve first place in a Physics class one year, would lead to similar success in the sporting arena by applying the same work ethic.

The other sporting influence on her life came in the form of her surf club coach, a woman who had invested a huge personal time commitment in sports coaching. Helen believed she also played a caring adult role by the manner in which the girls' self-esteem was enhanced. She was, in Helen's opinion, another quite significant figure who set a powerful example of how to enact successful interpersonal relationships:

She had given me more confidence in myself that I probably didn't get from home. She was a good role model as a leader, organiser; very good at connecting with people. I guess that's what I've tried hard to do. That's probably a link to my principalship - that meaningful connection. She was brilliant at it.

(Interview T2002/H:1)

Career Path to Principalship

Helen's less-than-memorable one-year period of secondary teacher training was enhanced by her study of Russian at university level, an additional paper that was required to complete a Masters degree in English. This linguistic study, together with her work in university physics, portrayed her multi-faceted academic capability, one that she would later draw on in her role as a school principal.

In the process of completing her Masters degree after teacher training, the lure of a publishing career or of PhD research gained increasing prominence for Helen. She never got around to applying for other jobs until a teaching position in English became available at a local urban secondary school. She casually applied for the post in a state of mind that was less than enthusiastic. However, the realities of teacher responsibility, leadership and sense of ownership were such that her first teaching position became a very positive experience:

[I] really loved it with my own classes, my own kids. It was great. So much better than College. The College was a real negative. I hated it, hated being in other people's classrooms, hated not having ownership and was never made to feel that anything was any good.

(Interview T2001/H:5)

At her first secondary school, Helen credited the principal with shaping her views on how to deal with people and still thought about him during her present principalship. Whenever she
did something wrong, as first year teachers frequently did, there was no public castigation in the staffroom nor serious interview:

It was just the hand on the back of your neck, which was sexist but wasn't really a big problem. And what have I done wrong? He would say what you've done wrong and you had your right of reply. It cleared the air - end of matter. Wonderful. A wonderful way of dealing with problems.

(Interview T2001/H:5)

Helen believed that this principal's mode of problem-solving had influenced the way she dealt with problems in her own principalship. By her own admission, hers was a direct style of problem resolution, without the use of hands around the neck!

When her husband secured a job in another city, Helen reluctantly relinquished her English job and careers adviser's position, and took up a similar combination of subject areas in her adopted city. In her third year of teaching here, she became pregnant. The next seven years were spent raising two children and working part-time for approximately 12 hours per week. A move then followed to a girls' secondary school teaching English and assuming the pastoral care responsibility of a year level Dean. Under a new principal, Helen was appointed to the post of Head of the Junior School (Years 9 and 10) before applying for, and winning, the position of Deputy Principal at Hounslow College.

Interestingly, Helen's decision to apply for a principal's job was never part of a predetermined career path nor the result of any long-held ambition. She had enjoyed aspects of educational administration but had regarded her deputy principalship as a job for life until retirement. She confessed that she was not originally going to apply for the position:

And what got me to apply was the thought of whom I knew was also applying and that was going to ruin the job I really liked. Now, so rather than have that situation to live with for the next 10 years, I decided to apply.

(Interview T2001/H:7)

There were parts of the principal's job in which she did have an interest, such as working with the students and staff as a collective educational entity. There was, however, a much deeper force that was drove her motivation to apply for the leadership position in her former school:
There is a mission here, I guess, I have to be honest about. I would have an absolute mission that the school will never be like it was in past days. And, hence, a lot more liberal, boys, much more open, being much of the future, not locked in the past. It was shocking. I also didn't like the view of Hounslow that I saw when we came on interschools. Shocking discipline, kids all over the place, answering back. Rough as. That's my old school.

(Interview T2001/H:7)

Clearly, Helen possessed an agenda for change even at the early stage of application. This is reflected in her numerous references at interview to the notion of, “how to change a school and move it forward”, and her concern that some previous principals she had worked for had failed to shift or change their school in any significant way, despite being dignified and pleasant people. For Helen, her time as a Deputy Principal was an excellent preparation for principalship and for the changes she wanted to effect in the school. Her principal was often absent on marketing or national administrative business and left her the daily responsibility of operating the school. This responsibility of being in sole charge appealed to Helen's sense of ownership but had consequences she had not anticipated:

I thought I could do her job, piece of cake. But then I found out when it was my job, it was all the other things I never touched when I was DP. Like all the property, all the Ministry [of Education] things. When I am on my own, I laugh away to myself because I was quite cocky thinking that it was a piece of cake. But there were so many huge bits: the board stuff, hugely time-consuming, which, as the DP, you never got ... Since I took over, there's been that self-management of property which is incredibly time-consuming but incredibly valuable. You can actually do it your way all the time.

(Interview T2001/H:8)

In reflection, Helen remembers her feelings of elation when offered the principal's position, mixed with some apprehension about her capability to succeed in a new role:

Very pleased ... a sort of stunned pleasure that this had happened to me and it wasn't in my life's plan. A real thrill. I mean, you'd be a mug if you didn't say it was a privilege to be the principal of Hounslow College. I mean, it's a gem of a school and so there's a huge pleasure in all of that bit ... Well me, of course, there's always the other side: Will I cope? Will I be able to do it?

(Interview T2001/H:10)

Even later, Helen continued to examine her own competency levels as her principalship developed and the need for continuous self-evaluation became apparent.
**Style of Leadership**

Helen's leadership of the school and of staff was premised by her collaborative way of working and by, "coming in as DP, you are under a layer already and you couldn't step over as chief dignitary" (Interview T2001/H:12). This was evidenced by her use of the committee structure involving staff participation in change decision-making, and by her involvement with the annual school fair. In the case of the latter event, Helen saw her role as keeping everyone else up and motivated and running: teachers, parents and the Assistant Principal in charge. Although it demanded huge energy on her part, she believed she was invisible to most people. She summarised her collaborative style of leadership in this way:

> Basically, I see it as an upside down triangle. I'm the one underneath supporting and helping. And if I'm doing it really well, the staff actually think it's their bright idea and their initiative and they have ownership. It's not a top-down, stand and pontificate [model]. I've probably got to watch that, just occasionally, I don't give away too much authority. I think that could be a risk I run sometimes.

(Interview T2001/H:11)

This was a fine balancing act that Helen continually faced: how much authority to maintain as leader of the school and how much to delegate to others. It was, she observed, a better balance to work than simply holding all the power to herself at the top of the school hierarchy and have everyone else underneath reacting and being angry.

Her major method of empowering her staff was by means of informal conversation: in her office, outside in the corridor, at the school gate or over a drink during a staff social gathering. She believed it was a non-threatening way to get staff motivated and moving in agreed directions rather than by a series of written requests placed in staffroom pigeonholes. It was a personalised approach that was to be reinforced repeatedly in subsequent observations of Helen at work in her office.

**PERSONAL DIMENSIONS OF THE JOB**

Initial axial coding of the Hounslow College case study resulted in 59 provisional categories of meaning being grouped under 13 broad thematic areas (refer Table 3, Chapter 3). Under the process of selective coding, these broad areas were reduced to eight main categories once relationships and patterns were established across categories. These categories were
Constant comparative analysis of the data from field notes and interview transcripts revealed three major overarching categories within the personal dimensions of Helen’s job: Managerial Connectedness, Interpersonal Relationships, and Dilemma Management. ‘Managerial Connectedness’ comprised the properties of administration, employment issues, change management and public relations. ‘Interpersonal Relationships’ comprised properties of students, staff, board of trustees and parents. ‘Dilemma Management’ comprised properties of ethical, professional and political dilemmas. These coding classifications are outlined in summary tables that follow in this chapter. They are displayed in Tables 5, 6 and 7 respectively, together with their sub-properties and personal ramifications.

**Personal Dimension 1: Managerial Connectedness**

The Principal’s office at Hounslow College was located just inside the main door of the school and opposite the administration reception area. Like most office locations, its prime situation invited comparison with the hub of a wheel in its locus as the administrative ‘nerve centre’ of the school. It had arterial linkages to a range of personnel within a 30 metre distance: Helen’s personal assistant (PA), financial manager, information technology manager, clerical staff, receptionists, and the Assistant and Deputy Principals’ offices.

What struck the researcher was the extent to which Helen’s office was a centralised clearinghouse for school transactional activity and a locus for managerial interaction between principal and staff predominantly. This activity can be considered under the headings of general administration, employment issues, change management, co-curriculum and school public relations.

**Administration**

Since the advent of New Zealand administrative reforms in 1989, school self-management had produced an increased array of administrative tasks to be dealt with, frequently by the Principal in association with his/her secretarial staff. In Helen’s case, this was exemplified by
the researcher’s observation of one critical weekly meeting between Helen and Jane, her PA and secretary to the board of trustees. The 40 minute meeting in Helen’s office focused initially on organising Helen’s diary and timetable for the following week: a regional principals’ meeting for Friday; a meeting as a principal representative on a committee supervising the operation of an alternative educational group for students who opted out of mainstream education; and a board of trustees’ finance committee meeting.

Other board meetings were entered into Helen’s diary for the next month but were carefully worked around her planned involvement in a forthcoming school ski trip. It was noticeable that there existed a trusting relationship between Helen and Jane as they jointly organised their respective working lives and shared vital information of upcoming events and potential administrative challenges. Good humour enabled the pair to put their work demands in perspective, particularly when they discussed how they could spend a sizeable cheque from the Old Girls’ Association.

It was an action-packed meeting and underlined the universally acknowledged amount of paperwork that confront school principals. Nor was such administrative workload confined to Helen’s office, as her husband indicated in response to the sort of personal demands he saw with Helen’s job outside of school hours:

A lot of time on the phone. A lot of time going back to school for meetings. And for each of the meetings, they’re terribly important for the people who are holding them eg the old girls, past pupils, whatever. But, of course, for them, that’s just one meeting in a week. There might be five or six [meetings] for Helen so she’s got to be bright and perky and make it sound like it’s really important to her too.

(Interview T2003/X:1)

Another point of managerial connectedness with people became apparent within the coding property of administration: property management. During the researcher’s extended time of observation in the school, Helen led the staff and trustees through major property development work that involved the upgrading of technology facilities and equipment, the reconstruction of perimeter areas around the school and construction of a new gymnasium. Not only did these developments demand extra time and energy on Helen’s part but also required extensive understanding and knowledge of the building and related work involved, and an ability to communicate that understanding and knowledge to others. For example,
Helen’s explanation to her board of the intricacies of new computer laboratories and their associated cabling system was impressive, as was her precise response to the Deputy Principal’s inquiry about the height of the new gymnasium walls!

Helen enjoyed the challenges of property management, seeing it as the most sensible self-managing aspect of the 1989 administrative reforms. What she especially enjoyed was the personal and collaborative input of staff and herself into new design features and the opportunity for teachers to make the facilities work for students:

The science labs here are the proof of the pudding in the eating: designed for women to manage girls, carpet in the middle, noise, student management – just stunning.

(Interview T2001/H:18)

Employment issues

Managerial connectedness was also observed to include Helen’s involvement in, and responsibility for, school employment issues. Contractual work arrangements for staff varied, depending on whether they were part of a Post Primary Teachers’ Association (PPTA) national collective agreement or were working on individual employment contracts. Helen also had to juggle full-time and part-time teaching allocations to cope with changes, such as fluctuations in student numbers and in their subject choices from year to year, “The tricky thing is not to get yourself into a box” (Field note F2000/H:2).

Despite the transactional nature of employment matters, Helen’s approach to dealing with staff on employment issues was far from mechanistic. The levels of human interaction and feeling were invariably high. During one afternoon’s observation, Helen had addressed employment-related matters affecting two individual staff. The first discussion resulted in a long-serving staff member taking a period of leave. The alternative had been for Helen to place the teacher under competency procedures. At 3.30 pm, Helen had the awkward task of informing a long-term reliever that they had been unsuccessful in winning a permanent position at the school. In both cases, Helen had been tactful, understanding and confident in her decisions. She did acknowledge, however, that she never found it easy making decisions that affected people’s lives and that the afternoon’s meetings had left her emotionally drained.
**Change management**

Helen’s capacity to manage change and to work alongside staff was instrumental in her school’s successful adaptation to administrative and curriculum variations. Property management involved Helen in frequent interactions with staff, board of trustees and external personnel, as had the introduction of new technologies to the learning programmes. Alex, the Deputy Principal, reiterated the importance of change management skills because the principal had to be able to show, “where the change fits in, how to introduce it, how to monitor it, how to give staff their support in terms of resources and the encouragement that they need” (Interview T2002/A:1).

Massive changes to the assessment of student performance relating to the changeover from School Certificate and Sixth Form Certificate qualifications to the National Certificate in Educational Achievement, during the period 2000 – 2003, demanded Helen’s personal and professional support of her staff. She used her delegatory powers to effect by distributing implementation of most changes to a range of staff committees, and by using the feedback from her committee chairpeople to confirm her understanding of what ought to be happening. For example, her curriculum management contained systematic checks of curriculum schemes and delegations, together with two annual one and a half hour interviews with each curriculum manager.

**Co-curriculum**

A distinctive feature of Helen’s principalship was her personal involvement in, and promotion of, co-curricular activities. Outdoor education was a particular interest for her and the occasional ski trip gave her the opportunity to become better acquainted with junior students. She also supervised speech and debating activities. The senior debating team were often found in her office at lunchtimes, amid a flurry of scribbled notes and sandwich wrappings, under attack from Helen’s sharp conceptual thinking.

Yet, this was part of a broader thrust to promote co-curricular aspects of the school as the principal’s role in marketing and public relations gained prominence. From her husband’s perspective, Helen’s leadership role had been extended in this regard:

> Their [principals] energies are spread very wide and co-curricular has become massive over the past decade or more. We’ve got the
school’s reputation resting on how well you do in, say, sport or music or drama. Certainly in trying to attract pupils and things like that. So I think that’s a big demand for her.

(Interview T2003/X:1)

This perception was underlined during annual recruitment campaigns which saw newspaper advertisements regularly focus not only on Hounslow’s academic achievements but also on co-curricular achievements such as Stage Challenge, choral representation, and their status as a leading regional school in girls’ cricket, water polo, rugby, basketball, volleyball, athletics and swimming (D2002/HC).

Public relations

The issue of school promotion is related to a fourth area of managerial connectedness: Helen’s role in school public relations. There was a competitive recruitment environment among the city’s secondary schools as they sought to attract new enrolments. Full-page colour advertisements in the local newspaper were no longer the exception, as each school’s marketing campaign gathered momentum in the June/July recruitment phase.

Hounslow College conducted a multi-faceted marketing strategy, with Helen at the forefront of its organisation. Throughout the observation periods, Helen worked hard to maintain a strategic relationship with the local newspaper’s education reporter and advertising staff. This resulted in regular print exposure for the school, whether it was for a Year 13 student’s participation at a science fair in Singapore or the scholarships available at the school for foreign language students to travel to Canada or Japan (D2001/HC).

As each mid year recruitment phase drew near, Helen delegated senior staff to lead a group of students on visits to contributing primary and intermediate schools, using the services of ex-students now attending Hounslow. Open Mornings and Open Nights were regular occasions when members of the public could view the school in action and talk with staff. Without fail, such public occasions drew Helen’s and her staff’s attention to issues of school tidiness and the necessity to project the ‘right’ image to a discerning community.

Helen placed great importance on the impression created by the school and, by association, her own contribution to the recruitment process. Each prospective Year 9 applicant and family were interviewed personally by Helen for ten minutes before being handed on to a
senior teacher to complete the interview. She was always careful to direct her attention and questions to the student. Questions such as “What are three things you would like to do when you leave school?” and “Are there any questions you would like to ask me?” were commonly used to begin a relationship with the new entrant. In fact, Helen adhered so enthusiastically to her public relations role that she was once observed to leave a discipline meeting to meet with a set of prospective parents, one of whom was a former board of trustees member of a competing school.

This was not the only instance of Helen’s strategic awareness in terms of promoting the school’s public profile. On one occasion, she personally worked hard to secure the teaching services of a prominent sports representative and, on another occasion, carefully chose the placement date of Hounslow’s Open Night in advance of her competing schools: “You’ve really got to work your patch. ‘X’ school left their Open Night too late. We’d actually had ours and completed enrolments before they had theirs” (Field note F2000/H:2).

Helen’s particular concern about the recruitment influence of Open Nights was understandable when she later confided that, when it snowed on one of Hounslow’s previous Open Nights, the school suffered a reduced enrolment intake of approximately 50 students.

However, not all of Hounslow’s staff saw the positive side of public relations, as it impacted on Helen as a person. One senior teacher thought it created undue pressure on her: “She’s become more engrossed in this image thing. It’s become of paramount importance … I think she sometimes needs to stand back a little bit. I suspect you get so you can’t do that which is a bit scary to me” (Interview T2002/Y:6).

Yet, in the eyes of members of the school community, the principal performed a pivotal role in public relations as the “face of the school”. The board chair was in no doubt as to the principal’s ability to work alongside others and to influence public opinion and the external perception of the school: “I think PR is a very demanding role in terms of what that actually entails because people assess and view the school depending on the face of the principal and not on the facilities or the computers or subjects offered” (Interview T2003/B:5).
International student recruitment

The interpersonal connectedness within Helen’s public relations function, and one that is not reflected in the New Zealand literature of principals’ job demands, was illustrated by her international student role. The Hounslow Board chairman acknowledged that international education was now a major contributor to the school’s annual financial income from other sources and a critical addition to Helen’s principal workload. This took the form of annual overseas visits to South East Asian countries on recruitment campaigns or in-country meetings with families of current students, internal co-ordination with staff and the homestay manager, and face to face meetings with international dignitaries, visiting principals, recruitment agents, students and parents.

In one particular week’s observation, international students and associated activities claimed a total of six hours of Helen’s time. These included a problem-solving discussion with Helen’s homestay manager of matching international students with a local homestay that had no cats and dogs in the house; arranging a venue for a meeting with a visiting Japanese school; an extended lunchtime meeting with a Japanese recruitment officer based in Osaka; and a further meeting with an international parent demanding services from the school that were outside normal contractual arrangements. Cross-cultural differences were frequently at the root of any problem-solving exercises. Herein lay a continuing tension for Helen: to be inclusive and encouraging of her international students while, at the same time, protecting her staff from excessive demands of overseas students and their parents.

Overall, the managerial demands on Helen were evident. Rather than recoil from a myriad of tasks and personal demands made of her, she responded positively to the challenges of a self-managing school, particularly in the high demand areas of property management and public relations. When asked if she subscribed to educational bureaucracy’s notion that such managerial work could be better performed by a chief executive officer, Helen’s reaction was forthright and reinforced her desire for a meaningful connection with people:

I get so sick and tired of the [Business] Round Table and the accountants saying to me: Wouldn’t it be better to have an executive in your job? They don’t even know what they’re asking. You have to have a shop floor teacher in these jobs with people skills, student

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3 An average charge for an international student to attend a New Zealand secondary school was $8,000 per annum, reduced by a government-imposed levy of $900 per student (2002 figures, Ministry of Education).
management, curriculum delivery, assessment at your fingertips in the
generalist way. And you could never teach those to a chief executive
who hadn’t been an experienced teacher.

(Interview T2001/H:18)

Table 5 represents a coding summary of the overarching category of Managerial
Connectedness and how each sub-category classification manifested itself in Helen’s daily
operation of her principalship. Alongside each sub-property is a list of personnel with whom
Helen had contact. What was of immediate interest was an aspect of the secondary
principalship that had not featured in the New Zealand literature and research on principals’
workloads: the increasing work and personal demands made of Helen in her public relations
function, particularly with international students and their families.

Table 5 Coding Summary of Managerial Connectedness: Helen Aiken

<table>
<thead>
<tr>
<th>PROPERTIES OF OVERARCHING CATEGORY</th>
<th>SUB-PROPERTIES</th>
<th>MANAGERIAL CONNECTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Administration</td>
<td>Day to day organisation</td>
<td>PA secretary, finance manager, IT manager, clerical staff, receptionist, teaching and ancillary staff, Assistant Principals, Deputy Principal</td>
</tr>
<tr>
<td></td>
<td>Property management</td>
<td>Trustee responsible for property, senior team, staff, external agencies and contractors (eg Ministry of Education, architects, engineers etc)</td>
</tr>
<tr>
<td>Employment Issues</td>
<td>• Appointments</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Competency issues</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Staffing the school</td>
<td></td>
</tr>
<tr>
<td>Change Management</td>
<td>Changes in:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• National assessment</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Curriculum learning areas</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• School property</td>
<td></td>
</tr>
<tr>
<td>Public Relations</td>
<td>• Recruitment and marketing campaign (local and international)</td>
<td>Staff, senior team, trustees, newspaper reporter and advertising staff, principals of contributing primary and intermediate schools, prospective students and parents. International agents, visiting principals, international students and families, homestay manager, local host parents</td>
</tr>
<tr>
<td></td>
<td>• New enrolments process</td>
<td></td>
</tr>
</tbody>
</table>
Personal Dimension 2: Interpersonal Relationships

Students

Helen deemed it an integral part of her principalship that she maintained effective contact with the student group in order to update her knowledge of individual students and to keep herself grounded in the realities of their learning world. Student enrolment interviews, supervision of debating teams, judging junior speech contests and regular meetings with her team of 18 prefects were among contacts she enjoyed. In her prefects’ meetings, for example, Helen used the opportunity to glean information from the girls as to their portfolio responsibilities and to what was happening around the school. Equally, Helen contributed as a co-ordinator of prefect activity, motivator and encourager for the girls, “a broker of positivity” (Field note F2001/H:3).

However, such student-centredness on the part of the principal was not an indication of a soft approach to dealing with students’ educational opportunities. Helen was just as certain that there was a *quid pro quo* in her efforts to support students, as evidenced in the following interview exchange:

Researcher: So you are quite strong on equal opportunity across the range of girls: the academics, the students who need special help ...?

Helen: Only to a point. They’ve got to do their bit. Not the equal opportunity to the one who finds life difficult if they’re not prepared to step forward and commit. If they’re prepared to commit, then fine – pay for anything, get them there. But not if their attitude’s going to infringe on the rights of others. There’s a hardened line in there.

(Interview T2001/H:8)

In terms of the students’ welfare, it was apparent that Helen took seriously her guardianship role *in loco parentis* and was determined to protect her students. The demands placed on Helen were onerous as she dealt with a raft of situations that presented social problems for students. These problems included sexual abuse, school refusals, drugs, a sexual overture to an international student from a host father and students receiving abusive telephone calls.

There was a dedicated team of support personnel in place to assist students in these situations: the senior management team, year level deans and school guidance counsellor. Nevertheless, it was Helen who performed the function of central co-ordination as the hub of the support network. In more serious cases, it was Helen who gave direction and focus to the support network.
personnel, using her intimate knowledge of individual student’s social problems and her understanding of their family environment.

Part of any school principalship is concerned with arbitrating on matters of student discipline and overseeing behaviour management. The following extract from a field note presents an example of a discipline situation that Helen dealt with in her office over a 20 minute period:

8.56 am Principal brought in student. Discussion of swearing at teacher. Results in 3 day suspension. Principal will contact home.

9.00 am Principal speaks to teacher concerned who has been sworn at, for their version of events. Student brought back into office for discussion with teacher and principal. Student encouraged to speak. Cried. No response.

9.11 am Principal indicates she will ring student’s mother. H explains to the student the sequence of events: she is to continue to sit year 11 exams; she will have supervised study during Music to concentrate on other 4 subjects. Principal will hold her at school today.

9.15 am Principal goes to admin office to record incident information.

9.16 am Principal rings mother to discuss incident. Assistant Principal will deliver girl home after school.

(Field note F1999/H:1)

It was apparent to the researcher that, despite the severity of the offence and associated punishment, Helen demonstrated a deep concern for the student and teacher respectively, and an appreciation of the principles of natural justice. Each participant in the situation was listened to with care and given the chance to share their version of events. Lines of communication between principal and student were kept open as Helen negotiated with the student what would happen that day to ‘normalise’ her time in school. In the case of her communication with the parent, Helen stressed the idea of home and school working together to resolve the student’s problem.

Despite Helen’s ability in handling serious discipline issues, she did indicate that the disciplinary demands made of her and the staff had recently gained in intensity. She felt that it was necessary to maintain a firm stance on what was acceptable behaviour in order to protect the learning needs of the student majority:
Discipline’s been a big issue recently. We’ve had some heavy third formers in our intake. I don’t think I’ve ever had so many stand-downs, and I’ve got some paperwork to do this morning for two of them. We’ve got one at (A) and one at (B) after three weeks – very unusual. Place was hugely improved the minute we did that. Back to normal. Safe for all the other kids.

(Interview T2003/H:1)

Staff

When the researcher interviewed a selected group of significant others who worked in close proximity to Helen’s principalship (Deputy Principal, Assistant Principal, Board chairperson), the topics of human relationships and staff management were universally seen as high demand areas. The Deputy Principal had assumed the acting principalship for a term and found that the greatest challenges were those personal relationships with staff and accompanying interpersonal dynamics. Helen was accustomed to this and moved with facility among a range of ages and personalities. Her personnel skills were impressive, as were her levels of patience and tolerance with staff in the face of complaints or criticism. This was all the more remarkable when one considers that principals have to interact with a number of staff daily, yet each staff member only ever has to interact with one principal. The Deputy Principal said:

It amazes me, really, how many visitors Helen has during a day and the extent to which the principal is expected to make almost instant decisions, sort of every half an hour, on a whole range of seemingly unrelated issues and in terms of perhaps interrupting her own flow of work. That’s a major issue.

(Interview T2002/A:1)

Helen had consciously chosen to have an open door policy, whereby she was frequently available to meet with staff when necessary. Not only was this availability practised from her office but Helen made a particular point of arriving early for staff meetings and, fortified by a strong cup of coffee, was prepared to chat with any of her teachers. She also remained after morning staff meetings for a similar purpose. On one occasion, within a six-minute period, she had spoken to a physical education teacher, the teacher in charge of technology, a relief teacher, her Assistant Principal and the information technology manager about a threatening computer virus. Helen later remarked that, as other principals were never available for her as a young teacher or as a head of department, she was not about to make the same mistake with her own staff.
It was evident throughout the observation of Helen at work that her priority relationship with and concern for her teachers was an important source of staff motivation. This was reiterated by Alex’s comments as he reflected on the challenges he had faced as Acting Principal:

You were constantly dealing with some staff and trying to get the best from them. And you knew there were those staff who wanted to race ahead and you had to sometimes pull them back in. There were other staff that you wanted to move on and get some more professional development or just give them a bit of encouragement. And then there were those staff for whom school, at that time, was not high on their priorities and you had to look after them until they got into a state where they were ready to get back on track.

(Interview T2002/A:3)

In Helen’s case, this was exemplified during one morning staff meeting when she shared her expectations about the next day’s compulsory cross country event. It was, she said, a marvellous opportunity to share with the students in a co-curricular activity. She understood that not all staff regarded it as their favourite event, especially when it rained! Here was Helen at her motivational best in a whole staff situation: giving all necessary information, encouraging and enthusiastic about positive outcomes for the girls. As she said later, “It’s a case of tipping things to the positive and minimising the negative” (Field note F2002/H:5).

Helen also managed her staff in a strategic way. At 10am one morning, she invited the researcher to accompany her on what she termed a “school cruise”. This entailed her visiting over 20 classrooms and teachers. Some classes received a cursory look, others a discussion with Helen, particularly an English language class for international students and a junior French class who were consuming rapidly diminishing amounts of chocolate and croissants. Helen admitted that, while her selective tour of the school was aimed at keeping in touch with her students, it also enabled her to monitor staff teaching performance. This also explained her regular and visible presence at the school exit gate during lunchtimes.

There were other occasions when Helen demonstrated strategic management of her staff. In her principal’s report to a monthly board meeting, Helen referred to a need for a replacement rowing coach next season, and shared informally with the trustees that she had sent ‘X’ as a second staff member on a school rowing trip, in the hope that the teacher would become enthusiastic about the coaching role and be willing to take over the position. In an appraisal
interview with an ancillary staff member, Helen appreciated her opinions about the school operation and was able to use the staff member’s knowledge of what was happening around the school to maintain her own understanding of the current school climate.

One noticeable aspect of staff management was Helen’s attention to her teachers’ state of health. During one term, she had every reason to be concerned as the ‘injury list’ included an ancillary teacher with a suspected heart attack, a teacher who had undergone four eye operations, a staff member with cancer and five staff who had suffered a range of physical injuries. Helen believed the latter situation was a result of staff working through most of their two holiday vacations that year and they were simply exhausted. For Helen, the need to manage her staff’s welfare was paramount if she was to be assured of continued security of staffing and delivery of quality teaching. As a senior management team member commented:

> With 60 people and their associated families and the health and concerns of all those, it is very demanding. Teaching as a job can be hell if you’re not happy in it. It’s not something that you can just postpone until the end of the day. If you’re not enjoying the job and the kids pick up on that, they can make it more miserable for you. We work really hard to try and support staff who, for one reason or another, are not entirely well or happy at the moment.

(Interview T2002/A:3)

An important adjunct to Helen’s management of staff was her relationship with the executive team which consisted of a Deputy Principal and two Assistant Principals. The team met each school morning from 8.00am until 8.20am in Helen’s office. Like its counterparts in other secondary schools throughout New Zealand, each meeting enabled the participants to communicate a plethora of tasks, concerns, pre-emptive actions and future planning. This inner sanctum of experienced educationalists constituted the core group for daily decision-making and planning.

To the observer, this executive meeting appeared to offer more to the participants than simply an opportunity to co-ordinate the school’s daily operation. Helen was very much at ease and relaxed in the presence of her senior colleagues. It was also an opportunity for all four of them to interact on a personal as well as a professional level, on occasions ranging from having breakfast together to engaging in debate over the choice of cream buns for a Year 13 student morning tea. This was confirmed in a subsequent discussion with Helen on what she liked about her executive meetings. She said that it was more personal than organisational.
As an experienced principal, Helen could visualise potential problems and so needed to rely on the others for their professional and personal support in anticipation of difficult times ahead. It was a matter of having, "confidence in each other to run the daily gauntlet" (Field note F2002/H:6).

**Board of Trustees**

Helen’s relationship with her board of trustees could be described as cordial with occasional instances of estrangement. One incident served to illustrate occasions when Helen enjoyed a less than favourable relationship with school trustees and it centred on the division between governance and daily management authority.

The incident could be described as a disciplinary tension for Helen. She had advanced what she believed was a water-tight case for student expulsion to the board, only to have the case over-ruled and the board grant the student permission to return to the school under the conditions of a behavioural contract. Helen, in her opinion, was now placed in an unenviable position: protecting the common good of her teaching staff and students from a detrimental influence on teaching and learning, yet having to acknowledge the final appeal authority of the board who saw the interests of the individual student as outweighing those of the common good. She felt let down by the board and fearful that the decision and associated precedent could undermine her and the staff’s disciplinary authority.

The situation later came to a head when the parents of the returning student became abusive towards Helen and claimed they were seeking legal advice on unsatisfactory elements of the student’s behavioural contract. This created considerable emotional stress for her. Helen was upset and angry, not only with the abusive behaviour of the parents but also with the board’s periodic propensity for “playing God” on high-level disciplinary situations that she and the staff regarded as evident cases for stand-down or suspension.

For Helen, as for most school principals, the advent of triennial board of trustee elections created extra personnel training demands as the principal brought each board up to speed with their governance roles. Added to this was the inevitable rhythm of trusteeship over the three year period which moved, at times, from an over-zealous enthusiasm to levels of disinterest, once the novelty of the new position had worn off and the reality of workload and
responsibility had set in. Such changes and movement could be daunting, even for an experienced principal like Helen:

I probably don't stress too much over managing the board but I'm always very wily and wary of them, in their swings and their unpredictability. Probably for a new principal, that [demand] is absolutely huge.

(Interview T2003/H:10)

Parents

Helen valued greatly her contact and relationships with the parents of her students. This was signalled in her willingness to grant interview times to any parent who requested it and in her timely follow-up to requests made of her. For example, a parent of an international student had requested that his daughter’s academic details for year 11 and 12 be given to him in order for her to apply for entry to an overseas university. He wanted it immediately but agreed to Helen’s undertaking to supply it within two days. At the conclusion of the interview, Helen set in train the process for locating the requested details and, 70 minutes later, had received the information from a year level Dean.

The high parental demand area for Helen lay in dealing with a number of disaffected parents, some of whom displayed varying levels of antagonism towards her authority as principal or towards the school system in general. Within a three week observation period, the researcher recorded five cases of antagonistic or disaffected parents during their interviews with Helen. In most instances, Helen was able to listen actively, diffuse the situation and calm the parent to a point where they were prepared to be reasonable in their interaction. Most interviews focused on students’ behavioural problems and on subsequent disciplinary actions.

One interview served as an example of the emotional intensity that such situations could engender. A mother and supporter met with Helen and the Deputy Principal for an hour to remonstrate with the school over the treatment of her daughter who had been sent home from an outdoor education trip. The parent was very upset and, at times, quite vitriolic. Helen, for her part, could not help but be caught up in the emotion of the situation where the intensity levels rose and fell in cadences. The threat of legal litigation against the school was mentioned several times and did little to allay Helen and the Deputy Principal’s concerns about the outcomes of the meeting.
The emotionality of the occasion had a direct effect on the two senior administrators and they required a period of five minutes to relax before the interval bell rang. Helen admitted that this was the part of her job that she liked least, “What makes me feel really unsafe is that irrational parent who batters – and we always have a couple on the go at most times” (Interview T2003/H:5). When such parents took their complaints to the board of trustees, despite the efforts of Helen and her senior team to resolve the matter, it seemed to make the situation feel quite disarming for the staff.

There were also broader demands placed on Helen by the school community. She recalled, when she first became principal, that the demands on her were intensive: visits from ex-girls, parents, teachers and former trustees. It had been an extremely difficult 18 months that necessitated developing mechanisms to keep such visits under control. However, even with the experience of principalship, Helen still believed the school community’s demands on her time and energy to be considerable and the personal impact on her not always appreciated:

Still to this day, every so often, I ... nobody knows what it’s like to manage (this is probably selfish) because you’re just surfacing: ex-girls, PTSA [Parent Teacher Student Association], board, staff, kids, parents – and you’re surfacing, you’re spinning. Nobody has a glimmer of the whole picture and that’s a bit hard to stomach sometimes.

(Interview T2001/H:9)

Table 6 that follows presents a coding summary of the second overarching data category, Interpersonal Relationships, together with its associated sub-properties and accompanying commentary on possible outcomes for the principal. Of particular note is the extent of the interpersonal dynamic between Helen and the constituents of her school community.
<table>
<thead>
<tr>
<th>PROPERTIES OF OVERARCHING CATEGORY</th>
<th>SUB-PROPERTIES</th>
<th>OUTCOMES FOR PRINCIPAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relationships with:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Students</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student contact via enrolment</td>
<td>Student contact enables principal to maintain knowledge and understanding of students, to provide an ‘early warning’ system of potential student problems</td>
<td></td>
</tr>
<tr>
<td>interviews, speech/debating,</td>
<td></td>
<td></td>
</tr>
<tr>
<td>supervision of prefects</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Concern for and protection of</td>
<td>Allows principal to maintain effective teaching and learning practices and a student-focused institution with attention to individual needs</td>
<td></td>
</tr>
<tr>
<td>students, as evidenced in</td>
<td></td>
<td></td>
</tr>
<tr>
<td>disciplinary situations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Availability to staff/Open door</td>
<td>Principal acknowledges the influence of positive interpersonal relationships with staff as a vehicle for staff motivation</td>
<td></td>
</tr>
<tr>
<td>policy for consultation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Care for staff welfare</td>
<td>Proactive care of staff wellness maintains their effectiveness as classroom practitioners</td>
<td></td>
</tr>
<tr>
<td>Strategic management of staff</td>
<td>Utilisation of the human teaching resource to maximise benefit for student learning</td>
<td></td>
</tr>
<tr>
<td>Working relationship with</td>
<td>Personal and professional connection with trusted senior staff to assist daily operation of the school</td>
<td></td>
</tr>
<tr>
<td>executive team</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Board of Trustees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Variable relationship with board</td>
<td>• Principal uncertainty about trustees’ motivation for the job</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Trustees view governance and management differently from principal</td>
<td></td>
</tr>
<tr>
<td>Triennial ‘re-training’ of a</td>
<td>Principal has to ensure that board culture and understandings work in the best interests of the school</td>
<td></td>
</tr>
<tr>
<td>new board</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Parents</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dealing with disaffected parents</td>
<td>• Principal uses communicative approach to deal with increasing refusal by some parents to accept external authority</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Associated levels of emotional intensity for principal</td>
<td></td>
</tr>
<tr>
<td>Wider school community demands:</td>
<td>Principal holds the central position of influence within the school, in the eyes of its stakeholders</td>
<td></td>
</tr>
<tr>
<td>ex-girls, PTSA</td>
<td></td>
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</tr>
</tbody>
</table>

**Personal Dimension 3: Dilemma Management**

Inherent in the discussion on human relationships was the concept of dilemma resolution. This often required informed decision-making on the part of the principal, decisions that could have a marked bearing on teaching and learning outcomes for the school. The research literature on the principalship gave attention to the management of a range of dilemmas (Grace, 1995; Cardno, 1999). Helen’s principalship at Hounslow College was no exception. When frequent problem-solving situations that Helen found herself in were examined, there
was an underlying current of what could be termed ethical, professional and political dilemmas.

The ethical dilemmas Helen faced often involved students, their behaviours or their future continuation of studies at the school. In the latter instance, two cases of students seeking to enter and re-enter the school placed Helen in a quandary. The first student had suffered sexual abuse as a 12 year old and was wanting to enrol at Hounslow. Helen, in conjunction with the guidance counsellor, assessed the girl to be in personal need but would require firm behavioural parameters if she was to be admitted to the school.

The second student wished to return to Hounslow after an unsuccessful attempt at the University Bursary examination. The Year 13 Dean confided to Helen that this student had been easily led by another girl and that she would have preferred not to have her return to school and resume this degenerative relationship. In both cases, Helen had to weigh up the welfare and personal needs of the individual student against the considerable personal and guidance support that would be needed, and against the potential for misbehaviour affecting the learning needs of the student majority. In both cases, Helen elected to work in the best interests of the student and make available to them another opportunity to enhance their educational prospects.

Helen also faced professional dilemmas in her interactions with staff members. Staff competencies were always a challenge for her, as she sought to give the individual teacher every professional development opportunity for improvement. At the same time, she was mindful of the negative ripple effects of inadequate teaching practice on student learning and on staff morale. Harder still was the on-going dilemma of maintaining employment for a very ill staff member. Two other senior team members had a class each taken off them so they could cover the extra administrative workload while the affected teacher rested periodically at home before returning to resume light duties.

The third dilemma management area centred on political dilemmas where Helen had to adjudicate between competing individuals' claims or those of several groups. An example of group dilemmas came in the form of confusion over the purchase of uniforms involving a group of Samoan students and a Maori teacher, and various groups questioning the capability
of the respective Maori and Samoan teachers-in-charge, based on ethnic grounds. Helen was required to call on again her mediation skills to resolve this situation.

The common dilemma here, as with the previous two dilemma areas, was the juxtapositioning of individual interest against the merits of common good for the majority. The significant responsibility for resolution frequently rested with the principal, to move towards a positive outcome for individuals and the group – an onerous task given the complexity of competing human needs. This situation served to emphasise the underlying personal component of the principal’s job, not only in terms of human dilemmas to be addressed but also in regard to the personal beliefs and values of the principal herself.

Table 7 presents a coding summary of the third overarching data category, Dilemma Management, its associated sub-properties and a description of the personal nature of each major dilemma.

Table 7  Coding Summary of Dilemma Management: Helen Aiken

<table>
<thead>
<tr>
<th>PROPERTIES OF OVERARCHING CATEGORY</th>
<th>SUB-PROPERTIES</th>
<th>PERSONAL NATURE OF DILEMMAS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ethical</td>
<td>Student entry and re-entry to school in order to continue studies</td>
<td>Students’ personal welfare and vocational needs versus capacity of school to provide necessary personal and guidance support and to meet learning needs of the majority</td>
</tr>
<tr>
<td>Professional</td>
<td>• Issues of staff competency</td>
<td>Teacher’s job retention and career versus student learning needs and staff morale</td>
</tr>
<tr>
<td></td>
<td>• Staff affected by ill health</td>
<td>Personal well-being of teacher versus additional administrative workload assumed by other staff</td>
</tr>
<tr>
<td>Political</td>
<td>Competing claims from different interest groups</td>
<td>Personal differences and interpretations versus maintenance of stable staff relationships</td>
</tr>
</tbody>
</table>

THE PERSON OF THE PRINCIPAL

Through constant comparative analysis of the Hounslow College data, it became apparent to the researcher that the major emerging pattern centred on the personal dimension of the principalship, especially in the area of interpersonal connectedness. This was evidenced by patterns of concepts identified in the propositional statements for each overarching category.
and analytic questions posed as part of each category's broadening focus of inquiry (refer to format in Table 17, Chapter 6).

In particular, there emerged a theme of the principal's values or deeply-held convictions and the role that these values might play in underpinning leadership behaviours of the principal. This finding was consistent with evidence from the literature that affective and personal influences were present within the principalship (Hill, 1994; Revell, 1996; Southworth, 1998). Thus, the literature supported the emerging category of core values of the principal as an area worthy of further investigation.

In the case of Helen Aiken, this next stage of investigation explored the nature of the person behind the principalship by a process of in-depth interviewing of Helen and of others significant to her principal role. These interviews focused on the topics of core values that informed Helen's actions, her sense of self and the personal impact of the job. In this way, Begley's (1999a) layered interpretation, as applied to values acquisition, could be used to peel away the different layers of action, values and self that underpinned Helen's leadership and offer an inner view of the principal's world and reasons behind the directions of her school.

The focus of this case study of Helen's leadership at Hounslow College now moves from a general perspective of the personal dimensions of principalship to the person of the principal and a targeted exploration of values in Helen's leadership. This exploration will comprise four overarching data-driven categories. The first overarching category of Core Values will be considered using five property coding categories of professional values, personal values, origins of core values, values alignment with school and community, and values contestation. The second and third overarching categories will focus on Influential Values on the Principalship and Sense of Self. The section concludes with the overarching category of the Impact of the Job on the Person of the Principal, together with associated properties of positive effects, stress factors, coping strategies, leadership isolation, and personal and professional support.
Category 1: Core Values

Professional values

Data analysis of field notes and transcribed interviews indicated that Helen had a very strong student-centred focus in what she valued for the girls in her school. Students were very important to her and she held strong convictions that she and the staff could make a positive difference to their lives. A senior teacher commented:

I think Helen feels that and knows that as a principal, she can have a real impact and make a real difference to those kids; and I know that, in a lot of good work that we do at Hounslow, the concept of value-added or making a difference is very important in her job.

(Interview T2002/B:3).

Helen’s focus on her students could also be seen in other areas, such as the strategic management of her staff to secure quality teachers for the classroom. As Helen said:

You’d be very unwise not to make sure you got the right people in the right places. But then by doing that, it’s also right for the kids. It’s not just right for me. It’s right for the kids as well. It’s not just totally looking after one’s back.

(Interview T2004/H:19)

One area, through which Helen believed she could make a difference, was her firm belief in the value of a balanced well-rounded education for students, where the mix of sporting and cultural activities sat naturally with their academic pursuits. It also underlined Helen’s notion of what constituted success for the girls as a management of their balanced extracurricular load alongside the traditional panacea of formal academic achievement. The importance to her of this value of a balanced education, and its historical derivation from her own early life experiences, is encapsulated by this instructive conversation:

Helen: The academic, the sporting ... see, I fight like crazy in the staffroom if anybody tries to push us off the well rounded [education] ... I fight like crazy over that one, like I won’t give up the 70 minutes I spend on ‘Clubs’ every Thursday. And I won’t give up letting the kids go off to Wellington to do something because I think they learn by doing and those things ... We’re not giving up a lot of those crucial things that make teenagers want to be at school, that makes them enjoy being here.

Researcher: As it did for you as a youngster?
Helen: Yes, which I did with my surf club trips and my tennis trips, you’re right. Yes, I won’t give up on those things. And I mean I’ve got all of my academic tucked in alongside. It’s probably my intrinsic appreciation of what’s good about life came from sport. And I think, for the kids, it’s the same, or the drama or the TV programme they’re making or their electronics … that’s what they value. And while they’re doing that, we’ll get them enough knowledge in physics and maths to get a degree.

(Interview T2001/H:13)

Several respondents believed that Helen was probably the first all-round principal that Hounslow College had appointed and the first principal who valued sport and physical well-being equally with artistic and cultural endeavours.

For Helen, another core value came in the form of high standards of behaviour that were strictly enforced at Hounslow. For example, standards of behaviour on school trips were clearly outlined to students, as were standards to be maintained in wearing school uniform. One respondent noted:

There’s a bearing about the girls that they try and encourage. They’re absolute sticklers for uniform and looking good. That old fashioned thing... when you come to school, it’s a formal occasion and you dress properly. I suppose, in a sense, it’s leading them into taking responsibility for the way they look because they’re going to have to do that when they go on to jobs. So ... the hair and the skirts and the blazers and all the rest of it.

(Interview T2003/M:3)

While strict guidelines regarding school uniform may have reinforced the conservative image of the school and the traditional outlook of the principal, Helen revealed broader thinking behind the emphasis on uniform. When asked what key values she would be prepared to fight for, she replied:

If you get rid of the uniform, that’s a good one. Yes, I’d fight you on that one because it keeps all the kids the same, no matter what background they come from. It also makes them identifiable, improves behaviour. There’s that corporate belonging, sense of pride. We can manage the kids so that they are presenting themselves decently and feeling good about themselves.

(Interview T2003/H:2)

Thus, Helen believed that the issue of uniform was not simply about conformity of behaviour but also to do with a sense of affiliation, self-respect and an enhancement of student self-
esteem. Interestingly, she also regarded the wearing of school uniform as a proactive safety measure for the girls in public, as opposed to the wearing of current fashionable dress:

It’s way more than just managing the kids. That they’re safe and … this business with bellies hanging out and bottoms hanging out is actually really unsafe. And kids wonder why guys approach them and touch them? Yes, I’d fight you on that one!

(Interview T2003/H:3)

Helen’s strong stance on behavioural issues and setting standards, rules and consequences appeared to have its genesis in her upbringing with strong-minded parents who set the rules, and in the schools she had taught at previously which followed a determined work ethic and generally conservative social values. In her present job, Helen was able to distinguish between right and wrong on a range of issues, be it staff problems or student misbehaviour. As a senior teacher said:

These days, when it’s a kid, say, who’s crossed a barrier, it can often mean confrontation with parents and things like that. She won’t back off from that. If a kid’s done wrong, then it’s got consequences and that’s it. There’s no wishy-washy stuff there: it’s pretty much black and white.

(Interview T2003/M:5)

This raised the link between Helen’s core values and the engagement of moral leadership within her principalship. A particular example of this was in relation to the school formal dance for senior students and the advent of ‘after-parties’. In this area, Helen maintained a firm line that was consistent over the years but out of step with other secondary schools in the town. She came from a very strong value viewpoint that the school had no role in encouraging nor condoning the use of alcohol by under-age drinkers, despite its consumption by many teenagers at weekends. Accordingly, prior to the school formal each year, students were asked to sign a contract stating they would not attend after-parties and would agree to remain within the bounds of the school policy on alcoholic consumption. While Helen’s strong moral standpoint did not attract universal agreement from students, staff and some parents, she nevertheless held firm to her beliefs and the school policy, despite a vehement protest on one occasion from about 80 Year 13 students. One of her senior management team described her moral stance:
She's not a person who displays all her morality to the staff but, on issues that need her comment, she comes from a very strong moral viewpoint. And some would say probably more conservative than a few others [principals] around the town. There's no problem there. A lot of the silent majority of parents would feel quite secure that Helen adopts that particular stance and it reinforces them in their attitudes towards certain issues.

(Interview T2002/A:6)

Helen recognised quite emphatic elements of moral leadership that informed her actions. In discussion with the researcher on the topic of influential core values, she articulated her moral stance on the issue of student possession of drugs at school and the potential litigation cost of such a stance:

I think I've said to you before that you always have to do what's right, not what's popular or what pleases ... because if you don't do that, it goes all over. It's making that right moral call. And I guess we did that with the drugs last year. Boy, did I get my fingers singed! We had three expulsions [as a result] and we're still going to the Ombudsman on one of them. But we did it right, even though I knew ... I said to the DP: I think I'd like to duck and just sweep this one under the carpet. But we hadn't, you see, and it [impact] was huge.

(Interview T2004/H:5)

It was evident in Helen's daily working operation that her demand for excellence was another core professional value and one that was frequently referred to by those who worked closely with her. In her own principalship, Helen was continually aware of doing her best for every student in the school, regardless of their ability or whether the pursuit was an academic, cultural or sporting one. As well as her own self-expectation, Helen strove to ensure that students did their best in areas ranging from classroom behaviour to attending drama rehearsals or sports practices. She also encouraged her students to appreciate the need for self-control and self-discipline in order to achieve these levels of excellence.

This drive for excellence manifested itself in various parts of the school: extra tutorials to boost academic results and reading competency; tutorial programmes in mathematics to improve numeracy levels; financial investment in a university testing programme to measure what value was added to student achievement levels; and high expectation of staff and outside involvement in sporting and cultural activities. It was often noted that Helen and her staff went to great efforts to encourage student pride in their achievements through awards, newsletters, special assemblies and published articles in the region's newspaper. Student
effort and a solid work ethic were synonymous with reward and positive reinforcement: “Every kid gets a big pat on the back. Every kid is praised for their achievement at whatever level they get to. All those things are seen as being very important” (Interview T2003/M:3).

Associated with Helen’s demand for excellence was a core value of **academic success** based on focused learning, where there was a strong curriculum base complemented by quality teaching. Again, Helen was mindful of the academic expectations of her wider community and pointed to a conscious choice of preparing students for tertiary education:

> If you headed for trade training or post-school training, that wouldn’t sit comfortably with me, not with our clientele wanting a good academic education. Partly, too, our history of preparing young women to go to university. I’ve made that choice: it’s come since 1995 that we would go down that track but still cater, within reason, for kids not suited for going to university.

(Interview T2003/H:3)

Despite an overall curriculum focus on academic success, Helen was determined that **equal educational opportunities** should be universally available, whether for part-time staff to have equal access to lap-top computers or for students to have a sound grounding in technology and computing. It was important to her that the girls appreciated the concept of life-long learning and had opportunities at school to develop life skills. The Deputy Principal articulated this view:

> It is the school’s responsibility to do its best for as many of the individuals in the school as possible. That it is not just the elite; it’s not just the top academics but it is the kids who are in the middle stream, and, in terms of the lesser ability, who are able to get the advantages, who are able to make the most of their own lives as well at secondary school. That belief that every child has ability and should be given the opportunities to achieve.

(Interview T2002/A:4)

Her professional **work ethic** value was a fundamental influence on her work as a principal and on the way she expected her staff and students to perform. For example, Helen would be embarrassed to be seen leaving school earlier than any teacher. She learnt early on, in her foundational experiences, that hard work was rewarded with success and recognition, and that same value still permeated her principalship.
Conversely, her work demands made of staff were high. Audit checks were carried out to determine staff management of their classes. Helen held in high regard staff reliance, punctuality and job completion, "because that’s what she’d expect of herself, being self-disciplined, reliable, those sorts of things" (Interview T2003/M:3). Her valuing of a positive work ethic also transferred across to the students, in that Helen believed that student-centred learning approaches, such as co-operative learning, were useful but only to a point:

I think most schools have gone too far down that track, loss of control, loss of safety in the classroom, loss of kids doing it for themselves by themselves, and knowing how to get from A to B. So I’ve pulled back in that direction quite a lot. I like active learning but only to a point. There’s plenty of other occasions where doing some good serious hard work by yourself in silence is really, really important. And I am a bit of a lone voice in education on that one. I still don’t think there’s enough of it happening. The other is too easy a cop out.

(Interview T2001/H:14)

Another professional value that became apparent was her ethic of care, a strong feeling of support for staff (every teacher received a principal’s visit each term) and students. As one senior teacher commented:

She is very concerned for kids who have, for one reason or another, had some misfortune or who have been disadvantaged. She will work very hard to assist those kids, both in a low key way but also in a higher profile way. So that kids who are disadvantaged in terms of money or something like that but who need assistance, who need resources – Helen will assist them.

(Interview T2002/A:4)

Helen’s caring approach could be seen on a broader level throughout the school in her frequent insistence that every student be given a “good deal”. The Deputy Principal referred to this:

You look after kids by providing them with the quality that they need, that looking after them sometimes meant being very strict and disciplined with them and making sure that, until they are in a position to make sensible and reasonable decisions themselves, they are not exposed to risk. You provide them with the skills, the experience that they need to make those decisions later on. It’s not just looking after them, and sort of suffocating them with care and kindness, but giving them the range of experiences that they need.

I guess, in a family kind of way, you encourage them to take more and more responsibility. But you don’t expose them too soon in their lives.
to expectations that are beyond them. In some cases, you nurture them through a period so, in some instances, you do look after kids until they are ready and you are confident that they are in a position to look after themselves. That’s the level of care we’re talking about in Helen.

(Interview T2002/A:8)

Helen admitted that her caring approach was an integral part of setting her human relationships; yet, it was an aspect that demanded hard work. She found it relatively easy to be empathetic and supportive on the important issues but got frustrated, at times, when some of the staff demanded her care and attention over what she saw as trivial issues of self-interest: “It’s the malcontents in the middle ... it’s a little bit hard to be so generous with them. Their selfishness is sometimes overwhelming” (Interview T2003/H:11).

During periods of observations, it was apparent that the strength of her convictions played a major role in her principalship. She did not appear to waver in her views about school direction and, once a pathway forward was established, set out to achieve her goal. While she was always prepared to make compromises to achieve an end result, Helen was also determined to achieve her targets in the belief that it was the right thing to do – even at the risk of being out of favour with her constituents:

Talking about values: Helen’s not afraid to be unpopular. I think that’s a really important skill for principals. Too many of them try to be friends with everybody. She’s not worried about being year 12’s most hated person in the school for a short while, cancelling a social if there were valid reasons for it.

(Interview T2003/X:8)

**Personal values**

In order to elicit more of her deeply-held convictions, Helen undertook the Rokeach Values Survey to determine her core values set. This survey contained 18 ‘terminal’ or humanistic values and 18 ‘instrumental’ or individual personality trait values. Helen was asked to prioritise the 18 values of each set, then to discuss the importance of up to six top-ranked values and their derivation from her upbringing or personal/career experiences. Finally, she was to determine the three most and the three least influential values that impacted on her principalship (refer Appendix K).

Table 8 presents the survey findings of Helen’s five most highly ranked personal values:
Table 8  Highly Ranked Personal Values: Helen Aiken

<table>
<thead>
<tr>
<th>Rank</th>
<th>Terminal Values</th>
<th>Instrumental Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Happiness</td>
<td>Honest</td>
</tr>
<tr>
<td>2</td>
<td>Mature love</td>
<td>Courageous</td>
</tr>
<tr>
<td>3</td>
<td>Self-respect</td>
<td>Loving/Being loved</td>
</tr>
<tr>
<td>4</td>
<td>Comfortable life</td>
<td>Intellectual</td>
</tr>
<tr>
<td>5</td>
<td>True friendship</td>
<td>Cheerful</td>
</tr>
</tbody>
</table>

Helen’s comment on her top-ranked terminal value of happiness began with a succinct, “What’s the point of being alive?” She felt it was probably twentieth century thinking that brought her to this value. For her, it was the little things that counted – “hearing the birds singing” – which probably explained why she enjoyed skiing and mountain biking. She saw her next priority values of mature love and self-respect as closely linked to each other and to the instrumental value of honesty. These values, she claimed, came before anything at school and she did not elaborate further on her summary statement that there was, “some really big personal stuff in there.” Her final terminal values were a comfortable life – “I’m a bit unadventurous sometimes: I still wear a skirt that’s ten years old!” – and true friendship which was very important to her.

Helen’s top-ranked instrumental values began with honesty. She was straightforward in her leadership role and could not countenance dishonesty and particularly betrayal in other people. If you were not straight, in her opinion, then the third-ranked value of loving was largely irrelevant. She viewed courageous as linking strongly with honesty and loving, as having the courage to say what you think, not being hurtful but upfront, not being hasty to deal with or judge staff. Helen judged loving and being loved as very important to her in terms of staff, students and her own family.

The intellectual instrumental value was a necessary function at the level of principalship. Helen believed that, if she was not growing intellectually, then she was at risk of not growing in her job. Finally, the value of cheerfulness underlined, for Helen, the need for positivity in her principalship, to deal with the negative thoughts inside her head and then be outwardly cheerful for the benefit of the school. This was not an easy task to accomplish:
Sometimes, you have to really push yourself ... for several days, to work out all the positives because it's the negatives whacking you in the face. I find that really, really hard but you do it.

(Interview T2004/H:5)

At the conclusion of the survey’s data gathering phase, Helen was asked to consider the 36 personal values presented to her in the Rokeach survey and then to rank, in priority order, the personal values she saw as most affecting her principalship. Of additional interest were the lines of influence that Helen verified between the ranked personal values that impacted on her principalship and her professional values that affected the leadership directions of the school.

These rankings and influential links are displayed below in Figure 6:

![Diagram of personal and professional values](image-url)

**Figure 6** Linkages between personal and professional values: Helen Aiken
Helen identified four personal values that she believed impacted most on her principalship: honesty, self-respect, the courage to do what is right and an ethic of care. The instrumental personal value of honesty was deep-seated and connected strongly to Helen’s expectations for high standards of behaviour and performance from students and staff respectively, and to her exercise of moral leadership. She was professionally honest in her feedback on student and staff performance and in the clarity of her behavioural expectations. She exercised moral leadership with a strength of conviction in what was right for the school and respected honesty in her dealings with other people. Any sense of betrayal by others was a deep affront to this personal value. Helen’s value of self-respect was similarly linked to the two professional values above and was synonymous with honesty. Honesty, for Helen, was the major means of achieving self-respect and cementing her own image of what constituted an effective principal. Her self-respect also connected to her keen sense of personal and professional pride in terms of giving her best in the job.

Helen saw her personal value of courage as clearly linked to setting high standards of behaviour and to her exercise of moral leadership. The research data obtained through observation and interview supported this view in critical incidents where Helen was required to confront dilemma situations and to take firm disciplinary and/or moral decisions in the best interests of what was right for the school. Helen also linked her value of loving/caring as a foundation to her professional value of leading a student-centred school, where student learning and development was the focus that drove staff actions. Her ethic of care extended to the provision of equal educational opportunities for staff and for the wide range of student abilities in her school. This value of care was evidenced in her often unassuming assistance for disadvantaged students.

Origins of core values

Helen believed that the founding influences on her core values lay in her family environment and in her early career experiences. First, her upbringing encouraged family members to be straightforward and honest in their dealings with others: “The worst thing you could do was double deal or lie and there weren’t normally heavy consequences if you were straight” (Interview T2001/H:2). Helen also thought that her own desire for a well-balanced education may have been derived from the strong opinion of her father on the subject:
I possibly had a father, too, who would scorn somebody who wasn’t well-balanced and he was probably fairly vocal in his opinions. The sissy across the road who wouldn’t play rugby was near the top of the table ... I suspect that would have been a little bit of conditioning that would have gone on from the patriarch at the table.

(Interview T2004/H:9)

Similarly, Helen’s penchant for academic success in her own life, and in the learning direction of Hounslow College, may have been founded in her family upbringing and in learning from the mistakes of an older sibling:

I know where the academic success is coming from: my older sister, 18 months older than me, bright, probably brighter than me. She failed SC [School Certificate examination]. Huge family rows, donnybrook. Huge distress on her part, her behaviour ... she was sorted. So it was easy for me to know where the limits were and slide in behind, and know how to get the praise and approval.

(Interview T2004/H:9)

Second, there were early influences emanating from her teaching career experiences. This appeared in the form of appropriate and inappropriate role modelling of educational leadership practice. For example, a positive principal role model at her first secondary school exemplified honest feedback and affirming problem-solving strategies. Conversely, Helen had experienced less than positive role modelling when she observed the negative consequences of patronising behaviour, the failure to connect with people and what she regarded as abhorrent double-dealing practices.

Values alignment with school and community

Arising from observation and interview data with Helen and with others significant to her leadership role, was the coding property category of how the values of the principal matched those of the school and wider community. In Helen’s case, she showed an appreciation for the significance of certain traditions that fused her own expectations with those of the town’s expectations of the school: respect, honesty, high standards of achievement and behaviour. Several interview respondents commented that Helen’s values suited the conservative nature of the local community and, since she was born and bred in the town, it was not an unsurprising value match between principal and community. Helen reiterated this values alignment in her acknowledgement of support on moral issues she received from her positive parents: “My real parents: my PTSA parents. They’re wonderful. They’re right with me on
the alcohol thing, otherwise we wouldn’t keep going. They’re helping to call the shots” (Interview T2004/H:14).

In reciprocal discussion with the researcher, Helen reflected that her core personal values of honesty, self-respect, courage to do what was right, and an ethic of care for the students were all part of what she considered to be at the heart of leading a state school. This was why she and others believed she was a reasonable match with that type of school. On the other hand, Helen could never see herself as the principal of a high decile private school: “My vowel sounds aren’t right for a start and I guess I don’t have a lot of tolerance for the get-rich people in society” (Interview T2004/H:16).

Of related interest, within this concept of a values ‘best fit’, was the principal’s reaction to the topic of a synchronous values match, whereby shared values might come together in a moment of spiritual connectedness. When asked about times when she had been on a similar wavelength with students or staff, Helen responded:

I am a more Wordsworthian, transcendental type of character. Sometimes there’s been magic moments: the opening of our new gym was pretty up there somewhere. I don’t know which point of the proceedings or where but there were some moments there where it all just came together, possibly the moment of thanking the staff and the kids. That would be a very special little moment.

(Interview T2004/H:15)

Helen later elaborated on what she meant by the phrase ‘Wordsworthian transcendentalism’:

I’ve always been fascinated by the psyche of the human being and those little moments of magic which, for me, would be walking on the beach or an early morning … or a … certainly Wordsworthian … just being, on a frosty morning, halfway down a country road. Probably always by myself. And it’s in me as much as in nature or the world. But that does go back to that beauty thing we talked about. It’s there. There’s something there.

(Interview T2004/H:24)

While she experienced these feelings in her own private life, Helen felt it did not often happen in the school context because it contained too many people. However, she did remark on an example of a profound sense of involvement between staff and students, such as a recent ERO visit that had been very successful, “You just feel it in the building – there’s a body corporate
connection going” (Interview T2004/H:22). This *esprit de corps* was something Helen could easily recognise but was, she felt, driven by her commitment and that of her senior team.

*Values contestation*

As values alignment became an emerging category of interest in the research data, so did the concept of values contestation. Of interest in this study was the manner in which Helen’s core values and deep-level beliefs might come into conflict with those of school stakeholders, and how her values may be situated when specific incidents occurred.

While it was inevitable that there would be a divergence in values between young adolescents and their middle-aged principal, Helen singled out “little things” that demonstrated points of difference. For example, one of Helen’s professional values of maintaining student safety came to the fore in her concern for some of the girls’ increasing anti-social behaviour that took place at weekends: “New girls’ stuff that pushes me back to where I was [the state of the school when Helen became principal]” (Interview T2004/H:13). The student safety aspect also revealed a clash between Helen’s values of social decorum and those of the younger girls and parents:

> I got fairly bothered Term 1 with the juniors turning up to the social with their tummies hanging out and not enough clothes and covering. We actually dealt with that one, and that’s a clash of my values versus mum letting them out the door wearing very unsafe gear.

(Interview T2004/H:12)

The notion of a ‘safe school’ was also at the basis of Helen’s core value clash with the Education Review Office’s politically expedient drive to reduce the annual number of student suspensions and expulsions. Helen confirmed that her stand-down/suspension rates were almost double the national average, yet the school exclusion rate was very low. Helen justified this firm line in maintaining a safe school, even though she knew ERO would not support her stance. For her, it was a question of the end justifying the means by securing parental support to produce a favourable student outcome: “I can see the stand-downs and suspension as a way of engaging parents at a meaningful serious level. Nothing else engages them like a stand-down or a suspension and actually changes what happens for the kids” (Interview T2004/H:14).
On the other hand, the values implicit in government agencies’ thrust for educational efficiency and accountability did not affront Helen’s values nor, she believed, did they run counter to the philosophical directions of her school:

I don’t have any trouble with targets and target setting and metering and accountability in that sense. I don’t know about the targets so much but, if you haven’t got data showing steady improvement of kids and their learning, what on earth are you spending five or six million dollars a year for? I don’t have a problem with that one. I’ve always quite liked strategic planning and planning ahead and working out what you’re going to do, and then saying well, did we actually do it? Not a problem.

(Interview T2004/H:15)

In governance matters, Helen conceded that her board of trustees were trying their best and that she could not find fault with any individual board members. However, in the core value area of loyalty and support, there was a distinction in approach between Helen and her board which was demonstrated at the end of a successful ERO visit. Helen believed that the board had tried very hard to prepare for the ERO review and had been totally committed to it. Yet, to Helen’s disappointment, she had not been contacted by anyone from the board during the entire week after the review concluded. She was disappointed that the board did not recognise her work ethic nor the professional values she stood for in the face of intensive scrutiny by a government agency.

One critical incident stood out during the research study as a useful example of values contestation between the principal and others. It occurred in the middle of the ERO visit where Helen and the staff had worked hard to ensure a stable work environment while the review was in progress. A teacher caused Helen consternation and embarrassment by being, “out of the class for about the twentieth time and ERO still in the building.” Helen had to confront the teacher about leaving the class unattended, “I was beside myself with her” (Interview T2004/H:11).

Why, then, did this incident cause Helen such angst? It was not simply a matter of the teacher being out of class and exposing the school to student safety concerns. There was a greater matter of protecting the school’s public image and an infringement of a loyalty value: “And to let all your colleagues down by not being in your room and having your kids off task and
ERO were in the building. Wow! That’s an absolute betrayal of me and them. End of matter” (Interview T2004/H:12).

This act by the teacher of leaving their class unattended affronted key professional and personal values espoused by Helen: her student-centred focus, high standards of behaviour of students and staff, work ethic, demand for excellence, academic achievement, ethic of care, and being honest about one’s intentions. It was a betrayal of Helen’s core values and all she stood for as principal of the school. Helen agreed that honesty and its concomitant betrayal were at the heart of most deep-seated conflicts she had with other people. Helen admitted that an affront to these key values would cause her to go on the attack to defend her stance. It would also cause her the most anxiety and stress: “My one [stressful incident] four years ago was exactly that too. The one that I never talked to you about. That was one that was going to possibly pressure down and it was betrayal as well” (Interview T2004/H:22).

Helen’s firm public stance on a range of issues did not imply that she was intractable in her core professional and personal values. In fact, two further critical incidents serve to demonstrate an adaptability in her values position, depending on the context and potential ramifications.

The first incident concerned the on-going issue of alcoholic consumption at the annual school formal dance. Helen’s values stance on previous formals had been based on health and safety issues and on her concern to maintain a positive public image of the school. By the conclusion of this research study, Helen had re-thought her stance to a stage where she had to “move with the times”. She described her values adaptation in this way:

It is just basically a deeply-held conviction now that, trying to run a formal without alcohol, is like trying to match 1950s things with programmed dances, and trying to run that with kids for whom the legal licensing age is now 18 – it’s an anachronism. I’m not worried about the publicity on that one because often that’s good publicity rather than negative. But the pain with the kids and the parents… Basically, probably, I’m conceding I’m unable to have the support of the community on that issue. So therefore, let’s stop the issue and see if we can do something a different way.

(Interview T2004/H:7)
It is pertinent to note that Helen’s change to a deeply-held conviction was not only to overcome an anachronism in the school social calendar. It was also pragmatic in its reflection that key community support demanded a different way of approaching the problem.

The second incident centred on the aftermath of some students caught in possession of drugs on school property and signalled another perspective on a principal’s management of personal and professional dilemmas. The resultant media publicity from the drugs issue, while fairly reported, had had negative repercussions from parents and former students: “At the time, it was quite heavy because I know I made the right call and did everything properly. On the other hand, I got all the bad publicity. I’ve now got real nasty stuff added on and it’s most inaccurate” (Interview T2004/H:6).

Having taken a firm line in her moral stance on the drug issue, Helen later revealed that the public perception of her school may, in future, take precedence over what she deemed to be “doing the right thing” for discipline in the school. Her deeply-held conviction had been pressured by external circumstances to a point where she felt herself forced into a compromise and an unenviable dilemma choice: maintenance of one’s ethical and moral values versus the possibility of adverse publicity reducing the school enrolment:

I resolved that I’m not going to do it right this year. I’m just waiting for the occasion. I’m going to do it politically savvy, I guess. I’m going to try it and I’ll see how we get on. I can’t afford it; I can’t afford to do that again this year. I have to keep my nose clean this year. You can’t do it right too often.

(Interview T2004/H:6)

Would she fight on the basis of her core values or concede to political expediency? On this occasion, it appeared that Helen would reluctantly follow the latter pathway to protect her future student numbers at the school. Did that mean that she had completely forsaken a key moral value in school discipline? Not at all, in Helen’s view. She had just needed to diffuse the current negative publicity by adopting a different line of disciplinary response in regard to a high profile issue.
Category 2: Influential Values on the Principalship

A second aspect in the consideration of the person of the principal was to explore the potential impact of Helen’s most influential personal values on the exercise of her principalship. The data information from Figure 6 was used as a basis for exploration in that it displayed Helen’s own identified linkages between her most influential personal values and her professional values.

Two further sections of values influence were added. First, relevant information from Helen’s personal history displayed perceived origins of her chosen influential personal values. Second, a summarised list of specific leadership behaviours was derived from the case study data and positioned alongside its corresponding professional value. In this way, it was possible to trace potential connections from original values acquisition through to key personal values that may, in turn, influence professional values that elicit specific leadership behaviours from the principal.

Table 9 presents a summary of influential values that could be linked to specific leadership behaviours within Helen’s principalship.
<table>
<thead>
<tr>
<th>Perceived Values Origins [Associated value in parentheses]</th>
<th>Influential Personal Values</th>
<th>Professional Values Affected</th>
<th>Specific Leadership Behaviours</th>
</tr>
</thead>
</table>
| **Family:** Family members were encouraged to be honest in dealings with other people. Heavy consequences for lying or double dealing. *Honesty, moral behaviour* | **HONESTY** | **HIGH STANDARDS OF BEHAVIOUR** | High expectations of staff performance conveyed through:  
- Honest appraisal feedback to staff  
- Intervention in poor staff performance  
- Audit check of classroom behaviour  
- Role modelling of own behaviour and work ethic |
| Strong-minded parents established firm set of behavioural rules. *High standards of behaviour, moral behaviour* | | | |
| **Career experiences:** As a young teacher, Helen appreciated honest feedback from her principal and affirming problem-solving strategies. She learned from inferior leadership practices of patronising behaviour and lack of honesty. *Honesty, self-respect* | **SELF-RESPECT** | | High expectations of student behaviour by:  
- Emphasising standards at enrolment interviews  
- Reminder to whole school at student assemblies  
- Visibility at lunchtimes in school grounds and at exit gate  
- Insistence on uniform standards for sense of affiliation and self-respect |
| | | | |
| Staff culture of previous schools promoted a determined teacher work ethic. *High standards* | **COURAGE** | **MORAL LEADERSHIP** | Moral elements of leadership conveyed through:  
- Courage to make difficult decisions based on what is right across a range of ethical, professional and political dilemmas  
- Adherence to accepted social standards eg alcoholic consumption by under-age students; student possession of drugs |
<p>| | | | <strong>Cont...</strong> |</p>
<table>
<thead>
<tr>
<th><strong>Family</strong></th>
<th><strong>Career experiences:</strong> Helen enjoyed enthusiastic and encouraging role models during her adolescence eg a vibrant English teacher; confidence-building experience of a surf club coach. <em>(Ethic of care, student-centred, high standards)</em></th>
</tr>
</thead>
<tbody>
<tr>
<td>Surf club and tennis activities promote notion of a well-rounded education. <em>(Balanced education)</em></td>
<td>Helen appreciated early career support from an affirming principal. She learned negative consequences of a principal’s failure to connect with their staff. <em>(Ethic of care)</em></td>
</tr>
</tbody>
</table>
| **Meaningful connectedness with students through:** | **Leadership of school prefects**  
**Individual student problem-solving**  
**Extra curricular programmes: ski trips, debating**  
**Leadership of curriculum programmes** that advance students’ academic, vocational and life skills, and knowledge  
**Clear disciplinary boundaries that enable focus on teaching and learning** |
| **Balanced, student-centred education** | **Educational opportunities for students through:**  
**Financial assistance for disadvantaged students**  
**Drive for new technologies and gymnasium facilities**  
**Diversity of learning opportunities to cover the range of student abilities and interests** |
| **Loving/ethic of care** | **Educational opportunities for staff and students through:**  
**Access to lap top computers**  
**Visit to individual teachers’ classrooms each term**  
**Open door communication policy**  
**Provision of extensive staff development programme** |
| **Equal educational opportunity** | **For example, it appeared that Helen’s major personal value of honesty took its origins from family base values and from early career experiences as a young teacher. Helen translated this personal value across to her professional values of high standards of behaviour and the exercise of moral leadership. In turn, resulting leadership behaviours were observed in respective areas such as her honest appraisal feedback to staff and in Helen’s personal honesty and conviction to do what was right in the interests of students and the school.** |
| **Across this summary table, there existed potential links between Helen’s major personal and professional values and the manner in which she exercised her secondary school** |
principalship. These linkages will be considered further during a discussion of case study findings that follows in Chapter 6.

**Category 3: Sense of Self**

A third aspect in the consideration of the person behind the principal was the aspect of Helen’s sense of self. All those with significant knowledge of Helen’s principalship confirmed her strong sense of self that was allied to her set of deeply-held convictions:

> With the whole range of demands that are placed on a principal, unless there is a strong sense of self, you can see the response varying and the basis for the decisions varying. But I don’t see that happening with Helen. She does have, I think, a strong sense of self. She knows where she is coming from. She has a very good understanding of her own values and commitments and as they apply to what happens in the school. So there is a strong consistency, there is a real consistency here in the decisions that she makes.

(Interview T2002/A:5)

I’d describe Helen’s sense of self as very closely aligned to her values. She’s a very strong character. She has a very clear and set idea of her core beliefs and her vision for the school … I’d say that she’s very sure of herself. She probably projects a fairly gruff exterior to some parents, I suspect. I think that’s what’s expected in terms of the principal: one has to be strong and has to be aligned to the interests of all 750 girls at the school.

(Interview T2003/X:3)

These views of significant others, together with research observation and interviews with Helen, indicated a strength of inner conviction leading to expression of her core values in the way in which she led the school. Of note was the comment of one respondent that Helen’s strong sense of self and clarity of her values enabled her to achieve a high level of consistency in her decision-making.

A suggestion for future research from the educational leadership literature was the question of why principals invested so much of their self in the job (Southworth, 1995). In Helen’s case, there were a number of reasons why she was so committed to the position. First, as a former student of Hounslow, Helen had a strong feeling for the school and where it had languished for some period of years. Since her departure as a student, she had maintained links with the school for over 30 years and was determined, on appointment to the principalship, that it
would become a high achieving academic school, “It wouldn’t be the same if I wasn’t an ex-girl. That still makes a huge difference” (Interview T2003/H:6).

Second, Helen’s personal commitment to the people of her school community was a major influence. She felt keenly the interpersonal nature of the job and her capacity to influence other individual lives for better or for worse. By nature of the office she held, Helen was in charge of a large number of people and felt an acute sense of responsibility for the education of thousands of students who had passed through the school. She enjoyed the intrinsic reward of seeing teachers and parents happy and the students achieving their individual potential, both inside and outside of school. Of all the aspects of the role she most liked, it was the connection with students:

Definitely the kids. And when things are going well with the kids, and just having structures in place to set up access to all the good bits with the kids so you don’t get absolutely buried by being the old witch around the place. That’s really, really important.

(Interview T2001/H:15)

Finally, Helen took a great deal of personal satisfaction in, and professional pride from, her job. She was intensely passionate about her role which was built on a platform of professional integrity and pride:

I want to do it [the job] well. I couldn’t live with myself if I was half doing it and if I was the butt of huge amounts of criticism from all around. I would be absolutely miserable. If you take it on, you’ve got to give it your very best shot ... Inside, you would be giving yourself hell if you didn’t.

(Interview T2003/H:2)

Category 4: Impact of the Job on the Person of the Principal

The final aspect, in the consideration of the person of the principal, was to determine how the nature of the job might impact on Helen herself. A number of international studies had focused extensively on what a school principal ought to do (for example, Blase & Blase, 1994; Brown & Irby, 1997; Alvy & Robbins, 1998). This case study of Helen Aiken at Hounslow College sought to identify what the principal actually did in her job and the impact that might have on her personal well-being. Analysis of the data indicated that the personal impact on Helen was a combination of positive effects, in terms of the rewards of being the principal, and negative outcomes in the stresses that the job placed on her.
Positive effects

The reward of working with people was high on Helen’s list of positive outcomes. Connections with students, staff and parents were important to her and she enjoyed their approval and appreciation for what she was doing. There was a small group of teachers whom Helen and her husband would count as personal friends and with whom they would share summer holiday activities. Helen also enjoyed immensely her work with parent groups such as the PTSA in running the school fair and in consultation exercises that reviewed the school charter. Helen viewed the connectedness between herself and her staff and parents as a process of reciprocity, not only in the sharing of positive experiences but also in supporting her at times when she needed it most: “So when you are a bit fragile, there’s value in it for other people too. They know that too: it’s a two-way sort of thing” (Interview T2003/H:14). This was part of Helen’s chosen collegial style of leadership whose success she attributed to sharing power rather than leading in a top-down, authoritarian role.

There were also pragmatic rewards for Helen in her job: collegiality with two other women principals in northern New Zealand and the friendships that evolved with them over a period of years; levels of remuneration for being the principal of a medium-sized secondary school; and opportunities for national and international travel to experience educational thinking and teaching in other environments. Helen’s husband put the positive impact of the principalship into perspective when he commented:

So where it’s negative, there’s a heap of positive spin-offs too. I guess we never really get grumpy or depressed about it: “damn that job” or anything, because you know there’s something good that’s going to come up.

(Interview T2003/X:7)

Stress factors

Despite this optimistic outlook on the impact of the principalship, it was clear that the stresses of the job on Helen were pervasive and hard-hitting. There were four major stress factors that emerged from data gathered from observations of her at work in her office and from interview transcripts of Helen and significant others.
First, there emerged Helen’s fear of the unknown, of events and circumstances within and outside of the school over which she had no influence or control. One respondent described the uncertain situation faced regularly by Helen and by other school principals:

The worry of what’s going to come next, the unknown that gets you in the news, the media; trouble with the BOT, that sort of thing. Anything can go wrong because you’ve got so many different people out there. I mean you read in the newspaper of some teacher who’s done something: wasn’t registered, lied about a degree, is suspected of molesting pupils – all those worries. Is it going to be our turn this year?

(Interview T2003/A:6)

Helen’s colleagues had described her as something of a perfectionist which, they said, resulted in the smooth daily functioning of the school but had the downside of causing Helen extra stress in anticipating and dealing with unexpected events. Dealing with the unknown was, as one colleague pointed out, “a complete and utter hazard of the job” (Field note F2002/B:8).

Second, public perception of the school was vitally important to Helen, especially in a competitive environment where recruitment and retention of student numbers dictated future staffing levels and availability of subject choices. One stressful occasion occurred for Helen in the production of the programme for an annual prizegiving. The secretarial staff had inadvertently typed in the name of the school dux that was only to be revealed at the prizegiving conclusion. It was vital for Helen that such public protocols be observed and she found the situation particularly stressful until all 900 published programmes had been reproduced in the correct format.

Third, Helen experienced interpersonal stress in various dealings with parents, trustees and staff. Her senior team sometimes referred to ‘angry’ parents and students, in particular those parents who held unreasonable expectations of the school. This group, they believed, constituted the, “unpleasant aspects of the job that increase the stress levels and affect Helen’s ability to do the job” (Field note F2003/C:10). Helen did mention, on several occasions, how affected she was by her board of trustees and their lack of feedback and approval, despite her efforts at positive reinforcement for them:

I get absolutely nothing from the board in the way of approval or praise. I mean, I work my butt off making sure the PTSA and the
chair all get praised and I’ve praised the board constantly. I have nothing back and it’s getting screamingly more frustrating, no affirming whatsoever. It’s all just taken for granted. I get angry about that.

(Interview T2003/H:8)

Similarly, there occurred the inevitable strains in dealing with interpersonal dynamics associated with staff members and their individual issues, be they family circumstances, teaching issues or situations pertaining to professional conduct. Such interpersonal stresses were best demonstrated in a previous day’s incident that Helen related to the researcher.

According to Helen, the day before had been a “real blow out.” She had recommended to the board of trustees a student for expulsion some days earlier. The parents had become agitated and angry, and arrived at school to accuse the school of bullying tactics. They had verbally abused Helen and were now about to take matters to the police through their legal adviser. To make matters worse, the board had overruled Helen’s recommendation and refused to expel the student. The board were, in Helen’s opinion, “trying to play God; trying to do their social bit; trying to override my professional judgement” (Interview T2003/H:12). As a result, all of Helen’s administrative tasks and appointments from the previous day had to be rescheduled to the following day, and the immediate problems of staff errors in the term reports and the organisation of next evening’s Open Night were put on hold. Helen had a disturbed night’s sleep, punctuated by a cup of coffee and a bath at 4am. The emotional intensity of the situation clearly took its toll.

Finally, it was apparent, during the observation of Helen in her office and at board of trustees’ meetings, that the prospect of legal litigation was an underlying concern for her in terms of maintaining a positive public image of the school. This was an issue not previously identified in the literature of stress factors affecting the principal’s job. Care was always taken to observe due process and the principles of natural justice during school disciplinary cases that appeared before the board, particularly those cases involving suspension and/or expulsion of students. One of the few occasions in which the researcher observed Helen under considerable duress centred on a highly sensitive and confidential legal issue. It was a case of crisis management where Helen needed to call on all her educational experience and acquired legal knowledge to make the correct decision for the school. The background is described by Helen in her own words:
As you know, we had a crisis last term which you still don’t know what it was ... It made me vomit in the toilet and gave me migraines that lasted several days and several sleepless nights. And I had just been to enough legal seminars to know what to do, to put my hand on the correct piece of paper and not to blow the first move. And it’s to have the knowledge in your head, to put your hand out before you open your mouth, before you say anything, before you do anything. You have to have that knowledge, and I got that from the series of legal seminars which I go to ....

I have a wee drawer there called “Legal” and I also have my PPTA [Post Primary Teachers’ Association] stuff: employment issues training day is incredibly useful. And when that [incident] happened, I just had the right stuff sitting here in a drawer that I could read and think ... I probably had two minutes to make a right or wrong call. Then, once I’d made a minor call, I had plenty of time to swot up, get lawyers in, sort it, think about it and work through. Now I’ve worked through one of those, I would do it slightly different the next time.

(Interview T2001/H:9)

Was this threat of legal action more prominent than ten years ago? Helen believed that such a prospect occurred more frequently than even five years previously and could now involve the Ombudsman’s office as well as the judicial system. She put it down to an increasing number of parents who were unwilling to accept the judgement of an external authority. It was not an easy situation for a principal to find themselves in and one where, Helen commented, “you need experience to survive it” (Field note F20021H:3).

Coping strategies

How did Helen cope with these types of stressful circumstances? Among an armoury of coping strategies, her time management skills were of paramount importance as she juggled the needs of school and family:

For me, it’s walking out of here at 5.45pm [Friday] no matter what. I find there’s a personal jam between the demands of school and time with my husband ... And then I start work at 1pm [Sunday] so the rigid routine keeps me sane, keeps him feeling he’s got a wife.

(Interview T2001/H:14)

Helen suffered from asthma so was always aware of the need to exercise. This she was able to do at weekends but never during the week, “no matter what new system I invent.” She had scant regard for educational time management experts who advocated being at school over lunch hour before attending a gymnasium fitness session: “Imagine my staff’s faces if they
thought I was at the gym between 1 and 2 pm? C’mon now, and I’m so stuffed by the time I finish at 6 or 7pm” (Interview T2001/H:16).

Helen’s well documented work ethic also served as a strategy for coping with daily stresses of the job. While the irony of working more to alleviate stress is evident, in Helen’s case, it was a control mechanism based on past experience, “Usually, I work my butt off when I’m anxious about something and I work my way out of it rather than sitting immobilised” (Interview T2001/H:20). This perception was borne out by Helen’s husband in his observation of her in the home setting: “In working through it [stress], she just doesn’t throw up her hands: “This is too much, I can’t do it.” She just keeps on working and working till there’s less to do tomorrow than there was today” (Interview T2003/X:6).

Yet, despite the drive for work completion, Helen also had an ability to take time out from the demands of her principal workload. Her husband continues:

She’s good at doing nothing and that sounds like just a joke. But it is an important skill to be able to just take time out. Pretty much every night, she’ll take time out for herself which is normally over tea time and maybe an hour and a half after that. Even napping. Even if it means having to work till 10.30pm.

(Interview T2003/X:6)

Like a number of school principals in the region, Helen’s haven was a rural holiday home where she made a deliberate point of taking a complete break for up to six weeks of the school summer vacation. It was, she said, a much needed respite from the affairs of school.

**Leadership isolation**

One of the most deep-seated stresses, and one worthy of specific mention, was Helen’s feeling of isolation. It was ironic that, for a leader skilled at interpersonal relationships and interacting daily with a variety of mixed-age people, Helen should feel a poignant sense of isolation in her job. This was an unanticipated finding given Helen’s strong sense of self and experience in the secondary principalship.

Colleagues acknowledged that, by the very nature and expectations of the job, the principal did have to remain apart to a certain degree. It may be the result of a dual role that Helen and
all principals fulfil, being judge and supporter, critic and nurturer, often in quick succession. One of the senior team noticed this in a physical sense:

You will see her sometimes sitting on her own and I mean all three of us on senior management do feel an obligation to fill that gap, to move and sit with her and support her. Yes, it is lonely and I think she must feel quite isolated.

(Interview T2002/B:4)

More specifically, this sense of isolation for Helen may have been exacerbated by two features of the leadership position. The first concerns the ultimate responsibility for decision-making in the school, the concept of the ‘buck stops here’. Respondents felt that this ultimate decision-making role was a massive handicap in the job, as well as bearing the responsibility for any staff error within the school operation. Helen admitted that any sharing of her delegated leadership responsibilities would, “actually be a relief because the buck wouldn’t have to stop with me” (Interview T2004/H:22).

The second feature concerns the confidential nature of the principal’s job where the need for privacy, confidentiality and security of information must be observed by the principal to the exclusion of almost everyone else. During one observation in Helen’s office, she had appeared visibly upset over some issue and excused herself for a few minutes. She shared with the researcher later that she had been attending to a school-related matter that neither the Deputy Principal nor board chairperson could be privy to. On this occasion, the weight of individual responsibility rested heavily on her shoulders. The consequence of feelings of isolation was also noted by Helen’s Deputy Principal:

There are times when certain issues are confidential and she’s got to do that. Helen talks to me about a lot of these things but I am pretty confident that there are even times when she can’t talk to me about those issues. She’s just got to deal with them herself. That is really tough because, often, you’re required to make decisions about certain things and people don’t appreciate it.

We had an issue a few years ago where Helen and I and one or two other staff members knew about it but a lot of staff didn’t know. And we are still making decisions even now about that particular issue that are not fully understood by staff.

(Interview T2002/A:6)
Personal and professional support

Helen employed coping strategies to help address these feelings of personal and professional isolation in the job. She used members of her senior team as a sounding board, especially when unexpected issues arose and she was unsure of an appropriate response. Often, she would check with them with a simple “Am I being unrealistic here?” or “Is this the way we should do this?” She tried very hard to get involved with her staff by socialising with them, by talking with them around a range of issues and by seeking their opinion as appropriate. She was a firm advocate that, with 60 heads up there in the staffroom, they had the capacity to make more sensible decisions than just one or two of the senior team.

Like a lot of school principals, Helen’s external strategy for coping with isolation was to maintain her links through personal and professional networks. Her youngest sister and a regional female secondary principal acted as a personal support for her, while two female principals outside the region were her most favoured sounding boards, followed by principals in the local and regional Principals’ Association.

During one of Helen’s in-depth interviews, it was a surprise to find that her sense of isolation was, in fact, quite profound, “Yes, the isolation – it just screams at you” (Interview T2001/H:19). Despite her years of leadership experience, she believed that she had become increasingly isolated the longer she was in the job. It was assumed that she did not need ongoing support, “I think you shift from having that support from all around to providing it for everybody else but there’s nothing much there for you” (Interview T2001/H:20). Paradoxically, she was the experienced principal who provided support for other experienced principals but received little from them in return. Helen felt it was generally assumed that as a principal gains more experience, s/he must be able to cope better with the job pressures and did not require further support and guidance. The reality was, she believed, that “you probably see the negatives more clearly and become more vulnerable as a result” (Interview T2001/H:20).

This finding in Helen’s case study of an experienced principal’s vulnerability to personal and professional isolation in the job is a significant one, both in terms of the question it raises for on-going principal support structures, the problematic nature of the principal’s job and the levels of individual resiliency required to cope with it.
Table 10 summarises features that impacted on the person of the principal and what Helen did to cope with stressful aspects of the job:

**Table 10  Coding Summary of Features Impacting on the Person of the Principal: Helen Aiken**

<table>
<thead>
<tr>
<th>Positive Effects</th>
<th>Stress Factors</th>
<th>Coping Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Working with people</td>
<td>• Fear of the unknown</td>
<td>• Time management</td>
</tr>
<tr>
<td>• Collegial relations with other principals</td>
<td>• Public perception of school</td>
<td>• Exercise activity</td>
</tr>
<tr>
<td>• Remuneration</td>
<td>• Interpersonal stress</td>
<td>• Invoke work ethic</td>
</tr>
<tr>
<td>• Opportunity for travel/exposure to ways of educational thinking</td>
<td>• Threat of legal litigation</td>
<td>• Taking time out</td>
</tr>
<tr>
<td></td>
<td>• Isolation in the job</td>
<td>• Consultation with senior team, staff, other principals, family</td>
</tr>
</tbody>
</table>

**PROMINENT THEMES FROM THE CASE STUDY**

This case study of Helen Aiken’s principalship in a medium-sized urban secondary school highlighted the personal and interpersonal demands made of principals in the New Zealand self-managing schools’ era (Mitchell, Jeffries, Keown & McConnell, 1991; Wylie, 1997b).

First, the Hounslow case study reinforced the theme of interpersonal connectedness between principal and school community. Despite intense managerial demands facing her, Helen remained focused on students and staff as integral human resources in her quest for teaching and learning excellence. Two aspects of the interpersonal dynamic were of significance in Helen’s principalship. The first aspect was the impact on her job of the recruitment and retention of international students and the need to undertake foreign public relations visits and to oversee the international student programme. The second aspect centred on interpersonal forces at work in her dilemma management of a range of situations including student expulsions and staff competency procedures, where the frequent dilemma was the juxtaposition of individual interest against the needs of the majority.

A second related theme was located within the personal domain of Helen’s job and how the various demands of principalship impacted on the person of the principal. While the job had a number of positive features, it also had its share of stressful times that tested Helen’s emotional resiliency and her strong sense of self. She had once used the metaphor of a family pie to describe how she felt after a particularly harrowing day’s problem-solving on the
interpersonal front, “Everyone grabs and takes a slice of me until there’s nothing left to give” (Interview T2003/H:8). There seemed to be a constant pressure from her constituents for Helen to perform her job at optimal levels. This aspect of peak performance was articulated by one of her senior team in assessing the major demands of being a principal:

I think that the major, the overwhelming demand is always being on your mettle so to speak; that you can’t actually afford to have days when you don’t grasp whatever has been thrown at you. That’s one thing that I must say I admire enormously in Helen: she seldom gets caught in a situation where she hasn’t got it all together.

(Interview T2002/A:1)

The final prominent theme from the case study focused on the centrality of Helen’s set of core values and their potential influence on her leadership behaviours. It also became apparent that what sustained Helen during the more arduous moments of her principalship was the solidity of her core values and beliefs about teaching, learning and people. These came to the fore in particular crisis situations and in instances of dilemma management. The centrality of her core values was underlined in a poignant conversation with the researcher, following her return from an overseas trip during which she visited a number of secondary schools. When asked what she had gained most from her educational experiences, Helen replied:

The thing that struck me most was that the trip confirmed my values about education and about the school and the direction the school is going, because I am constantly under attack on those values from stroppy kids, some stroppy staff and parents, and the government.

(Interview T2003/H:4)
CHAPTER 5
RIVERSIDE HIGH SCHOOL: A PRINCIPAL CASE STUDY

This chapter begins with a profile of Riverside High School and an introduction to the principal, Max James. The case study data is then presented using two focus areas. First, the personal dimensions of the principal’s job are reported in terms of managerial connectedness, interpersonal relationships and dilemma management. Second, a focus on the principal as a person includes an examination of the principal’s core personal and professional values using data obtained from semi-structured interviews and reinforced by subsequent principal feedback. It also includes an examination of the role of values in the principal’s leadership and an exploration of Max’s sense of self and the impact of the job on him as a person.

SCHOOL PROFILE
Riverside High School is a Year 7-13 co-educational secondary school in a small rural service centre in the South Island of New Zealand. It has a staff in excess of 20 teachers. Its student population varies between 250 and 270 students of whom approximately 25 are international students. The ethnic mix of students is predominantly European and there is a Maori student population of about 20% of the total roll.

Like its urban counterpart in this study, Riverside High School offers a balanced educational programme which includes academic, sporting and cultural endeavours. One of the features of the school is the very high level of support it enjoys from its rural community.

AN EARLY PORTRAIT OF MAX JAMES, PRINCIPAL
Early Influences
Max James came from a family involved in education. His mother worked as an office secretary and as an unqualified typing teacher, while his father rose from the rank of an assistant teacher to become a successful rural secondary principal. Max described his mother as a really good person and very much the strength of the family in her support of her husband.
and children. His father led a strong Christian-based life and had the reputation of being a popular teacher and principal.

Max enjoyed his status as the eldest of four children in the family, a family who underwent a transient rural upbringing as they shifted from town to town when his father won promoted teaching positions. For Max, a supportive family unit was a strong influence on him, one that had been encouraged and reinforced since by his parents. Max perceived that his father’s deputy principal jobs did not allow him to spend a lot of time with Max and his three siblings. Max found himself in the same predicament with his own principalship and, like his father, relied on the support of his spouse to provide family stability:

I’ve been aware that will have been true for me too. I’ve fallen into the same trap. I’ve been aware that I’ve been in it but it’s been difficult to get out of it ... For years, my wife worked as the homemaker, as a deliberate choice, to try and give the kids that stable platform and raced around after them all. As they left home, she increased her time in the paid workforce. I have to say that, and now she is working 16 hours a week. She could work fulltime but still chooses to work 16 hours because she still looks after the household ... even though I do my share.

(Interview T2001/M:2)

Diane, Max’s wife, reiterated this need for a stable home environment, given that Max worked such long hours and rarely had an evening at home during the week:

I felt I needed to be home with the kids. So he would be at school, come home for tea and then back [to school]. So time-wise, that’s the hardest thing for a family is that he’s never here during the week. But good holidays certainly make up for that.

(Interview T2002/D:1)

In contrast to Helen Aiken’s positive early learning experiences and inspirational role models, Max described his schoolboy self as, “very much Joe Average and very immature probably” (Interview T2001/M:4) and could not identify any particular people who had inspired him. He disliked the academic aspect of school and was not motivated to learn in the classroom. He engaged in little academic study until his father invited him, at age 16, to leave school and get a job. The shock and reality of that prospect spurred Max to a heightened awareness of self-motivation and a determination to improve his academic performance. The one advantage to surface later from this foundational learning experience, Max recalled, was his identification with some of his current students’ levels of motivation for learning:
I think that’s empathising with how kids feel about school – it just wasn’t in my quality world, so to speak, apart from the girls that I was chasing and the sports and having fun with my mates. The actual being in the classroom just to learn was an intrusion into the things that I thought were important. I can empathise particularly with our boys … I think I was very tunnel-visioned and I didn’t see the consequences of the things that I did. Again, that was valuable in terms of seeing that lots of boys were like that.

(Interview T2001/M:3)

The Making of a Teacher

Max had wanted to be a farmer, then a policeman. However, the repetitive nature of farming and not being of the requisite size, eliminated both careers respectively. Like Helen Aiken, Max claimed that his choice of a teaching vocation was serendipitous:

I just thought it was a way, something to do, some reason for going to university. As I thought about it more, it appealed to me more and more. I guess you could say I fell into it rather than being something that I always wanted to do.

(Interview T2001/M:3)

Max trained as a primary school teacher and, in his early days, had to learn from his numerous mistakes. He described himself as being self-opinionated, argumentative, a poor listener who had to learn experientially:

During my initial few years of teaching, it’s a wonder I survived because if I’d done things now that I’d done then, I wouldn’t have continued in the job. I would be kicked out probably. I really had quite a temper. I guess it was all part of trying to be … that stuff of one of the boys and being tough and being the top dog and … no one’s going to get the better of me and no kid’s going to get the better of me. I had a saying right from when I started that, ‘the day a kid gets the better of me is the day I get out of teaching’. I was almost determined that I would go to any lengths to make sure that I dominated the class.

(Interview T2001/M:4)

After seven or eight years of teaching, Max’s domineering approach changed dramatically when his principal sent him on a Teacher Effectiveness Training course. The course changed his whole approach, not only to his teaching practice but also to his way of dealing with people, to the extent he felt it was something like a religious conversion. One of the philosophies that Max took from the professional development course was the notion of outcomes-based decision-making, “so instead of dealing with the issue, you look at what
outcomes you want from it and take it from that angle” (Interview T2001/M:4). Max believed that this outcomes-based philosophy, together with his formative years of making mistakes and learning from them, was a useful preparation for his two principalships that followed.

Career Path to Principalship

Max never aspired to be a senior teacher, deputy principal or principal. In fact, he had made a commitment to himself that he would not seek promotion to those leadership positions. However, as an assistant teacher in a rural Year 7 to 13 school, he found himself in charge of the organisation of school camps without any recognition for the work. A position arose in a regional area school (Years 1–13) with a PR (Position of Responsibility) in Physical Education and Outdoor Education which Max won. The position gave him the recognition he wanted. In a short space of time at the school, Max became a Dean of Forms 1–4, as it was known then. Then followed successive promotions within the school to assistant principal, deputy principal and, eventually, principal.

The first principal he worked under was instrumental in Max’s later development as an educational leader. Max described him as ahead of his time, in terms of educational philosophy, management strategies and in his leadership of the staff:

Not that that was something I aspired to but … the person who was the leader for the children and the staff and who provided the children with their education and provided the staff with the security and the direction and the professional leadership – instructional leadership is a good word. So … father figure, instructional leader, that’s how I saw principalship, and administrative manager. But those other two aspects first.

(Interview T2001/M:5)

Max’s elevation to the position of principal occurred after a period of five months in the acting principal’s position. He recalled the opening stanza of his new principalship in this way:

I suppose there was a feeling of relief, excitement, that I knew that all the work I’d wanted to do I could now definitely get on and do it. I actually, prior to the appointment being made, tried to set things up so I was going to be able to manipulate from behind because I had some pretty clear directions I felt the school should be going in.

(Interview T2001/M:6)
Max held the principal’s position at the area school for a further two years before applying for, and winning, the principal’s job at Riverside High School. He had been teaching at the area school for 13 years and was aware that his youngest daughter was going to be only one of three Year 9 girls in her class and that, for his child’s sake, she needed to be part of a larger school environment.

**Style of Leadership**

Max’s style of leadership was based firmly on a collegial approach to working with staff. He was open to asking staff for advice and help, and frequently referred to ‘we’ rather than ‘I’ in staff discussion. Allied to this collaborative approach was Max’s intent to give considerable individual responsibility to teachers, even at the risk of task incompletion:

> I try and let the dog do the barking and take the responsibility if the sheep don’t go the right way! I try and give people the responsibility and let them take it. And sometimes jobs don’t get done because ... I know they need to be done. But if I step in and do it for somebody, then it’s just letting them off the hook and it’s not making them accountable and it’s not letting them grow and develop.

(Interview T200/11M:8)

He cited an example where a teacher in charge of the school magazine had procrastinated in getting its production under way. Despite staff protest and the temptation to begin the process himself, Max put the responsibility back to the teacher:

> If I’d leapt in and organised the meetings and everything, I’d have another monkey on my back. So, on top of that, is making sure that when they get it wrong, that you don’t put them down, that you regard every mistake they make as a learning experience – provided they don’t make it too often. So I’m very supportive when people make mistakes.

(Interview T200/11M:8)

Another feature to emerge about Max’s leadership style was his awareness that the way a message is given is more important than the message itself. This was a reflection of his earlier learning experiences at the Teacher Effectiveness Training course, which included the use of I-messages and associated role-plays, and of his interactions prior to principalship where he arrived at wrong outcomes, polarised people and was often forced to apologise for the manner in which he addressed issues:
And so I think very carefully ... If I’ve got a message I need to give people, I won’t just bowl in and give it. I’ll strategise on how I’m going to give this message so I’ll actually get the result I want. It’s back to the outcomes. What is the outcome I want? If I rip into them, what outcome will I get? I try and work around people but, all the time, I’ve got my direction, my goals, my outcomes and I’m just finding the pathways to get there.

(Interview T2001/M:8)

As a second-time principal, Max was very aware of the dangers of complacency. It was vital for him to understand that people were different and that, while the basic situation appeared similar, the human element demanded that he treated each case with respect. While his second principalship was easier in terms of process, Max was careful to spend time in following due process to achieve his desired outcomes.

PERSONAL DIMENSIONS OF THE JOB

Initial axial coding of the Riverside High School case study resulted in 45 provisional categories of meaning being grouped under 13 broad thematic areas (refer Table 3, Chapter 3). Under the process of selective coding, these broad areas were reduced to nine main categories once relationships and patterns were established across categories. These categories were Administration; Changeable Nature of Job; Curriculum and Change Management; Dilemma Management; Human Relationships; Government Agencies; Personal; Professional; and Rural Community. A list of properties was developed for each main category, together with accompanying propositional statements (refer Table 4, Chapter 3).

Constant comparative analysis of the data from field notes and interview transcripts revealed three major overarching categories within the personal dimensions of Max’s job: Managerial Connectedness, Interpersonal Relationships, and Dilemma Management. ‘Managerial Connectedness’ comprised the properties of administration and employment issues, curriculum and change management issues, and international student recruitment. ‘Interpersonal Relationships’ comprised properties of students, staff, board of trustees and parents, and involvement with rural community. ‘Dilemma Management’ comprised properties of ethical, professional and political dilemmas. These coding classifications are outlined in summary tables displayed in Tables 11, 12 and 13 respectively, together with their sub-properties and personal ramifications.
Personal Dimension 1: Managerial Connectedness

Max’s principal’s office, like Helen’s, was in a centralised administrative location. While its external windows opened out onto a garden courtyard, the office’s three doors opened variously into the main corridor along from the reception area, into a small photocopying room and administrative office area. Here were located Max’s receptionist, clerical staff member and Director of International Students. In close proximity were the Assistant and Deputy Principals’ offices that completed a significant locus for school managerial activities. These activities, and Max’s connectedness with other people, can be considered in terms of administration and employment issues, curriculum and change management issues, and international student recruitment.

Administration and employment issues

During the periods of observation of Max at work in his office, it was apparent that a major job demand affecting him lay in the daily management of the school. This point was independently reiterated by the board of trustees chairman and by the Deputy Principal who detailed the increase in the amount of paperwork over the last eight years and the frequency of school meetings as contributory factors in a pressurised job: “I’m talking here about meetings during school time, meetings after school, meetings in the evening ... He doesn’t complain about that but it’s the constant pressure, I think” (Interview T2002/J:1).

Additionally, the challenge facing numerous small secondary schools in rural New Zealand of falling student rolls, also impacted on Max’s administrative time. According to the senior management team, the school roll had fallen, in recent years, from 350 to 250 students, with an accompanying reduction in staffing levels. This had made it more difficult for Max to cover all administrative responsibilities and tasks that were required to operate an effective education system for 250 students. Staff believed that the increased administrative burden, now being shouldered by Max, had impacted severely on his visibility as the school’s professional leader and, in particular, on a recent decision to relinquish his role as a teaching principal.

One 30 minute period of lunchtime observation in Max’s office exemplified the principal’s administrative loading and his connectedness with others. His Head of Science called in to secure Max’s signature on purchase documents, followed by three staff members requiring...
information pertaining to their school responsibilities. Max then moved back to his desk to write up a claim for teacher relief for an EOTC (Education Outside the Classroom) activity before phoning the Wellington office of the PPTA (Post Primary Teachers’ Association, the teacher professional body and union) to inquire about the EOTC claim, and background an imminent staff redeployment issue at the same time. As he finished eating his lunch, Max’s attention turned to the new gymnasium specifications that lay on his office coffee table which required checking, prior to an afternoon approval meeting.

Incorporated into the Community Recreation Centre, the new gymnasium was, in fact, the major property development during the researcher’s observation periods. For Max, it represented a dominant demand on his work time and on his personal communication skills. As chairperson of the planning committee, he seemed to wrestle constantly with architects, drainage engineers, building contractors, electricians and with Ministry of Education officials about resource consents and grant money. The new building, which included aerobic and fitness rooms, a viewing gallery, meeting rooms and a new car park, was not an unsubstantial community/school undertaking. Its cost was conservatively estimated at $750,000, of which Max and his local committee had raised $150,000.

Curriculum and change management issues

Curriculum matters at Riverside High School were always near the forefront of discussions in Max’s office or in staff meetings, as the school sharpened its focus on the processes of teaching and learning. A number of heads of department sought Max’s advice and used him as a sounding board on a range of curriculum issues: the nature of what constitutes a ‘balanced curriculum’; validity of teachers’ marking schedules; use of achievement objectives in lesson planning; how to best report students’ academic progress to the board of trustees; and how to demonstrate added value in student learning. It was apparent the staff held Max in high regard in terms of his instructional leadership capacity. While an impending visit from the Education Review Office, and the advent of the National Certificate of Educational Achievement, added some fervour to discussions and meetings on assessment, it was in the area of curriculum change management that the demand was most noticeable.

A useful example of personal interaction within the management of curriculum change occurred with Max’s oversight of a non-traditional programme for trainee forestry workers
attached to his school. Max had a manager in charge of the programme but needed to adopt a hands-on approach to assist the manager when it came to employment issues, such as finding a person to teach a series of unit standards, qualifications recognised by the New Zealand Qualifications Authority. Max suggested using his careers teacher on an hourly basis to work with the trainees. However, the manager expressed a counter view that hiring a teacher to undertake the work would be of little use, “because teachers are hopelessly formal – they’d lose all the forestry kids and their concentration spans in no time” (Field note F1999/R:6).

The prospect of finding the right person for the job reached a stalemate some minutes later. After Max finally identified another name of a suitable person in the locality, the manager retorted that Max’s choice was the wife of a police sergeant in another town who would not be acceptable to the trainees as they often discussed criminal-type activity during lunch breaks! The task of finding appropriate teaching personnel for non-traditional courses was a continuing challenge for Max in a region of small population.

**International student recruitment**

Although Riverside was located in a rural environment, it was not exempt from the pressures of internationalisation and securing extra funding generated by the presence of international students. Max played a pivotal role in overseas recruitment as co-ordinator of the international student programme and in his personal dealings with international students. The overseas recruitment campaigns were a considerable addition to Max’s workload; for example, one campaign took him to Thailand, Japan and China for three weeks of visits to parents of current international students, as well as to prospective families.

He was, however, assisted by a Director of International Students whose part-time job was to manage and help market the school’s international programme, and a homestay co-ordinator, also part-time, who managed all homestay arrangements with local families. Max’s task was to support the two managers, frequently by problem-solving difficult cross-cultural situations between students and homestay parents. On account of his leadership position, he was also asked to entertain visiting overseas dignatories and parents of international students, all part of an increasing demand on his public relations role.
Table 11 represents a coding summary of the overarching category of Managerial Connectedness and how each sub-property classification manifested itself in Max’s daily operation of his principalship. Alongside each sub-property is a list of personnel with whom Max had contact as part of his managerial responsibility. Like the case study of Helen Aiken at Hounslow College, a topic of interest was the increasing role and personal connectedness required of Max in the recruitment and co-ordination of international students at the school.

<table>
<thead>
<tr>
<th>PROPERTIES OF OVERARCHING CATEGORY</th>
<th>SUB-PROPERTIES</th>
<th>MANAGERIAL CONNECTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Administration</td>
<td>Day to day organisation</td>
<td>Receptionist, clerical staff, Director of International Students, Assistant Principal, Deputy Principal</td>
</tr>
<tr>
<td></td>
<td>Property management</td>
<td>Trustee responsible for property, senior team, staff, community members of gymnasium planning committee, external agencies and contractors (eg Ministry of Education, architects, engineers etc)</td>
</tr>
<tr>
<td>Employment Issues</td>
<td>• Staffing the school</td>
<td>Teaching staff, ancillary staff, PPTA official, Board Staffing Committee</td>
</tr>
<tr>
<td></td>
<td>• Redeployment process of a staff position</td>
<td></td>
</tr>
<tr>
<td>Curriculum and Change Management</td>
<td>• Non-traditional curriculum programmes</td>
<td>Ancillary staff</td>
</tr>
<tr>
<td></td>
<td>• National assessment and curriculum changes</td>
<td>Teaching staff, Board Curriculum Committee</td>
</tr>
<tr>
<td>Public Relations: International Students</td>
<td>Principal involvement in recruitment, marketing and co-ordination of international students</td>
<td>Recruitment agents, dignatories, visiting principals, international students and families, Director, homestay co-ordinator, local host parents</td>
</tr>
</tbody>
</table>

**Personal Dimension 2: Interpersonal Relationships**

*Students*

Max placed high importance on his people skills and on his ability to interact and communicate effectively with constituents in his broad-based school community. This ability to relate to the ‘front line’ members of his school was well demonstrated by the manner in which he managed relationships with his students.

A personalised interaction with young people, their lives and their learning was the hallmark of Max’s engagement with students. He frequently met with students in his office for a variety of reasons, ranging from career advice for the Head Boy to assist his application for an
external scholarship to the motivation of a senior student who required help in personal goal setting. Similarly, his continual desire to help motivate students was typified by his approach to the selection of the school prefects. As he cast his eye over the staff and student preferences for one year group, he carefully weighed up the advantages and disadvantages for some of the prefect prospects: a prefect appointment may help Students A and B to improve; equally, a non-appointment may help Student A question her behaviour while Student B would have to watch her attendance and her profile in the community.

Like Helen Aiken, Max made a point of walking around the site to feel the ‘pulse’ of the school and to keep in contact with staff and students. On one occasion, the researcher accompanied Max on a half hour tour of school classrooms. The student contacts en route included two boys working in an engineering workshop who drew a rebuke from Max to work, “from the plans and not what’s in your heads” (Field note F2000/R:5); two junior health classes and a senior graphics class where two female students were planning product concepts as part of a technological process. Max interacted naturally with them and vice versa.

A detour to the gymnasium saw Max attract the attention of a year 12 boy as he played volleyball and offer him congratulations for his performance in a national junior indoor bowls competition. This connectedness with his students also continued throughout Max’s two 30 minute lunchtime duties each week, as he walked around the grounds and buildings encouraging, chastising when necessary and fielding the occasional complaint, including one from two 11 year old boys that a local sheep truck had just tried to run them down! Max’s rationale for his student involvement was, as always, succinct and student-oriented: “We want kids to feel good about themselves, wanting to learn and feeling good about being at school” (Field note F2001/R:1).

This fervent wish to remain connected to the students extended to Max’s teaching of a year 9 remedial mathematics class. Despite his status as the school principal, Max’s teaching room was an old, stand-alone, wooden classroom at the southern extremity of the school. Here, he taught with considerable patience and with positive reinforcement of student work and behaviour. He was especially keen to ensure that he did not abuse his power status as the school’s leader, preferring the students to regard him as their maths teacher first and as the principal second. Although the role of teaching principal added to his already considerable
workload, Max was quite prepared to assume extra classroom responsibility: “It’s four hours a week I can’t really afford but it’s worth it for the contact with the kids” (Field note F1999/R:1).

As well as sharing in positive interactions with students, Max was also called upon to oversee disciplinary matters, particularly those of a more serious nature. During the periods of observation, Max was brought in to support the school disciplinary system on issues of repeated bad language, possession of drugs, abusive language to teachers and some instances of racial abuse. In each case, like Helen at Hounslow, Max listened with care to each student as they gave their version of events and the dialogic interaction that followed maintained the lines of open communication between student and principal. A useful example of Max’s skill in this area was shown in a meeting in his office with an overseas male student who, on account of cultural differences, had been making rude gestures to other students and showing antipathy towards female students and homestay mothers. Max dealt with him sympathetically in describing the unacceptable aspects of his behaviour and the need to make urgent changes if he was to be accepted into local homestay families.

Over the course of the research period, it became evident that more of Max’s time was being taken up with disciplinary and pastoral situations as more students were being referred for stand-downs, a temporary break from formal schooling to allow remedial or restorative action to take place. It appeared that the increasing numbers of stand-downs had risen in proportion to the increasing instances of student defiance or complete refusal to accept the disciplinary measures imposed by the school. For Max, this resulted in extra paperwork and contact with parents to seek solutions for their children. He tried very hard to avoid the ultimate step in the disciplinary process which was expulsion from school.

Staff

An integral part of Max’s principalship was the high level of interaction with staff members, both teaching and ancillary staff. Through numerous meetings each week, Max maintained contact with his teachers at staff briefings, head of department meetings, daily briefings with his senior management team, ad hoc meetings, as well as informal contact in the staffroom and in his office with individual teachers who took advantage of his open door policy of communication. One staff member described Max’s interpersonal skills as “outstanding”, and
this was evident during observations where he displayed unusual tolerance, understanding and empathy, often in quite confrontational circumstances.

It was noticeable that Max was not afraid to adopt an instructional leadership style in helping motivate staff, particularly in the area of improved classroom practice. He was able to draw on his personal and professional relationship with a teacher outside the classroom to assist his message of in-class instructional strategies. In the case of an issue of teacher competency in effective lesson delivery, Max was willing to provide guidance in questioning techniques, for example, yet also able to access external advisory support for the teacher in both curriculum delivery and classroom management.

The welfare of his staff was extremely important to Max. Warnings about staff stress that reached him were dealt with promptly and stressful incidents that occurred for staff were investigated with care and sensitivity. Like most principals, Max encouraged the informal social support system within the staffroom by arranging for cards and flowers to be sent on occasions of sickness and bereavement. It was important for a strong staff culture, he believed, that staff were supported in times of stress and adversity, and encouraged in the professional satisfaction of producing positive learning experiences for students.

In a small rural environment, it was essential for Max to look after staff as they were his most crucial teaching resource. This was acutely demonstrated during one winter observation when a staffing crisis developed as a result of an influenza epidemic. Max and his senior management team had used all their available relief teachers to replace unwell staff, even asking the researcher if he was available for relief teaching. The situation was exacerbated by the already intensive use of regular staff to supervise student study periods and to run smaller classes to accommodate the learning demands of less motivated students. Such was the seriousness of the situation that Max investigated the possibility of employing a full-time relief teacher to support staffing stability.

Board of Trustees and Parents

From these other members of the wider Riverside community, Max enjoyed considerable trust and admiration for his leadership of the school. He was a guiding light at board of trustees meetings witnessed by the researcher: encouraging, directing, disseminating information,
interpreting educational concepts and terminology for the board. He enjoyed an affable relationship with his board of trustees chairperson, again built on mutual trust and respect. Late one afternoon, the board chair required a room to conduct an urgent meeting at the school. Max insisted that he use the principal’s office, despite his own professional needs at the time. In turn, the board chairperson commented on his relationship with Max and his appreciation of the principal’s role in support of their trustees’ work:

From my point of view, the board of trustees … one of the reasons I stay in the job is because Max is there and it’s just so easy to deal with it. He’s so positive in his job and he gives us feedback on how we’re going. We feel part of the whole school.

(Field note F2002/R:3)

Similarly, Max’s relationships with parents reflected the manner in which he dealt with staff and trustees: open, sincere and unafraid to seek feedback from them on any aspect of their child’s schooling. On occasions, he was observed to invite parents to suggest one change they would like to see made at Riverside, without the imposition of any financial constraint. The responses were often insightful and, as Max pointed out, it was the most authentic feedback he could glean if he was genuine in his, “focus on my customers and the quality of the service we deliver here” (Field note F1999/R:4). This parental interaction at school, however, was only a small part of Max’s involvement in, and commitment to, the rural community in which he lived.

**Involvement with rural community**

Max was a very community-minded person, an attribute that was developed early in his rural upbringing and latterly in his leadership roles as the principal of two rural secondary schools. He felt a commitment to be involved in the affairs of the area and a need to be fully integrated into that community. As a consequence, early in his principalship, Max became a member of a local service organisation. He believed it was absolutely essential for the school principal to be involved in his/her community. The cost of not doing so could impact on school effectiveness:

If you can’t interact with the community as a rural principal, then you’re basically not going to succeed. And I’ve seen clear examples of that with other principals who couldn’t interact with their
communities and they didn’t survive. And the schools in those communities went downhill. That just shows you how important the role of the principal is.

(Interview T2004/M:4)

In addition, Max had to react to the demands and expectations placed on him by his community. Both the Deputy Principal and the Assistant Principal noted this as a major demand on his personal time and professional expertise:

The major demands affecting him were more along the lines of PR and building the school. That makes it seem as if he hasn’t had a great deal to do with the school. But basically, he was forming a unity with the school and the community … The demands, I think, especially in a smaller area, are put on the school by the community itself and any complaints in a small school go straight to the principal as well. So he was, basically, I would say, a PR person between the school and the community. But there were lots of other demands on him as well. Again, most of them were community-based. I think that’s indicative of all small schools; for example, the amount of time he spent on the community gymnasium.

(Interview T2002/G:1)

A significant illustration of Max’s desire to bring school and community closer together was his establishment and effective operation of house meetings with parents. His aim was to have eight house meetings annually with approximately ten parents in attendance. These meetings would give parents an opportunity to meet senior staff in an informal setting, to discuss a range of issues and to give Max valuable feedback on external perceptions of the school.

The researcher gained permission to observe a house meeting during one summer term. It took place at a parent’s farmhouse five kilometres out of town. In attendance were Max, his Deputy Principal, a male parent, five female parents and a senior student. The meeting began with parents filling in a standard questionnaire that Max used to elicit parental perceptions of school achievement. This information would be later collated to give anonymous feedback to staff and board of trustees. Max then spoke to the group about the nature and function of house meetings, the role of parents in assisting their children’s learning and the reporting process to staff and board of trustees.

The parents present were then given time to introduce themselves around the group before Max invited them to ask any questions whatsoever about the school and its daily operation.
Questions were asked about the school discipline system and aspects such as “What’s it [behaviour] like in the school playground?” The Deputy Principal responded to disciplinary and pastoral care questions as those were her particular areas of responsibility. Max followed up with leading questions to elicit general information; for example “Are you happy with what your children talk about when they come home?” and with reassurances to the assembled group that the school did like to hear from parents. For the remainder of the meeting, Max responded to parents’ answers in the initial questionnaire in order to give them immediate feedback on their concerns. As he had done with other parents at school, Max then invited these parents to nominate one change that they would like to see made at Riverside High School for the benefit of students. The resulting suggestions included rebuilding sections of the school, the use of the bike sheds and employing more teachers to reduce class sizes.

Why was this style of community/parental liaison so important to Max and his senior staff? In response to the field note records of the meeting shared with him later, Max revealed that human relationships and connectedness between home and school were vital for gaining valid feedback on his school’s performance and, “building professional and personal bonds with people who have fronted up to you in a room” (Field note F1999/R:4). He also reiterated his public relations motive that, if he was to remain competitive with urban secondary schools, he had to make it as attractive as possible for rural parents to keep their children enrolled at Riverside; hence, the on-going need for parental identification with the school and, “for something positive to happen here for their kids and they feel good about it, rather like running a shop and looking after your customers” (Field note F2001/R:4).

Table 12 presents a coding summary of the properties of the second overarching category, Interpersonal Relationships, together with its associated sub-properties and accompanying commentary on possible outcomes for the principal. What is of interest from this table is the extent of the interdependent relationship between school and parent group and, on a symbolic level, between principal and rural community.
Table 12 Coding Summary of Interpersonal Relationships: Max James

<table>
<thead>
<tr>
<th>PROPERTIES OF OVERARCHING CATEGORY</th>
<th>SUB-PROPERTIES</th>
<th>OUTCOMES FOR PRINCIPAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relationships with:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Students</td>
<td>Personalised contact with students in office, classroom tour, prefects, lunchtime duty, teaching a class</td>
<td>Enables principal to keep in contact with the 'pulse' of the school and reaffirms his raison d'etre for principalship</td>
</tr>
<tr>
<td></td>
<td>Care and concern for students, even in disciplinary situations</td>
<td>Reiterates principal's belief in a student-centred school where individual needs are acknowledged</td>
</tr>
<tr>
<td>Staff</td>
<td>Availability to staff/Open door policy for consultation</td>
<td>Enhanced communications and information sharing</td>
</tr>
<tr>
<td></td>
<td>Motivation of staff</td>
<td>Principal uses interpersonal approach and instructional leadership style to maintain positive staff performance</td>
</tr>
<tr>
<td></td>
<td>Care for staff welfare</td>
<td>Maintenance of strong staff culture, professional job satisfaction and stability of staffing</td>
</tr>
<tr>
<td>Board of Trustees and Parents</td>
<td>Key figurehead for board of trustees</td>
<td>Reinforces vital leadership role of principal for school community constituents</td>
</tr>
<tr>
<td></td>
<td>Parental perception of principal as guardian of rural children's education</td>
<td>Community identifies school as desirable and viable</td>
</tr>
<tr>
<td></td>
<td>Principal openness to critical feedback from parents</td>
<td>Use of authentic parental feedback to improve quality of educational service to students and their families</td>
</tr>
</tbody>
</table>
| Involvement with Rural Community  | PR link between school and rural community, as evidenced by annual series of house meetings with parents | • Opportunity to gain valid feedback on school performance and build a personal and professional connectedness with the wider community  
• Maintenance of rural school roll in the face of urban school competition |
|                                   | Community involvement via personal membership of service organisation | Enhances principal’s understanding of, and connectedness with, local rural community |

**Personal Dimension 3: Dilemma Management**

As noted in the research literature, the human dynamic and interchange between principal and teachers is an important consideration in the enactment of principalship. Like Helen at Hounslow College, Max’s principalship was not exempt from the unenviable task of making judgements in difficult situations, judgements that inevitably required the principal to weigh up individual interest against the common good of the majority or the long-term interests of the school. When a number of problem-solving or crisis management situations were
examined, there were examples of ethical, professional and political dilemmas that Max was called upon to resolve.

Unlike urban principals faced by the prospect of student expulsion, Max was confronted with a different set of ethical tensions and dilemma decision-making living in a rural community. He had to balance the needs of staff and students to be able to teach and learn, without impediment from a disaffected student, against two problematic considerations for that individual student. First, the student did not have the opportunity to attend another secondary school in the vicinity because there was none. Second, there was a degree of stigma attached to being expelled from a small community school. As the Assistant Principal pointed out: "Some families have lived here all their lives. To expel [their child] from the local school is almost to exclude them from the local community. So we try like hell not to expel if we can help it" (Field note F1999/R:13).

Professional dilemmas in schools often occurred where there had to be a decision made in favour of either a teacher or a student(s). Max was confronted by this situation in the case of teacher misconduct where a teacher had been grossly unprofessional. In a three week investigation that saw him work day and night to interview the teacher and all the students involved, Max finally established what had happened and identified the teacher’s abuse of power. On the one hand, Max had to consider the teacher’s positive profile in the school, his immense teaching ability and respect from parents. On the other hand, there was a lack of professionalism on the teacher’s part. He also had to weigh the interests of the teacher and their continued employment against the long-term interests of the school, and the role modelling and standards of behaviour expected of staff members.

The political dilemmas were no easier to deal with. During one year’s observation, secondary teachers throughout New Zealand had taken industrial strike action in support of improved pay and conditions as part of their annual employment contract negotiations with the Government and its agencies. At Riverside High School, staff had taken industrial action seriously and it had impacted on Max and caused him the greatest amount of stress of all critical incidents that year. The incident had revolved around the boys’ overseas rugby tour. Max takes up the situation in his own words:
We had organised a rugby tour overseas. I'd organised a beginning teacher to be in charge of rugby and to go on the tour and lead the tour. I was regarding it as his professional development. I was really going to go along and support him and give him guidelines etc, so that he would be able to do other trips over the years.

But when it came to the industrial action, to cut a long story short, the staff wouldn't let him go. And, as a young beginning teacher, he was led by the staff. What really annoyed me about that was that they were quite prepared to see that rugby trip fall over and not happen. Because I said to them “Well, he’s the one that’s in charge. He should be going. In actual fact, I could pull the pin too. I don’t see why I should run this trip if you’re not going to support it.”

They would have been quite happy for it [tour] to have fallen over. That really brassed me off because it just showed a difference between professionalism and unionism which brought out the worst, I think. Because if that trip hadn’t gone ahead, the impact on our community would have been huge. Parents worked really hard to fundraise, everybody was keen. If that thing had fallen over, there would have been so much anti-feeling by parents and kids, it would have spilled over into the classrooms and it would have damaged the school for years to come.

I’m not making too much of it because it would have. Obviously, some of your most supportive parents are your rugby-type parents. The impact on our teachers would have been really great in their jobs because of it. But what annoyed me was that they couldn’t see that. They were so tunnel-visioned on the pay increase (which is a valid argument, I’m not denying that), yet they couldn’t see the big picture. That would be the most stressful incident this year.

(Max’s resolution of the dilemma had been to lead the overseas tour himself. He had assumed this responsibility in the long-term interests of maintaining positive community relationships and, ultimately, protecting student numbers at the school. As he indicated in his interview transcript, Max did not find it at all easy to reconcile a matter of employment principle that benefited staff against the consideration of harmonious school/community relationships and maintenance of student goodwill. This highlights again the complex nature of the principal’s job and associated decision-making processes. It also signals the manner in which principals often call upon their own professional and personal values to help define solutions to problematic educational situations.)
Table 13 presents a coding summary of the properties of the third overarching data category, Dilemma Management, its associated properties and a description of the personal nature of each dilemma area.

### Table 13 Coding Summary of Dilemma Management: Max James

<table>
<thead>
<tr>
<th>PROPERTIES OF OVERARCHING CATEGORY</th>
<th>SUB-PROPERTIES</th>
<th>PERSONAL NATURE OF DILEMMA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ethical</td>
<td>Underlying problems of student expulsion in a rural environment</td>
<td>Availability of replacement school and associated stigma for student and family versus onus on school to meet learning needs of the majority</td>
</tr>
<tr>
<td>Professional</td>
<td>Issue of unprofessional teacher conduct</td>
<td>Principal required to weigh job retention, career and talent of teacher versus maintaining professionalism of staff and long-term interests of the school</td>
</tr>
<tr>
<td>Political</td>
<td>Competing claims from different constituent perspectives</td>
<td>Personal interest of salary and conditions of staff versus maintaining student goodwill and long-term relationships between school and rural community</td>
</tr>
</tbody>
</table>

**THE PERSON OF THE PRINCIPAL**

Fieldwork observations of Max’s principalship at Riverside High School supported previous research studies’ findings (for example: Wadsworth, 1990a) that the personal dimension of the job was an area of high demand and usage. This was evidenced by patterns of concepts identified in the propositional statements for each overarching category and analytic questions posed as part of each category’s broadening focus of inquiry (refer to format in Table 17, Chapter 6).

As in Helen Aiken’s case study at Hounslow College, there emerged a theme of the principal’s values or deeply-held convictions and the role that these values might play in underpinning leadership behaviours of the principal. Accordingly, the next stage of investigation explored the nature of the person behind the principalship by a process of in-depth interviewing of Max and of others significant to his principal role. These interviews focused on the topics of core values that informed Max’s actions, his sense of self and the personal impact of the job.
The focus of this case study of Max’s leadership at Riverside High School now moves from a general perspective of the personal dimensions of principalship to the person of the principal and a targeted exploration of values in Max’s leadership of the school. This exploration will comprise four overarching data-driven categories. The first overarching category of Core Values will be considered using six property coding categories of professional values, personal values, origins of core values, values alignment with school and community, values contestation and values affected by school context. The second and third overarching categories will focus on Influential Values on the Principalship and Sense of Self. The section concludes with the overarching category of the Impact of the Job on the Person of the Principal, together with associated properties of positive effects, stress factors, coping strategies, and personal and professional support.

**Category 1: Core Values**

*Professional values*

A recurring theme in observations of Max at work, and in focused interviews, was the drive to ensure a sound **all-round education** for his students: a mix of academic achievement, sporting and cultural opportunities, and the acquisition of a set of values and attitudes that would make them good citizens and contributing members of their community. Max made it clear, on several occasions, that he had an obligation to provide an education for students of different abilities:

> They’ve got to lead a full life. It’s not critical that people go and get A’s or go to University. It is just as valid for people to be working in shearing sheds, freezing works. People have different values and things they want to do and different goals. And those goals are just as valid as going to University. That’s a conflict I have ... If you’ve got a guy in an academic institution where they’re espousing academic values and academic success ... But I’m very aware for a large number of our clients, it’s not realistic and so you have to balance that with providing a Skills Pathways programme or opportunities to be in the choir and all those sorts of things.

*(Interview T2001/M:10)*

He also believed it was important to rural students that they participate in a range of opportunities while they were in secondary education. This belief was noted by the Deputy Principal’s comment on Max’s insistence that students take initiative and be exposed to experiential learning:
Something that he is really convinced about is that our kids need to have their experiences broadened ... So he’s on at the kids continually to take up all the options and opportunities whether it’s Spirit of Adventure or whatever – just to take risks, to have a go.

(Interview T2002/J:2)

A second professional value had been Max’s wish for all students to have a positive learning experience during their time at the school. He viewed the enjoyment of school as a prerequisite for engendering students’ love of learning so that they would want to be life-long learners who would, in turn, encourage their own children to want to go to school and to value education and learning. It was a deeply-held conviction that Max shared frequently with his Deputy Principal:

He’s often said to me that in this school, in this small community, a lot of the children are going to stay here and their children are going to come to this school. So what he wants for them is to have a positive experience so that we don’t pass on the intergenerational thing of hating school.

(Interview T2002/J:2)

Not only was Max searching for positive student outcomes in their love of learning, he was also keen for students to enhance their self-esteem and to leave the school feeling good about themselves, “so we’re into things like kids treating each other equally, with respect, all that sort of stuff, all those values” (Interview T2003/M:2). On a personal note, Max confided that he had a particular sympathy for those students who were bullied or who were unpopular. He talked about his sensing how that would shape them as they grew up and shape negative feelings within them. As a consequence, he had set out to create a positive school climate where children felt physically and mentally safe to grow and develop:

That physical/mental safeness is something I will really aim to try and develop here so that the underdogs, the ugly ones, the ones with poor personalities, can be able to be nurtured and to grow and develop without being put down and be bullied and hammered. It is something I believe very strongly in.

(Interview T2001/M:3)

There was also a strong connection between Max’s professional values and the exercise of moral leadership within the school. When asked for his general comments about moral dilemmas and distinguishing between right and wrong as part of his principalship, Max responded that principals do face situations where their key values are called upon to inform a difficult decision:
Whose interests do you put most at front? So, take a case of misconduct by a teacher. You can see that it might destroy their career and they’re a very good teacher perhaps. Do you minimise what they’ve done to protect them? Or do you think about the values of the profession, the way the students are likely to be affected in the future? So it’s who you put first. It comes back to what I said before about putting the kids first. Then, you really don’t have an argument. But there are times when you have to weigh that up.

(Interview T2002/M:5)

Those who worked closely with Max portrayed him as a very moral person:

He does distinguish between right and wrong – that would be in generally running the school. And, as I say, he exerts moral leadership and ethics, as I said before about the citizenship scheme, about generating morals within the school about what’s right and what’s wrong. But he’d never say “I’m more moral than you”, that sort of thing.

(Interview T2002/A:3)

He saw moral leadership as an integral part of his principalship but also as impacting on the students’ sense of right and wrong. He felt an obligation to do the right thing by his students and his community:

It is the belief thing that you devote yourself to the ideal and don’t just turn up from 9am to 5pm. You actually go out on Saturdays and watch the kids play sport and meet with their parents at night. That’s not because you’re getting paid to do it. It’s because you actually have a belief and that comes through in the moral leadership.

(Interview T2004/M:25)

A useful example of Max’s principal morality in action was his supportive reaction to one parental request to discuss the transfer of their child to another secondary school. Max offered to ring the other principal and arrange for the parent to visit. As he said to the parent, “If you genuinely think that the child’s going to be better off there, then you should do it. This is what we can offer.” (Field note F2003/R:9). Max was surprised at the number of times the child stayed with his school when he took that approach: “But I didn’t do it for that reason. I did it genuinely, to be honest and say we need the numbers but we’re actually working in the best interests of the child” (Interview T2004/M:30).

Although Max did not see himself as a morally upright person, he did acknowledge a value set that was important to him. In the school setting, and in his official capacity as principal,
he tried hard to adhere to those values as he did in private life. He did, however, concede there were occasions when he was only human and did not always live up to these values:

There are times when I want to go and get drunk [sober laughter] and tell a few lies. I'm not a pillar of society. I've driven cars faster than I should have; I've fished without a fishing licence ... Those are probably the worst extent of my crimes.

(Interview T2001/M:10)

For Max, another professional value that he subscribed to was that of a determined work ethic. He did not see himself as a particularly academic leader and so worked doubly hard to achieve results for his school by sheer application and diligence. He also showed a deep commitment to what he often referred to as the “craft of teaching”, and expected staff to display the same level of commitment in the classroom. As Max’s wife observed:

Staff are vitally important. He can’t tolerate anyone who can’t put themselves into the job. When he first came here, of course, he was fairly ruthless. I’d imagine he’d set reasonably high standards for his staff. He values that. Like if they’re willing to place the kids first, and he’s always telling them that they’re their clients and to work for them. He really values them [staff] and appreciates them.

(Interview T2002/D:6)

A further emphasis in Max’s principalship was demonstrated by the theme of citizenship expectations and awards that were part of the school achievement structure. All significant others affirmed how much Max admired core values such as honesty, integrity and truth, and lived these values out in his principalship. His board chairperson captured this sentiment in his description of Max’s deeply-held convictions:

I guess it’s his personal beliefs and wider interest in education. It’s just a sense of integrity, honesty, fair play, respect for people, human decency, a sense of responsibility, a sense of discretion. It’s very much part of his whole being and it does very much come through in what happens here at school. It’s very important. I think that’s why he is as good at the job as he is – because he has very high personal values.

(Interview T2002/W:2)

This set of values can be linked to Max’s establishment of a citizenship scheme for the students. Each student could achieve credits each week for help and care of others in the school, for accepting individual or group responsibility for the greater good of fellow students and for being good ambassadors for their school. The Assistant Principal described the
citizenship scheme as, “training the students to be good citizens when they grow up, good neighbours, good friends, good community – and trying to get the students at school to think that way” (Interview T2002/A:2).

Another core professional value that was observed in the enactment of Max’s principalship was his ethic of care towards a wide spectrum of people who constituted his school community. This was reflected by the Deputy Principal in a broad catalogue of Max’s objectives within the school:

Overall, with the whole leadership of the school ... yes, the care is definitely there. Because he’s passionate about wanting the kids to do well, to have opportunities, for them to enjoy school, to leave with positive attitudes, and for the community to value the school, and for the kids to think highly about their school. That’s where I see the caring coming in.

(Interview T2002/J:4)

Max’s ethic of care was often described by others in terms of his being a “people person” and his ability to read people and make sound judgements about them in regard to their personalities and their emotions. Examples included encouraging a senior teacher to consider career prospects of promotion; providing support for staff with challenging personal situations; and accessing specialised work schemes for students who were in danger of suspension. However, that did not mean that Max could not be objective in his support for staff. The Deputy Principal commented:

Yes, totally objective. Whereas I’m mentally thinking about ... if this teacher can’t improve, then if they lose their job ... and what about the home situation and all that stuff. But he can be quite clinical about it which I think is a real strength. And it doesn’t mean to say that he doesn’t care.

(Interview T2002/J:4)

Max himself, in reviewing his core values, cited his ethic of care as being, “absolutely to the fore and it ties in with the students’ self-esteem and building citizenship, fairness and justice” (Interview T2002/M:22).

Personal Values

As in Helen Aiken’s case, Max undertook the Rokeach Values Survey in order to determine his major terminal and instrumental values set. He was asked to prioritise the 18 values of
each set, then to discuss the importance of up to six top-ranked values and their origins from his family upbringing and personal/career experiences. Finally, he was to determine the three most and the three least influential values that impacted on his principalship (refer Appendix K).

Table 14 presents the survey findings of Max’s six most highly ranked personal values:

<table>
<thead>
<tr>
<th>Rank Order</th>
<th>Terminal Values</th>
<th>Instrumental Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Happiness</td>
<td>Honest</td>
</tr>
<tr>
<td>2</td>
<td>Self-respect</td>
<td>Capable</td>
</tr>
<tr>
<td>3</td>
<td>Freedom</td>
<td>Responsible</td>
</tr>
<tr>
<td>4</td>
<td>Mature love</td>
<td>Clean</td>
</tr>
<tr>
<td>5</td>
<td>True friendship</td>
<td>Independent</td>
</tr>
<tr>
<td>6</td>
<td>Family security</td>
<td>Logical</td>
</tr>
</tbody>
</table>

Max stated that his top-ranked terminal value of happiness was the most important end-state in his life. He believed that all human beings wanted to be happy through satisfying their needs. The element of self-respect was closely allied to the instrumental value of honesty, as Max believed in honesty as one of his most influential guiding principles: being honest with himself and with others was part of satisfying his need for self-respect. Freedom, in Max’s view, concerned the freedom to be oneself and to have self-control; again, he related this to human needs in his belief that being free was something that humans yearned for. His final top-ranked terminal values were mature love, true friendship and family security. In regard to these three values, Max considered that humans were gregarious creatures and that the need for love, companionship and family contributed greatly to being happy.

Like Helen, Max’s top-ranked instrumental values began with honesty, being honest with himself and with other people. It was a value that he consciously tried to identify and maintain. For Max, it had to be an overt factor in the exercise of his principalship:

Some people have values that they don’t necessarily have pinned to the wall. But I encounter so many situations where you can cover up or you can be honest, and so that value has had to be in front of me quite a lot, particularly in a management position.

(Interview T2004/M:12)
Another highly ranked instrumental value was being capable. For Max, this meant optimal performance in his principalship, as he felt driven to do well at any task. Responsibility related to doing things right and to a feeling of honesty. Max preferred the word ‘orderly’ to the value of clean, as he appreciated a sense of orderliness and things in sequence and in the right place. Neatness and tidiness had to be achieved before he felt good about doing his job. Independence was linked to a sense of freedom and particularly having the freedom to make his own decisions: “I think I would find it difficult working for somebody who was very autocratic and didn’t give me the room to move and respect my professional views and decisions” (Interview T2004/M:10). Finally, the value of logicality was linked to the value of being orderly, in terms of Max’s need for justification for actions that happen or are required to happen:

I like things to be nice and clear and ordered and organised, and a good reason for doing things. I’ve always got to see the reason behind something before … I’ve got to be able to rationalise it before I can do it.

(Interview T2004/M:7)

Of the 36 terminal and instrumental values presented to him as part of the Rokeach survey, Max identified four that he believed were the most influential on his job. Happiness in the principalship meant trying to keep the job in perspective so that he had a reasonable quality of life along the way, for himself and his family. It did require, he felt, a real determination to achieve the right balance between his professional and his public life. For example, he aimed to finish work by 4.30pm on Friday nights, keep one school-free day each weekend and to avoid undertaking professional development courses during school holidays.

The second and third influential values impacting on his job were those of honesty and self-respect. With other people, he tried to “front the issues” and not back away from what needed to be done in the best interests of students. As far as students were concerned, Max tried hard to emphasise the theme of honesty through assembly speeches and during student interviews. Often in disciplinary incidents, there would be a lesser penalty for the student who had been honest about their behaviour. Within himself, Max aspired to be honest about what was driving him in his decision-making and choice-making. This was an important guiding principle for him: being honest with himself was part of satisfying his need for self-respect.
On a question of ends and means, Max admitted that he would be guilty of using a variety of means to get the end result he wanted but that he would not lie to achieve that end:

Then you get into shades of what is true and what is not. What’s deceitful and what’s not? There is manipulation. I don’t know if that’s being dishonest. In my mind, I define dishonesty as basically telling a lie, an untruth. But I regard manipulation as valid, as one of the things we have to do [in the students’ interest].

(Interview T2004/M:30)

Max identified the fourth influential value on his principalship as responsibility. In relation to other people, Max promoted widely the concept of individual responsibility for one’s actions, for students and teachers alike. From his own perspective, Max believed that principals were moral leaders whether they liked it or not. They helped to set a standard of acceptable behaviour in the community and had a lot of power and influence over people’s lives. Therefore, he saw a huge requirement of school principals to be responsible leaders.

Max was asked to verify lines of influence between the ranked personal values that impacted on his principalship and his professional values that affected leadership directions of the school. These rankings and influential links are displayed in Figure 7.

**Personal Values**

1. Happiness
2. = Honesty
2. = Self-Respect
4. Responsibility

**Professional Values**

- Balanced All-Round Education
- Positive Learning Experiences
- Enhanced Self-Esteem
- Good Citizenship
- Moral Leadership
- Work Ethic
- Ethic of Care

*Figure 7 Linkages between personal and professional values: Max James*
Max identified four key personal values that he believed had a significant influence on his core professional values: happiness, honesty/self-respect and responsibility. In Max’s opinion, the terminal value of happiness had a far-reaching influence on his professional values of a balanced education for students, positive learning experiences for them which would enhance their self-esteem, and it underpinned his core value of an ethic of care. The value of happiness impacted on an end-state Max wanted for his students:

That is something I try to get across to the students. Some of the assemblies … the happiness. Because when we educate the students, we constantly ask ourselves: What’s it all about? What are we trying to achieve for them? It comes back to that balanced education. Obviously, we want them to get a qualification to enable them to get a good job.

But the ultimate thing we want in their lives is for them to be happy. For example, a lot of teachers really push hard that they should be aiming for Bursary and then university and so on. But the reality is that working in the freezing works is just as valid. If they’re happy, they may be working in the freezing works and have hobbies that are amazingly interesting. So it’s important that we keep that perspective. And being happy – what’s it all about? Happiness in one’s life!

(Interview T2004/M:14)

Max ranked honesty and self-respect together as the next most influential values in his principalship. Both personal values were closely connected to the professional values of work ethic, good citizenship and moral leadership. He had previously indicated that his self-respect as a principal was largely gained through the value of honesty. This seemed evident in his conscientious approach to the job, his clarity of community values in citizenship awards and in his beliefs about the difference between right and wrong in the exercise of moral leadership. Similarly, his value of being responsible was reflected in the belief that principals were compelled to be moral leaders in their school and had a responsibility in modelling norms of acceptable behaviour within the wider school community.

**Origins of core values**

Max believed that foundational influences on his core values could be found in his family environment and in his teaching career experiences. First, he noted the value of happiness emanating from lifestyle decisions he and his family had made rather than economic decisions. While they had not sat down and philosophised about it, Max and his wife were determined to keep a balance between his principal’s job, family needs and relationships.
Second, Max was sure that life and career experiences had influenced his value of *self-respect* in terms of rejecting his unacceptable behaviour patterns:

One of the big changes in my life is from being a confrontational, loud, argumentative, controversial person to someone with perhaps an anger management problem, like a quick flashpoint, to a person who has recognised that those are not good traits and had consciously set about to change them.

(Interview T2004/M:10)

He believed he had learned to derive self-respect from a position of power and competitiveness, and often referred back to his early upbringing as being the “top dog”, the oldest in the family, the organiser, the child in control of even children’s games. Over time, he had managed the transition from gaining self-respect through power to maintaining self-respect through co-operation.

Third, Max believed his lack of adventurous nature as a child and his mother’s cautious protectiveness of him had led to his value of *freedom*, not only in his own life but also to avoid a natural protectiveness towards his children. It was a feeling he suppressed because he had not wanted his children to be cautious in the way that he was: “So consequently, our kids have got out and waterskiied, bungy jumped, done all those things. So I think possibly that’s where the sense of freedom emanates from: the constraints and the freedom just to get out and do things” (Interview T2004/M:11).

Finally, Max considered that his integral value of *honesty* had its origins in his Methodist/Presbyterian upbringing where honesty and truthfulness were always emphasised. A family incident, when Max had been made to apologise publicly for being deceitful, was a powerful reinforcement of the principle:

I had to walk down this road a couple of hundred metres to where this guy lived [and apologise]. It was the longest couple of hundred metres I’ve ever walked in my life! That was rather salutary. It was more about being upfront and not being deceptive or deceitful. So that’s probably a major experience.

(Interview T2004/M:12)
Values alignment with school and community

In discussion with the researcher, Max reflected on the diverse nature of the rural community in which he worked:

... from a group of people who lived off the land effectively in that they went and hunted their pigs; they did a bit of shearing, got a bit on the benefits where they could and had a damn good time ... right through to your very strong Christian Presbyterian community, your traditional farming community.

(Interview T2004/M:26).

He felt it was important to understand that different communities existed within a community and to establish his position in terms of meeting their needs. The messages he and his team received from the traditional sector of the community were positive in regard to maintaining academic standards, the emphasis on uniform, behaviour in class and attendance.

Max found that Riverside was not the easiest school to operate in, in the sense that it was a school with a lower socio-economic grouping at its base. This meant that the community was subject to social challenges which impacted on the school in taking time away from academic education. Despite the challenges, Max saw a values alignment between himself and the rural community:

I made the choice to stay in that environment because it fitted with what I believed in. But I felt that as a team, we were making a difference for those kids because of the values, the moral values etc that we were getting across.

(Interview T2004/M:8)

It was this diversity within the community that Max saw as a causal factor in his and the school’s professional value of providing a balanced all-round education that covered both academic and vocational pathways. This value was important to Max but, “it just depends on what the school’s about and what community it’s reflecting” (Field note F2003/R:2).

The school community also provided a values context against which Max measured the ramifications of his leadership decision-making and the values match that informed such decision-making:
There are so many situations that you have to deal with that, if you have the wrong values impacting on your decisions like selfishness, ego, wanting to be seen as important, you can make the wrong decisions. It has a tremendous impact on the community, on your staff, on the kids. And even if it’s not an immediate impact, it can be stored away, put on the shelf by people who will then take it off the shelf later.

(Interview T2004/M:5)

His personal and professional values were an essential basis in school decision-making processes and it was important to him that his values were supported by the community:

Some might say I’m a bit of a self-righteous person. Like, I’m pretty strong on my values, what I believe in, and so I don’t have a lot of problem in sticking up for those ... And it doesn’t faze me if they’re hard decisions if I believe them to be right. (I’d be no good as a politician!) … At times, you do feel as though you are the last one in the line, sort of thing. And you’re the one who has to take responsibility, sticking up for the things that you hold to be important. You hope that the values you hold are the same that other people hold too.

I can’t change what I believe in. But then you talk to other people: again chairman of the board, board members. They reaffirm that they want you to hold to those values, despite some rumpy views from some parents. You also test other parents and you find that what you’re holding to are the ones [values] that they believe in too, and that then strengthens you to get in there and deal with it. You are not the only one, really, anymore. It’s just that you’re in the front line here.

(Interview T2002/M:6)

Max was very aware of his values consistency in the eyes of his staff and of the necessity to ‘walk the talk’ in the way he led the school. It was not simply a matter of having sound interpersonal skills to form a positive relationship with staff:

Of course, you’ve got to be a really good people person with your staff. You can be all hale and hearty … Actually, it comes down to the values thing again. Because if you’re going around … g’day, how are you? Let’s go and have a beer on Friday night! – and all that stuff … But underneath it all, you’re cutting people on contracts, you’re doing things that staff aren’t happy with … all the interpersonal front in the world is not going to make you accepted.

(Interview T2004/M:4)

Nor, in the context of a rural school, was it a case of ignoring moral aspects of the principal’s personal values system:
You actually have to have an underlying set of values which you project and carry out in your daily life that the staff also agree with. Even in terms of your moral and also your family situation ... let’s say as the principal you are right up with the staff, but then you walk out on your wife or husband and did some things which were not acceptable in the community. It’s not just that you relate well to the people that’s going to carry you through. You’d be dead meat in a lot of schools, particularly in smaller rural schools, if you did that sort of thing.

(Interview T2004/M:4)

Thus, a picture began to emerge in Max’s principalship of the role of the principal as a values guardian. There appeared a self-assumed role on Max’s part, stemming from his own personal values standpoint and one he revealed in reflective discussion with the researcher:

I’d have to say throughout much of my career, I was driven by doing the right thing for the kids and the country and those values that you’ve written of there. If you leave, you almost feel like you’re running away from the values that you really believed in, like the value of trying to do the best for the kids. In the past, I haven’t wanted to leave it to someone else. I’ve wanted to be the key person.

(Interview T2004/M:1)

Max later reiterated this self-perception in a discussion of metaphors that best described the state of his principalship. The clearest image that appeared to him was that of a front-line policeman “holding the line” to support the law of society. In a school context, Max saw the metaphorical application in upholding disciplinary situations and, at a deeper level, “I’ve often seen myself as a principal holding the line of what people see as right and wrong, that set of values” (Interview T2004/M:7).

Of further interest in this research study was the extent of a synchronous values match in terms of how shared values between principal and school constituents might come together in a sort of spiritual connectedness. Max’s reflections on situations where he felt a deep-level connection with people began with reference to particular staff with whom he interacted:

Certainly the guidance counsellor-type things ... I used them as sounding boards, getting at the deeper level of things. In terms of the religious aspects, dealing with the school chaplain and the local minister, just discussing where I stood on those issues was a sort of surface spiritual stuff.

(Interview T2004/M:21)
In regard to deep-level connections with students, this was exemplified for Max by outdoor education experiences with Year 12 students. As a precursor to their final year at school, the students interacted continuously with staff at a peer support camp. As a result, according to Max, “the kids just came back so changed as people because they’d had that opportunity to sit with their teachers and relate as adults at the same level” (Interview T2004/M:30). Why, then, was this camp experience so meaningful for the students? Max thought that the answer appeared to be in a more profound level of connection between adults and students:

I felt the real bonds were when people sat around and had time to talk. And structured talk too, not just general chat. For example, talking about values and that sort of thing: What do you think about smoking and dope and that sort of thing?

(Interview T2004/M:33)

Like Helen Aiken at Hounslow, Max alluded to a feeling of corporate spirit within the school and to feeling that the school was greater than any single member of it, himself included. He had experienced this feeling at the conclusion of successful events, such as a school concert, sports day or prizegiving. In the end, Max believed, there was a greater culture and ethos at work that went beyond the leader of the school:

That’s another thing that we, as principals, have to reflect on and be aware that, once we hop out of the pond, life will go on. I think there’s probably people who get trapped into it. I’m aware of principals who think they are the school but they’re not. It’s the kids, the parents, that whole spiritual thing.

(Interview T2004/M:22)

What did Max mean by that “whole spiritual thing”? He responded that Riverside did have a real sense of tradition, of the people that had gone before and the legacy they left behind. In his first ANZAC day assembly at the school, Max did not know about the traditional format that was normally followed:

The next thing, there was a complaint to the board from students about how I had broken the traditions of the school. I didn’t realise there was a set format for ANZAC day. You had to stand up and read the names of the fallen of the community in the First and Second World Wars, and a couple of other verses that had to be read out. I didn’t realise they existed. I didn’t do it and the kids took me to task. That’s when I learned that there was a lot of tradition attached to the school.

(Interview T2004/M:23)
Max saw then that there was another side to the school. Here was a community holding on to some traditions that were being maintained by its younger generation. He now understood a little more about his community’s values, “this spiritual thing – the spirit’s been there for a long time” (Interview T2004/M:25).

Values contestation

While there were positive connections between Max’s core values and those of his school community, there were also instances in the research data where his values and beliefs came into conflict with those of internal and external school stakeholders. In relation to students, Max regarded values contestation as a foregone conclusion and part of adolescent growth and development:

> With students, there are just so many clashes of values because you’ve got the values of a middle-aged man versus the values of a teenager. You’re always running into those different values and ... I know there’s lots of instances ... every time they walk through the door! Ear rings, body piercing, long hair.
> (Interview T2004/M:18)

Similarly, there were always going to be values conflicts with groups of parents between their chosen direction for their child and that of the school. Max shared an issue concerning Maori language learning in which a set of parents had refused to allow their children to learn Maori because they believed it was not important. In this case, Max felt that the educational and social learning value had conflicted with a parental racist perspective. On a broader level, Max appreciated the diverse values that existed within his parent community:

> From a rural principal’s point of view, it is important that people see that you can live alongside a whole different range of values. I think my values were different but I accepted their values, that those were their values and that’s the way it was. But I had to be able to outwardly show that I accepted their values because if I didn’t, they wouldn’t have communicated with me.
> (Interview T2004/M:27)

Max did concede that there were some values that he could not live alongside or condone. This was symbolised by one values conflict situation that Max was unable to accept:

> You quite often see values situations, like at the local hotel. A parent regularly has his 12 or 13 year old son with him to drive him home. He’s given the kid a pint of beer and I had real problems being in the
same room as that. That would be one time I would go into the other room. I couldn’t really live alongside that value.

(Interview T2004/M:27)

Unlike Helen Aiken’s variable relationship with her board of trustees at Hounslow College, Max could not recall any situation with his board when he had a distinct values clash with a trustee. He conceded it was rare to have a board with a set of values that he opposed:

I was always trying to have open and frank discussions with my board members about our values and what we stood for, in the sense of our decision-making. I used to probably challenge them head on if I thought the wrong things were coming through. To their credit, people would stop and reflect. I’ve been lucky with good board members.

(Interview T2004/M:18)

External government agencies provided another source of values contestation for Max. His perception of the conflict was essentially that of the values of a national bureaucracy versus the values of a contextualized and idiosyncratic perspective of a school and its community. Max saw a disjuncture between his personal and professional values and what he wanted for his school and community, and the ‘counter’ values of central agencies and their drive for efficiency and accountability:

Yes, the values of accountability is probably ‘measurability’. That the bean counters want everything to be nailed down. I guess that’s been one of the big conflicts for teachers all the way through because it’s their professional judgement versus hard data. A lot of the things you’re dealing with... the data are very subjective and it’s very difficult to produce data that the bean counters always want.

In trying to produce that data, it actually tailors what you do because you try to develop programmes to give them the information they want. And those programmes are not necessarily the ones that best suit the students. They are just programmes that best suit the bean counters. So I guess that’s the underlying values conflict.

(Interview T2004/M:19)

Max was referring to the teaching of curriculum content. He felt strongly, for example, that teaching rigidly to achievement objectives in the new curriculum had changed the face of teaching in schools because it tested objectives that teachers were told they had to cover. The Education Review Office had wanted to see a plan for achievement objective coverage and that teachers were recording the coverage. Max lamented what he saw as an inflexible approach imposed on staff to the detriment of quality teaching and learning outcomes:
If they have to turn every experience into a set of objectives, it sort of takes the fun out of it – and teachers like to think that teaching can be fun ... So that captures another example of the [values] dilemma, of what the institutions say is right and what you know professionally is not actually achieving the best thing for the kids.

(Interview T2004/M:4)

Similarly, Max saw a contestation of his core values with the political values underpinning the market forces model of education that produced a competitive environment among schools. On the one hand, Max’s leadership style was characterised by co-operation and consensus. On the other hand, the market forces model demanded that quality of schooling be achieved through inter-school competition, hence the necessity at Riverside for Max to be heavily involved in marketing practices:

It’s been a driving necessity for marketing and all that sort of thing. I’ve always held the view that schools should be accountable (How you measure that, of course, is the issue). That’s what we all want. Some leanings in politics are to gain that by competitiveness, that’s the market forces model. I don’t believe that is the best way to achieve high quality education.

(Interview T2004/M:19)

The contestation of values between Max and his staff was well demonstrated by the rugby tour incident and it served to illuminate competing forces at work within a principal’s management of personal and professional dilemmas. On one side were the professional values and claims of the teachers who were seeking a conclusion to their national contract negotiations for improved pay and conditions of employment. As a consequence of industrial action, they had declined support for the overseas tour and withdrew their goodwill to staff the trip.

On the other side, despite the employment principles at stake, this approach by staff had confronted a number of Max’s deeply-held values. From a student viewpoint, it ran counter to his professional values of providing a balanced all-round education that attempted to meet the needs of the whole range of students. In Max’s eyes, cancellation of the tour would also have resulted in depriving students of a positive learning experience and the opportunity to develop their self-esteem that they were worthy enough to undertake such a sporting venture. Equally, there were evident links between Max’s personal values of happiness and self-respect as positive outcomes of such a trip.
From a community perspective, the tour’s demise would have been at odds with the interdependent values shared by school and community, that *esprit de corps* which saw students, parents and teachers working together in a common cause. It was always of immense concern to Max that the school-community relationship was functioning well. It not only ensured district support for the educational standing of the school but would benefit the image of the school as a positive place where educational opportunity, in the broadest sense, was not inferior to that offered by urban secondary schools. Hence, it came as no surprise to the researcher that Max himself undertook to be the substitute leader of the boys’ rugby tour. It was as much about the preservation of the core personal and professional values he believed in as it was about the protection of the school roll.

Another feature within this focus on values contestation and dilemma management was the issue of values adaptability. The principal was not intractable in his values stance and was prepared to adopt a flexible approach according to the context and potential ramifications of the situation. For example, Max found himself in a dilemma of weighing up his personal value of honesty against the professional interests of a teacher. Some students had responded in a quality teaching survey about a teacher’s personal hygiene. Max reflected that it was the students’ perception and that nothing would be gained from letting the teacher read the students’ comments:

> It’s an interesting thing. How does that fit with the honesty policy? Yeah. Again, it’s making a value judgement against my own moral stance. So I have walked away from it a few times and the best interests can be justified. Who decides what’s in the best interests?

*(Interview T2004/M:13)*

The answer is that it is frequently the principal who assumes responsibility for making decisions about whose interests are best served in any given situation. Sometimes for Max, it was a case of not relinquishing his key values but strategising a problem from a different angle, including the prospect that others were right in their assessment of the “real big picture values stuff”:

I have had that situation on several occasions where I’d try and do something with the staff, and I’d sense the body language in the room, the atmosphere, and I’ve said ‘Look, let’s forget this and just leave it.’ And I’ve walked away. But then I found other pathways. It comes
down to checking out whether what you’re trying to do is really the best way in your own eyes, reviewing what you’re thinking. Market it a bit better. Go to the key people. And maybe you’re wrong … you have to accept that.

(Interview T2004/M:29)

Values affected by school context

A question related to values contestation that emerged during the research study was the extent to which a specific school context, in this case a rural environment, caused particular values tensions for the principal. For Max, these tensions occurred in the areas of small staff proximity, national curriculum demands and his teaching principal responsibility.

In Max’s opinion, the contrast between principals of urban and rural schools living out their core values was real. He described his view of the distinction as follows:

In terms of those core values, they are more exposed, I think, in a smaller school, particularly in a community school. In the urban environment, the school is not such a focus of one’s life. People head away into a whole world beyond the school. Once they leave the school, they don’t actually see it physically. But in a rural area for teachers, for example, school is still one of the centres of the community. It has a physical presence. Whenever they drive down the road, there’s the school. They’re constantly confronting the school in terms of the kids and parents that they’re seeing as they walk down the street.

(Interview T2004/M:19)

In relation to his proximity to a small number of staff, Max confirmed that his values were placed under greater scrutiny as a result. He believed that his values were exposed in a public way and witnessed constantly:

I think in a bigger school, there are a number of buffer zones between you and the other staff. So probably a lot of people don’t actually get to see the real values of the principal. They may stand up in assembly and talk about honesty but you may not actually see that [value] being lived out. Whereas in a smaller school, people have much more direct access to the principal. He or she is interacting with them on an hour by hour basis: in the staffroom, in the playground, round the classrooms but also out having a beer and so on.

(Interview T2004/M:20)

Max’s values contestation with government agencies also confirmed the pressures placed on a small rural secondary school in terms of national curriculum demands. In this area, Max
perceived that there were challenges and tensions faced by rural principals. For example, their capacity to offer a broad range of subject choices while faced with single figure class sizes and having the requisite staff expertise to teach the subject. The value of Max’s balanced all-round education was continually tested by such realities of scale. Yet, it was a challenge that rural principals tried desperately to meet, according to Max, by being more innovative and creative in the strategies they employed to circumvent these curriculum demands.

There were also values tensions within Max’s teaching responsibility. On the one hand, Max wanted to maintain self-respect through high performance as the professional leader and manager of the school. Yet, the need for him to be an instructional leader for his staff necessitated a continuance of teaching to maintain his currency in classroom practice. There were, as he said, some underlying drivers for his continuing to teach, “values drivers, personality drivers, as well as professional in terms of the instructional leadership aspect” (Interview T2004/M:23).

Category 2: Influential Values on the Principalship

A second aspect in the consideration of the person of the principal was to explore the potential impact of Max’s most influential personal values on the exercise of his principalship. The data information from Figure 7 was used as a basis for such an exploration in that it displayed Max’s own identified linkages between his most influential personal values and his professional values.

Two further sections of values influence were added. First, relevant information from Max’s personal history which displayed his perceived origins of his chosen influential personal values. Second, a summarised list of specific leadership behaviours was derived from the case study data and positioned alongside its corresponding professional value. In this way, it was possible to trace potential connections from original values acquisition through to key personal values that may, in turn, influence professional values that elicit specific leadership behaviours from the principal.

Table 15 presents a summary of influential values and their origins which could be linked to specific leadership behaviours within Max’s principalship:
<table>
<thead>
<tr>
<th>Perceived Values Origins [Associated values in parentheses]</th>
<th>Influential Personal Values</th>
<th>Professional Values Affected</th>
<th>Specific Leadership Behaviours</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Family:</strong> Strength of a supportive family provides on-going stability. <em>[Balance in life]</em></td>
<td>BALANCED ALL-ROUND EDUCATION</td>
<td>Broad educational experiences achieved through: • Leadership of diverse curriculum programmes that provide for academic achievement, sporting and cultural opportunities • Preparedness to manage and/or coach extra curricular activities</td>
<td></td>
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<tr>
<td>Early lack of interest in learning promotes later identification with unmotivated students and a determination for a positive learning experience. <em>[Self-esteem, positive learning experiences, ethic of care]</em></td>
<td>POSITIVE LEARNING EXPERIENCES</td>
<td>Positive learning experiences for students achieved through: • Co-operative and non-threatening leadership style • Employment of motivated and enthusiastic teachers Teaching junior classes</td>
<td></td>
</tr>
<tr>
<td>Prioritisation of lifestyle decisions over economic decisions. Balanced personal lifestyle reflects desire for balanced educational programme at school. <em>[Balance in life]</em></td>
<td>HAPPINESS</td>
<td>Leadership of the school culture through: • Creation of school ethos that encourages equal opportunity, respect • Sensitivity towards unpopular students • Creation of a positive school climate that assures mental and physical safety</td>
<td></td>
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<td></td>
<td>ENHANCED SELF-ESTEEM</td>
<td>Care for school community achieved through: • Vision for students to achieve, enjoy school and leave with positive attitudes • Genuine support for personal and professional needs of students and staff • Building values of citizenship, fairness and justice</td>
<td></td>
</tr>
</tbody>
</table>
Family:  
Religious upbringing emphasised and reinforced the principles of honesty and truthfulness.  
\[(Honesty, citizenship)\]

Career experiences:  
Inspirational principal who played an effective role as a father figure and instructional leader in a rural school.  
\[(Work ethic)\]

Change from seeking self-respect through power to maintaining self-respect through co-operation.  
\[(Self-respect)\]

Change from early teaching experiences of negative outcomes and polarisation of people to more reflective and considered courses of action.  
\[(Moral behaviour)\]

<table>
<thead>
<tr>
<th>HONESTY</th>
<th>GOOD CITIZENSHIP</th>
<th>Qualities of a good citizen encouraged through:</th>
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<tr>
<td></td>
<td></td>
<td>• Student citizenship achievement awards</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Role modelling of citizenship values by the principal eg values of honesty, integrity</td>
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</tbody>
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<tr>
<th>WORK ETHIC</th>
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<th>Work ethic achieved through:</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td>• Consistent application and diligence in principal’s job</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Instructional leadership to assist classroom teachers</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SELF-RESPECT</th>
<th></th>
<th>Moral elements of leadership conveyed through:</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>• Responsibility for decision-making in ethical, professional and political dilemmas</td>
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<td></td>
<td></td>
<td>• Transparency in rationale for decisions made</td>
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<td></td>
<td></td>
<td>• Desire to do what is right in the interests of the school and its students</td>
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<td></td>
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<td>• Role modelling of moral principles</td>
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For example, it could be argued that Max’s personal value of self-respect had part of its beginnings in his early teaching career experiences where he was forced to confront his aggressive and confrontational approach to working with others. This change from gaining self-respect through power to maintaining self-respect through co-operation could be seen to influence his professional values of positive learning experiences, enhancing others’ self-esteem, and the qualities of good citizenship. In turn, resulting leadership behaviours were observed in areas such as the co-operative manner in which he dealt with students and staff, his creation of a positive school ethos and qualities of honesty, integrity and respect expressed in the school’s citizenship awards.

Like Helen, Max’s linkages of influence were supported by the case study data obtained at observation and interview. There are potential links between Max’s personal values and his professional values that help signal the school’s educational directions and emphases. This
scope of influence will be examined further in subsequent discussion of the two case study findings in Chapter 6.

**Category 3: Sense of Self**

This study of the person of the principal at Riverside High School also revealed a third aspect of a sense of self as an important feature of the manner in which Max performed his job. Max shared that he was fortunate to receive a lot of positive feedback in his role and very few negatives. It was not, however, the positive comments that sustained him but rather how he felt about himself. To him, self-approval was the most important approval and it was reinforced by the approval of others. He did admit to being reasonably self-sufficient and attributed part of that to his ambulance officer duties prior to being a principal, where he often dealt with tragedy and had to rely on his own physical and emotional resources to cope with trauma. Nor was he afraid to make a mistake and to be judged accordingly. It did, "take a bit of the heat off and that comes back to your self-image, I suppose" (Interview T2003/M:10).

His strong sense of self was borne out by observation and by others close to him. It was noted, in his office and in the staffroom, that Max’s self-worth appeared to help him field criticism with magnanimity, whether it came from an individual teacher or during a full staff meeting. He never reacted defensively nor emotionally. This sense of self-worth and self-reliance was commented on by one respondent who described qualities that enabled Max to deal with occasional public comment:

I’d say he’s got a very strong sense of self. He’s very aware of what he likes and doesn’t like. He’s not afraid to show what might be regarded as slightly less than a politically correct side to him: rugby and social times! He doesn’t try and hide that, although he’s very careful about when he allows it to be shown. He’s aware of that and people do have him on occasionally which he takes in a good natured way.

(Interview T2002/X:7)

Other respondents made comment on Max’s self-confidence as a principal. One of his senior management team put that down to confidence born of experience in his previous principalship and the professional objectivity that experience produced in times of stress. Another senior team member said that Max had a vision, not necessarily a fixed one, that gave him direction about what he wanted to do and how he would achieve it:
He knows exactly what he’s doing. I’ve seen him shout a few times. I don’t think I’ve actually seen him lose his temper. Very self-confident. That may sound too brash: he’s assured, he knows what he’s doing. I think he’s been in teaching and a principal long enough that nothing’s really going to shake him. He knows what he can do. He’ll sometimes go outside his abilities but, I mean, he won’t back off from something.

(Interview T2002/G:3)

In an interrogation of the data similar to Helen Aiken’s case at Hounslow College, Max and those who worked closely with him were asked why principals invested so much of their self in the job. For Max, there were various reasons put forward to explain his high level of commitment to the position. First, in the opinion of his senior team, the current workload and expectations of the position demanded that Max spent many hours clearing his desk of administrivia. Often, it was not material that could be easily delegated to other staff and, therefore, required the principal’s individual attention. Second, Max identified that personal pride in doing a really good job, and professional satisfaction in running a successful educational institution, were motivating factors for him.

A third reason behind Max’s commitment to the principal’s job was his genuine belief in helping the local rural community. As has been noted, Max made a determined effort to be integrated into this community. He was well known and well liked for his involvement in activities, such as school publicity, gaining community feedback and coaching sports teams. Finally, Max showed a passionate belief in the intrinsic worth of his students, their growth as citizens and in giving them a quality education. He reflected on one of his main reasons for investing so much of himself in the job:

It’s the whole thing about doing the best for the kids which has always been a driving factor. I keep coming back to the old saying: the leaders of tomorrow are in our classrooms today. If we want a good country in New Zealand, then we have to invest in the young people. I can leave that responsibility to others or I can do my bit. I honestly do think that I’m doing my bit towards creating a good future for New Zealand by dealing with some little tiny slice of it.

(Interview T2002/M:2)

His enjoyment in watching his students grow and develop was always manifest during each end-of-year prizegiving ceremony. Max took great pleasure in watching his senior students graduate at age 18, having entered the school at 11 years of age. It was just as obvious in his discussions with ex-pupils after the prizegiving about their working lives, tertiary courses and
sporting achievements. It was clear that Max believed that he and the staff could make a difference to the academic and social lives of his students, a fundamental point reinforced by his wife in a later interview:

He truly believes in it. He really believes that he can make a difference. I think most teachers get really disgruntled. Being a teacher myself, I’ve been there. You think “What else could I do?” But Max very rarely thinks that. He’s one of those people who really does believe in the job.

He really feels that by being principal, he has more say in the direction that education is going in. He said he wouldn’t be in it if he didn’t feel that he was making a difference for children. I think he finds it quite satisfying, being in a school here like Riverside, because it’s a low decile rating school and he can see the difference, he said. (Interview T2002/D: 2)

Category 4: Impact of the Job on the Person of the Principal

The final aspect in the consideration of the person of the principal was to determine how the nature of the job might impact on Max himself. Just as the demands of the principalship impacted on the personal well-being of Helen Aiken at Hounslow, so too the impact on Max can be seen in terms of his feelings about the job, the particular stresses associated with the job and coping strategies to deal with them, and the range of personal and professional support necessary to sustain his levels of resiliency.

Positive effects

Like Helen in her principalship, Max’s rewards of working with people were high on his list of positive outcomes. His satisfaction in interacting with his parents and members of the school community has been discussed. Like Helen, Max included a select group of staff in his inner circle of personal friends with whom he socialized and used on occasions as trusted “sounding boards”. When asked which aspects of the principal’s role he enjoyed the most, Max replied that it was, “feeling that you’re actually improving the lot of the kids. When I see the positive events that happen and you feel in some way you’ve enabled that, then that is the most rewarding thing” (Interview T2001/M:12). Without doubt, Max’s strong student focus permeated all facets of his principalship; it was his raison d’être in which he derived huge pride and personal satisfaction.
**Stress factors**

Running counter to these positive aspects of the principalship was a range of stressful areas that caused Max to feel frustrated and, at times, downhearted at some of the negative outcomes for him and the school. First, it was clear that the administrative workload was of real concern to him, both in finding time to deal with piles of paperwork and worrying about the amount of administrative work that was not completed. The answer to alleviating this sense of frustration, it seemed, was for him to work longer hours outside school time to clear the backlog:

Max: On Sunday, I had a pile of administration on my desk. It was wet so I came in and worked through it all.

Researcher: And that made you feel good?

Max: Hell, yes.

(Field note F1999/R:2)

As a consequence of an increased administrative workload, other facets of effective principalship were relegated in the priority order. Max was saddened that time for keeping up to date with his professional reading had been eroded severely. On one occasion in his office, he and the researcher were contemplating the tomes of books on his bookshelf, in particular one text entitled *The History and Philosophy of Science* that Max had studied for a 300 level Education paper. Max wistfully commented that he would love to delve into educational philosophy again, if he had the time.

So how did he, in fact, keep up to date in his professional reading and understanding of current educational thinking?

Well, I don’t. And that would be one of the biggest frustrations I have. I know what I should be doing and even in my induction course, I was told I should set aside an hour in the morning just for professional reading. The reality is I basically do virtually none, apart from just light skim reading. I’m pretty well working from the time I get up till the time I go to bed. I slot in a bit of sport, a bit of … minimal family time and I just don’t make the time. Because if I make time to sit and read, other things have got to go out the window.

(Interview T2001/M:11)

A second point of stress for Max resulted from his open door policy of access to him for students, teachers, parents and community members. The continual interruptions to his daily
work were obvious. Yet, like most principals with an open communication policy, Max was
determined to maintain accessibility to the people of his school. As the board chair pointed
out, what Max needed was a place where he could escape for the occasional half day and
complete his mounting paperwork.

Third, Max experienced frustration in dealing with challenges posed by limitations of
resources in a rural school, both human and physical resources. In the case of the teaching
staff, for example, Max found competency procedures quite stressful, in terms of some staff
members’ unwillingness to see any reason for concern about their teaching capability, and in
terms of finding suitable replacements who were prepared to teach in a relatively small rural
community.

As further evidence of staffing challenges, Max was called on one year to cover the
unavailability of staff to take extra curricular activities by co-ordinating and coaching
basketball within the school. This was just prior to his leaving with the rugby tour. It was the
end of the winter term. He had looked tired and was fighting off a bout of influenza. In light
of these work pressures, Max had informed his board chair that, in the meantime, he could not
manage the extras (these included co-ordination of the Forestry course, new gymnasium
complex, international students and sports coaching), as well as his normal principalship
tasks. The board chair agreed that, for the remainder of the term, the administrative work
would be placed on hold, with the most urgent demands met jointly by the Assistant Principal
and the Deputy Principal. For Max, it was a necessary but temporary reprieve. He would use
the forthcoming holiday period to clear the paperwork once again.

Finally, from the periods of observation during the research study, it appeared that one of
Max’s major frustrations came in the form of accountability demands placed on him and his
staff by a number of government agencies: “That is probably one of the big creators of stress
in the job - trying to live up to what you expect their expectations to be” (Interview
T2003/M:5). Such a demand feature was of little surprise, given the universal propensity for
educational bureaucracies to seek more intense compliance measures as centralised
responsibility for school management was devolved to schools themselves. A brief example
is indicative of the compliance measures that Riverside and other schools faced in an era of
increased public accountability for improved performance.
During one period of observation, Max’s normally placid demeanour changed markedly when he received news of an unexpected Education Review Office (ERO) visit that would take place in four week’s time. It was not a minor follow-up visit from their major review some months earlier but would be conducted by the usual number of review officers. The chief reviewing officer had discussed with Max that they would be returning to discuss the school’s progress in terms of recently up-dated National Administration Guidelines and the new guidelines for producing departmental schemes of work. Max’s fear was that he may have misinterpreted the ERO findings in the earlier review report and that there were some glaring omissions that he had overlooked. The professional repercussions of any misinterpretation or failure to act on ERO recommendations would be very public and a substantial blow to Max’s efforts to improve the school’s public image in the eyes of its community.

He had contacted the local ERO manager seeking clarification on the focus areas and the purpose of the follow-up visit. At the conclusion of the phone conversation, he was quite perplexed and anxious that the manager had raised points of interpretation in the ERO report that Max had not thought of, and had used different terminology to that expressed in the formal text of the report. When Max checked with his senior management team for their interpretation, they also expressed surprise at what they called “changing boundaries” in the school review process. It was an unenviable tension for Max as the leader of the school. On the one hand, he had to be an informed interpreter of statutory regulation that would enable the school to meet ERO requirements successfully. On the other hand, he played a gatekeeper role in his evident wish to protect his staff from unnecessary administrative concerns.

Nor did Riverside High School find it easy in its dealings with other agencies. Max reported that his successful forestry trainee programme had experienced difficulties with Work and Income New Zealand (WINZ), a training funding agency, in their requests for strict reporting measures on funding, staffing levels and student learning, “We never quite seem to do what they want; yet, they tell us we’re one of the best providers to deal with!” (Field note F1999/R:14). Similarly, a number of administrative interactions with the Ministry of Education, during the observation periods, proved a test of Max’s patience and diplomacy. New legislation, such as the introduction of annual reporting requirements about the school’s strategic directions, meant another raft of compliances and form filling for Max and his team, often viewed by them as lacking in real effectiveness:
With the new annual reporting requirements, we’ve got all that learning up ahead of us which the Ministry says is not a big one: you’ve been doing it all along. Well, we have been doing it all along but we’ve been doing it to suit our own needs, not to suit their needs. And I guess there’s quite a bit of frustration with the fact that they’re making us jump through hoops for accountability, not to improve the quality of what we’re actually doing. It’s just more paperwork really.

(Interview T2002/M:2)

Despite his concerns about the efficacy of government regulation for improved student learning, Max recognised his obligation to meet statutory requirements and acknowledged the seriousness of failure to meet these requirements. In order to indemnify himself against such an eventuality, he confided that he had, “a good insurance policy in case I get caught out” (Field note F2001/R:5).

On a more individual level, Max, at one stage, had felt particularly undervalued in his principalship by the central authorities. The rental cost for his rural school house was about to be increased. This amounted, he believed, to another pay cut. There had been more talk recently, in the Ministry of Education, of a reduction in resource funding which always adversely affected rural school finances. Principals’ salary negotiations were progressing unfavourably and Max felt that, as principals had no real bargaining power, they would have to accept the government’s current pay offer, “So this undervaluing thing, on top of all those other issues, the undervaluing by the government was strong” (Interview T20031M:6). This perceived lack of recognition of his leadership role and responsibilities did little to lift Max’s confidence at an inordinately busy time of the term.

Coping strategies

Max employed a number of coping strategies in order to address the stressful circumstances that the demands of principalship placed on him. The first of his strategies was to ensure that he went to bed at a reasonable time and achieved a solid eight hours sleep each night. Another strategy was to record the number of hours spent at work every day:

It’s probably one of the biggest tools I use. And it’s not the hours thinking about the job, it’s the actual hours on the job. That enables me, then, to take a weekend and not feel guilty about it. I do feel guilty about it but I push those feelings of guilt to one side. Like last week, I did 58 hours and I went away for the weekend. I still kept thinking ‘Ah, I’ve still got all that stuff at school I should be doing.’ But I was able to push all those thoughts aside because I thought ‘No,
no. I did 58 hours.’ Whereas otherwise, you keep … well, I should
get up there [to the school] on Saturday and maybe a bit of Sunday
and do the work … but it would be just a huge trap to fall into.

(Interview T2001/M:11)

Those who worked closely with him acknowledged that Max could not have maintained his
levels of effectiveness as a principal if he did not look after himself personally. All
commented on his ability to take time out, by going to the gymnasium for exercise or by
going fishing for the weekend. Max also displayed a quite uncanny ability to separate out the
person from the principal by the manner in which he was able to remain detached in certain
volatile situations. It was as if the ‘person’ was able to switch off to the emotional intensity,
while the principal in the position of authority engaged objectively in the problem:

In fact, sometimes I feel that I probably can switch off too easily.
There’s quite a trauma and … I can flick the switch. There are other
times, of course, people really get upset about … say a staff member’s
been called a ‘f… bitch’ or some kid makes some real foul comment
about them. And they’re in floods of tears and angry and “I didn’t
come into teaching for this” and all this … I can flick off that stuff
very easily, without getting into why. So the ability to flick off is a
good one … how we do it with trauma, we are dealing with trauma a
lot. You can become too hard, I guess, and you have to be careful
about that.

(Interview T2001/M:13)

It appeared that this was an adapted response acquired by Max over the duration of a previous
principalship. Here, he had learned to maintain a professional distance without getting
emotionally involved because, “it will kill you at the end of the day” (Field note F2001/R:4).

Another of Max’s mechanisms for dealing with stress, particularly in situations where he or
the school had made an error of judgement, was to invoke his personal attitude that no one
was infallible and to acknowledge that an error had occurred and accept responsibility for it.
It was an attitude grounded in realism and one that his community most often accepted:

OK. We’ve made a mistake. Let’s just front up and say we made a
mistake and sack us if you want to. But, otherwise, we’re going to
move on and try and improve it. You’ve just got to understand that
you’re not infallible, that you are fallible and make the apologies
where necessary. Eat humble pie when necessary and plan to make
sure it doesn’t happen again – if you can control it.

(Interview T2001/M:12)
A further coping strategy that Max employed was to guard jealously his holiday time with his family. Max admitted that, for himself and his wife, teaching was an actual lifestyle as both of them had always been in the teaching profession. As a family, therefore, Max was keen to ensure that the school holidays were preserved for family use, often outdoor pursuits such as camping and tramping trips. During the vacation periods, Max put in just enough time at school to maintain the organisation before heading out of town. Max’s wife was insistent on this matter as well:

We’ve made the most of those holidays, we really have. My parents are farming people and they always laugh at us and say we plan from one holiday to the next. But that is the thing that probably keeps you sane, that belief that you can do that family thing. And our kids knew that.

(Interview T2002/D:6)

**Personal and professional support**

In dealing with the demands of the job, Max also made effective use of professional support networks. On a familiar level, there was informal contact and conversation with a member of Max’s extended family group. This type of informal interaction underlines the importance to principals of dialogue with others outside of one’s own school environment, regardless of specific educational outcomes: “I’ve got a brother-in-law who’s a secondary teacher and we sit down over some whisky and he talks a lot and I don’t listen to him. I talk a lot and he doesn’t listen to me! That’s quite good” (Interview T2001/M:12).

Other contact points in Max’s support network came in the form of attendance at regional secondary principals’ professional support network meetings where principals have the opportunity to share, with a small group of fellow principals, the goals, aspirations and challenges they face in their principalship. These meetings are chaired by an independent facilitator and discussions are confidential to the participants. Another effective support, Max believed, was the contact with visiting educationalists who provided a mentoring, active listening function, “Somebody coming in who’s got an ability to be an ear, chuck out the searching questions or the open questions, and allowing somebody to talk” (Interview T2001/M:12).
In terms of personal support, Max, like most principals, relied on the help of his spouse, an obvious but underestimated source of encouragement. From her perspective, Diane saw that her major influence lay largely outside the school boundaries:

I’ve only got two real official roles as far as the school goes. I go to the ball and I go to the prizegiving. I’m not a very good principal’s wife in the sense that ... I know Max’s mother used to get the staff around and do all these things, make scones for board meetings and things like that, and I’ve failed completely there!

But, because I’m working myself, I think my main support has really been taking care of the home and trying to make Max’s life easier at home. I’ve been the main person, I guess, to deal with the kids and the main person to look after meals, the things at home. I mean, he’s very capable and does a lot more now. I think that’s been my main role so that when he comes home, there’s not that many huge disruptions at home that he has to face and deal with.

(Interview T20021D :4)

With Max’s time and energy devoted to the school, his wife’s focus was not only on raising their four children but also on her involvement in community affairs, such as the secretary for a local organisation. However, Diane’s perception of herself as overseer of the family was not the only role she played. She felt it was also important for the principal’s partner to have some understanding of the pressures of the job:

Yes, that’s true. I’ve heard that as well from a friend whose husband was quite angry with her for the amount of time that she spent on schoolwork and couldn’t really understand it. That’s dead right – you are aware of how much the job demands. I think it’s very hard for people outside teaching to see ... Even though they know teachers work longer hours, people still can’t understand why you have to be at school one day at the weekend.

(Interview T2002/D:5)

Part of that understanding for Diane was to be able to cope with the demands of the job on Max and the inevitable feelings of resentment that the job took Max away from home and the family on frequent occasions. She said she did resent the demands on Max when their children were younger and, when she was left to run the household, the children regarded Max as the ‘nice guy’. It was a situation that she got used to and accepted the long hours and separation as part of the job, hence the reason why the shared family holiday time was so important to both parents.
On account of the professional and personal support networks in place and his acute sense of self-sufficiency, Max did not face the same challenge of isolation in the job to the extent that Helen did at Hounslow College. Sound professional relationships with the board of trustees and his senior management team, and his willingness to talk openly with all of the above, enabled him to avoid major issues of isolation. That is not to say, however, that the demands of confidentiality and responsibility for taking the final decision on a problem did not cause him to feel a degree of isolation. It was, for Max, a case of talking to the right people for advice and guidance, be they within the school or with others external to the school environment, such as secondary principals with whom he had developed trusted friendships.

Table 16 represents a summary of factors impacting on the person of the principal and the coping strategies that Max employed to deal with them.

Table 16  Coding Summary of Features Impacting on the Person of the Principal: Max James

<table>
<thead>
<tr>
<th>Positive Effects</th>
<th>Stress Factors</th>
<th>Coping Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Working with people</td>
<td>• Administrative workload</td>
<td>• Physical and psychological health</td>
</tr>
<tr>
<td></td>
<td>• Interruptions</td>
<td>• Record number of hours worked</td>
</tr>
<tr>
<td></td>
<td>• Limitation of resources</td>
<td>• Time out</td>
</tr>
<tr>
<td></td>
<td>• Impact of government agencies</td>
<td>• Separate out the person from the principal</td>
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</tbody>
</table>

PROMINENT THEMES FROM THE CASE STUDY

This case study of Max James’ principalship in a small rural secondary school has emphasised a number of themes identified in the literature of educational leadership and management. It has been reinforced in this study that the principal fulfills multi-dimensional roles in the job, whether that be as a servant of the students and staff, a community person or social advocate (Murphy & Louis, 1994). It has also underlined the increasing managerial demands faced by the principal in his/her role as the chief executive officer (Southworth, 1998), particularly
with devolved local management of schools and associated features, such as financial resourcing and the need for expansive marketing.

For Max James, the first theme to emerge was the personal and professional impact of external forces on his principalship. His role expansion had resulted in further demands in administrative workload and resource management. This intensification of administration was brought about, not so much by increased bureaucratic paperwork but, specifically in Max's case, by the necessity to market the school in local and international arenas and to solicit resources whether they were human, physical or financial. Max firmly believed that this was the result of the prevailing market forces model in education, a model that advocated cost effectiveness of the enterprise and competitiveness among schools. This was attested in Max's principalship by his immense contributions to community-related activities, outsourcing extra funding, building a new gymnasium and direct involvement in international student marketing – all of which were given direction by Max's key motive of making a difference for students.

In addition, these externally-imposed pressures were matched by the external impact of government agencies on Max's principalship, resulting in reduced levels of trust between principal and the agencies concerned. At the root of the problem appeared to be a disjuncture between Max's own personal and professional values centred on school effectiveness and on the needs of a rural school community, and his perceptions of the 'counter' values of the educational bureaucracies that focused on institutional efficiency and accountability.

Second, the theme emerged of the principal's integral involvement in his rural community. For Max, it was clear that the school was the community and the community was the school – the interdependence was palpable, both in terms of identity and achieving optimal educational outcomes for students. It appeared as though his community connectedness was as much a sociological process as it was an educational one. Max saw himself as an essential link in this interdependent process and, therefore, felt it was incumbent on him to maintain a high public relations profile within the wider community. This profile gave Max the opportunity to gain practical and financial support from service clubs and community groups, educational feedback from parents and to raise interest levels in teaching and learning in the district.
Third, the case study highlighted the theme of interpersonal connectedness between principal and school community. Max demonstrated the effectiveness of interpersonal relationships in his dealings with a variety of students in the school and in his empathetic advice and guidance to the board of trustees. His recognition and care for teachers and ancillary staff were commented on and appreciated. Not only was Max’s underlying motive altruistic; it was also based on a necessity for human resource management in a rural area where staff recruitment and retention were ongoing challenges.

A fourth related theme lay in the personal aspects of Max’s job and how the demands of principalship impacted on the person of the principal. Max faced a number of stress factors in the position and the task of developing strategies to cope with them. He demonstrated a strong sense of self, self-worth and self-reliance as part of his personal coping strategies. His whole-hearted involvement of himself in the principal’s job also showed his inherent personal and professional values. Nor was his reflective capacity ignored as he strove for his own self-knowledge. This suggested an important need for new principals to know themselves, their motives and their strengths and weaknesses (Field note F2001/R:9).

Finally, the major theme underpinning the enactment of Max’s principalship at Riverside was the centrality of a set of core personal and professional values. Key features of Max’s principalship were underlined by the ever-present direction given by his core values, whether it was in the positivity of his outcomes-based philosophy, his driving desire to make a difference in the learning and vocational lives of 250 rural secondary students or decision pathways in his dilemma management. This major overarching theme of values-based leadership was replicated in the earlier case study of Helen Aiken’s principalship at Hounslow College, where similar underpinnings were observed in her core personal and professional values.

The centrality of each school leader’s values will become a focus for the following chapter, where a cross-case analysis of the two principalships will be discussed, alongside related data gathered from other principal sources outside of the two case studies.
CHAPTER 6
DISCUSSION OF CASE STUDY FINDINGS

INTRODUCTION

In the two preceding chapters, case studies were presented of two secondary principals at work in their urban and rural school contexts. Profiles of Hounslow College and Riverside High School were developed, together with an introductory portrait of Helen Aiken and Max James and their respective pathways to principalship. The investigation then followed an interpretive approach, using constant comparative analysis to identify and portray salient dimensions of principalship in each case.

The principalships of Helen Aiken and Max James were described in terms of interpersonal relationships. This indicated the extent and impact of relational connectedness in their leadership and management functions. An emphasis on the person of the principal included a discussion of their core beliefs and values, their sense of self and impact of the job on them as people.

Discussion of the case study findings, in the present chapter, takes the form of a horizontal or comparative analysis (Miles & Huberman, 1994), in which data are compared across the two cases. The discussion is organised under three major sections that replicate the format used in the presentation of the case studies. In section one, ‘Personal Dimensions of Principalship’, the discussion is related to the topic of managerial connectedness and associated task-related themes of administration, employment issues, change management and public relations. The discussion also addresses the topic of interrelationships and interpersonal themes of human relationships, community involvement and the management of personal and professional dilemmas. The focus of discussion in the second section, ‘The Person of the Principal’, moves to values-based leadership and a view of each principal’s professional and personal values systems, their values origins and their values interactions in the wide-ranging context of the school. This is followed by a third section which explores the impact of the job itself on the person of each principal.
Multiple sources of data were employed in this discussion of findings, in addition to approximately 465 hours of observation and 48 hours of interviewing of the two principals at work in their respective schools. The researcher also gathered data from regional secondary principal association meetings, during the period 1999-2004, and from a pilot study of a rural secondary principal, conducted in February and May 1999. This enabled further triangulation of features of the personal dimensions of principalship. Finally, in keeping with a grounded theory approach, comparative findings of the two case studies are linked to relevant educational leadership literature.

This discussion chapter of the case study findings serves to inform the present study’s first research question: *What are the personal dimensions of a secondary principal’s job?* It will do so through the relational connectedness of identified personal dimensions and through the values-based leadership of each principal.

**PERSONAL DIMENSIONS OF PRINCIPALSHIP**

**Managerial Connectedness**

The interpersonal connections of the case study principals in the area of administration were similar in their nature and scope. Both Helen and Max took time to build relationships with administrative staff and encouraged strongly the concept of teamwork and shared responsibility among members. Disharmony and interpersonal conflict were seen as inimical to the effective performance of the school’s administration team.

This sense of common purpose was noticeable in the principals’ management of personnel in property matters. Helen was particularly keen to involve her staff in the design of school technological facilities, as was Max in his co-ordination of staff and community members’ input into a new gymnasium development. Both principals valued a sense of joint ownership and also support for a collective direction for school improvements.

Employment issues presented each principal with another set of personal interactions. Underlying concerns about a teacher’s competency and a potential redeployment situation caused them to reflect on the impact their decisions would have on the teacher’s personal as well as professional life. Helen, especially, felt the emotional intensity of the interaction and
the weight of responsibility in the employment decision leading to a teacher’s subsequent retirement. This responsibility for the recruitment and retention of quality staff will inform a later discussion as to reasons why both principals displayed considerable care and concern for their staff members’ welfare.

There is acceptance in the literature that one aspect of the principal’s job is to engage in ongoing change management, to mediate change and negotiate it effectively in tandem with their staff (Cuban, 1996; Jirasinghe & Lyons, 1996; Gold, Evans, Earley, Halpin & Collarbone, 2003). The researcher’s observation of both target principals and regional principal association meetings was undertaken in the period March 1999 to October 2004. This was a time of momentous curriculum and assessment change. It marked the arrival of a ‘stock-take’ of curriculum policy and implementation, the first such exercise since the publication of the foundation document, the New Zealand Curriculum Framework (1993); a raft of assessment changes, beginning with the demise of School Certificate and Sixth Form Certificate qualifications; the advent of unit standards assessment, and achievement standards assessment of the National Certificate of Educational Achievement (NCEA) at Years 11 – 13.

Helen Aiken and Max James played a significant role in leading and managing change in their secondary schools, particularly in the pivotal area of curriculum and assessment development. They were often called upon to demonstrate what Leithwood (1992) termed ‘first order’ change management and instructional leadership skills, in assisting staff with understanding the rationale for change, implementing and monitoring the change and providing personal and professional encouragement to see change embedded in their school programmes. Max’s interaction with his forestry trainee manager and Helen’s delegation to her curriculum managers were indicative of personal connectedness within curriculum change management and, more broadly, of the concept of shared or distributed leadership (Hopkins et al., 1994).

The managerial area of public relations and internationalisation proved to be an increasing demand on each principal’s workload and an example of the significance of the principal’s interpersonal role in public communication. Local recruitment and marketing practices saw some similarity in emphasis between the two principals. In her urban school, Helen faced intra-city pressure from competing schools to secure student enrolments. This resulted in her being at the forefront of the organisation of the school’s marketing campaign while she was personally involved with the interviewing of new entrants and their parents. Max, in his rural
environment, was subject to the same pressure for local marketing, even though he enjoyed a relatively captive catchment area for new student enrolments. His on-going challenge was to counter the perceived attractiveness of an urban education for some families who chose to send their children to boarding school.

A major finding to emerge in the area of internationalisation was the increasing time taken in overseas recruitment and in dealing personally with international students and their families. Both principals undertook regular annual visits to South East Asia to recruit new students to their school and to make personal contact with families of current international students. Back in New Zealand, both Helen and Max devoted considerable time to meeting with visiting personnel associated with their international students and to assisting their local homestay managers with problem-solving situations as they arose.

This high level of managerial and personal demand placed on Max and Helen was not limited to their schools alone. In the pilot study for this research, the principal lamented the marketing demands of an imposed managerial model:

The [principal] role expects so much. The community expect so much. They genuinely believe in the business/choice model so I must spend most of my time on marketing and coping with the demands of the board of trustees.

(Field note F1999/A:3)

Why, then, have principals been constrained to devote more time to marketing and personalised public relations work and, in particular, to locate and maintain a supply of international students? It appeared from observations of regional principal association meetings that this increased workload was forced on schools by inadequate roll-based operational funding and by a market forces model of education that advocated cost effectiveness and competition among schools to attract students. Hence, it was imperative for Max and Helen, and other principals, to develop alternative income streams, like the international student market, in order to provide a financial buffer against increasing operational costs that were not met by central government funding.

This finding is in keeping with identified linkages between education and national economic development, where education policy and practice are subject to market demands and consumer choice (Apple, 1993; Dale & Ozga, 1993; Dempster & Beere, 1996), and where
inter-school competition is promoted as a means of improving school performance (Pope, 1994). For principals like Helen and Max, the prevailing managerialist philosophy of a market-driven education has seen on-going demands made of their personal and professional time and expertise as they manage their international student programmes. Like the principals in Robertson’s (1995) New Zealand action research study, they continue to re-examine and renegotiate what is important educationally to their schools in the context of externally imposed national demands.

**Interpersonal Relationships**

The early literature of educational leadership reveals the concept of transformational leadership as a means of enhancing school development, in the broadest sense, so as to improve teaching and learning outcomes (Peters & Waterman, 1982; Bennis, 1989). This section focuses on the principals’ interpersonal relationships and supports Tuohy’s (1999) notion that the power of transformational leadership comes from working with, and through, people in the school community. This implies an array of social skills for advocacy and a capacity to establish meaningful inter-group relations (Foster, 1989).

Not only did principals’ interpersonal relationships impact on their ability to perform their job effectively but also on their levels of job satisfaction. This was revealed in a number of earlier research studies. For example, Hill (1994) and Mercer’s (1997) surveys of primary and secondary headteachers in England had identified principals’ relationships with children, teachers and parents as a major source of job satisfaction, a result replicated by Palmer’s (1997) career-based study of 12 former primary and secondary principals in New Zealand.

The theme of interpersonal relationships and their links to the efficacy of school leadership were well expressed in the case studies of Max James and Helen Aiken. Both principalships were strongly student-focused with demonstrable connectedness to the student group, be that through enrolment interviews, extra-curricular involvement, lunchtime duty, walking tours of classrooms or other activities that would keep them in touch with the daily life of the school. In Max’s case, despite the extra time taken by being a teaching principal, such involvement did offer him a further opportunity to maintain a close teacher-student relationship. It was
part of his philosophy of providing a positive educational environment where he could help students to feel good about themselves, their learning and about being at school.

Helen and Max’s focus on student relationships was exemplified by their apparent sense of protectiveness towards their students and by the care they demonstrated for students’ well-being, especially during problematic disciplinary situations. As Max once observed about his disciplinary mode of operation: “Rules without relationships produce rebellion” (Field note F2000/R:11).

Both principals seemed acutely aware of the need to relate closely to their students, given the changes in the external social environment and the effects of problematic social and emotional ‘baggage’ that some students brought with them through the school gate. There was no question that these principals, as have others (ERO, 1997), felt a proactive imperative to address a range of student social problems and to help their staff adjust to such societal changes in family structures, for example, and to help manage resultant changes in student behaviour. It appeared that their schools were becoming a refuge for some students, where the role of the school was not simply that of an educational institution but also as a “safe haven provider and social welfare agency” (Field note F1999/A:1). Thus, multidimensional facets of the principal’s job are confirmed by this study as the principals were required also to show awareness of social issues and, at times, assume a role like that of a community worker. This extra role added to the principals’ workload and contributed to what Murphy & Louis (1994) often referred to as the “complexity dilemma” of the job.

Equally, a need to protect the collaborative relationship between principal and staff was evident in Max and Helen’s principalships. Both made themselves available to staff during the day, often to the detriment of their administrative workload. They maintained an open door policy in order to promote principal-staff communication on a variety of issues, including employment, personal and instructional matters. Each principal viewed interrelationships with staff as integral to the school operation, and personally affirming and motivational in terms of encouraging quality teaching performance. Specifically among the staff, Helen and Max valued their personal, as well as professional, interactions with the senior management team. Helen did confirm that the deeper level reality of their meetings was more personal than organisational; a type of group support for the rigours of the week.
ahead, as well as a senior management team affirmation of “sharing the same direction, sharing the same values” (Gold et al., 2003, p. 133).

In these case studies, both principals shared a common concern for the welfare of their staff and devoted time to check with individual staff about such things as health issues, family issues, employment and career prospects, and particular points of stress in their working lives (refer Chapter 4, pp. 146-149; Chapter 5, pp. 197-198). Frequently, staff demands over issues and complications that affected them professionally and personally required the principal’s exclusive time rather than their public time. Nor were such demands easy to deal with, as one Deputy Principal commented: “He [the principal] gets demands from 360 [degrees] and a lot of it is pretty selfish, personal, make-my-job-easier type of thing” (Field note F1999/A:2). This concern for staff welfare is in line with the promotion of a caring school culture where students, teachers and administrators can work together in a supportive nurturing environment (Beck, 1994; Sernak, 1998). Clegg & Billington (1997) commented that it is part of an ethic of care, on the part of the principal, that aims to enhance the common educational goals of its school community.

Interpersonal connections were also at the heart of the principals’ relationships with their board of trustees and there was a marked contrast in this area. At Riverside, Max enjoyed a collegial and open relationship with his board members with strong professional links with his board chairperson. However, during the periods of observation, Helen’s relationship with her board at Hounslow College could be described as variable. The major sources of this variable relationship lay in the lack of differentiation between governance and management and in variations in individual levels of interest in trustee work.

Both principals shared a common challenge in their triennial re-training of a new board after the election of new trustees every third year. While Max and Helen were very willing to coach, support and advise each new board, it was another addition to their substantial managerial workload. This aspect was a common feature of New Zealand principalships in the self-managing schools era, and one borne out by the research findings of ERO (1995) and Wylie (1992, 1997b), in identifying the onus placed on principals to support new boards in areas such as change management, financial management and community consultation. Similarly, researcher observations at regional principal association meetings revealed
concerns at the discontinuity of governance personnel and the expectation of trustees that the principal would be the ‘teacher’ of the board.

In their relationships with parents, Helen and Max enjoyed open and frank relationships. They were willing to meet with parents at any time and Max was always keen to solicit parental feedback on the quality of education their children received at his school. There were, however, a number of disaffected parents whose concerns had to be addressed, mostly as a result of student behaviour problems and subsequent disciplinary action taken by the school. Both principals experienced the call on their public time by members of the parent and wider school community. This often came in the form of attendance at parent-teacher meetings, ex-pupil gatherings and individual parent interviews.

Of emerging interest, in the case of Max’s rural principalship, was his level of involvement in the rural community and the reasons behind it. From the case study respondents, there was projected a consistent view of Max as an essential public relations conduit between school and community, a unifying figure in what was an interdependent relationship. This figurehead/leadership role of a rural leader was underlined by the pilot study Deputy Principal:

There’s one figurehead. I suppose, in a way, the main task of the principal is to get all the groups, all the community together, the community being the staff and our parents, and also the wider community, or for us, anyway, our whole region. We draw from everywhere. So it’s a more … I hate to use the word PR but, in a way, it is. It’s getting all those things together. It’s the leadership thing, really.

(Interview T1999/D:1)

Why was Max’s level of commitment to his rural community so high? The annual house meetings he conducted with parents furnished a number of answers to his community involvement. First, it provided him with first-hand feedback on how his school was performing in the eyes of parents. Such feedback served to fulfil statutory requirements of the board to conduct community consultation. It also enabled Max to evaluate current teaching and learning processes at the school. Second, it allowed him to establish a personal relationship with parents in a familiar home setting so that subsequent meetings with them at school would seem less intimidating. Third, it was important to Max that his parent group identified closely with Riverside High School as the logical school of choice for their children
to attend. This strategic thinking was in response to an on-going competitive threat from urban schools in their efforts to attract talented students from rural areas. As Max indicated earlier, it was a flow-on effect of a market forces approach to education which increased his principal workload.

There could be a further reason for the importance of the leadership role and level of involvement of the school principal in a small rural community. Max and the school appeared to represent a source of stability in the daily lives of a community faced by limited job prospects, variable prices for farming goods, gradual closure of services such as banks and retail shops, and a general decline in rural population. The school and its principal became a constant factor, a symbol of certainty in a world of uncertainty, a guardian of traditional values of learning and citizenship, a provider of quality education that would educate its young people for career opportunities that were not available locally. This was in evidence during Max’s house meeting with a group of rural parents.

The concept of relationships between principal and parents, trustees and school community, is evident in this research. It is part of a broader concept of connectedness and contextualised perspectives discussed in the educational leadership literature. For example, in their review of the literature on principal effects, Hallinger & Heck (1996, p. 346) concluded that it was somewhat meaningless to consider principal leadership without reference to the school context: "The context of the school is a source of constraints, resources and opportunities that the principal must understand and address in order to lead.”

This contingent characteristic of school leadership was further emphasised by Leithwood & Jantzi (1999) in their comments on the effects of leadership on the school organisation and on students. They referred to an assumption that leadership influence flows in one direction – from the leader to the students. However, their own research pointed to, “a far more complex set of interactions between leadership, school conditions and family educational culture in the production of student outcomes” (p. 471).

Max’s transformational leadership intentions, in relation to his rural community, might be summarised by Foster (1989, p. 52) as, “the intention to attempt a transformation of culture and social relations in a particular institution, not as an act of individual charismatic leadership but as a shared enterprise of the teachers, the pupils and the community.” Max’s
leadership style encapsulated that of situational or contingent leadership where the school rural context, community support and expectations provided an influential setting in which his leadership was exercised (Bolman & Deal, 1991; Southworth, 1998).

**Dilemma Management**

The management of personal and professional dilemmas is endemic in the professional lives of school leaders and this feature was no less apparent in the two principal case studies. International research studies have been conducted on the theme of dilemma management by principals. For example, Lam’s (1996) Canadian study of school administrators considered dilemma management from a viewpoint of intra-organisational demands. Dimmock (1999) conducted a case study of a Western Australian principal and his management of dilemmas in a school restructuring. While the Lam (1996) and Dimmock (1999) case studies present a focus on the nature of the dilemmas confronted, they do not provide an in-depth interpretation of the human dilemma conflict whereby dilemmas are, in the view of Grace (1995, p. 7), “situations where two sets of value judgements conflict and where a resolution of the conflict must be made in the interests of the pupils, the teachers and the school.”

Local dilemmas in the case study schools reflected a range of ethical, professional and political dilemmas, whereby individual interests were often in conflict with, and assessed against, the common good of the wider group. For example, at Hounslove College, Helen dealt with students wanting a second-chance education, staff employment issues and inter-group conflict resolution. For Max, at Riverside High School, the observed dilemmas included the potential outcomes of student expulsion from a rural school, teacher professional conduct and the dilemma of weighing staff personal employment issues against long-term school public relationships with its community.

From a personal perspective, the ramifications of their dilemma management were ever-present in their thinking. Helen and Max both felt the weight of decision-making on their shoulders, whether it involved a compromise to elicit a win-win situation for the individual and for the group, or whether it involved the power of persuasion of logical argument to change people’s minds or to take a contrary stand on the basis of policy or regulation. Their judgement calls were often centred on competing human needs that had them asking of themselves: Who benefits? Who loses the most? What is the worst case scenario that the
school can withstand if this particular decision is taken? This was evidenced by Helen’s
direct treatment of the teacher absent from class and by Max’s outcomes-based decision to
lead the overseas sports tour.

From these reflective questions, the dilemma management positions of the case study
principals can be seen as predominantly ethical ones, similar in nature to the calculation of
end results of contemplated action noted by principals in Seyfarth’s (1999) study. This study
also underlined the concept of principals as moral agents by the manner in which they lead
and manage their schools. Examples from the literature include school appraisal activity,
where individual needs and development are often at odds with organisational goals
(Cardno, 1994), and loyalty dilemmas, where the principal is asked to assess the case of a
student(s) against that of a teacher (Moller, 1998).

The present research study also extended the New Zealand work, conducted by Addis (2002)
on primary principals’ dilemma management, by identifying more closely how principals’
valuation processes might impact on dilemma decision-making. This concept will be
explored later in the chapter and will be developed further in Chapter 7 by analysing how the
principals managed the complexity of dealing with contested values.

The findings of the personal dimensions of the two case studies are summarised in Table 17.
The properties and sub-properties of the overarching categories of managerial connectedness,
interpersonal relationships and dilemma management are displayed, together with
propositional statements for each category. Alongside the overarching categories are located
a series of probe questions which formed the basis of a broadening focus of inquiry. This
broadened inquiry led subsequently to an investigation of the principals’ personal and
professional values, using the Rokeach Values Survey and a series of semi-structured
interviews with both principals and with others significant to their leadership work. These
survey and interview methods revealed more rich data about the person of each principal and
their values systems.
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<th>Overarching Category</th>
<th>Properties of Category</th>
<th>Coding of Sub-properties</th>
<th>Propositional Statements</th>
<th>Broadening Focus of Inquiry</th>
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</thead>
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<tr>
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<td>Why is there such a high level of principal connection with others, even in the managerial role?</td>
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<td>Curriculum and change management issues</td>
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<tr>
<td></td>
<td>Public relations: international student recruitment</td>
<td>• Recruitment and marketing • New enrolments</td>
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<tr>
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<td>What drives principals to commit so much of themselves to their school constituents?</td>
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<td></td>
<td>Collaborative relationships with staff</td>
<td>• Availability • Staff welfare • Strategic management of staff (motivation) • Relationship with executive team</td>
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<td>Are their actions driven by particular personal values and beliefs? If so, how are these values or beliefs developed?</td>
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<td></td>
<td>Is it informed by professional values they hold or by personal convictions?</td>
</tr>
<tr>
<td></td>
<td>Political dilemmas</td>
<td>• Recruitment and marketing • New enrolments</td>
<td></td>
<td>What is the personal impact of such decision-making processes on each principal?</td>
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THE PERSON OF THE PRINCIPAL

The focus on the person behind the principal, in each of the two case studies, indicated the central influence of key values in their personal and professional lives. Such values, or guiding principles, have been described in the *Blackwell Encyclopaedia of Social Psychology* (Manstead & Hewstone, 1996, p. 665) as, “standards of the desirable when judging behaviour, events and people (including the self), when forming and expressing attitudes and when selecting and rationalising actions.” Similarly, Hodgkinson (1983, p. 36) referred to the phenomenological, subjective nature of values as, “concepts of the desirable which tend to act as motivating determinants of behaviour.”

The role of values in the educational leadership literature and research has been progressively changing in its degree of prominence during the past 20 years. Greenfield (1984) argued that school leaders were essentially ‘value-carriers’; Bhindi & Duignan (1997) saw that leadership values were closely related to the manner in which the school’s vision was enacted, while the National College for School Leadership has presented a more explicit connection in its proposal that school leadership should be ‘values-driven’ (NCSL, 2001).

The case studies of Helen Aiken and Max James reflect all three evolving aspects of values-based leadership. The findings will be examined under the focus headings of professional and personal values, values origins, values alignment and contestation, and influential values that impact on their principalship. Finally, their sense of self will be discussed, along with the positive and negative impact of the job on the person of the principal.

Professional Values

The professional values displayed by Helen and Max reflected a surprising amount of similarity, given the highly idiosyncratic nature of values acquisition and personal experiences that frame the development of such values. The congruence of their professional values can be seen in six values aspects extrapolated from observation and interview data.

First, at the heart of each principalship, was their student-centred focus. Examples from the data included Helen’s insistence on equal educational opportunities for disadvantaged students and Max’s wish to continue teaching junior Mathematics classes. Both Max and Helen believed that they and their teaching staff could make a difference in their students’
lives by adding value to their academic and social learning. This was achieved through a fervent desire to establish and maintain a quality teaching workforce leading to quality learning experiences for the students. This people-centred style of educational leadership that focuses on students (and staff) is supported by case studies of principal leaders in the United Kingdom conducted by Harris & Chapman (2002) and by Gold et al. (2003), where there were, “principled individuals with a strong commitment to their sense of ‘mission’, determined to do the best for their schools, particularly for the pupils and students within them” (Gold et al., 2003, p. 136).

Second, the drive towards a balanced well-rounded education was a common professional value of Helen and Max. Both principals viewed their overall curriculum as comprising a mix of academic, sporting and cultural pursuits. It was a determined priority for them. As identified in the research data, Helen was perceived to be the first principal of Hounslow College to support, in equal measure, the curriculum components of academia, sport and physical well-being, as well as cultural and artistic activities. Max’s similar curriculum outlook connected strongly with his student emphasis on good citizenship, as contributing members of their rural community, and on risk-taking through broadened experiences outside of the immediate school environment.

This value linked to a third area: the promotion of positive learning experiences and student self-esteem. It was apparent from the observational and interview data that Helen was not about to relinquish her balanced education because she believed it encouraged her students to want to be at school and to participate in a range of activities that they valued. Max’s aim was to promote, in his students, a life-long love of learning and a valuing of the educative process, thereby intervening in what he and his staff saw as the potential for intergenerational dislike of schooling. Helen’s particular commitment to standards for the school uniform was related to self-esteem in her advancement of a sense of corporate belonging, a sense of pride that the girls would present themselves well in public and feel good about themselves. Max also wanted his students to leave school feeling good about themselves. It was interesting to note that both principals demonstrated an empathy towards the disadvantaged student or the unpopular student, and a desire to have a safe school free of mental and physical harassment. Max was aware, from his own adolescence, of how less than favourable school experiences could shape negative feelings within his students.
Fourth, the research data indicated that both principals consistently adhered to a strong work ethic. For Helen, her work ethic was rewarded with success and recognition in her early years and this transferred to her principalship. Here, she was determined to work harder than the next staff member in order to role model that work ethic. Max did not see himself as an academic leader, so compensated for that by diligent application to the leadership task. Like Helen, Max’s expectation of a strong staff work ethic was underlined by his own example. This finding was consistent with a view expressed by Coulson (1986) that the school leader exemplifies professional values by demonstrating, in their actions and attitudes, a range of education, social and moral values they wish to see promoted within the school and its classrooms.

Fifth, Helen and Max demonstrated an ethic of care towards their school constituents. This was evidenced by their commitment to secure optimum physical resources for their school communities in the form of new technologies and new gymnasium facilities. Helen’s support for her staff and students was based on the premise of providing them with a ‘good deal’. For the students, this ranged from the provision of a quality teaching staff to firm disciplinary boundaries promoting self-control and responsible decision-making on their part. Max’s ethic of care centred on the provision of learning opportunities, enjoyment of learning and the community valuing its school. In turn, these were believed to be linked to enhanced student self-esteem and the building of good citizenship. This demonstrated ethic of care is reflected in two role labels used by Beck (1994) to describe a caring educational leader: values-driven organiser and cultivator of a nurturing culture.

Sixth, the exercise of moral leadership was a common value in Max and Helen’s professional work. Examples from the data included Helen’s moral stance on alcohol issues at school social events and Max’s method of dealing with a case of teacher competency. These examples emphasised a number of features: the moral and ethical frameworks of school leadership (Duignan & Macpherson, 1993; Lees, 1995; Clegg & Billington, 1997), the view of principals as moral agents in their school, and the link in moral purpose between the professional and the personal self (Day et al., 2000; Sergiovanni, 2000). In both principalships, there was no danger in Fullan’s (2003, p. 19) fear of the “loss of one’s moral compass.” Max did not see himself as a moral campaigner nor as adopting a moral high ground in his dealings with others. Rather, it was a case of doing the right thing by the school, exemplified by his loyalty dilemma (Moller, 1998) in a case of teacher competency.
where he had to adjudicate between competing teacher and student interests. For her part, Helen was perceived to be conservative in her moral approach to issues. While she came from a strong moral background, she did not overtly display that morality in her principalship. However, at a deeper level, she did place importance on making that ‘right moral call’, exemplified in her firm stance on drug and alcohol issues respectively. As will be seen in a later discussion on dilemma management, both principals were guided in their leadership actions by a range of moral and ethical positions.

In comparing the place of professional values in the case studies, there were instances of a difference in values emphases in the respective principalships. For example, Helen had a particular drive for a value that was categorised as high standards, a point reiterated by Harris & Chapman’s (2002) study where their principals took a firm line in relation to values, expectations and standards. Clear school uniform dress standards, Helen believed, made her students more identifiable and less subject to misbehaviour. Her demand for excellence was consistent with her desire to add value to her students’ levels of academic achievement. She tried to role model the concept of ‘doing one’s best’ with high expectations of self-discipline among the students. Excellence in all its forms was publicly recognised and rewarded in the school.

In Max’s case, the point of difference in emphasis was his focus on citizenship expectations and awards that were an integral part of the student achievement structure (refer Chapter 5, pp. 209-210). From Max’s perspective, this emphasis linked his own core personal values of honesty, integrity and truth to the moral values inherent within the citizenship scheme:

> We’re building citizens in every sense of the word, not just in terms of ... [hesitates] but people with the right values and attitudes and especially relationships with each other. Add the moral values of honesty and integrity and so on. So, as teachers, we really have to promote that and demonstrate it in how we treat young people and how we treat each other.

(Interview T2001/M:10)

The focus on encouraging students to be responsible, contributing members of their school and local community was one which Max was unashamedly clear about. This concept was part of an underlying moral purpose of teaching reflected in the literature, as suggested by Fullan (1993, p. 5): “The moral purpose [of teaching] is to make a difference in the lives of
students regardless of background, and to help produce citizens who can live and work productively in increasingly dynamically complex societies.”

**Personal Values**

The congruence shared by Max and Helen in their professional values extended to include their range of personal values, as determined by the Rokeach survey and through focused interviews. Cross-case analysis identified some similarity, together with some different emphases in their priority choice of instrumental and terminal values. While there was variance in the choice of major instrumental values, both principals were consistent in nominating *honesty* as their top-ranked instrumental value. It was a clear underlying factor in Max’s principalship and one with which he constantly identified. Helen’s direct style of leadership was similarly founded on this key value, augmented by her abhorrence of dishonesty and betrayal by other people.

Both principals were adamant about their obligations to exemplify their core values and, in particular, to role model the value of honesty for staff and students. Covey (1989) suggested that this core instrumental value reinforced the notion of principle-centred leadership as well as the role of honesty, on the part of the principal, in promoting teachers’ sense of empowerment. In a study of shared governance in schools, Blase & Blase (1994, p. 85) noted: “Teachers reported that without honesty – particularly when principals were inaccessible, failed to support teachers and exhibited favouritism – discussion, debate and decision-making were distorted and even undermined.”

In considering the two principals’ terminal values, the similarities became more apparent in their priority listing. Helen and Max both nominated *happiness* as their top-ranked terminal value, revealing deeply-held convictions based on human needs and an inherently existential philosophy. On averaging their priority listings, the next terminal values, in rank order, were *self-respect, mature love and true friendship*. It was of interest to note the values congruence of the four terminal values for both principals, while only one instrumental value, *honesty*, was equally rated and commonly identified in their prioritisation. This may serve to indicate that, in Helen and Max’s secondary principalships, personal traits or characteristics were not perceived as strongly as were more fundamental terminal values in their personal values set.
Consider, for example, the major shared terminal value of *happiness*. Although Helen did not perceive this value as most affecting her principalship, it nonetheless played a foundational role in her personal life: “It’s the little things that count: our puppy, taking him for walks, hearing the birds singing” (Field note F2003/H:3), and in her professional life at school. Here, her value of happiness related closely to her ethic of care. Helen intellectualised her own happiness, not in terms of tangible reward but rather in terms of a more intrinsic connection with students and seeing them happy to be at school:

It’s [happiness] seen in the building, it’s that cruising along, seeing that the kids are OK, wee bits … There’s a poverty about that that I quite like, in a reverse kind of way. It’s not money stuff, it’s the wee bits.

(Interview T2004/H:4)

Max, on the other hand, saw *happiness* as the most significant influence on his core professional values and, ultimately, on his principalship. In his opinion, it served as a baseline value that drove his perspectives on a balanced education, positive learning experiences for the students and his ethic of care. It was an end-state or terminal value that he wanted for himself in his job and for his students in their future lives.

Thus, it can be argued that, in the two case study principalships, the congruence in personal values was centred more at a philosophical level than at a trait or instrumental level. This case study finding of the significance of those values held as fundamental beliefs at a philosophical level, adds greater depth of understanding to often generalised statements in the literature about the role of personal values in school leadership (Bhindi & Duignan, 1997), brief identification of core personal values that impact on vision setting (Day et al., 2000) and broad-based definitions of school leadership as, for example, “inspiring and supporting others towards the achievement of a vision for the school that is based on clear personal and professional values” (Bush & Glover, 2003, p. 10).

A further link between the personal and professional values of school leaders was identified across the two case studies. Both principals selected *honesty* and *self-respect* as two personal values that made an influential impact on two professional values: high standards and moral leadership. For Helen and Max, honesty and self-respect were interrelated values in so far as each principal gained self-respect through a platform of honesty in their leadership; so confirming in their own minds an image of themselves as effective principals. Helen saw the
connection between honesty and self-respect, and her demand for high standards, as being realised in the honesty of her feedback on staff and student performance and in the clarity of behavioural expectations of her students. Max’s work ethic and integrity were based on his personal value of honesty and conferred on him the self-respect he wanted as an effective principal. He was also not afraid to be honest in assessing his leadership performance:

I’m very aware that I’ve made lots of mistakes and I’m going to continue making them. So, if you don’t front up to that, it’s going to make your leadership very difficult. You’re better to come clean, front up, and say Oh well, obviously that’s wrong. We’ll fix it.

(Interview T2004/M:14)

Both principals also viewed their values of honesty and self-respect as precursors for the exercise of moral leadership. Helen and Max’s moral leadership behaviours were influenced by the conviction of their core values and what was right for the school. Lack of honesty in others was a cause of concern to both principals as they tried to model the value of honesty for other people and expected it to be returned. This finding is consistent with that of Harris & Chapman (2002) in their assertion that leadership values are primarily moral in their dedication to student and staff welfare and growth. The vision and practices of their case study principals, “were organised around personal values such as the modelling and promotion of respect for individuals, fairness and equality, caring for the well-being and whole development of students and staff, integrity and honesty” (p. 3).

These findings, that link personal values with moral aspects of leadership, reinforce the centrality of moral purpose in the professional life of a school leader. Principals derive credibility from the effectiveness of their moral decision-making, from their personal integrity and “walking the values” in the eyes of their students, staff and school community (Bhindi & Duignan, 1997). Betrayal, hypocrisy and double-dealing were an anathema to the moral enactment of Max and Helen’s leadership. Conversely, while personal values influenced the moral leadership of Helen Aiken and Max James, it can also be argued that the effective exercise of moral leadership is dependent upon a set of deeply-held convictions or personal values. In Max and Helen’s cases, these personal values included honesty, self-respect, integrity, respect for others, loyalty, courage, an ethic of care, a deep sense of responsibility and a capacity for distinguishing between right and wrong in the interests of their school. As Bennett (2000, p. 3) pointed out, “Strategic relationships will soon flounder unless such a value system is held with conviction and exercised on a regular basis.”
In reciprocal discussion with the two principals in reviewing their process of values identification, it was apparent to the researcher that there was a variation in the respective knowledge of their own personal values. Max was quite at ease in articulating his values system and could identify interrelationships between the values espoused in his personal life and those values he actioned in his professional work. In response to an initial draft of his case study, he commented:

In terms of the terminal values, it’s interesting to look back at those and think: Is that really what I believe in? And it really is! That’s good. I didn’t look at it and think: Hello, there’s something there that’s out of place.

(Interview T2004/M:7)

However, it was not the same situation for Helen. While she found it easy to discuss professional values, “because you know what you’re supposed to do”, she found it much less so in identifying her personal values, “the stuff you never talk about” (Interview T2004/H:2). This underlined Hultman & Gellermann’s (2002) claim that it is not always easy for people to access and articulate their set of personal values. In Helen’s opinion:

I still find this [identification of personal values] very hard. There’s times that I feel that it’s not relevant. Occasionally, it seems to be relevant and then it’s not relevant for a good deal of the time. I don’t know why some values are so high, but then I don’t see anything else that should be up there either. I think that’s what I mean: I’ve got no values! [laughs]

(Interview T2004/H:1)

This would account for Helen’s reservations in her approach to the self-reflective process inherent in values identification. It may also explain her lack of confidence in linking her personal values to her professional work at the school – despite sufficient evidence to suggest, for example, that her personal values and moral framework did influence her leadership behaviours. At the conclusion of the case study review, Helen confided that she had gained a clearer picture of how her values fitted her principal’s role. She explained that this had resulted from a family situation in which her set of priority values had been put to the test.

Origins of Core Values

It was evident, from the case study biographies of early influences and from self-disclosure at interview, that a number of Max and Helen’s core values probably had their genesis in their respective family upbringing, periods of adolescence and in their teaching career experiences.
prior to principalship. These sources of values origins were in keeping with those derived from the self-formation of everyday experiences (Joas, 2000), as well as key agencies such as the family, peer group and the local community (Ribbins, 2003). They also linked closely with Townsend’s (1998) research study of New Zealand primary and secondary principals’ learning about the job. Townsend identified the basis of principals’ foundational learning and values prior to their appointment as emanating from parents, family and childhood experiences; their primary, secondary and tertiary education; and careers in teaching and relationships with significant others.

In the present study, the family environment of the two principals would seem to be a potential source of values formation. Their respective families contained parents or extended family members who were teachers and whom the principals perceived as holding a predisposition towards community service. In Helen’s family, links were identified in her personal value of honesty, a key family value in how to deal with other people; a professional value of a balanced education encouraged by the strong opinion on the topic by Helen’s father and enhanced by Helen’s own multi-talented success with a Masters degree in English while also studying Physics and Russian at tertiary level; and her drive for academic success, as she learned from the scholastic mistakes of an older sibling.

Max’s key values could also be traced back to his early family experiences. His key value of happiness, he believed, had its origins in his supportive family upbringing and watching both his teaching parents try to achieve a balance between the principal’s job and family needs and relationships. His value of self-respect through co-operation was gained in reaction to his early need for power and control over other children and to his domineering approach as a classroom teacher in the early part of his career. His valuing of freedom was in response to a lack of adventurous nature as a child, as a result of an overly protective mother, while he regarded the value of honesty as an outcome of a Christian upbringing.

Both principals’ periods of adolescence provided them with further building blocks in their values formation. Helen’s work ethic at secondary school transferred to her application in the sporting arena and was then associated in her mind with on-going success. She also counted herself fortunate to experience vibrant, caring role models, like her English and French teachers and her surf club coach, who gave her self-confidence through their ability to connect with young people. By contrast, Max could recall no teacher role models whatsoever. His
early schooling was probably best described as that of a reluctant learner with little achievement, success or motivation to learn. Ironically, he believed that this negative experience was responsible for his empathy towards similar students and their negative feelings towards school. This, then, may account for his values perspective of providing a positive learning experience for his students in the hope of enhancing their self-esteem.

Finally, both Helen and Max recalled principal role models in the foundation years of their teaching whose influence continued on into their own principalships. For Max, one principal stood out in his effective leadership style as a father figure, instructional leader with appropriate management strategies, all of which were underpinned by a thoughtful educational philosophy. Such qualities were reflected in the manner in which Max led his own school. Similarly, Helen encountered a positive principal role model who provided her with honest feedback and affirming problem-solving strategies. In contrast, she recalled less exemplary principal practices of patronising behaviour, double-dealing and a failure to connect with people. These were lessons well remembered and sustained at different times in her own leadership position.

These case study findings support understandings in the literature that core personal and professional values are formulated across a variety of foundational settings, ranging from lived experience within the family to influential role models, both during adolescence and the preliminary phases of one’s teaching career (Townsend, 1998; Assor & Oplatka, 2005). The personal histories of Helen and Max have signalled the origins of beliefs and values that underpin their subsequent leadership behaviours. While there are influential factors common to both principals, the diverse spread of actual values reinforces the idiosyncratic nature of core personal values and of the process of values acquisition itself. In this way, the concept of values-based school leadership can be viewed as part of a holistic development of each principal, as they undertake their leadership journey from the formation of the personal self through to the fashioning of the principal self.

**Values Alignment with School and Community**

During the course of the present study, there was a discernible connection between the personal and professional values of the principals, and those of the schools and communities in which they worked. The values within Helen’s principalship appeared to mirror the
conservative nature of her local community’s values position in terms of honesty, respect and maintaining high standards of behaviour and academic achievement. Similarly, Max received support from the traditional section of his rural community in regard to the values he exhibited in maintaining academic standards, an emphasis on school uniform, student attendance and behaviour in class.

In relation to school type, both principals perceived an alignment between their values and the nature of the schools they led. Helen and other respondents believed that her core values of honesty, self-respect, courage to do what is right and an ethic of care for the students, were very much at the heart of what it took to lead an urban state school. Equally, Max identified a values alignment between himself and the rural community, particularly in his drive for a balanced all-round education that sought to address a wide range of student needs. He had consciously made a choice to lead his school in that environment because it was compatible with what he believed in, that is, making a difference for rural students in a community of diverse need.

For Max, it was also important that the implementation of his values had a consistency in the eyes of the staff, that he was not viewed as a hypocrite in the enactment of his principalship. He was also concerned that moral aspects of his values system did not offend the generally accepted norms of behaviour held by staff and community. He felt himself to be a role model in living out one’s values, both in terms of “holding the line” at school and being seen by the wider community to uphold the laws and expectations of society.

This concept of values alignment was further exemplified by the manner in which both principals sought reinforcement of their values stance from other sources. Helen, for example, appreciated the support of her PTSA parents in her moral stance on alcohol, as did one respondent who saw Helen’s firm stance as reinforcing those values of the parents. In Max’s case, he also talked to others, often in times of crisis management, as reference points to confirm that his values position was the correct one which carried the support of trusted staff, parents and board members. When the values alignment was confirmed, Max believed that mandate gave him the impetus and the strength for action.

Thus, the reciprocal reinforcement effect of a values alignment was important to both principals. This values interdependence was a useful concept to help understand the ways in
which they came to make crucial decisions, not always in isolation, and frequently supported by the values and beliefs of staff and community members.

Values Contestation

The concept of values alignment, discussed above, does not imply a universal acquiescence to the values of the school principal. In contemporary school leadership situations, competing values orientations manifest themselves in educational communications on a regular basis (Begley, 1999b). Indeed, Hodgkinson believed that the concept of values contestation was a fundamental aspect within educational leadership: “Values constitute the essential problem of leadership: if there are no value conflicts, then there is no need for leadership” (Hodgkinson, 1991, p. 11). The case studies of Max James and Helen Aiken have shown a continuation of this theme in the range of personnel with whom they had conflicting values, with the addition that their dilemma management of critical incidents can be interpreted to be the management of contested values.

It was evident from both principals that values contestation with adolescents constituted an ipso facto situation. They accepted an inevitability of a conflict in values between those of a middle-aged school principal and those of a developing adolescent. As Begley (1999b, p. 53) noted: “Students live in a world that reflects postmodern values and they regularly confront teachers and principals that represent, within educational organisations, a preceding modernist generation.” In a similar manner, the principals also regarded parents as holding values with which they did not necessarily agree, and as wishing to take different directions for their children than that espoused by the school’s ethos, policies or procedures. While the board of trustees held few contested values for Max, it was apparent, in Helen’s case study, that her key values of loyalty and support were not reciprocated when it mattered most to her, particularly in stressful situations such as student disciplinary hearings and an intensive school review conducted by the Education Review Office.

However, there were distinctive differences in the way in which the two principals perceived values contestation between themselves and government agencies, such as the Education Review Office and the Ministry of Education. Helen stated firmly that she had no difficulty in accepting the bureaucratic values of efficiency and accountability where they helped her to make improvements in student learning. Max, on the other hand, was just as determined that
there was a definite conflict between bureaucratic values and his own personal and professional values that focused on specific learning and social needs of students living in a rural community. He had an aversion to what he termed a “bean counting” mentality of government agencies that compelled him to react to their demands in assessment and curriculum objectives, rather than to students’ unique learning needs.

This values tension for Max is replicated by Bailey’s (2000, p. 118) belief that, “teachers may be placed in the position of violating their own deeply-felt beliefs about what children in their care need when they are told how and what to teach.” Max also believed that the market forces model of education, which aimed to achieve higher performance standards through inter-school competition for students, was in direct opposition to his values of co-operation and consensus. This perspective was reinforced by the pilot study principal who lamented that previous levels of co-operation among schools had virtually disappeared since 1989, and that his school did not communicate with its neighbouring secondary school:

> Of course, the government’s feeling is that the competitive edge makes things improve in that respect. In fact, what it does is that it actually isolates. And the schools that are struggling, struggle more and more — and that’s a shame.

(Interview T1999/D:6)

**Values Affected by School Context**

The exploration of values contestation brought to light a consideration of the effect of school context on values-based leadership and possible differences between a leader’s values enactment in a larger urban school compared with a smaller rural secondary school. To begin with, the manifest difference in geographical location and size of community was noted by Helen as possible factors in her comments about potential leadership tensions in a small community: “That constant vigilance, the whole community at you must be really hard whereas we [urban school principals] can be anonymous” (Interview T2004/H:22).

Max’s perception of the rural-urban comparison was similarly conveyed. For him, it was rather like living in a fishbowl, where his core values were constantly exposed to public scrutiny, both from a discerning rural community and from the small number of staff in his school. This did create some tension for him in its unremitting examination of his professional and personal life. Other values tensions were also noted in the scope of national
curriculum demands and the capacity of a small school to meet their desired goal of providing a balanced education for their students, as well as a breadth of educational opportunities enjoyed by their urban counterparts. Max, in particular, had to cope with frequent values tensions as he juggled his responsibility as a teaching principal with the need to be the professional manager and instructional leader of the school.

**Influential Values on the Principalship**

To conclude this discussion of values impact on the principalship, the lines of potential influence of both principals' major personal values were examined for emerging patterns and interrelationships. Two particular personal values stood out as common features in both principalships with similar leadership behaviours. Helen and Max ranked highly the interrelated personal values of honesty and self-respect with both values having their potential base in the core values of their family upbringing. First, these personal values connected strongly to their professional value of moral leadership. This helped explain the motivational base for their values stances on dilemma management, their understanding of what constituted acceptable behaviour and educational practices according to community/societal norms, and the desire for their students to be contributing citizens with knowledge and skills appropriate to their chosen careers. Second, the principals’ values of honesty and self-respect were linked to their determined work ethic, where both took a personal and professional pride in their job and applied themselves diligently to it.

A second personal value linkage was shared by both principals: their sense of concern, care and responsibility for those with whom they worked. Possibly originating from principal role models from their early teaching days, this personal value linked to both principals’ evident professional value of an ethic of care. This was exemplified in their leadership behaviour by a focus on student-centred education that saw them assume the important roles of programme co-ordination, employment of quality staff and a collegial style of leadership.

These findings support the argument for an influential link between a principal’s personal values and their professional values, and then between professional values and specific leadership behaviours. It is appreciated that the complex nature of values acquisition and implementation precludes a direct cause-and-effect model from being established and that values influence is not necessarily shaped in the form of a linear progression. However, the
linkages proposed here, to show possible pathways for the impact of values on leadership behaviour, are compelling in their implications. They also raise broader questions about the need for greater attention to be given to value-based contingency leadership in the field of educational leadership theory and to the role of personal development, values and self-understanding in the way in which we develop and support our school principals. Both of these issues will be addressed later, in a discussion of topics related to enhancing leadership theory and principal personal development, in Chapters 7 and 8 respectively.

The Role of the Self

The two case studies of the person of the principal also pointed to a sense of self as an underlying feature of the personal dimensions of principalship. Helen and Max possessed a strong sense of self and self-image. In Helen’s case, this was allied to the strength of her values and deeply-held convictions. Max’s sense of self was characterised by his preparedness to make mistakes, to field criticism and to be accountable for his actions. While both principals were imbued with a stoic objectivity in the face of stress, nevertheless, they, like other principals, were subject to human fallibility and vulnerability, as Combs et al. (1999, p. 98) suggest:

Principals are people too. They have spiritual, emotional, and psychological needs, and, despite a reputation of being “thick skinned”, principals’ self concepts can be damaged.

One question arising from the educational leadership literature concerned the level of principals’ investment of themselves in their work. Helen and Max’s investment of self in their work was built around two common features: their personal pride and professional integrity, that would not allow them to settle for a second rate performance as principal, and their personal commitment to their urban and rural communities respectively. This was a philosophical commitment to the educative process that found expression in their belief in the intrinsic worth of young people and a belief in their capacity to make a difference in the lives of their students. This was frequently identified by the phrase “doing the best for the kids.” As one senior management team member spoke of his principal in the pilot study: “He loves education, and he’s got his heart and soul in it so he’ll never lie down” (Interview T1999/B:3).
Although Max’s self-awareness seemed more acute than Helen’s, both principals showed self-confidence and, as will be seen in a following section of discussion, an emotional self-awareness of their reaction to stressful situations. Their self-management was seen in their conscientious approach to the job of principal, their drive for student achievement, their high performance as leader of the school and in their personal core values of honesty and trust. Max and Helen were very socially aware, in terms of Goleman’s (2000) competencies, and their well-honed social skills were made obvious in their interpersonal interactions.

While the role of the principal is intensely personal, it appears from the two case studies that it is also becoming increasingly public. The personal self of the school leader and their core beliefs and values are being exposed more and more to public scrutiny. Instances included Helen’s moral stance displayed in the local media and the continual scrutiny of Max’s values and conduct by his rural community. Thus, the fusion of the principal’s personal and professional self, the internal and external self, reinforces the concept of individual principal agency and the all-encompassing perception of the leader as the figurehead of the school.

**IMPACT OF THE JOB ON THE PERSON OF THE PRINCIPAL**

The impact of the job on the person of the two case study principals centred on two contrasting features. First, the rewards of being a principal and aspects that motivated them to continue in the position. Second, the stress factors that caused them some degree of anxiety or frustration in the job, and how both principals coped with these stressful areas in order to preserve their personal and professional well-being.

**Positive Effects**

The major common element shared by Max and Helen in their job satisfaction was that of working with a variety of people with diverse needs: students, teachers, ancillary staff, parents, board of trustees, ex-students and members of each school’s wider community. It would seem that little has changed over recent years as this finding is consistent with those of Hill (1994), Mercer’s (1997) study of English headteachers and Palmer’s (1997) New Zealand research that placed relationships with people at the top of the principal’s job satisfaction list. Similarly, Helen and Max rated highly their desired outcome of making a difference for students, a positive effect replicated by Earley, Evans, Gold, Collarbone & Halpin’s (2002)
project on the state of school leadership in England. Both principals enjoyed the approval of others and any appreciation expressed to them for their effective leadership and management of the school. For many headteachers in Baker et al.’s (1995) English study of school leaders, headship offered many rewards, as it did for Max and Helen:

Headship remains the best job in the educational world – for me! One has a relatively open agenda, enormously varied days, the fascination (and instant delight) of seeing young people grow up, the privilege of working with highly skilled and professional staff. (Baker et al., 1995, p. 39)

**Stress Factors and Well-Being**

In contrast to similarities in their principalships, a cross-case examination of interview and observation data revealed Helen and Max’s stress factors to be quite different from each other, reinforcing the notion that principals, and other leaders, may demonstrate unique personal responses to their demand environment. In Helen’s case, there were five stress areas that made a personal impact on her principalship.

First, the fear of the unknown and dealing with circumstances beyond her control. This induced feelings of uncertainty in her and was regarded by significant others as a hazard of the job. Second, the public perception of the school and its capacity to impact negatively on the student roll. This was an on-going concern for Helen with obvious implications for staff jobs and for the range of curriculum offerings should student numbers be reduced. Third, the on-going interpersonal stresses: the emotional intensity and sleepless nights associated with dealing with angry parents and students, as well as the frustrations caused by lack of affirmation from the board of trustees.

A fourth factor is worthy of further comment as it does not seem strongly evident in the literature of stress factors affecting the principal’s job: the threat of legal litigation against the principal and the school. In one instance of crisis management, Helen had to be exceptionally careful in taking the appropriate legal advice to ensure a correct decision was made on behalf of the school. The strain of a highly sensitive legal issue had caused her to be physically ill and suffer sleep deprivation for several nights on end.
A final stress factor in Helen's principalship centred on her feelings of isolation in the job. This theme of principal loneliness has attracted considerable coverage in the educational leadership literature (Evetts, 1994; Schmuck & Schubert, 1995; Alvy & Robbins, 1998; Sachs & Blackmore, 1998; Schmidt, 2000). In most studies, the isolation appeared to be a by-product of the function of principalship and this was the case with Helen. Despite her strong sense of self and years of experience in a secondary principal's position, Helen's reasons for feeling isolated lay in two areas.

First, like other principals, she carried the ultimate responsibility for decisions made within the school, alluded to as “the buck stops here.” Second, the confidential nature of the principal's job played a part in her enforced isolation, as it had done for other principals (Sachs & Blackmore, 1998). Privacy issues and the security of personal information were key contributors to this state. The resulting professional tension for Helen had its basis in the increasing managerial function of the job where principals were perceived to be tied to administration, not people. On the one hand, the managerial demands of the position meant further time in her office to work her way through the administrative workload, isolating her from the people with whom she worked. On the other hand, there was a need by staff, students and parents for Helen to exercise her leadership skills of communication by being seen around the school and to be available to them.

In the case of Max James, the stress factors assumed different emphases that covered four areas. First, the amount of interruption to his principal work in his office caused him some concern in that he was unable to concentrate on tasks for any great length of time. Ironically, while such open access ensured effective lines of communication, it also exacerbated the lack of time Max had to devote to his expanding managerial workload. Second, it was a constant worry to Max that, in a small rural school environment, he was faced with limited human and physical resources. Consequently, when an issue of teacher competency arose, it was also accompanied by the possibility of having to recruit a suitably qualified replacement teacher. This problematic area of limited human resources impacted on Max personally when he accepted the co-ordination and coaching of basketball because no other staff member was available.

This brought a focus on the third stress factor: Max's burgeoning administrative workload. As noted, this was a major source of frustration and worry that Max was never able to
complete all his administrative work in a timely manner. Often, government agency priorities with compliance work had the effect of eroding Max’s work time for professional reading and family time. This caused him concern that, in the business of operational life, he would make a monumental mistake that could prove costly to him and to the school. This situation was graphically illustrated by the pilot principal’s reaction when asked what it felt like to be a principal on the ‘not-so-good’ days:

Well, the not-so-good days (and I guess this is a personal thing about how you cope or not) are the days when you’re just frantic, run spare, and you’re just racing all the time. You realise that you’re not having time to put into conversations, decisions and things. Everything’s so fast that you just hope like hell that you’re not going to make a mistake because you hadn’t had time to listen. That’s the scary bit. In some ways, you could liken it to flying an aeroplane when you haven’t had time to do all your training and read all the manuals but you’re having to do it! [laughs] If you get it wrong, you could be in deep trouble. It’s like that sometimes.

(Interview T1999/D:4)

The final stress factor, which impacted personally on Max, was caused by what he saw as the unreasonable accountability or compliance demands of central government agencies. As Max noted, his levels of frustration were heightened because he felt that the Ministry of Education were, “making us jump through hoops for accountability” (Interview T2004/M:8), and that these demands did little to improve student learning outcomes. This was an evident example of values contestation between the administrative processes of educational bureaucracies and the individual agency of the local principal devoted to producing positive learning outcomes for students while maintaining a positive public image of his rural school. The result for Max were feelings of anxiety and frustration towards the agencies and a continual testing of his patience and diplomatic skills, either in negotiation with government officials or in placating his staff in the face of yet another administrative demand or reporting compliance.

Principals’ stress factors of work overload and role conflict, as elucidated by Whitehead & Ryba (1995), and the conflicting demands for local and government sectors (Wylie, 1997b), came to a climax for Max near the end of one winter term. The rugby tour issue, bureaucratic demands, perceived undervaluing of his job by central agencies and a bout of influenza combined to lead Max to ask for Board permission to reduce his workload. It was a combination of internal and external variables that created stressful pressure on Max and a potential factor for principal burnout (Crawford et al., 1997; Leithwood et al., 1999).
Coping Strategies and Resiliency

Helen and Max’s strategies to cope with job stressors varied, according to individual preference and reaction. Both principals enjoyed planning for time out with family as a means of compensation during holiday periods. They also made use of their personal and professional support systems via family members, other principal colleagues and trusted educationalists who acted as mentors or critical friends. These coping strategies were similar to those employed by Ribbins & Marland’s (1994) United Kingdom principals and in Cooper & Kelly’s (1993) study of headteacher stress, the latter’s coping strategies being categorised as one of three types:

- direct – involve yourself in work, deal directly with the stressful events and re-interpret the event in a more positive light
- diversionary – take exercise, pursue outside interests
- withdrawal – do nothing, avoid stressful situations

(cited in Fidler & Atton, 2004, p. 211)

An exploration of major stress factors and coping strategies of Helen and Max raised an underlying question about the level of individual resiliency required to cope with the personal and professional demands of principalship. It was of interest to note similarities between the espoused and observed values within Max and Helen’s principalships and the 13 characteristics of resilient individuals proposed by Henry and Milstein (2004b) (refer Table 1, p. 41). With the exception of No.9, Spirituality, both principals’ values sets and personal skills could be located in this generic listing of internal characteristics.

The two principals gave generously of themselves in the service of others (students, staff, parents, trustees) or to particular causes as they impacted beneficially on their school (eg new gymnasium, community recreation centre). They were called upon daily to demonstrate a raft of life skills that the job of principal demanded, including effective decision-making, assertiveness when required, impulse control and problem-solving. Their successful connectedness with other people, in the course of their managerial and leadership roles, implied a considerable degree of sociability and an ability to form positive relationships for positive student outcomes. As Max wrote in an annual school magazine: “The privilege of principalship is the opportunity to unite the talents of people who are dedicated to the education and successful development of our youth” (D2003/RHS).
Both Max and Helen demonstrated a sense of humour and believed in their capacity to influence their school environments, despite barriers posed by central bureaucracies. They were both independent, autonomous leaders with a positive outlook on their own and their schools’ futures. They demonstrated flexibility across many situations they encountered and a real capacity to connect with student learning via their instructional roles. They were self-motivated people who showed personal competence in that they were both “good at something” and possessed feelings of self-worth and self-confidence.

In addition to these resilient characteristics, Max and Helen’s case studies link strongly to the six major elements in Henry and Milstein’s (2004b) Resiliency Model (refer Chapter 2, p. 42). Henry and Milstein (2004b, p. 253) viewed positive connections in the following way:

People, activities, programs, institutions, communities, and society, as well as the core values that underlie them, are related in profound ways. These connections help us know who we are and how we fit in with those around us.

Max and Helen’s set of core values, and their managerial and interpersonal connectedness with others, were testimony to this resiliency factor. Both principals established clear and consistent boundaries in terms of expectations of student behaviour, staff teaching performance and adherence to community norms. In regard to life-guiding skills, Max and Helen more than adequately met the suggested skills competencies including goal setting, planning, problem-solving, decision-making, communications, conflict resolution and management, and the ability to be reflective. The element of nurture and support was well covered by their ethic of care and their need for others’ approval and support. Clarity of purpose and expectation was a hallmark of both principalships that enabled Helen and Max to engage with a range of educational challenges. The final element of meaningful participation identified social engagement with family and friends, in addition to volunteer and community contributions.
SUMMARY

In this chapter, the writer discussed the case study findings in relation to Research Question No. 1: *What are the personal dimensions of a secondary principal’s job?* These personal dimensions have been identified principally through managerial connectedness with people, interpersonal relationships and the manner in which both case study principals managed their personal and professional dilemmas. However, within the self of each principal, there were identified influential professional and personal values that could impact on their leadership behaviours and on the way in which they directed their schools. Finally, the impact of the job on the person of the principal was considered, together with their coping strategies and resilient characteristics.

In the next chapter, the case study findings will be analysed with a view to enhancing concepts behind educational leadership theory, particularly evidence of support for Day et al.’s (2000) values-based contingency model and a conceptualisation of the values dimension of school principalship.
INTRODUCTION

The present study of two secondary principals focused on the personal dimensions of principalship, the ‘person’ of the principal and on the concept of values-based leadership and how that might influence leadership behaviours. This chapter will draw on the case study findings to examine the field of educational leadership theory in relation to the study’s second research question: What are the implications of the findings for educational leadership theory? Particular attention is given to Day et al.’s (2000) values-based contingency model and a conceptualisation of what may influence a secondary principal’s leadership practice.

VALUES-BASED CONTINGENCY MODEL

The evidence from Day et al.’s (2000) research findings, on effective primary and secondary headteachers in the United Kingdom context, led them to suggest that existing theories of leadership did not adequately reflect or explain the practices of effective school leaders. From their data, Day et al. (2000, p. 62) commented that efficacy of their school leaders was based on a capacity to:

... make a difference to the lives of students, staff and community and did so principally through the strength, integrity and perseverance of their core beliefs and vision of education, their high levels of interpersonal qualities and skills, their ability to manage competing demands, tensions and dilemmas, and their capacities to continue to be enthusiastic about the learning and achievement of staff and students in changing times.

Their research emphasised, “a people-centred model of leadership that is premised upon values rather than management systems and market forces” (Day et al., 2000, p. 158). This view stands in contrast to Bush’s (2003) more generalised assertion that contingent leadership was more pragmatic than principled. Leadership approaches, reported in Day et al.’s (2000) research, were heavily people-centred. The practices of these principals were shown to be
both transactional (maintaining and developing systems, formulating school targets) and transformational (building student and staff esteem, competence and achievement). Like the two case study principals in the present thesis research, Day et al.'s headteachers were, “more concerned with making their schools caring, focused and inquiring communities than cost effective quasi-businesses” (p 166). This evidence suggests that interpersonal relationships and people management may be at the core of effective school principalship.

In addition to collecting data on school leaders, Day et al. drew extensively on a longitudinal United Kingdom study of over one hundred small and medium-sized businesses (Patterson, West, Lawthom & Nickell, 1997) which showed a similar result to their educational leadership study: that no other management practice had such a powerful impact upon performance as strategies grounded in a concern for the well-being of people. They examined a ‘competing values’ theoretical framework that Patterson and his colleagues used to guide their work, much of which may also be applied to the case study findings of the present study. The major features of that framework are cited by Day et al. (2000, pp. 168-169, emphasis in the original) from Patterson et al. (1997, p. 9) as follows:

- **Human relations model** in which, “the primary emphasis is on norms and values associated with belonging, trust and participation. Motivational factors are attachment, cohesiveness and group membership. Cultural dimensions linked to this are: *concern for employee welfare* – the extent to which employees feel valued and trusted; *autonomy* – designing jobs in ways which give employees wide scope to enact work; *emphasis on training* – a concern with developing employee skills; and *supervisory support*.”

- **Open systems model** in which the primary emphasis is on change and innovation, “where norms and values are associated with growth, resource acquisition and adaptation. Motivational factors are growth, variety, stimulation. Cultural dimensions which reflect this orientation are: *outward forms* – where the organisation is attuned to the external environment; *flexibility; innovation and reviewing objectives* – a concern with reviewing and reflecting upon progress in order to improve.”

- **Rational goal model** in which the primary emphasis is on, “the pursuit and attainment of well-defined objectives, where norms and values are associated with productivity, performance, goal fulfilment and achievement. Motivations are competition and successful achievement of pre-determined ends. Cultural dimensions which reflect this
model are: vision — a concern with clearly defining where the organisation is heading; emphasis on quality: pressure to produce — where employees feel pressured to meet targets and deadlines; and performance feedback — where clear feedback is available for employees about their job performance.”

- **Internal process model** in which the emphasis is on, “stability, internal organisation and adherence to rules, where norms and values are associated with efficiency, coordination and uniformity. Motivating factors are needs for security, order and rules, and regulations. Cultural dimensions which reflect this model are: formalisation — a concern with formal (often written) rules and procedures; efficiency; and tradition — a concern with maintaining existing policies, practices and procedures.”

Inherent in this theoretical framework is the need to distinguish between the complementary functions of leadership and management practice. There have been a range of comments differentiating leadership from management. These included broad-based statements such as good management “controls complexity” while effective leadership “produces useful change” (Kotter, 1990). More detailed distinctions have been drawn by West-Burnham (1997a), for example, whose views on leadership could be summarised as being concerned with vision, strategic issues, transformations, ends, people and doing the right things. Management, he believed, was concerned with implementation, operational issues, transaction, means, systems and doing things right.

In terms of their relative importance for effective management and leadership, Patterson et al.’s (1997) research ranked the four identified models in the following order: human relations, internal process, rational goal and open systems. This ranking order relates well to the respective emphases in the enactment of principalship by the present study participants. In their cases, there existed a demonstrable focus on the welfare, learning and development of students and staff, together with an emphasis on group norms of behaviour and internal stability. This is consistent with a human relations model of leadership. Similarly, Patterson et al. (1997, p. 12) noted in their business research study: “It is employees within companies who bring about changes in productivity and how they are managed, in terms of concern for employee welfare, emphasis on supervisory support, social support, etc, is likely to be critical.”
Like the headteachers in Day et al.'s research, Max and Helen, in the present study, frequently used their personal interrelationship skills rather than their positional power bases to achieve desired results or to set in place strategic tasks or directions for their schools. This was achieved through a range of interpersonal interactions that focused on enlisting the support and commitment of staff.

VALUES-BASED CONTINGENCY LEADERSHIP

From their study, Day et al. (2000) proposed a model of leadership where effective leaders' behaviour is contingent on context and situation, and where their choices and decision-making practices are related directly to their personal beliefs, values and leadership style. The model focuses primarily on school leadership rather than on managerial approaches, a point of difference for Thrupp & Wilmott (2003) who believed the model is not critical enough as it remains too centred on within-school issues and practices.

The values-based model of Day et al. (2000) will now be used as a theoretical framework to illustrate concepts underlying the values-based leadership of Max James and Helen Aiken in their respective New Zealand principalships, and to show how the present study contributes to the field of educational leadership theory. These concepts will be discussed under five dimensions used by Day et al. (2000) to report the complexity of leadership function. These dimensions include a range of characteristics that are not mutually exclusive and are summarised under the headings: values and vision, integrity, context, continuing professional development and reflection.

Values and Vision

The headteachers in Day et al.'s (2000) study had communicated their personal vision and belief systems by direction, word and deeds. They came across as authentic leaders; that is, leaders who were acknowledged as such by their staff, who derived their credibility from personal integrity and 'walking their values'. The case study findings of Max James and Helen Aiken, together with relevant concepts within the educational leadership literature, further illuminate our understanding of this theme in terms of deeper level justifications for beliefs and values that influenced their school leadership.
In reviewing the core values of Helen and Max, it was apparent that there was a greater values congruence in terminal values (personal values of happiness, self-respect, mature love and true friendship) than there was in instrumental values (value of honesty). Both principals displayed a philosophical commitment to the process of education, symbolised by their belief in the intrinsic worth of their students and by the belief that they and the staff could make a difference to students’ lives. In many ways, their life philosophies and personal values were a forerunner to their educational philosophies and subsequent leadership behaviours, an aspect of principalship reflected on by a former New Zealand secondary principal who said: “You must know what you believe about life and then be able to translate what you believe about life into education, because if you don’t have that kind of basis, you end up making pragmatic decisions that can cause conflict” (Murray, 2002, p. 5).

The philosophical underpinning of educational leaders’ key values, and the place of values in educational administration, were reflected in earlier sections of the literature, particularly in the writings of Christopher Hodgkinson and Thomas Greenfield. In his paper *The Decline and Fall of Science in Educational Administration*, Greenfield (1986) claimed that the central tenets of educational administration were not scientific but rather philosophical ones; that values, passion and the humane had a part to play in new administrative realities.

This perspective rekindled an awareness of philosophical views, such as those of Hodgkinson (1978), about moral and values dimensions of educational administration. Hodgkinson put forward the concept of administration as ‘philosophy in action’. He believed that, in addition to technical competencies, there was a need for school leaders to develop an understanding of moral complexity and of value judgements and dilemmas within educational organisations. The ability to make philosophical linkages between values and administrative action enhanced the role of the leader and avoided relegation to the level of mere technician: “If this were not true, then leadership behaviour could be routinized and, ultimately, computerized” (Hodgkinson, 1983, p. 202).

Later leadership commentators, such as Gilbert Fairholm, continued to support these philosophical notions that leadership was not simply a matter of operational action. It was also, “a question of philosophy, of the principles of reality and of human nature and conduct” (Fairholm, 1998, p. 57).
Integrity

In Day et al.'s (2000) study, the headteachers did ‘walk the talk’ by role modelling behaviours they considered desirable and through consistency and integrity of their actions. They demonstrated a sense of optimism in people’s potential for growth and development, respect for the individuality of students and staff, trust in others and a capacity to be supportive and encouraging of those in their care. In the cases of Helen Aiken and Max James, the feature of values integrity was reflected by the manner in which they modelled their personal and professional values and in the apparent congruence between their values’ origins and the enactment of those personal and professional values.

External values modelling

In terms of role modelling desired behaviours and displaying external integrity, the present study confirmed the integrity element of the values-based contingency model. Both target principals consistently adhered to a fundamental work ethic that set an example for their teachers and to an ethic of care as values-driven organisers and cultivators of nurturing cultures (Beck, 1994). Similarly, both principals were conscious of modelling core personal values of honesty, integrity and truthfulness to members of their school communities. They remained optimistic about people’s potential for improvement and cheerful in the face of quite adversarial situations.

Internal values congruency

However, it is in the area of internal integrity of values systems that the present study adds a further perspective to the conceptual understanding of the model of values-based contingency leadership. In the case studies, interdependent links are suggested between the following values areas:

1. *The origins of the principals’ values* within their family upbringing, periods of adolescence and their teaching careers prior to principal appointment;

2. *Personal and professional values*, such as honesty/self-respect, leading to moral leadership/work ethic; a sense of concern/responsibility leading to an ethic of care;

3. *Specific leadership behaviours*, such as their values stances in dilemma management and a strong focus on student-centred education.
Previously, the educational leadership literature has been tentative in its approach to values derivation and in assessing the relationship between the personal and professional values of leaders rather than those of the organisation in which they work. Begley (2003, pp. 3-4), for example, suggests that:

Values appear to be derived from both within the individual’s psychology as well as from the individual’s interaction with collective groups, organisations and societies. For this reason, it is important to establish a balanced appreciation of the relationships among personal values, professional values, organisational values, and social values. The bulk of the literature of leadership and management has not been helpful in this regard, as it reflects a predominantly organisational perspective, to the extent that individual and professional values are often ignored, assumed to be the same as, or fully subordinated to an organisational imperative.

The findings of the present case studies reinforced the generalised notion that an educational leader’s personal and professional values are likely to help shape and inform their thinking, while serving as guides to action for subsequent problem-solving and decision-making processes (Leithwood, 1994). What is distinctive in the findings of the present study is the degree of congruence or ‘integrity’ between the principals’ personal (first order) values and their professional (second order) values. This differs from the observations of Hart & Bredeson (1996), for example, who claimed that congruence rarely exists between espoused professional values and first level values by which we live.

In the present study, there was a high level of congruence between identified values’ origins, their foundational influence on personal and then professional values that, in turn, underpinned leadership actions of each principal. The potential spheres of values influence, from the evidence of the two case studies, are represented in Figure 8:

![Figure 8 Spheres of values influence on leadership behaviour](image)
The format of this figure is similar to a graphic found in Hodgkinson (1991) and adapted by Begley (1999a, 2003) to present a layered interpretation of a values syntax. The major distinction here is the differentiation of values into the personal and professional domains and in the prominence given to possible sources of values derivation. However, it must be remembered that, in such a diagrammatic representation, two individual leaders only are portrayed, not a group or organisation or collective social context.

The outer sphere represents the demonstrable actions and behaviours of the principal that take place within the confines of the institutional environment or in the context of the wider school community. In the case studies, these included curriculum leadership, collegial leadership style, climate setting, personal and professional support for school constituents, application to the job, role modelling and ethical decision-making. The actions and behaviours are, “the way by which one makes empirical attributions about the value orientations of any other person” (Begley, 2003, p. 5).

Through researcher observation and principal self-disclosure at interview, both principals’ specific leadership behaviours were perceived to have firm foundations in their core professional values. These included a belief in a balanced education, promotion of student self-esteem, positive learning experiences, strong work ethic and moral purpose in their leadership. This stands in contrast to other findings in the literature (Hart & Bredeson, 1996; Begley, 2003) that observed actions may not be accurate indicators of a person’s underlying values where individuals may espouse certain values while being committed to others in practice. It is possible that the extended time over which the present study took place engendered a trust between researcher and participants that may have encouraged both self-reflection by the principals and honest disclosure of their values and philosophy.

The next sphere of influence, the principals’ set of personal values, showed a stronger preference for terminal or philosophically-oriented values than instrumental values. In turn, some of the core personal and professional values were judged to be grounded in the domain of each principal’s family values structure, their periods of adolescent development and in their early career experiences as teachers. This prospect has been at the heart of the research study: to determine the reasons why two principals might hold particular core values and how these values might motivate them to lead their schools in the way they do. Finally, at the centre of the figure, is the ‘self’ or essence of the individual. As Begley (2003) noted, this is
the biological self, as well as the existential or transcendent self, about which comparatively little is known or understood.

**Context**

Day et al. (2000) confirmed another important dimension of effective leadership as the influence of context. They described the headteachers in their study as highly responsive to the demands and challenges within and beyond their own school context. In the areas of people management and cultural change, they managed external as well as internal environments.

*Values affected by school context*

The present study added a contextualised perspective to the conceptual understanding of context in revealing more detail about the two principals’ interactions with their external environments and, in particular, how Max’s values interactions differed from Helen’s by working in a rural community.

A diversity of perspectives had been expressed in the educational leadership literature about principals’ values interactions with the external environment, particularly with the institutional values of centralised educational agencies. For example, Moore, George & Halpin’s (2002) sample of English headteachers were quick to indicate that, faced by the imposition of external policy change, they often responded in *accommodatory* and *pragmatic* ways rather than ‘accepting’ or ‘approving’ ways. At the other end of the continuum, Thrupp & Wilmott (2003) claimed that educational managerialism was anti-humanitarian, whereby social and moral values had been subjugated by a bureaucratic drive for operational efficiencies. This left school leaders in a position where the values they considered most important were overwhelmed by economic rationalism (Dempster & Berry, 2003) and where it was the government, at the political level, that defined school values and leadership practices. As Wright (2001, p. 280) suggests:

> Leadership as the moral and value underpinning for the direction of schools is being removed from those who work there. It is now very substantially located at the political level where it is not available for contestation, modification or adjustment to local variations.
In Max's case, despite concerted disapproval of government agencies' values stance, he had adopted the approach of "pragmatism with principles" (Moore et al., 2002, p. 185) by mediating government policy and procedures through his own values lens. On a superficial level, Max conducted a localised form of political resistance. At a deeper level, his defence was built around values resistance. Here, he worked within national demands but, at the same time, held strongly to fundamental personal and professional values of his current philosophy as it pertained to the needs of his small rural school. It appeared that, from a values perspective, Max's accountability to his rural community comprehensively exceeded his obligations to the exigencies of central government.

Max's values enactment in the context of a small rural school also linked to concepts raised in the literature regarding situational or contingent leadership. The contextual setting for leadership responsibility is important, as is the manner in which principals respond to contextual circumstances presented to them (Bolman & Deal, 1991; Southworth, 1998). Southworth (2002) identified factors that influence the nature of school leadership as school size, type, location, pupil population, levels of performance, staff competencies, presence and skills of other leaders, the school's reputation and community support, the experience of the principal and phase of principal's development. Hallinger (2003) saw that this contextualised perspective placed the context of the school as a source of constraints, conflicts, resources and opportunities that the principal must understand and address in order to lead. The contextual influence is given further credence by its inclusion as one of the National College of School Leadership's ten propositions for transforming school leadership: "School leadership must embrace the distinctive and inclusive context of the school" (NCSL, 2001).

The present study's findings reiterated the need for a contextualised perspective in the study of school leadership. First, this study employed a qualitative methodology in its exploration of the principalship, whereby a contextualised account of principals can be described and where it is possible to discuss with the principals their rationale for action within a particular context (Ribbins & Marland, 1994). Second, the study supported a number of conceptual views that the enactment of educational leadership and its school context must be examined as interdependent processes (Bolman & Deal, 1991; Southworth, 1998; Leithwood & Jantzi, 1999). This mirrors Nystrom & Starbuck's (1981) earlier ecological view of organisational leadership that seeks to align an organisation with its external demand environment.
Values alignment with others

Apart from the generalised concept of ‘shared values’ that informs school vision and school culture, there has been little mention in the educational leadership literature of the concept of a principal’s values match or alignment with those core values supported by the school and community, particularly in the area of critical decision-making. However, the process of values alignment does find expression in the field of organisational leadership (Gilley & Matycunich, 2000). Here, leaders identify personal values and relate them to organisational and employee values, making values adjustments in the interests of organisational goals and individual development. It is an alignment that serves to underline the relational, rather than the functional aspects of the leader’s role (Shriberg, Shriberg & Lloyd, 2002).

In the context of Max and Helen’s schools, it was clear that there existed an integral relationship between principal and community, “a complex set of interactions between leadership, school conditions and family educational culture in the production of student outcomes” (Leithwood & Jantzi, 1999, p. 471). This was exemplified by a number of examples in the two case studies. First, it was demonstrated that Helen and Max’s principal values mirrored the conservative nature of their local community’s educational values. Second, the nature of the interactions was seen in each principal’s self-identification of their core values with the type of school (urban/rural) that they had chosen to lead. Third, the complexity of their interactions was apparent by the manner in which both principals sought reinforcement of their values stances from other sources or, conversely, by Helen’s values flexibility in the face of a lack of community support for her moral position on school alcohol issues, and the risk of adverse publicity through a continued ethical and moral stance on students’ possession of illegal substances. Fourth, Max’s high level of involvement with his school community, values alignment with the community and his values-based dilemma management, all demonstrated a two-way interactive process between his leadership and the specific context of his school. This has implications for the way in which we view the relationship between leadership and the extended school environment. As Hallinger (2003, p. 346) suggests:
Leadership must be conceptualised as a mutual influence process, rather than as a one-way process in which leaders influence others. Effective leaders respond to the changing needs of their context. Indeed, in a very real sense, the leader’s behaviours are shaped by the school context.

It was Hallinger’s view that educational leadership should be contextualised as an interdependent process rather than a mono-directional process in which it is solely the leaders who influence others.

**Continuing Professional Development**

The fourth dimension proposed by Day et al.’s (2000) model is centred on the leader’s capacity to work with and through teams, as well as individuals, as a strategy in the management of change. In addition to formal development opportunities, the heads in Day et al.’s study used a number of strategies to motivate staff to achieve the school’s purpose. These strategies included the power of praise; involving others in decision-making; giving professional autonomy; leading by standing beside, alongside and in front. The personal interconnections were concentrated on teaching staff but included governors and parents, and showed the heads building the community of the school in its widest sense; that is, through developing and involving others (Day et al., 2000).

*Interpersonal connectedness*

In comparing the present study and the Day et al. study, it was evident that the two case study principals reflected the findings above. Their use of collaborative and distributed leadership was marked. What was particularly evident was their high level of interpersonal connectedness with their school communities on two levels.

First, their managerial connectedness and capability to work alongside people in administration, employment matters, change management, public relations and international recruitment of foreign students. This finding puts pressure on a prevailing view in the literature that the managerial work of principalship is an objective, functional and systems-oriented approach, as might be assumed by Sergiovanni’s (2000) differentiation between the ‘lifeworld’ and the ‘systemsworld’ of a school. Both Helen and Max’s case studies have demonstrated a strong interpersonal connectedness that was influential in helping them perform their managerial work. The case studies reinforced a developing notion in the
literature that the managerial function of a principalship can neither be marginalised nor its impact undervalued (Southworth, 1998; Leithwood & Jantzi, 2000). This runs contrary to apprehension expressed elsewhere in the literature about the negative consequences of the principal’s managerial activities on leadership effectiveness (Gordon, 1995; Grace, 1995; Thrupp & Wilmott, 2003).

There has been a growing conceptual awareness, reinforced by the findings of the present study, that the concepts of leadership and management may not be mutually exclusive. It has been suggested that synergy can be created from leadership and managerial functions (Ribbins, 1997; Law & Glover, 2000; Sergiovanni, 2001). Both functions can be viewed as interdependent processes where the distinction between educational leader and organisational manager needs to be seen “as a duality and not a dilemma”, as Southworth (2002, p. 7) suggests. This is illustrated by Max and Helen’s interpersonal capacity that connects both their leadership ability to inspire, motivate and influence staff and their managerial capacity to undertake, for example, effective performance management of their staff. Perhaps it is at the educational policy level, rather than at the level of daily school operation, that a dichotomy between leadership and management principles and values is more evident. At the school level, it appears that leadership and management functions are embedded in the person of the principal. Thus, both functions involve a complex interaction of values, beliefs and actions, as illustrated in the present study.

Second, in terms of interpersonal connectedness, the principals’ level of interaction with others in their wider communities supported the concept of the influence of people-centred leadership via their personal connectedness with student learning, staff development, board of trustees’ operations and parental contact. The theme of transformational interrelationships was a powerful one in the enactment of the two case study principalships. The personal and interpersonal elements within Max and Helen’s professional working lives reinforced the findings of Wadsworth’s (1990a) study of 46 New Zealand secondary principals’ most problematic tasks. Wadsworth established that 61% of the problem tasks fell into the domain of the personal (personal maintenance, development of an educational philosophy) and interpersonal (maintenance of morale, interpersonal skills, influencing students’ school experiences and dealing with social problems).
Both Helen and Max displayed considerable concern for their students and staff, a clear demonstration of an ethic of care for members of their educational organisations. This awareness of corporate well-being, and concern for each individual, is referred to by Southworth (1998) as expressive leadership. It is also part of the concept of authentic leadership that appears frequently in the educational leadership literature, where such leaders demonstrate compassion, trustworthiness and who possess people-centred values (Bhindi, 2003).

The values-based contingency model and the case study findings support Greenfield’s (1995) contention that social/interpersonal role demands form an essential part of situational imperatives within school administration. Greenfield comments:

As an interpersonal influence phenomenon between leader and others that seeks a voluntary change in other’s beliefs, behaviours, and/or attitudes, leadership processes at the school level may flow upward, from teachers to administrators, downward, from administrators to teachers, and laterally, among colleagues and between school professionals, parents and other agents internal and external to the school. (Greenfield, 1995, p. 62)

Greenfield believed that the working world of the school leader was largely social in nature, whereby they, “work directly with and through other people to influence, coordinate, and monitor their efforts, and to develop and implement programs and policies to accomplish the school’s goals” (Greenfield, 1995, p. 69). As the two case studies have demonstrated, much leadership and managerial work is accomplished through face to face interpersonal interactions.

**Reflection: Developing the Self**

The fifth dimension of the values-based contingency model, the area of reflection, raised two important leadership issues: the role of the self in educational leadership and the capacity of the leader to move beyond intuition, and the superficial level of technical reflection or practice evaluation. Within the literature, the role of a school leader’s personal identity in school effectiveness has gained increasing attention. Qualitative studies have suggested that a leader’s identity and personal commitment exert an influence on school effectiveness and improvement (Fullan, 1993, 1997). In addition, there have been calls in the literature to see beyond the power of organisational influence, to acknowledge the impact of personal identity
on the school (Beck, 1994; Kruse, 1995) and to focus on what Palmer (1998) terms the “inner landscape” of school leaders; that is, the intellectual, emotional and spiritual dimensions of an educator’s self.

The reflective self

The role of the self within Helen Aiken and Max James’ principalships was an underlying feature of their leadership practice. Both principals possessed a strong sense of self-identity and self-image. Both principals took a personal and professional pride in their leadership performance that fed and maintained their own self-respect in the way they performed their job. The self, as in Begley’s (1999a) layered model, was at the central core of principal action and underlined the concept of self-knowledge and self-management referred to in the leadership literature (Gardner, 1995; Pascal & Ribbins, 1998; Sergiovanni, 2001). As respondents often said of Max and Helen, they did know who they were in terms of self-identity, what they believed in terms of core values, and they could explain the rationale for doing the things they did or for the decisions they took. This implies, in turn, a certain ability to reflect on the self (Schon, 1983, 1987) and to appreciate the self as a person, as well as a serving professional (Pascal & Ribbins, 1998).

The other leadership issue raised by Day et al.’s fifth dimension was the concept of the heads’ capacity to be self-reflective in different ways. Their research suggested that, “such capacity for reflection in, on and about a broad range of contexts, and through this to form, sustain, review and renew a holistic view of the school, its needs and its direction, is central to effective educational leadership” (Day et al., 2000, p. 174). It was not unexpected that the two case study principals differed in their levels of self-reflection about their own values and how those values might contribute to the strategic direction of their schools. This signals a difference in application of Butler’s (1996) reflective model that assumes a capacity for principals to reflect equitably about their public knowledge, professional practice, world view and their personal knowledge. However, both case study principals reflected considerably on their internal and external educative processes, particularly during critical decision-making times or when engaging in dilemma management.

The two case studies highlighted a consideration to move beyond the notion of school leaders as critical thinkers of external actions, exemplified by Schon’s (1983, 1987) foundational
concepts of reflection-to-action, reflection-in-action and reflection-on-action, to a reflection-on-self. Typically, leadership reflection comes as a result of reaction to external factors or events. It is restricted in nature by the specificity of circumstance; it is often restricted in time by the need for expedient action; and it may not necessarily require deep-level interrogation of the self. Day’s (2004, p. 120) description of teachers’ reactive reflection illustrates this point:

Reflection is enacted as an activity in which vagueness is normal, and values are left unexamined in the preparation for what must be done to get by today and tomorrow. Yet, this will not be enough to ensure growth, for it is limited to feedback of experience by self on self.

Thus, it is argued that there exists a need to move beyond externally-related reflection to an internal reflection-on-self and, in particular, a specific self-examination of the leader’s personal and professional values systems. This argument is based on the case study findings and evidence in the literature to support the place of values and ethical considerations in reflective practice, a process Coombs (2003a) referred to as developing reflective habits of mind. Begley & Johannson (1998), for example, found that values were important in deciding leadership action, especially in providing a structure from which to launch problem-solving strategies. This was particularly evident where principals lacked necessary information and were faced with a distinctive problem or were forced into expedient action. Leithwood & Steinbach (1991), cited in Coombs (2003b, p. 63), also found that expert principals, in comparison to non-experts, were much clearer about their values and could use them as substitutes for knowledge, when domain-specific knowledge was lacking. They also claimed that values served as a perceptual screen, influencing what principals chose to notice and how they defined presenting problems.

CONCEPTUALISING THE VALUES DIMENSION OF PRINCIPALSHIP

A number of conceptualisations may be proposed from the case study findings in relation to the personal and values dimensions of principal leadership. These focus on the centrality of a principal’s core personal and professional values and their capacity to influence leadership behaviour, particularly in the area of dilemma management. They are an extension to Day et al.’s (2000) values-based contingency model in the form of values contestation in dilemma management and an exploration of how a principal’s set of core values might be
linked to human needs theory and may contribute to their levels of resiliency, emotional and spiritual intelligence and personal well-being.

**Re-conceptualising Dilemma Management**

Much of the early literature on values in educational leadership focused on the typology or classification of dilemmas into distinctive categories (Hodgkinson, 1978; Bolman & Deal, 1991; Cuban, 1996; Lam, 1996; Moller, 1996; Roche, 1999). A variety of interpretations of the moral aspects of a principal’s job and associated dilemma management practices was also noted in the leadership literature. This ranged from a strict interpretation that leadership is essentially concerned with right and wrong (Duignan & Macpherson, 1992) to Lees’ (1995) call for democracy and social justice in educational leadership and Sergiovanni’s (1992) wish that school leadership be characterised by an ethic of care and respect. In a broader assessment, Dempster & Berry (2003) reported, in a Queensland research study of principals’ perceptions of their school’s ethical climate, that the climate had changed over the last 15 years. In a finding replicated by the present study, the Australian research found that principals were increasingly required to deal with educational, social, political and personal issues that had an ethical component. In addition, 64% of principal respondents reported that the complexity of the decisions they must now make had increased either moderately or substantially in recent years.

Within the educational leadership literature, attention has been re-centred on the principal as the focal point of the dilemma management process. This, Fullan (2003, p. 137) believed, was the most powerful image of the current principal as, “the person in the middle beset by the kinds of conflicts and dilemmas that appear in most human triangles.” Sergiovanni et al., (2004, p. 203) also commented on the complexity of the principal’s position and their placement, “at the vortex of powerful influences that enable and inhibit the principal’s ability to perform successfully.”

However, the literature had not revealed, in any detail, the manner in which principals deal with problematic situations, a point posed by Dimmock (1999, p. 97):
While there is growing interest in studying principals’ perceptions of their work lives in terms of dilemmas, relatively few studies have gone beyond this to investigate how leaders manage and cope with such ‘intractable’ situations and the consequential effects and outcomes.

Few studies have accessed data that might provide an indication of why principals choose to resolve their particular dilemmas in the way they do, that is, studies do not often provide evidence to suggest what rationale might lie behind decision-making in a dilemma situation. Using some critical incidents within the case studies of Max James and Helen Aiken, it is suggested that the rationale for the two principals’ dilemma management was based heavily on their core personal and professional values and that the management of dilemmas in a school setting can also be viewed as the management of contested values.

In the case of Helen Aiken, this was exemplified by a critical incident involving the teacher who left a class unattended during an important ERO visit. Helen’s dilemma was whether to confront the teacher directly over their unprofessional behaviour or to ignore the situation in the interests of staff stability, at a time of considerable tension in the school. Helen’s decision to chastise the teacher might be understood in terms of contested values.

A total of seven of Helen’s core values seemed confronted by this act and this was subsequently confirmed by her: her student-centred focus where student interests and well-being were paramount; high standards of behaviour expected of staff as professional role models; a work ethic and demand for excellence and academic achievement that demonstrated real engagement in the learning process between teacher and students; an ethic of care that showed concern for the safety of one’s students; an inherent honesty about one’s intentions in leaving the class so frequently; and a betrayal of Helen’s and the staff’s efforts to present a united picture of effective teaching to a team of external reviewers. Such was the extent of the affront to Helen’s core values that any consideration of a persuasive or compromise approach was simply out of the question. Fortified by the ‘rightness’ of her values stance, Helen felt a moral justification in her direct action of taking the teacher to task about the incident.

Following Begley’s (1999a) syntax of values terminology, this critical incident can be conceptualised as an example of a values-based decision-making process. This is displayed in Figure 9:
At Riverside High School, Max’s critical incident of the threatened rugby tour also provided
an insight into the ways values might influence dilemma management decision-making. Max’s
dilemma was whether to accede to staff wishes to cancel the tour on the basis of their
professional and political principles relating to their employment negotiations or to proceed
with the tour in the interests of the students and in terms of possible long-term ramifications
for the school’s relationship with its parent community. A total of six of Max’s core values
were contested by the staff action and this was duly confirmed by him: his professional value
of providing a balanced all-round education for a range of students; provision of a positive
learning experience and opportunity to develop student self-esteem by undertaking a sporting
venture on a grand scale; his terminal values of happiness and self-respect were seen as
positive outcomes of the trip; and finally, his deeply-held value of maintaining an effective
and trusting relationship with his rural community that supported the work and direction of
the school.
Like Helen, Max’s core personal and professional values were in a contested situation with those of his staff. Unlike Helen’s direct action, Max was consistent in the ‘win-win’ approach of his outcomes-based philosophy and so reached a state of compromise. He would respect the staff employment principles but could not sacrifice the key values above and, therefore, undertook to lead the overseas tour himself.

Again, using Begley’s (1999a) syntax of values terminology, Max’s critical incident can be conceptualised as another example of a values-based decision-making process within dilemma management. This is illustrated in Figure 10:

Max’s decision-making illustrates another pathway in interpreting the process of principals’ dilemma management: a process of managing the inevitable contestation of values of competing parties and falling back on one’s core values to inform the resolution of such dilemmas. Both principals revealed deep-level considerations in their dilemma management and the findings of their case studies point to core personal and professional values as touchstones in their dilemma decision-making process.
Management of Contested Values

In their headship study, Day et al. (2000) established, within a contextual dimension, that the heads were adaptive to external circumstances and were able to manage conflict in a way that achieved positive outcomes for the personnel concerned. However, the present study suggests a re-conceptualisation of the area of conflict or dilemma management and, in so doing, proposes an additional sixth dimension to the values-based contingency model: the management of contested values.

The concept of values contestation and its management by the two case study principals constituted a major finding of the present study. The study revealed principals’ rationales behind their decision-making in dilemma situations. A sample of critical incidents demonstrated each principal’s recourse to their core personal and professional values when searching for a resolution to the dilemma. In this way, using Begley’s (1999a) framework of values terminology, critical incidents surrounding principals’ management of dilemmas can be conceptualised and interpreted as a values-based decision-making process. In Max James’ case, his critical incident displayed the most profound form of values contestation in which values of principle of both staff and educational leader were in conflict. As Hodgkinson (1991) pointed out in his values typology, the contestation of Values of Principle or transrational values, and the contestation of Values of Preference or sub-rational values, are frequently the most difficult to resolve.

In addition, there are two other considerations within values contestation that may enhance an understanding of values-based contingency leadership. First, it may be assumed that the notion of values conflict occurs between people on an interpersonal basis. Hodgkinson (1983, p. 206) has offered a less publicised but subtle view that true value conflict is always intrapersonal, deep within the self: “The essential subjectivity of value dictates that any conflict between values must occur within the individual consciousness; it must be part of the affective life of the individual and private to that phenomenology.” Helen Aiken and Max James both underwent intrapersonal values conflict to varying degrees, exemplified best in Helen’s self-review of her values position on school alcohol issues in the face of lack of community support for her moral stance. This must constitute a watershed moment for any principal, as she/he contemplates the prospect that the resolution of values contestation may well result in the principal’s own values being superseded by the greater
legitimacy of others’ values or not perceived to be of any values currency at all. It is important for principals to be aware of the impact of this intrapersonal values conflict and the possibility of its occurrence at any stage of dilemma management decision-making.

A second consideration within values contestation is a re-emphasis of an underlying moral purpose behind educational leadership and values-based contingency leadership in particular (Hodgkinson, 1991; Cardno, 1994; Moller, 1998; Leithwood et al., 1999; Harris & Chapman, 2002). Max and Helen’s decision-making processes, employed during their management of contested values, were influenced by the strength of their convictions, by doing what was right in the best interests of their school. Their decision-making was also influenced by key personal values of honesty and integrity. These affected the ways in which they gave feedback to others, the levels of honesty within their own self-assessment of leadership performance and the manner with which they resolved intrapersonal values conflict.

This moral purpose in educational leadership and its origins in principals’ unique sets of core values is underlined in the literature, for example, by Greenfield’s (1995) moral dimension as one of five situational imperatives in school administration, and by Sergiovanni’s (2001) frequent assertions that leadership was a far more cognitive process than simply being personality or rules-based: “Cognitive leadership has more to do with purposes, values, and frameworks that oblige us morally than it does with needs that touch us psychologically or with bureaucratic things that push us organizationally” (Sergiovanni 2001, p. ix). Equally, the proposed dangers of ethical relativism for administrators (Strike, Haller & Soltis, 1998), and interest in the concept of ‘ethical intelligence’ as a moral imperative (Day, 2004), have supported a call for educational leaders to understand a need for clear values, beliefs and sense of moral purpose if their dilemma management is to be well informed.

It should be noted that there are no easy solutions to moral decision-making nor is it prudent to develop a definitive listing of values necessary to engage in effective values-based leadership. As Begley (2002, p. 51) said: “The processes of valuation in school leadership situations are much too context-bound to permit this quick fix.” Of greater importance is to develop awareness within principals of how to make problematic leadership choices in dilemma situations, particularly those in which there are no clear right or wrong answers, where the choice is often between ‘right’ versus ‘right’ - a situation confronted by Max James.
in his rugby tour decision. These constitute, “genuine dilemmas precisely because each side is firmly rooted in core values” (Kidder, 1995, p. 18).

Thus, this case study research proposes that a principal’s dilemma management may be re-conceptualised as the management of contested values that is interpersonal, intrapersonal and based on values choices made by the principal as part of that decision-making process. This latter perspective is cogently summarised by Hodgkinson in his writing on values theory:

It comes down to this: an administrator, any administrator, is constantly faced with value choices. To govern is to choose. One can accept or not accept the value dictates imposed by the particular organizational culture in which one works. One can aspire to or disdain any of a number of systems of ‘ethics’ from workaholism to neo-Confucianism. One can allow, or not allow, one’s leadership to be swayed by values deriving from hedonism, ambition, careerism, or by the prejudices and affinities one has for colleagues and peers. And one can do all of this in the open or in secret or somewhere in between. But each day and each hour provides the occasion for values judgements with each choice having a determining effect upon the value options for the future. (Hodgkinson, 1996, p. 109)

Values-based Leadership and Human Needs Theory

The findings of the present study point to support for Maslow’s (1954) human needs theory as a means of understanding the nature of the two principals’ core personal values systems. Both principals’ personal values of affiliation, love and friendship might be explained in terms of a social need for a close association with other people, be it one’s immediate family or one’s work colleagues, and a need to give love and approval and for that expression of feeling to be reciprocated. In Helen’s case, the social need was used to offer an explanation for her feelings of isolation in the job, a point reinforced by the pilot study principal’s comment that his principal’s job was “the loneliest job you could imagine” because it met none of his basic human needs.

Helen’s personal needs and allied personal values might be described in relation to Maslow’s hierarchy. Like the pilot study principal, Helen’s social needs were reflected in her sense of affiliation and belonging to Hounslow College as a former student and as Deputy Principal. With occasional estrangement from sectors of the school community (parents, board of trustees), it was understandable that Helen would feel a sense of isolation based on her social
needs not being met. In the case of the pilot principal, it was noticeable that an open door policy to his office was not only for interpersonal communication; it also served a social need that was reflected in a comment to the researcher: “Don’t close the door – the job’s isolated enough as it is” (Field note F1999/A:10). This was strengthened by his Assistant Principal’s reference to what he termed the “psychological side of principalship”:

Sometimes, I think he would love to be included in some things and be a part of it. But sometimes the shutters come up, you know, the social gathering: “Here comes the boss!” “Better watch our P’s and Q’s.” “No, we won’t carry on talking about that because that might impact on decisions … I’m sure he must feel left out.

(Interview T1999/B:3)

Helen’s key value of love and being loved, and her esteem needs for her own personal and professional self-respect and approval from others, could be related to Maslow’s human needs theory. They also connected with the theme of isolation when loneliness sets in on account of the weight of leadership responsibility, being sole agent in terms of access to confidential information and a terminal point of school-wide decision-making. Again, this situation reinforced the assimilation of professional demands into the realm of personal effect on the principal. As Nias (1989, p. 150) maintains, “all [educators] come to their work as people. It is, after all, the ‘self’ who decides to join the profession and the occupational identity which is absorbed (if it is) into the personal.”

Similarly, the two principals’ interdependent values of self-respect and honesty might be explained by the human need for esteem: esteem for oneself and receiving the esteem of peers with whom one works. This provided the principals with a sense of security in who they were as people and as school leaders, an aspect reinforced by Youngs’ (2004) case study of serving and leading in a tertiary institution, where the theme of self-security was evident in the participants’ views of servant leadership and where it underpinned personal examples of their practice.

Although only one of the principals’ common core values, happiness, could be linked to Maslow’s category of self-actualisation, it did represent a highly ranked and deep-level goal for each principal at the essential level of the self. Happiness for themselves and for their school constituents was an ultimate terminal value, particularly for Max as he revealed his inner values in terms of a human needs typology. This concept of educational leaders’ self-
actualisation was identified by Spry & Reardon (2003) in their development of a framework for leadership in Queensland Catholic schools. Here, the concept of inner leadership was linked to the personal development of the school leader:

Inner leadership requires individuals to focus on personal development to achieve self-actualisation, thus enhancing their ability to serve the school community and the wider society. Self-actualisation involves freeing ourselves of habitual mindsets and behaviours to make conscious choices and become integrated and autonomous people acting in accordance with their values and purpose. (Spry & Reardon, 2003, p. 2)

It has been argued that Maslow’s (1954) theory possesses a strong behaviouralist approach where people are perceived as responding to rewards and punishments (Feather, 1980). As other writers have contended (eg Bandura, 1995; Pintrich & Schunk, 2002), a more cognitive approach to needs theory would suggest that people also make choices based on personal preferences, in addition to rewards and punishment. Data arising from the present study would suggest that, in meeting their human needs, Helen and Max reflected both behavioural and cognitive approaches to their thinking about what was best for their sense of self and for their school communities.

In summary, there are potential links to be made between the target principals’ core personal values and human needs requirements proposed by Maslow’s (1954) theoretical needs framework. This suggests the prospect that personal values of educational leadership may be not only acquired through one’s upbringing and teaching career experiences but also in reaction to the impetus of meeting, albeit subconsciously, one’s own basic human needs. Indeed, this linkage of a principal’s core personal values as a reflection of their human needs raises possibilities for the content and delivery mode of future principal support.

**Principal Resiliency**

The area of resiliency research in prevention, education and youth development fields offered a body of evidence that suggested that humans have powerful protective mechanisms regarding their survival and development (Maston, 1994). This link between resiliency and human development, and hence human needs, was articulated by Benard (1999). She contended that, if we hope to create socially competent people who have a sense of their own identity and efficacy, who are able to make decisions, set goals, and believe in their future,
then meeting their basic human needs for caring, connectedness, respect, challenge, power and meaning must be the primary focus of any prevention, education and youth development effort.

It was of interest to this researcher to note the formative family influences on both principals and the link to a supportive environment which is characteristic of families, communities and organisations that promote resiliency. From a list of 12 environmental protection factors, proposed by Henry & Milstein (2004b), four factors find applicability to Max and Helen’s future resilient development as adults. From the principals’ self-disclosure of their family backgrounds, it appeared that their respective families:

- Valued and encouraged education
- Set and enforced clear boundaries
- Promoted sharing of responsibilities, service to others, “required helpfulness”
- Expressed high and realistic expectations for success.

(Henry & Milstein, 2004b, p. 250)

In the case of Helen Aiken and Max James’ principalships, the fostering of resilience operated at a profound human level, at the level of interpersonal relationships and at the level of the strength of their personal values systems. There have been potential links developed between their common core personal values, social and self-esteem aspects of human needs and generic characteristics of educator resiliency. An outcome of improved levels of principal resiliency may be the ability to confront daily challenges that, in turn, lead to improved capability, better understanding of the job and an enhanced sense of self. In addition to this process of self-efficacy, principals and teachers should also exhibit resiliency if their students are to be able to recover from adverse circumstances and grow stronger in the process (Henry & Milstein, 2004a).

The question then arises: Who or what supports the resiliency levels of a school principal? While the research literature on educational resiliency is only beginning to emerge, the present study suggests that a starting point lies in self-reflection of a principal’s core beliefs and values and in the extent to which that set of core values satisfies the principal’s basic human needs. In the two case studies, it became apparent that highly ranked core values which related to social and self-esteem needs were a major influence on both principal resiliency and on the manner in which they conducted their respective principalships. This
finding reinforced Henry & Milstein’s (2004a) contention that resiliency is more about a personal style of leadership, about people and how we relate to each other than it is about the technical aspects of leadership. Not only will the strength of one’s core personal values promote resiliency in the principalship but also it has the capability to assist educational leaders and their communities to build resilient schools.

From the present research, it is suggested that there may be possible synergies between Max and Helen’s core personal values, the social and esteem needs of Maslow’s (1954) human needs theory and generic elements of resiliency proposed by Henry & Milstein’s (2004b) resiliency model. The two principals’ common core values, that lay at the heart of their principalships, could be seen to link with particular levels of human needs that, in turn, may be allied to the characteristics of resilient individuals and to major features of the Resiliency Model. These possible linkages are summarised in Table 18 which interweaves material from the two cases and from the human needs and resiliency literature:

<table>
<thead>
<tr>
<th>COMMON PERSONAL VALUES</th>
<th>HUMAN NEEDS THEORY</th>
<th>RESILIENT CHARACTERISTICS</th>
<th>RESILIENCY MODEL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Terminal Values</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HAPPINESS</td>
<td>Self-actualisation: self-fulfilment through achieving one’s potential; source of inner well-being</td>
<td>All factors contribute to satisfaction and enjoyment of the principal’s job</td>
<td>All six elements contribute to a positive personal and professional life that is healthy and meaningful</td>
</tr>
</tbody>
</table>
| SELF-RESPECT           | Esteem need: self-respect, self-esteem, esteem of others | • Belief in ability to influence one’s environment  
• Has feelings of self-worth and self-control | Nurture and support achieved through ethic of care and own need for esteem of others  
Purpose and expectations achieved through success in chosen line of work; shows confidence in self and others’ potential for excellence |
| MATURE LOVE TRUE FRIENDSHIP | Social need: sense of affiliation, close association with other people; support for work colleagues; responsible member of community; need to love and be loved | • Is sociable  
• Ability to be a friend and form positive relationships | Positive connections achieved through managerial and interpersonal connectedness  
Meaningful participation achieved through engagement with family and friends (internal); interaction with, and service to, staff, students and parents (external)  
Nurture and support achieved through unconditional regard for others; enjoys community support for school |
| Instrumental Value     |                    |                            |                  |
| HONESTY                | Esteem need: Synonymous with need for self-respect; confidence in the face of the world | • Promotes feelings of self-worth and self-confidence | Life-guiding skills achieved through values-based decision-making, dilemma management; reflection based on honest self-assessment |
The linkages outlined in the Table above raise a number of questions about the implications of the two principals’ core personal values: Do core personal values have a strong influence in meeting a principal’s own human needs? If so, does meeting the basic human needs of the principal then make them more resilient in the job? Conversely, one might postulate that key factors creating an ineffectual principal are not only competency-based but may also be human needs-based, and this may result in reduced levels of resiliency.

**Emotional Intelligence**

The above discussion on principal resiliency leads to a further focus on the self of the principal: the challenge of controlling the emotional dimension of the job. This dimension was termed ‘intrapersonal intelligence’ in Gardner’s (1983) early work and later ‘emotional intelligence’ (Goleman, 1995, 2000). Both case study principals demonstrated fundamental capabilities of emotional intelligence within Goleman’s designated categories of self-awareness, self-management, social awareness and relationship management.

There are further potential links to be made in the conceptualisation of emotional intelligence in relation to the values and beliefs systems of educational leaders. In terms of the Self-Awareness domain, Goleman et al. (2002, p. 49) defined self-awareness as, “having a deep understanding of one’s emotions, as well as one’s strengths and limitations and one’s values and motives.” Leaders display honesty in their self-assessment, show understanding of their values and directions and are attuned to what “feels right” for them, as signified by Max and Helen’s self-perception that their skills, values and aspirations were suited to their choice of school type and geographical location. Their trait of self-awareness enabled them to lead their schools with conviction and with a strong degree of authenticity.

Within the domain of Self-Management, Goleman et al. (2002) contended that self-management frees up leaders from being prisoners of their own feelings and allows the mental clarity and concentrated energy that leadership demands. Goleman et al. (2002, p.59) also argued that it encourages transparency and integrity and a sense that the leader can be trusted: “Integrity, therefore, boils down to one question: Is what you’re doing in keeping with your own values?” In both cases, the two principals showed an openness to their school communities about their feelings and beliefs.
The third domain of Social Awareness showed Helen and Max’s empathy with their school communities, whereby, “resonance flows from a leader who expresses feelings with conviction because those emotions are clearly authentic, rooted in deeply-held values” (Goleman et al., 2002, p. 61). In terms of the fourth domain, Relationship Management, the target principals handled their relations from a point of genuine feeling and concern. As Goleman et al. (2002, p. 65) commented, “Because they are aware of their own guiding values, they can articulate a vision that has a ring of truth for those they lead.”

The test of any educational leader’s emotional intelligence, of course, lies in their capacity to manage dilemmas and to face the, “agony of decision-making” (Ginsberg & Davies, 2003, p. 267). In these contested situations, it may be a lack of emotional literacy that allows emotions to intensify, in a worst-case scenario, into, “unmanageable, destructive extremes of rage, guilt, anxiety, shame, depression, melancholy, isolation, sleepless nights and alienation (from self and others)” (Day, 2004, p. 98). Such dilemma management did evoke strong emotional responses in Helen as she confronted perceived issues of betrayal and in Max’s values contestation with his staff. Frequently, both principals returned to their foundational values for confirmation of their values or moral stance and, aided by reinforcement of values alignment with trusted others, would subsequently engage in the arduous decision-making process. In a broad sense, therefore, effective educational leaders could be seen to demonstrate high levels of emotional intelligence and use of their personal and emotional skills, assisted by an underlying values system, to deal with the gamut of challenging interactions and dilemmas within their school environments.

**Spiritual Intelligence**

An issue to emerge from an exploration of principal resiliency is the notion of ‘spirituality’ in educational leadership. Attempted interpretations of the concept of spirituality appear to be variable throughout the literature, ranging from living out one’s personal values (Block, 1993), to selflessness and compassion for others (Conger, 1994), to moving beyond religious connotations to enacting particular values such as trust, honesty in relationships and a sense of social justice in interactions with other people (Duignan & Bhindi, 1995). Generalised interpretations of spirituality may be attributed to all humanity in their possession of ‘breath’ and ‘life’ and a state of simple ‘livingness’ (Beare, 1998). With particular reference to leadership, however, the literature suggests evidence for a problematic state of
disconnection leading to estrangement between leaders and their constituents. This has produced a belief, in some quarters, that a re-connectedness with others is an expression of the leader's spirituality, as well as a connection between the personal and professional life, the interpersonal and the intrapersonal (Cunningham, 1999) and the clarification of one's values for spiritual renewal (Covey, 1989).

The terminology surrounding spirituality has been extended to include the notion of leadership with 'soul'. Walton (1999), for example, attempted to isolate features of a leader with soul: reflective capability, personal security, strength and rightness of what the leader is doing. However, the caveat sounded by Gronn (2000) rings out clearly: that we should be cautious in accepting, at face value, a romantic glorification of leadership where leaders may be seduced by lofty idealism or heroic terminology in which there may be more hype than hope.

It may be asked if there is a case for adding the term 'spiritual intelligence' to the growing nomenclature of leadership capability. In The Intelligent School, MacGilchrist, Myers & Reed (1997) defined spiritual intelligence as, “a fundamental valuing of the lives and development of all members of a school community” (MacGilchrist et al., 1997, p. 109). This intelligence is seen as relating closely to a teacher’s moral purpose (Day, 2004) and it may enable us to, “not only recognise existing values but [it is something] with which we creatively discover new values” (Zohar & Marshall, 2000, p. 9). In the cases of Helen Aiken and Max James, the concept of spiritual intelligence might be used to encompass the related individual concepts of their connectedness with others, their eternal sense of optimism, reflection-on-self, strength of convictions and a belief system that incorporated personal values such as honesty and integrity. The concept might also encapsulate one of Goleman et al.’s (2002) fundamental capabilities within emotional intelligence, self-awareness: the capacity to reflect on our personal identity as people, what we value in our personal and professional lives and the manner in which we connect with others in the course of our work. This foundational element within spiritual intelligence might well provide a platform for the enactment of one’s emotional and ethical intelligences.

Following Begley’s (1999a) values typology, it may be possible for school leaders to get some way closer to self-awareness and to understand how awareness of the core elements of their identity might influence their motivational base. This idea of self-awareness and self-
understanding reinforces the conceptualisation of the influence of the affective domain in educational leadership and what may be happening “below the waterline”, as in Spencer & Spencer’s (1993) iceberg model of principal development. It is here, in the murky waters of intangibles, that values, motives and something of the essential principal ‘self’ might be discovered.

Outcomes for Well-Being

The above discussion on school leaders’ self-awareness leads to a consideration of outcomes arising from the research study’s findings on possible links to human needs theory, levels of resiliency and the impact of their emotional and spiritual intelligences in coping with the demands of principalship. A major desired outcome is for the principal to feel that his/her needs of human well-being are being met within the execution of the job. A definition of human well-being was proposed by Beck (1990, p. 2) who viewed it as, “a life well supplied with elements such as survival, health, happiness, contentment, companionship, friendship, love, self-respect, respect from others, freedom, discovery, creation, achievement, excitement, fulfilment, a sense of meaning in life.”

In the domain of physical well-being, Holmes (2005) emphasised, for teachers, the classical balance of attending to the needs of mind and body, in the form of attention to exercise, food intake and protecting one’s immune system. In the present study, both principals were cognisant of the need for exercise (walking, sport) in order to compensate for their sedentary work styles. A principal’s intellectual well-being is often enhanced by the prominence they give to their personal and professional development. In Helen’s case, she enjoyed the stimulation of intellectual challenges of her principalship while Max’s preference was the professional interface and debate with fellow principals and educationalists. The emotional well-being of the two target principals, and school leaders in general, has been discussed and can be linked closely to intellectual well-being. Both Max and Helen used the personal and professional support of others to help them rationalise and resolve a range of educational matters or to confirm their leadership/values stance on a particular issue.

Nevertheless, in terms of personal and professional well-being, it must be acknowledged, from the research findings, that the potential for legal litigation was identified as an emerging stress factor for Helen, in particular, and for other secondary principals. Observational
records of regional principals’ meetings revealed their concerns and fears about the raft of legal implications for a variety of school activities. These included staff delegations; the school’s responsibility in loco parentis; safety issues with outdoor education programmes; retrospective liability; copyright licensing; staff stress as an issue of health and safety; staff competency and registration issues with associated feelings of vulnerability over personal grievance in competency cases; taxation issues; following due legal process in cases of student suspension and expulsion; school policies on alcohol consumption; role of the board of trustees in governance matters; and the principal’s new responsibility, as chief agent of the board, for acting as a good employer under the Employment Relations Act (2000).

To these internal legal demands were added external pressures of parent and student demands for their individual rights to be upheld which one principal interpreted as having to deal with a “culture of blame” (Field note F1999/S:3). In one reported instance, parents of a student with a severe medical condition had demanded of the principal that all staff be trained in dealing with their child’s condition; otherwise, in the event of medical misadventure, they would litigate against the school. As the principal of the school in question later commented: “Teachers and principals are now facing the prospect of increasing liability for matters beyond our natural experience and competency” (Field note F1999/S:2).

For Helen and her fellow principals, the threat of legal action against them was a growing concern that sat constantly in the back of their minds and impacted on their emotional well-being. From a broader educational perspective, it can be viewed as part of an increasingly litigious nature of western communities that now reaches into educational institutions (Dempster & Beere, 2003), and part of a society which challenges forms of central authority like a school (Bell & Gilbert, 1996). The result may be an unenviable tension between a principal’s willingness to take risks in support of students’ learning opportunities and a safety-first risk management approach to learning that seeks to reduce the chances of legal redress.

The final area of spiritual well-being is commented on by Holmes (2005, p. 13) as a need, independent of religious beliefs, that has been linked with, “the desire to become in some way a fuller, more rounded person, as if an ability to recognise and nurture spiritual well-being will help to engender creative freedom in life and a willingness to go beyond previously imposed boundaries.” Neither Helen nor Max laid claim to being ‘spiritual’ leaders, although Helen’s thinking and valuation processes operated at a transcendental level while Max had a
deep appreciation of the role that “corporate spirit” played in his school. However, for both principals, the concept of self-awareness was present in their reflective thinking and was a necessary part of the principals’ inner landscape as they examined the values and beliefs that informed their thinking and subsequent leadership behaviours.

While their spiritual well-being was not an overt outcome for Helen and Max, nonetheless, for some teachers and principals, a spiritual element may be an essential part of their lived professional experience. It can underline the need for a philosophical understanding of an educational leader’s role and the place of one’s values in it:

I think I view my spiritual well-being as being able to find meaning in what I do. It’s nothing outrageously egotistical but just a knowledge that what I’m doing is part of a larger picture. I think it relates mostly to my sense of purpose and the values I choose to live by. For me, there has to be a connection to my spiritual life. It’s how I can make meaning out of what happens to me and gives me a sort of philosophical handle on life. This has been incredibly useful to me in the classroom. I’ve never doubted that I want to be a teacher, but when the going gets tough, I know I tune into the spiritual side of me and draw strength from my beliefs.

(Primary teacher with three year’s experience, cited in Holmes, 2005, p. 15)

There has been a developing awareness in the educational leadership literature of teacher and principal well-being in the job, although most commentary so far has been limited to generalised concepts of the holistic balance required between physical, intellectual, social/emotional and spiritual dimensions of one’s personal and professional life (Beck, 1999; Stoll, Fink & Earl, 2003). As the present study has revealed, there are compelling reasons in furthering our understanding of school leadership; that is, based on the personal dimensions of the job and constituent elements such as one’s core values, emotional and spiritual intelligences. The values associated with human well-being should be viewed as idiosyncratic to both the individual and the context in which they work and as a means to personal well-being rather than as an absolute end in themselves (Beck, 1999). It is this personal domain, within a framework of holistic leadership, that may help us better understand the complex mosaic of school principalship.
SUMMARY OF PROPOSITIONS

The case study findings, together with associated theoretical considerations discussed in this chapter, promote the concept that leadership is inevitably values-based. As Burns (2003) noted, the advent of more open, pluralistic societies has both broadened and complicated the role of values-based leadership: dilemmas and leadership-followership debates abound. The potential for empowerment is profound and, at its base, is values-driven:

Leaders embrace values; values grip leaders. The stronger the values systems, the more strongly leaders can be empowered and the more deeply leaders can empower followers. The transformational dynamic that mutually empowers leaders and followers involves, as we have seen, wants and needs, motivation and creativity, conflict and power. But at its heart lie values. (Burns, 2003, p. 211)

An ensuing set of propositional statements, derived from constant comparative analysis and from triangulation of data sources, concludes this chapter and provides a summary of concepts from this discussion of educational leadership theory. The propositions are centred on the theme of values-based leadership and a values-based contingency model proposed by Day et al. (2000).

This summary set of ten outcome propositions focuses on values and is grounded in data derived from the findings of the present study. Table 19 summarises these suggested propositions, using triangulation of a range of data sources that include documentary analysis; participant observations of the principals at work; the preliminary biodata interview with each principal; semi-structured interviews of the principals and significant others; Rokeach Values Survey; and each principal’s review feedback on the draft case studies and discussion chapter.
Table 19  Triangulation of Data Sources for Outcome Propositions

<table>
<thead>
<tr>
<th>OUTCOME PROPOSITIONS FROM THE STUDY</th>
<th>DATA SOURCES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>DA</td>
</tr>
<tr>
<td>1  Principalship is predicated upon a philosophical commitment to the educative process that, in turn, is built on terminal values as well as instrumental values</td>
<td>✓</td>
</tr>
<tr>
<td>2  By role modelling appropriate behaviours, principals display core values of integrity and authenticity</td>
<td>✓</td>
</tr>
<tr>
<td>3  There are influential links between the origins of principal values, their set of personal and professional values and specific leadership behaviours</td>
<td>✓</td>
</tr>
<tr>
<td>4  Principals’ values interactions may differ according to each school context</td>
<td>✓</td>
</tr>
<tr>
<td>5  Principals’ integral relationships with their wider school community may be cemented through values alignment and values reinforcement</td>
<td>✓</td>
</tr>
<tr>
<td>6  There is a need for principals to engage in reflection-on-self and, in particular, a self-examination of one’s personal and professional values systems</td>
<td>✓</td>
</tr>
<tr>
<td>7  Dilemma management, a major challenge in the principalship, can also be conceptualised as the management of contested values</td>
<td>✓</td>
</tr>
<tr>
<td>8  Core personal values may be human needs-based</td>
<td>✓</td>
</tr>
<tr>
<td>9  The strength of core personal values may help promote principal resiliency</td>
<td>✓</td>
</tr>
<tr>
<td>10 Emotional and spiritual intelligence may be founded in a principal’s set of personal values</td>
<td>✓</td>
</tr>
</tbody>
</table>

Key:
DA: Document analysis
PO: Participant observation
BI: Biodata interview (Principals)
SI: Semi-structures interviews (Principals/significant others)
VS: Values survey
PF: Principal feedback on draft case studies and discussion chapter

The penultimate chapter that follows will use this summary of values-based propositional statements to inform a conceptual underpinning of strategies for principals’ personal development of the self.
CHAPTER 8
IMPLICATIONS OF THE FINDINGS
FOR PRINCIPAL SELF-DEVELOPMENT

INTRODUCTION

In the preceding chapter, the implications of the case study findings for educational leadership theory were summarised in a series of 10 propositional statements on values-based educational leadership. These propositions focus on the personal self of the principal. From this, it may be asked how that self might be nurtured and developed, along with dimensions of the professional self. The issue of self-development constituted the research study’s third and final research question: What are the implications of the findings for principal self-development?

This penultimate chapter will refer to the field of professional education for principals and will consider what role self-development might play in that process. A model of self-development is proposed that draws on the present study’s findings of values-based leadership. The values features of the model are presented, together with principles for implementation and a framework for critical self-reflection. Finally, desired outcomes of the self-development model are explored in an attempt to support and enhance principals’ emotional and spiritual intelligences, resiliency and personal well-being.

CONCEPTS IN PRINCIPAL PROFESSIONAL EDUCATION

Fullan & Hargreaves (1992) emphasised the notion of a principal as the leading professional in the school and claimed that the principal must take responsibility for on-going development of their own independent thinking, reflection on practice and overall personal and professional growth in the job. However, on-going tensions are reported in the educational leadership literature regarding different approaches to professional development. Approaches that have prominence, at present, are focused on skills competencies of a techno-rational nature. These approaches stand in contrast to what Butler (1996, p. 266) suggests as a need for, “a problem-correcting process based on personal beliefs, values and experiential knowledge.”
Bolam (1997) suggested that there are three strands in principal professional development. These involve approaches in which there is a major emphasis on cognitive and problem-based approaches to professional education; approaches that pay only limited attention to the adult learning processes of school leaders; and approaches that emphasise the role of professional values in in-service training. The findings of the present study support and extend the latter strand which emphasises professional values. This extension would include attention to principals’ personal values. The intention would be for principals to achieve greater self-understanding of the beliefs, values and motivations that influence the way in which they lead their schools.

The concept of self-knowledge has mostly been relegated to lesser levels of significance in the professional education of principals in favour of content knowledge and skills acquisition. To continue to do so encourages the disjunction of the personal self from the professional self. In so doing, it fails to acknowledge the values-based nature of principalship. As Walker (1996, p. 94) explains:

> It will be an ultimately barren professional education which separates the personal from the professional, which divorces knowledge of self from knowledge of the socially structured world in which we work. And, of course, it is absurd to speak of moral responsibility, exercised through adherence to professional ethics, as possible at all in any meaningful sense in a purely abstract professional role. If so, this requires us to think again about knowledge and experience, whether general or specialised, to think about them more fundamentally in ways which, as yet, can be learned only through the poetry of personal life itself.

Walker’s comments reinforce a need for a continuing re-evaluation of the conceptual bases of principal professional education. From the present study and from related studies (Begley, 2004; Assor & Oplatka, 2005; Beatty, 2005), there is evidence that, in an increasingly complex educational world both inside and outside of the school, principals’ self-knowledge will play a vital role in understanding and adapting their leadership behaviours, as well as enabling them to draw on a critical examination of their inner convictions and on their personal resilience in times of challenge. This is in keeping with a post-transformational understanding of leadership that emphasises people-centred and values-led aspects of contemporary principalship.
The need for educational leaders to attend to issues of self-knowledge has been mirrored by repeated calls, for some 15 years in the research literature, for a paradigm in principal and school administrator training that differed from dominant technical models (Wadsworth, 1990a; Day, 1991; Southworth, 1995; Bell & Gilbert, 1996; Cardno, 1996b; Jirasinghe & Lyons, 1996; Combs et al., 1999). More recent examples have continued the trend. Daresh & Male’s (2000) study of first year principals in the United Kingdom and America revealed a lack of preparation for making critical decisions of the kind that required reflection and peer assistance, with a lack of emphasis on personal values and ethical stances. In a similar vein, there have been suggestions that it would be more useful to consider the human development of individual educational leaders rather than the technical aspects of training to be administered. Day (2000) argued for a ‘formation’ approach to principal development that, like the values-based contingency model of leadership, encouraged self-reflection and personal understanding of one’s values to reveal the inner motives of the person behind the principal. This would be part of a more holistic approach to understanding the principalship that, according to Kelly (2000, p. 19), “is not merely a matter of knowing something but becoming someone, not just a matter of knowing relevant things but of becoming a relevant person …” (cited in Duignan & Collins, 2003, p. 292).

The extent of the paradigm shift that is required, if we are to be more person-focused in principal development, is considerable. Not only do providers of principal professional education need to move beyond instrumentalism in their broadening of programme delivery but also educational policy makers will need to incorporate more in-depth personal elements within principal competencies or professional standards. As examples of inadequate levels of prominence given to self-knowledge of principals, a Tasmanian Principal Competency Profile (1996) listed a dimension of Reflective Leadership whereby a principal was expected simply to “reflect on one’s own personal values.” In the case of the New Zealand Professional Standards for Principals (Ministry of Education, 1998) and the English National Standards for Headteachers (DfES, 2000), there is a similar paucity of reference to principals’ values or personal development, lending weight to Gronn’s (2002, p. 558) concern that a technical standards-based approach to principal assessment was simply an exercise in “designer leadership”. It would seem only the Standards for Headship in Scotland (1998) have come close to a values paradigm shift in their element of Professional Values, whereby headteachers are required to hold, articulate and argue for a set of professionally defensible educational values. Clearly, an agreed approach to elevating the importance of principal self-
knowledge by educational theorists, programme providers, practitioners and policy makers would be a valuable step forward in ensuring its implementation.

VALUES AND PERSONAL DEVELOPMENT

Within the general leadership literature, self-development was loosely defined as personal development whereby the person takes primary responsibility for his or her own learning and for the choice of means to achieve this (Pedler et al., 2001). Such self-development may include a variety of components such as career planning, development of specific skills or strategies intended to achieve one’s potential or self-actualisation.

However, within the educational leadership literature, the concept of principal self-development has gained intensity in its growing focus on developing the self of the leader. In this regard, it is important to note that the concept of principal self-development should not be confused with principal self-management: that ability to manage oneself in stressful situations and to sustain high levels of school leadership effectiveness. The practices and critical self-reflection inherent in self-development are a precursor to effective self-management and to any atomised lists of self-management competencies such as flexibility, persistence and independence.

Waldock & Kelly-Rawat’s (2004) model of the leader’s internal compass provided a launching pad for the examination of self-development. In this case, self-development was centred on one’s self-awareness with its essential components of values, vision, needs and behaviours. Similarly, Fairholm (2003, pp. 39-40) contended that, at the core of a definition of inner leadership, was the leader’s set of values and, in addition, “it is their personal core values – their spiritual values and needs – and not just job skills that determine the character of inner leaders’ relationships with others.”

Arising from the present research findings, it was apparent that each principal brought to their institution a set of personal values that gave purpose to the vision and to the strategic directions that they helped to develop within the school. Post-transformational leaders need to be in close contact with their personal and professional values. It will be imperative for them to be cognisant of their motivation for leadership and of the values that drive their
educational purpose and shape their leadership practice, if they are to make informed choices in an increasingly demanding school environment.

A VALUES-BASED MODEL OF SELF-DEVELOPMENT

Following from the discussion above, a values-based model of principal self-development is proposed. This has its genesis in the present study’s findings on values-based leadership and in the suggestion of this research that, in terms of principal development, there is a need to attend to critical reflection on personal values and on moral bases for action. The model proposes four values areas in relation to the self:

- Interrogation of values that involves strategies for making values and their origins explicit and open to critical evaluation;
- Values connectedness in a school context;
- Management of contested values;
- Development of a personal philosophy of principalship that encourages linkages to be made between personal values, professional values and subsequent leadership behaviours.

Interrogation of Values

The present study has drawn attention to the links that might be made between principals’ specific leadership behaviours and motivating influences contained within their professional, and ultimately, their personal values. Therefore, it is incumbent upon school leaders to find the time and effective strategies for self-reflection and introspective practice in order to understand, in greater depth, causal possibilities for their educational leadership actions and critical decision-making. This means an internal focus on, and critical appraisal of, one’s personal beliefs and values, as well as on human development aspects such as self-concept and self-esteem.

It is proposed that this reflection-on-self be initiated by a baseline values inventory that would enable principals to identify, firstly, their core personal values and then their set of professional values. The concept of values interrogation is closely linked to the development of a principal’s educational philosophy, a foundation stone for future leadership action. This philosophical connection was proposed earlier by Hodgkinson (1983, p. 207) who suggested
that the realm of educational leadership should extend beyond the normal range of systems audit to encompass what he termed a ‘value’ audit:

For the leader in the praxis situation, there is an obligation, a philosophical obligation, to conduct where necessary a value audit. This is an analysis of the value aspects of the problem he [sic] is facing ... It is the careful reflection upon such questions prior to administrative action which is the hallmark and warrant of leadership responsibility.

This audit of a principal’s values may be achieved through administration of the Rokeach Values Survey that was used to help identify principals’ core values in the present study, followed by reciprocal discussion and critical interpretation with an external person on the reasons behind values prioritisation. Similar but less comprehensive values assessment methodologies can be found in Senge’s (1994) checklist for leaders’ personal values in *The Fifth Discipline Fieldbook*, and in Kouzes & Posner’s (2003) *Leadership Practices Inventory* which employs a 30 point self-analysis of scenarios in a leadership setting.

As part of the process of values interrogation, it would be appropriate for the principal to look retrospectively to the potential origins of his/her personal values set to further aid understanding of current values stances in their principalship. The present study findings, that values derivations might be traced back to family upbringing and influential role models during adolescence and preliminary teacher career phases, may assist principals to appreciate how their early life experiences might be linked to their leadership behaviours.

Such a values interrogation and values derivation process is, “a stock-taking of one’s own values; it is a reflective and contemplative effort which seeks to bring into the light of consciousness the range, depth and breadth of one’s preferences, conditioning and beliefs” (Hodgkinson, 1991, p. 136). As Goleman et al., (2002, p. 49) continue, “Self-aware leaders also understand their values, goals, and dreams. They know where they’re headed and why. They’re attuned to what ‘feels right’ to them.” Through the medium of this values interrogation, and in the context of critical reading that examines alternative assumptions, models and paradigms, it should be possible for principals to enhance their own self-awareness, their understanding of links to their leadership behaviours and, particularly, their knowledge of moral decision-making processes within dilemma management.
Values Connectedness

The difference in Max James’ values interactions with his rural community, compared with Helen Aiken in her urban environment, focused attention, firstly, on situational leadership factors and the notion of “contingent sensitivity” in the exercise of values by school leaders (Leithwood, 1999, p. 46). In a values-based model of self-development, the principal would be encouraged to explore and situate her/his identified personal and professional values in relation to a range of situational variables within the context of the school. Particular attention could be given to times when one set of principal values takes precedence over others.

The broad band of contextual variables that influence the nature of school leadership has been referenced previously by Southworth (2002) and Hallinger (2003). These included school size and type, geographical location, student socio-economic backgrounds, school and staff cultures, teacher experience and competencies, fiscal resourcing, the school’s reputation and level of community support. As Hallinger noted, this contextualised perspective placed the school context as a source of constraints, conflicts and opportunities that each principal must understand and address in order to lead. For example, a principal’s deeply-held value of a broad-based curriculum, and equality of educational opportunity for quality learning experiences outside of the immediate school environment, may be severely limited by situational factors such as a decreasing student population and an accompanying reduction in financial resources.

The second focus area of values connectedness in a values-based self-development model looks at the principal’s values alignment with others. Here, principals are encouraged to consider their values match or alignment with those core values supported within the school and by the community at large. In this way, principals might use the extent of their values alignment as a gauge to, and prediction of, potential outcomes from their decision-making processes, particularly in the area of dilemma management. As demonstrated by the two principals in the present study, critical decisions are not taken in isolation but are very much part of what Hallinger (2003, p. 346) described as a, “mutual influence process.” These decisions taken by the principal can be shaped and mediated by reinforcing or conflicting values held by a variety of constituents within and outside of the school environment.
Management of Contested Values

The present research also supported a move beyond values relativism, inherent in the concept of a principal's values alignment, to a re-conceptualisation of dilemma management as the management of contested values. In particular, the study has shown how the disconnection of values between the principal and others might impact on the manner in which a principal manages their dilemmas and how principals reconcile their own values and interpretations of ethical principles with those of students, staff and parents, as well as within themselves.

Thus, there is consideration of both interpersonal and intrapersonal conflict of values. In the latter instance, principals need to be aware that their own deeply-held convictions or values may be superseded by more legitimate values claims of others. The more difficult values dilemmas to resolve, of course, are those moral situations in which there are no definitive right or wrong responses and where competing core values can be seen to have equal legitimacy, depending on the relative perspective.

Therefore, in this values-based model of self-development, it is proposed that principals undertake a review of past critical incidents that presented moral or ethical dilemmas for resolution, with the assistance of an external agent. The process encourages principals to move beyond basic appreciation of their own and others' values systems. There is a need, first of all, to understand the process of managing a contested values situation and associated moral underpinnings. Second, principals can reflect on their performance in past critical incidents, on the extent of positive outcomes for all parties and how they could improve their management of values contestation on future occasions. Third, it would provide principals with the opportunity to review and improve their understanding of their intrapersonal values conflict and subsequent resolution. For the values-based self-development model, a challenge here is to:

Combine the intellectual and the moral into frameworks that help transcend knowledge generation and skills development to one of reflective critique of contemporary dilemmas, and personal and professional growth and development.
A Personal Philosophy of Principalship

The culminating phase of the proposed values-based self-development model lies in the development of a personal philosophy of principalship that seeks to link together connecting threads of influence of personal values, professional values and principal leadership behaviours. In large measure, this process of self-awareness is built on one’s ability to, “analyse your own personal beliefs and values as components of a clear philosophy of education” (Daresh, 2002, p. 19).

In the present study, both principals displayed a very real philosophical commitment to the educative process. It was apparent that their life philosophies and personal values were essential building blocks in their educational philosophies and resultant leadership actions. It is argued, therefore, that the establishment of a personal educational platform encapsulates the notion of philosophy-in-action and helps promote critical self-reflection within each principal, in response to key connecting questions such as: ‘How did I arrive at these decisions?’ and ‘What are the particular values that inform my actions?’

This personal philosophy of principalship might be achieved, firstly, by identification of a personal values set by means of a values interrogation process. Second, the links between those identified personal values and associated professional values might be made through self-analysis or by using, for example, the model of Sergiovanni & Starratt (1993) for formulating an educational platform. This framework included ten key elements, each of which focused on a generic educational theme:

1. The aims of education;
2. The major achievements of students this year;
3. The social significance of the students’ learning;
4. The administrator’s image of the learner;
5. The value of the curriculum;
6. The administrator’s image of the teacher;
7. The preferred kind of pedagogy;
8. The primary language of discourse in learning situations;
9. The preferred kind of teacher-student relationships;
10. The preferred kind of school climate.
There are a range of benefits to principals in developing their personal philosophies of principalship. It enables them to identify and articulate their key values or intrinsic motivations for action. It presents a disciplined approach to expressing one’s values and beliefs that may have been dormant or rarely accessed for some time. It assists the principal to identify which key values are not available for negotiation and it can be an enabling mechanism for sharing foundational values with others who work closely with the principal, such as members of the senior management team. In this way, a principal is encouraged to reflect critically on values within their personal paradigm and to gain an increased sense of awareness and self-understanding.

More broadly, this final phase of the self-development model reinforces Thew’s (2001, p. 256) research finding that the leadership component of principal development programmes should, “recognise and develop each principal’s philosophical understanding of leadership, rather than promote a form of best practice.” This self-development model, supported by the data from the present study, underlines the direction that principal development programmes should have a philosophical basis, in addition to prevalent competency bases.

In summary, the interlocking features of the values-based self-development model can be represented diagrammatically in Figure 11:

![Figure 11 Values-based model of self-development](image-url)
Implementation Principles

The implementation for this proposed values-based model of principal self-development is informed by particular guiding principles of adult learning practices. From within a range of key concepts of the adult learning model, three features are germane to the effective implementation of principal self-development. First, adult prior learning is substantial and implicit and, therefore, the analysis of experience is a core component of any principal development programme. This is a major element in the values-based self-development model, whereby personal learning of the principal is situated in their professional world and is significantly context-dependent (Fullan, 2005). It also follows principles of experiential learning by linking the values of the principal’s self-system to the meanings, values and skills of their professional or occupational knowledge (MacKeracher, 2004).

Second, adults may be significantly task and problem-centred in their approach to everyday life. As such, they need to see significant practical relevance if they are to commit to their self-learning. It has been well established in the adult education literature that lack of perceived relevance and ownership are barriers to educators’ personal and professional learning and that development programmes are more likely to be successful if they address educators’ actual concerns (ERO, 2000b). This self-development model aims to assist the principal to draw together those linkages between personal and professional values and, ultimately, the potential effect of such values on their leadership actions and behaviours. Third, adults are motivated to learn by intrinsic factors such as quality of life, self-esteem and job satisfaction. This self-development model aims to provide a means for individualised self-evaluation of core values on the part of the principal which may lead to enhanced self-awareness, self-identity and self-esteem.

Although the literature has placed much emphasis on self-reflection and the principal’s role in that process, it should be acknowledged that principal reflection in isolation may be a counterproductive exercise, on account of the dangers of limited growth and realisation within one’s introspective world. Thus, a fourth adult learning principle comes into consideration in the design of this values-based self-development model: the use of an external support person who offers professional support for the school leader (Kochan, Bredeson & Riehl, 2002) within a socially interactive, yet self-critical environment (Brookfield, 1995).
Tools for Critical Self-Analysis

This overview of adult learning principles has foreshadowed three features which principals might use as tools for critical self-analysis. These include the process of self-examination; the use of external agency in the form of a critical friend; and consideration of scholarly literature in the broad field of education and educational leadership in particular.

Process of self-examination

The role of the reflective practitioner has been well canvassed in the educational leadership literature (Leithwood & Stager, 1989; Stewart & Prebble, 1993; Smyth, 2001; Fink, 2005). In terms of the components of a values-based model of self-development, an examination of one’s core values and beliefs system should enable school leaders to understand the driving principles that underpin their educational practices. It should also enable principals to access their understanding of how their values align with, and differ from, those of their school constituents.

Striving to be explicit about values and what Hodgkinson (1991) referred to as, “preferences, conditioning and beliefs” should also form a basis for critical evaluation of these positions. The principal should challenge his/her belief system against alternative positions, developing an awareness of their values origins and implications for leadership practice. This notion of critical self-reflection is an important facet of a values-based self-development process. It builds on Smyth’s (2001) phases of critical self-reflection, whereby interrogation and questioning of one’s values may confirm their legitimacy or suggest their renegotiation in a contested situation, and where reconstruction of one’s values stance may enable the principal to reflect on alternative courses of action.

This is especially applicable when one considers future contexts in which principals will operate. Increased public demand for educational services and reduced financial support for schools will place further pressure on moral dilemmas of educational leadership that make administering schools, “different from such work in other contexts” (Goldring & Greenfield, 2002, pp. 2-3). This will require principals, in turn, to reflect on their values priorities in terms of where to spend a reducing curriculum resource. For instance, does the principal’s value of academic excellence support the development of a gifted and talented programme for high achieving students or is it outweighed by the value of social justice that
supports the employment of an English as a Second Language (ESOL) teacher to assist new immigrants in their English language acquisition?

Such moral dilemmas will continue to challenge principals' intellectual capacities and their values positions. The process of critical self-examination is a pragmatic one, whereby active self-searching of one's values and motives may result in a deeper understanding of the issues and may inform subsequent decision-making. Begley & Stefkovich (2004, p. 134) support this concept:

Nobody can predict, with any degree of certainty, the nature of future school leadership beyond the certainty that there will be more problems to solve and new dilemmas to confront. As a result, it is not enough for school leaders to merely emulate the values of other principals viewed as experts. Leaders of future schools must become both reflective practitioners and life-long learners that understand the importance of the intellectual aspects of leadership, and authentic in their leadership practices in the sense that many scholars have advocated for some time. The first step towards achieving this state is, predictably enough, to engage in personal reflection.

Use of external agency

There has been a widespread and on-going call for the assistance of an external agent in principal development, in support of principals' critical reflection of leadership theory and practice, and of their identification of personal and professional development needs (Wadsworth, 1990a; Golby & Appleby, 1995; Stewart, 2000; Goleman et al., 2002; Robertson, 2004). These 'critical friends' need to be skilled in adult learning strategies, particularly in the use of the learning-from-experience model of personal development. There is also a need for the use of external agency to engender a collaborative process, a partnership in shared interpretation between principal and critical friend. This is especially the case with experienced principals who recognise the need to maintain high levels of self-awareness and of intellectual understandings about school leadership (Notman & Slowley, 2004).

However, there are no straightforward pathways when assisting adult learners and principals in their search for self-knowledge and self-actualisation. Coombs' (2003b) study of the reflective practices of six principals revealed that participants did not reflect during their work day nor did they plan a specific time to reflect; it just happened when the conditions were right. Yet, often people need to think issues through alone before involving others in their
reflective processes. It requires a conscious effort on the part of the principal to access inner values and beliefs, together with the necessary motivation and personal skills to self-reflect—hence, the role of an external agent to support the reflective process.

Nor is the role of the external agent one of comfortable acquiescence in promoting principal self-understanding of their values. The role also demands an interrogative function. Bodies of knowledge and belief systems are to be examined critically in order for the principal to explore outside of their existing values paradigm. The basic precepts of adult education encourage the external agent to move beyond the status quo by, “presenting alternatives, questioning givens and scrutinising the self” (Brookfield, 1986, p. 125). This would emphasise that the person of the principal is about on-going development of the self; one that does not assume closure on values but rather encourages an openness to critical analysis and justification of what the principal believes and why. The result of this critical self-examination may result in a confirmation of, or a challenge to, a principal’s fundamental beliefs which may, in turn, “allow them to think critically and regularly about the issues as they experience them, and then to adapt their practice accordingly” (Robertson, 2005, p. 45).

Thus, external agency can play an important part in principal self-development which may be described as a process of challenging principals’ beliefs and values, recognising that these beliefs and values may affect students and teachers for whom they are responsible. Since the person of the principal and their inherent values system can have an effect on others, it follows that the values and ideas of a principled leader should be open to critical scrutiny.

Within the proposed values-based model of principal self-development, there are varying roles that an external agent might perform in order to promote principal critical self-examination. For example, the external agent may perform an intermediary function in gathering and interpreting values data with the principal, as the researcher did in the case studies by administering a biodata interview or the Rokeach Values Survey. The external agent may assist the principal to access and interpret, for example, conceptual literature of contested belief systems or research literature in the broad field of critical self-reflection. The agent may also assist the principal’s values self-reflection as a co-interpreter of critical incidents. This is exemplified by using the values-based self-development model in the following case scenario:
SCENARIO:
A teacher's inferior classroom performance attracts numerous student and parental complaints. Despite professional development assistance given to the teacher to rectify the problem, there is no change in the teacher's performance levels. The principal feels that she has no option but to place the teacher under competency procedures. The teacher feels aggrieved and threatens to take a personal grievance case against the principal on the grounds of unfair use of procedures. The principal, on the other hand, becomes aggrieved at what she sees as the teacher's threat to her authority and to the learning needs of the students.

The above scenario represents a dilemma for school principals where they are called to weigh the interests of the teacher (their teaching reputation and career livelihood) against the broader interests of the students (maintaining positive learning outcomes) and, in this case, against the professional interest of the principal (reducing the threat to her leadership authority). The advent of an external agent or critical friend can assist the principal, in the first instance, to view the dilemma, not in terms of protecting their respective territorial interests but rather in terms of their response to managing contested values. Which of the principal's core values have been affronted by the teacher's response to being placed on a competency pathway? Why do they provoke such a response in the principal? What personal/professional values might be motivating the teacher to take exception to this course of action? Which of the principal's core values are non-negotiable? What is the board of trustees' values position in this situation? How far will they support whatever values stance the principal takes in reaction to the teacher's dissatisfaction?

These are some of the issues that might be discussed collaboratively with the principal as part of their critical decision-making evaluation. The aim is not to arrive at immediate solutions but, rather, to enable the principal to bring to their dilemma management a reduced focus on personal emotions and enhanced attention to particular elements requiring understanding. This, in turn, may affect the manner in which they choose to respond to the conflict situation.

Consideration of scholarly literature

A third tool for critical self-analysis lies in the principal's access to a critical literature which interrogates assumptions that underline current and alternative educational and management theories and practices. This offers principals the potential to see things 'anew' through different lenses and, by engaging with other bodies of knowledge and belief systems, to benchmark their own values positions. This examination of the critical literature would assist principals to challenge, affirm or make changes to previously held values stances. Such an
examination is particularly apposite, given the dilemmas faced by principals where self-managing autonomy reputedly lies with each school but the locus of control resides within educational bureaucracies, and where, in New Zealand, there has been disjuncture between the official managerial model and the professional service model favoured by many educators (Alcorn, 1993b).

In order to demonstrate application of the use of scholarly literature in this model of self-development, two examples from the respective research case studies will be considered. First, in the case of Helen Aiken, the scholarly literature could enhance Helen’s values interrogation in her key professional values areas of a balanced education and academic excellence. Helen would have enjoyed the intellectual stimulation of reading and reflecting on Costa & Kallick’s (2000) work on the habits of mind, particularly on how multiple perceptual positions could influence students’ learning through flexible thinking and problem-posing techniques. Equally, a reading of Gilbert (2005) could encourage new ways of thinking about the structure of knowledge and learning for young people, as could a review of the future schools literature and prospective writing on educational megatrends (Caldwell, 1997).

Second, Max James’ case study would have required a rich source of scholarly literature to help Max understand his values contestation with those of the prevailing market forces model of education in New Zealand. The writing of Codd (1999) would have been instructive in revealing how theories of managerialism and economic rationalism had informed a reductionist model of accountability in schools. It would also have demonstrated how Max’s values of high-trust, personal and professional responsibility, loyalty and sense of duty, contrasted with the low-trust, hierarchical control and contractual compliance values inherent in the model of economic rationalism (Codd, 1999, p. 51). Similarly, Max would have appreciated the nature of the conflicting values between himself and those of the market model in his values areas of good citizenship, personal responsibility and an ethic of care. As Codd (1997, p. 9) commented, “Whereas current education policies emphasise values that serve the needs of the current economic order (e.g. competition and consumer choice), education for citizenship emphasises the values of social and economic justice.”

In addition, reading and reflection of other works of a philosophical nature would enable Max to gain a universal appreciation of the impact of the managerialist model on his personal and
professional values, and on his school environment. For example, a reading of the work of Saul (1997) would expose the role of individualism and corporatism as dominant ideologies that could impact on the school context, as would Sennett’s (1998) analysis of the effects of neoliberal managerialist ideology on people and communities. Further exploration of the scholarly literature would reveal possible solutions to reduce the impact of managerialist values on school leaders. For example, both Marginson (1997) and Hargreaves & Fink (2004) suggest that sustainable leadership lies in by-passing marketised systems of competition by means of cooperation and mutual influence among neighbouring schools, based on values of care and social justice.

On the other hand, Bates (2003, p.122) promotes the view that values conflict is not resolvable by, “simply abandoning the battlefield in a dudgeon of moral relativism.” Bates claims that a solution may well be found in a variant of the tradition of liberalism, “one concerned not with agreement on ultimate values and a single way of life, but upon constructing institutions that allow us a modus vivendi – a way of living together and profiting from our differences” (p. 122).

In reviewing these three tools for critical self-analysis, the result of such analysis can be conceptualised as a framework for critical self-reflection. This framework is proposed in Figure 12 as an intersection of three ‘voices’: the principal’s own voice; the perspective of a critical friend; and the voices of those who write scholarly literature about educational leadership and about other areas that address the context of education.

![Figure 12 A framework for critical self-reflection](image-url)
At the point of intersection, there can be found a locus of critical interconnectedness between the thinking and the self of the principal, and the professional, social and political contexts in which education and schooling are situated. It is here that personal learning and self-actualisation of the principal may have their beginnings.

This framework for a principal’s critical self-reflection, together with the overarching model of self-development, has an influential philosophical strand. This philosophy stands in contrast to the techno-rational model of leadership efficiency and accountability. It is less measurable and, therefore, not subject to pre-ordained outcomes. It is not reduced to a limited set of technical competencies. Rather, the philosophy is values-based and is founded in the person of the principal and in the personal and professional values that they hold. The implications, therefore, are more complex and multidimensional. Yet, at the same time, the philosophical foundations of values-based leadership could be perceived to be centred simply on a principal’s personal integrity and on what it means to be human.

**Desired Outcomes of the Self-Development Model**

There are a number of desired outcomes of a universal nature arising from this values-based model of self-development for principals. These have been foreshadowed by concepts in the educational leadership literature which centred on emotional and spiritual intelligences, resiliency and personal well-being.

First, the process of critical reflection is an integral component in the values-based self-development model. Reflection promotes intrapersonal inspection of what is inside the self, one’s core values and knowledge base, and how the self is expressed in the principal’s performance. Resultant self-awareness or emotional intelligence can be attributed to the links principals can make, or are helped to make, between their personal values and their actions and behaviours. Equally, in the areas of Goleman et al.’s (2002) domains of social awareness and relationship management, the model provides the opportunity for principals’ realisation and understanding of how their own values set may interact positively or negatively with those of the school community. This is especially the case in their dilemma management or management of contested values.
Second, the self-development model gives scope for principals to realise an enhanced sense of spiritual intelligence. This concept includes their capacity for self-reflection leading to self-awareness, the depth of connectedness with school constituents, their on-going sense of optimism and hope for their students, the strength of their inner convictions and an inherent set of core values such as honesty and integrity.

Spiritual and emotional intelligences may have a bearing on the third desired outcome: principal resiliency. Spiritual intelligence can be linked to the inner self of the principal and what it is that sustains them in their leadership role. It may resemble the Maori concept of 'wairua' and involve the replenishment of one's spiritual reservoir. The impact of emotional intelligence can be seen in the extent to which the strength of a principal's core values satisfies their basic human needs and informs the manner in which they respond to adversarial situations and personal criticism. The self-development model also utilises resiliency-building factors identified in the work of Henderson & Milstein (2003) and Henry & Milstein (2004b). These include the effective use of external agency in providing supportive and critical feedback and the adoption of adult learning principles.

Finally, and most importantly, there is the desired outcome of a principal's well-being, that end-state where their human needs and their professional needs are satisfied. Traditionally, educator well-being has been discussed under separate headings of physical, intellectual, emotional and spiritual well-being (Holmes, 2005). This self-development model advocates that a principal's holistic well-being may have its beginnings within their personal values systems and how such values are exercised in their principalship.

**SUMMARY**

The significance of the present research study has been in its conceptualisation and suggestions for application of a values-based model of self-development for school principals. In the educational leadership literature and universal principal preparation programmes, there has been a lack of emphasis and detailed strategies on the place of self-development in the wider field of principal education. The present study has suggested a need for a balance to be restored to the way in which principals are prepared for, and supported in, their jobs, by focusing on personal dimensions within the principalship. This is particularly evident as
principals confront an ever-changing educational arena of contested values and the ideologies that construct them, and are required to adopt different strategies and thinking to resolve contingent issues in their work.

This chapter explored the concept of principal self-development with a focus on the principal’s leadership within a specific school context. The role of the principal’s personal values can be an important influence in promoting holistic learning and growth in self-knowledge. Improved self-knowledge through values identification may lead to enhanced understanding of critical decision-making processes. It may also promote a sensitivity towards the values orientation of other members of the school community, especially when engaged in dilemma management situations. To what extent, then, should a principal’s personal values system be a platform for their professional education? From the discussion of the present study’s findings, the response must be an affirmation of the merits of values-based leadership, particularly in a post-transformational era which operates quite significantly in the domains of coaching, cultural transmission and values articulation (West, Jackson, Harris & Hopkins, 2000).

While self-reflection on the part of the principal may be subject to serendipity on occasions, the principal’s engagement in her/his self-development should not be an accidental occurrence. Principals should establish an internal culture of self-learning, create time and plan appropriate structures for their self-development to take place if they are genuine in their desire to improve their understanding of how their leadership operates and to demonstrate the benefits of continuous learning to others. As Kouzes & Posner (2003, p. iv) conclude: “Wanting to lead, and believing that you can lead, are the departure points on the path to leadership. Leadership is an art, a performing art – and the instrument is the self.”
CHAPTER 9

CONCLUSION

REVIEW OF FINDINGS

This study explored the personal dimension of the work of two secondary principals in the South Island of New Zealand. The use of qualitative research methods, with triangulation across a range of data sources, produced a rich description of values-based leadership in an urban and a rural secondary school. Three research questions were used to guide the orientation of the present study and they generated the following findings:

Research Question 1:
What are the personal dimensions of a secondary principal’s job?

The study found that the personal dimension of principalship was evident in managerial connectedness with people; interpersonal relationships across school and community activities; and in the manner in which principals managed their personal and professional dilemmas. Within the personal domain, the data suggested the importance of the principals’ values systems and how such valuation processes might influence their leadership behaviours. In addition, the research considered the impact of the job on the person of the principal and revealed links between the principals’ deeply-held values and characteristics of leaders identified in the literature.

Research Question 2:
What are the implications of the findings for educational leadership theory?

The values data gathered from the two principal case studies were used to inform an examination of a values-based contingency model of educational leadership proposed by Day et al. (2000). The present study’s findings supported the core elements of Day et al.’s model pertaining to leadership vision; integrity; school context; continuing professional development and reflection. The findings did, however, suggest that the values-based contingency model could be usefully extended by conceptualising dilemma management as the management of contested values. The research findings also suggest that reflection-on-self and interrogation of a principal’s core personal values may be fundamental for
understanding the enactment of principalship in the areas of emotional and spiritual intelligences, resiliency and personal well-being.

**Research Question 3**

*What are the implications of the findings for principal self-development?*

In response to this research question, a summary set of outcome propositions provided a basis for formulating a values-based model of principal self-development. This model centred on four values areas in relation to the self of the principal: interrogation of values; values connectedness; the management of contested values; and a personal philosophy of principalship. It was proposed that the implementation of this model would be grounded in principles of adult learning. Finally, a framework for critical self-reflection was developed. This framework incorporated a process of principal self-examination which attended to human agency and other scholarly literature.

**INTERROGATION OF THE RESEARCH DESIGN**

In reviewing the overall research design of the present study, the writer suggests that three features contributed to the creation of trustworthy case studies of secondary school leadership. First, the use of an emergent design, following Maykut & Morehouse’s (1994) adaptive model, allowed for flexibility of data gathering and the opportunity to cater for a broadening focus of inquiry. This eventuated in the present study when the concept of values-based leadership began to emerge as a topic for further investigation some 24 months into the data collection phase.

Second, Patton’s (1990) concept of ‘in-dwelling’, in field settings, proved to be a relevant and effective means of experiencing the reality of a principal’s job. It also enabled the researcher to gain in-depth knowledge of the contextualised perspective within which each principal worked, be it Helen Aiken’s office at Hounslow College or during Max James’ attendance at a rural house-group meeting. Third, in addition to close and direct engagement in the field, the researcher found value in integrating these experiences with his on-going memo writing. This writing speculated on the interpretation of possible leadership issues, on theoretical issues arising from the literature, and on methodological issues as they occurred. The genesis of some major topics had their origins in the informal reflections of the “Memo” file.
This study posed a number of challenges for the researcher, particularly in the areas of research methodology and research strategies. The major methodological challenge centred on the use of a grounded theory approach. In contrast to the claimed scientific certainty of the positivist researcher, this researcher did experience the uncertainty of grounded theory’s approach that, in accord with its intentions, gradually ‘unearthed’ emerging categories of interest through constant comparative analysis.

Challenges within the research strategies were located, not in the methods employed in the study but rather in what was omitted and the rationale behind it. For example, it had been anticipated that the sample of interview respondents would include more teaching staff in order to provide a broad range of perception about each principal’s core values. However, the constraints of time became evident as data collection progressed and the researcher decided there would be greater value in accessing the perceptions of specific senior staff and trustees who worked closest to the principals and who could justifiably be included in the category of “significant others”. In retrospect, the researcher would have redefined the sample of significant others to include some senior heads of department and each principal’s personal assistant who could have shared further perceptions and understandings of the principal’s personal and professional values systems.

For similar reasons of broadening the scope of the study and seeking extended triangulation of the data, it had been planned to administer a written questionnaire on key leadership values to 56 secondary principals across three provincial regions. However, such a survey exercise would have been conducted without an understanding of each specific school context, nor would responding principals have been able to replicate the processes of shared interpretation that occurred over time between the researcher and principal participants.

The limitations of the research investigation may be considered under three methodological aspects. First, there is the possibility of internal bias associated with principal responses to the series of interview questions and with principal reaction to the researcher. This could occur within the principals' perceptions of their work, leadership style and set of personal and professional values. At one stage, Helen Aiken herself had alluded to the issue of respondent truthfulness. The researcher attempted to reduce the chance of interviewee bias by triangulating the expressed views of each principal with those of significant others.
and Deputy Principals, trustees and spouses), and with the observational record of the principals at work in their schools. Also, it is suggested that the extent of time, which the two principals allowed the researcher to spend with them, indicated their commitment to the purpose of the research and therefore to more honest self-disclosure.

Second, there is a limiting factor of generalisability from a small sample size and the extent to which the findings of a qualitative study of an urban and a rural secondary principal could have meaning with reference to a wider group of principals. The claim of this limitation rests on assumptions about the similarity of contexts and the similarity of the interactions of individuals within those contexts. However, it may be countered that a form of generalisation may occur when the data are theorised and where a theoretical model carries ideas and interrelationships into a broader context of human meanings and actions. This form of generalisation may also occur when individuals interpret the research findings as having application to their own school context (Donmoyer, 1990).

Third, there can be limitations in building theory from case studies. In the search for rich description, voluminous data collected can be problematic in its lack of a specific focus and an inability to assess which data offer important connections and which are simply idiosyncratic to a particular case (Eisenhardt, 2002). This research study has predominantly focused on a singular, influential aspect of educational leadership – values-based leadership – after its emergence as a major concept in the data collection phase. The present study has not attempted to produce a ‘grand’ theory on educational leadership. Instead, the study has aimed to complement and augment an existing theoretical model of Day et al’s (2000) values-based contingency leadership, as well as to offer a conceptual framework for a values-based model of principal self-development.

RESEARCH APPLICATION

The significance of the research lies in its formulation of a values-based model of principal self-development that focuses on critical self-reflection, adult learning practices and on the use of external agency and the scholarly literature. There has been a lack of detail in earlier theories and models of principal development as to how a process of self-development might be accomplished.
The values-based self-development model is proposed as encouragement for principals to understand better the link between their deeply-held personal values and their leadership practices, and to help reduce the gap between values theory and principalship behaviours. This is especially relevant in the case of experienced principals who may have developed a heightened level of self-awareness. At this stage of their principalship, they recognise the complexity of leadership within the school organisation, and the need to maintain a high level of self-evaluation as well as an intellectual understanding of leadership (Notman & Slowley, 2004). At this more advanced stage of self-reflection, a principal may be less concerned with the managerial function of the school and more focused on personal ways of becoming a better leader.

In relation to the personal domain of principalship in the future, challenges may centre on the contingent nature of school leadership and on the interaction of people rather than on the operation of systems. The evolution of values in a pluralistic society is likely to place contradictory demands on our principals. On the one hand, shared values enjoyed by principals, schools and their communities in the past may be replaced by relativist understandings, whereby people will make assessments on the basis of what they feel is right and wrong (Davis, 1996). On the other hand, as societal values become more disparate and contestable, some community members may turn to schools and their principals to provide moral leadership in the form of guiding sets of learning and social values.

In order to help principals meet these future challenges, principal education strategies will have to adapt to a changing educational, social and political world, as they encounter interactions of increasingly diverse values held by students, teachers, parents, community members and by those who work in educational bureaucracies. The changing knowledge bases held by each principal will be important features to be addressed in future principal education programmes. These will include the knowledge of the craft of educational leadership and administration; knowledge of students and teachers in their learning and social environments; and, most importantly, knowledge of self and the belief systems that inform one’s actions – hence, the significance of a values-based model of principal self-development.

It is suggested that the role of the principal will continue to be multi-faceted in response to community expectations, as will the personal capability of the principal to meet these expectations. Principals’ emotional reservoirs will be tested as they are called upon, for
example, to promote care, respect and a sense of affiliation in members of the school community, sometimes in a market-driven context that undervalues these qualities. Similarly, the scope of their community function may be expanded, as was the case in Max James’ rural principalship, to include a role as a guardian of hope for both school and community, where it often falls to the principal to maintain optimism in the face of community challenges. As Wolcott (1984, p. 326) contends: “Hope is a very human quality – and human qualities are what the principal’s office needs.”

RECOMMENDATIONS FOR FURTHER RESEARCH

The present study has sought to extend knowledge of the personal dimensions of principalship and of values-based leadership in particular. Arising from this case study investigation of two secondary principalships, four areas for further research are offered for consideration:

1 Pathways to Ethical Decision-Making

It is recommended that further exploration is directed to the pathways chosen by principals in their dilemma management and subsequent conflict resolution processes. How do principals arrive at complex ethical decisions in the context of competing personal, social and professional interests? From the methodology and findings of this study, it is suggested that future research examine, in detail, the nature of critical incidents which principals have to confront and the manner in which contested values are resolved. Additional research questions are proposed in this regard: To what extent can principals appreciate how others determine right and wrong? Is there a sequence of steps that principals take before arriving at a solution to ethical dilemmas, for example, not unlike Kohlberg’s (1984) six stages of moral judgement? Is there a series of prioritisations as principals weigh up implications of critical decisions for themselves personally, as an educational leader, for the school as an organisation or for the greater good of the wider community?
2 Ecology of Principalship

It is recommended that the contingent nature of principalship be explored to establish more in-depth links between the complex interplay of a principal’s leadership practice, their core values and the contextual setting in which they operate. Such research could focus on both values contestation and values alignment with others in the school environment. Future research studies may also extend the scope of this investigation by considering other school types such as primary and intermediate schools, beginning or mid-career principals, or how contingent leadership functions in parallel situations within the business world.

3 Other Models of Self-Development

In addition to the values-based model of principal self-development proposed in the present study, it is recommended that other models of self-development be investigated. These models could be focused on specific concepts emerging from the psychological research on leadership: for example, the concept of ‘self-identity’; the concept of ‘self-efficacy’ studied by Bandura (1986, 1995), where theoretical frameworks link the desire to lead with a sense of one’s capability for leadership. Similarly, the concept of ‘attachment’ and attachment theory, whereby a secure upbringing may enhance one’s risk-taking and emotional intelligence, has been promoted as a means of formulating characteristics of transformational leaders (Bass, 1985; Popper & Maseless, 2002).

4 Provision of Leadership Development

On a broader scale, it is recommended that research work continue into the role played by principals’ critical reflection-on-self, so that the boundaries of leadership development in New Zealand can be extended to include formally the process of self-development. This may then encourage policy makers and training providers to review the generalised concept of principal professional development in a much more targeted way. It would also help to achieve a planned balance between training for management, formulation of leadership concepts and skills, and critically reflective personal development.
A FINAL IMPRESSION

Leadership is not necessarily situated in a specific place nor conferred by a particular position. It is embedded in a personal sense of responsibility for making a difference. Leadership is a matter of being, as well as doing.

In the context of two different school environments, the present study offers an insight into the personal being of two secondary principals. It has suggested aspects of what makes them a ‘value-able’ principal and how their value systems might influence a range of leadership behaviours. As Max James explained in response to his case study, referring to the drivers of his particular style of school leadership: “It’s not what people think of me [that drives me] but rather what I believe in” (Interview T2004/M:35). Within the personal domain of two secondary leaders, this research study has drawn a picture of the inner landscape of the self within each principal.

In the frontispiece to this study, the artist portrayed a landscape where the individual is exposed to physical vastness and to the reality of the self. In like fashion, the two leaders in the present research study have been exposed to the enormity of the educational environment. The principal’s indelible mark on the school landscape is not as tangible as the artist’s signature but is omnipresent and no less important.

As Grahame Sydney’s painting invites personal reflection, so too there is a self to be contemplated in every principalship.
### APPENDIX A  FRAMEWORK OF APPROACHES FOR STUDYING SCHOOL LEADERSHIP

(Heck and Hallinger, 1999)

<table>
<thead>
<tr>
<th>Knowledge</th>
<th>Positivist</th>
<th>Interpretive</th>
<th>Critical-Contextual</th>
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<tbody>
<tr>
<td><strong>Lens</strong></td>
<td>Structural-functional (Rational)</td>
<td>Political-Conflict</td>
<td>Constructivist</td>
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<td><strong>Research Orientation</strong></td>
<td><strong>Nature of the Work</strong></td>
<td><strong>Administrator Effects</strong></td>
<td><strong>Sense-making in Schools</strong></td>
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<td>Snyder &amp; Ehmeier (1992)</td>
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<td>Silins (1994)</td>
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<tr>
<td><strong>Leadership</strong></td>
<td>None</td>
<td>Instructional Transformational</td>
<td>Micropolitics</td>
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<td>Symbolic</td>
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<td><strong>Method</strong></td>
<td>Descriptive</td>
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APPENDIX B  LETTER OF APPROACH TO REGIONAL PRINCIPALS

Dear

A brief letter to principals to ask the group if they would consider allowing me to attend principals’ meetings from 1999 onwards.

I am beginning my PhD research into the personal and professional development of New Zealand secondary principals. My attendance at your meetings would be in the role of participant research observer, with the aim of gaining further understanding of the nature of the principal’s job. It would be subject to the ethical research guidelines of Massey University. In brief, these are as follows:

1. Informed consent (of the participants)
2. Confidentiality (of the data and the individual providing it)
3. Minimising of harm (to all persons involved in or affected by the research)
4. Truthfulness (the avoidance of unnecessary deception)
5. Social sensitivity (to the age, gender, culture, religion, social class of the subjects)

The researcher will undertake to:

• Abide by the ethical considerations above
• Ensure that participants understand that they may decline to participate or withdraw from the activity at any time without penalty of any sort and that their privacy and confidentiality will be protected.
• Give feedback to participants on the research and provide an opportunity for any misconceptions to be clarified and questions answered.

Thank you for your consideration.

Kind regards

Ross Notman
APPENDIX C INFORMATION FOR PROSPECTIVE PRINCIPALS

TOPIC: PhD research study on the professional development of secondary principals

Objectives
- To investigate and identify the current job demands made of a New Zealand secondary principal.
- To determine the nature and impact of personal dimensions within the secondary principals job.
- To consider the implications of such dimensions on the development of training programmes for secondary principals.
- To use the research findings to enhance educational leadership theory.

PERSONNEL

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Research Supervisors:
1. Associate Professor Wayne Edwards
   Massey University, Palmerston North
   Tel: 06 351 3368

2. Associate Professor Terry Crooks
   University of Otago, Dunedin
   Tel: 03 479 1100

RATIONAL FOR RESEARCH

No New Zealand study has specifically aimed at secondary principal development since 1990.

Relevance to current attention on job pressures such as principals’ workloads.

There is little coherence in integrated training and support programmes for New Zealand secondary principals.
PARTICIPANTS’ INVOLVEMENT

Two secondary principals will be invited to take part in this research study. Their involvement will consist of allowing the researcher access to them and their school during the period May 1999-March 2000, on the basis of a one-day observation once a fortnight.

The role of the researcher would be as a participant observer of the principal and their school. The researcher would conduct occasional in-depth interviews with the principal and significant others.

The two principals will be invited to participate on the basis of achieving as wide a background as possible eg gender, school size, school type, geographical location.

RIGHTS OF POTENTIAL PARTICIPANTS

Potential participants have the right to:

• Decline to take part
• Withdraw at any time
• Refuse to answer any particular questions at any time.

RIGHTS OF PARTICIPANTS WHO AGREE TO TAKE PART

The researcher will undertake to:

• Abide by the code of ethics formulated by Massey University based on informed consent, confidentiality, minimising of harm to participants, truthfulness and social sensitivity.
• Ensure that participants understand that they may decline to participate or withdraw from the activity at any time without penalty of any sort and that their privacy and confidentiality will be respected.
• Give feedback to the participants on the research and provide an opportunity for any misconceptions to be clarified and questions answered.
• Turn off any recording device at any time if requested.
• Ensure that disclosure of participants’ personal information remains confidential.
• Make available to participants a summary of the research findings.

SECURITY OF DATA

Taped interview transcripts will be transcribed by the researcher and a copy given to each principal for verification.

All tapes and transcripts will be destroyed at the conclusion of the research study.

Anonymity of participating principals and their schools will be protected by the use of pseudonyms and by sharing draft case study reports with each principal.

Research results will be disseminated in thesis formate to Massey University. Other forms of dissemination (eg journal articles) shall first be discussed with participating principals.
Dear

I am writing to you and the Board of Trustees to seek your permission to conduct research in your school during the period June 1999-May 2000. My PhD research will be based at Massey University and will focus on the topic of secondary principals’ professional development.

I have enclosed the following as background information for you:
1. An information sheet setting out essential details
2. A sample copy of an Agreement of Understanding for this research study.

I am very happy to meet with you and the Board to discuss the proposal and clarify any issues for you.

Yours sincerely

Ross Notman
APPENDIX E  AGREEMENT OF UNDERSTANDING

DEGREE: Doctor of Philosophy
INSTITUTION: Massey University
RESEARCHER: Ross Notman
THESIS TOPIC Secondary Principals' Personal and Professional Development

PURPOSE: To investigate current job demands made of secondary principals and the implications for principals' personal and professional development.

OUTCOMES: It is hoped that research results will lead to more coherent and relevant training and support programmes for secondary principals.

ETHICAL CONSIDERATIONS: The following constitute the major ethical principles in the conduct of research as formulated by the Higher Degrees Committee of the Faculty of Education, Massey University:

(i) Informed consent (of the participants)
(ii) Confidentiality (of the data and the individual providing it)
(iii) Minimising of harm (to all persons involved in or affected by the research)
(iv) Truthfulness (the avoidance of unnecessary deception)
(v) Social sensitivity (to the age, gender, culture, religion, social class of the subjects)

The interests of society in general and the welfare of research subjects in particular, takes precedence over the interests of the researcher.

AGREEMENT OF UNDERSTANDING: The researcher will agree to undertake to:

- Abide by the ethical considerations above
- Ensure that participants understand that they may decline to participate or withdraw from the activity at any time without penalty of any sort and that their privacy and confidentiality will be protected.
- Turn off any recording device at any time if requested
- Give feedback to the participants on the research and provide an opportunity for any misconceptions to be clarified and questions answered.
- Ensure that disclosure of participants' personal information remains confidential (Privacy Act 1993, Principle II, Exception h).

The Principal and Board of Trustees will assist the researcher to:

- Gather data on the principalship using documentary sources, observation and interview methods.

I have read the information sheet and have had the details of the study explained to me. My questions have been answered to my satisfaction and I understand that I may ask further questions at any time.

Principal ____________________ Chairperson, Board of Trustees ____________________
Researcher ____________________ Date ____________________
APPENDIX F  EXAMPLE OF FIELD NOTES

Hinewen 3 Feb 2000

8:00. Seminar planning team meeting
- discuss staff schedule - new schools
- many info coming out if incorrect files
- From TIS on trial period
- discuss what they can do with teachers and admin
- more officers there would be
- seeing us here for sports meeting
- start time: 5" less nervous
- 7s wearing blue uniforms - very reasons. Sun
- wear them in a shorter length to go with more suits
- team stud.
- staff organisar. / Open school on Suny. 20-2/12
- 2:00 - newspaper: "We're glad to see our - Singapore
- Teacher vice-principal will sick water - "The" she
- Shrewsbury school yesterday" 
- Extra surprising me how far information st.

8:30 Staff meeting - another event of school of year.
(Only time seen Helen as back foot so the
ounder calendar now wanting Day on 7 Feb. or
Feb. "Sh..." Staff lauged.")
- X teacher grumbling: Keep the old boys messages down.
"We need a deferee period of 5" before we
can hear anything again

9:00 P's office
- Interview with A (C's yr 12 st.) Coming back
to private school in US. A guising over Sci.
- subject. E.G. in Classics
- H - wanted from A. fairly led by suddenly
- unneeded girl for last 2 years. It will be
- difficult for her. Prefer A to go. A Speak the
- line. - Date remark for 2nd chance.
Max: Interview Transcript Follow up to Values Survey Set No 1: 22 June 2004

IDENTIFICATION OF CORE VALUES

Q: Can you confirm these core values from the Rokeach survey?
Max: So in terms of the humanistic values ... it's interesting to look back at those and think: Is that really what I believe in? And it really is! That's good. I didn't look at it and think: Hello, there's something there that's out of place.

[Researcher: gives definition of humanistic and instrumental values]
Max: In comment then to that second list. The 'honesty' one is one that I've consciously tried to identify and hold to. So I think that's been captured accurately. The second one there is 'capable' and the third one is 'responsible'. And I would agree still that those are values that I recognise as being really important. To do a really good job, I suppose, is what's meant by 'capable' and that's really important to me - one of the most important things. 'Responsibility' is certainly a value that I hold too.

'Clean' is probably not the best word but orderly is. I've just been doing some work at the moment on learning styles and strategies etc, and reflecting on what my styles are. And there's certainly that sense of orderliness and things in sequence and all in the right place etc. They're important to me.

'Independent': That's absolutely true. It means having the freedom to make my own decisions. And in the job I've got now, I really value being free to make my own decisions to a large part. I think I would find it difficult working for somebody who was very autocratic and didn't give me the room to move and respect my professional views and decisions. That's important.

And 'logical': That ties into that orderliness. I like things to be nice and clear and ordered and organised and a good reason for doing things. I've always got to see the reason behind something before. I've got to be able to rationalise it ... before I can do it.

Q: And the professional values? We talked about those the last time, as from my observations, interviews with yourself and significant others.
Max: That's fine. Yes, I agree with that.

Q: Is there anything missing from that preliminary list across all three columns there?
Max: No, I think that's pretty well captured things.

Q: Things that you would die in the ditch for? If I was a statutory manager, what issues would you fight me on if I wanted to change everything in your school?
Max: I'd certainly fight you on the positive learning experience for the students because you could have a regime where it wasn't like that at all.
APPENDIX H

GUIDING QUESTIONS FOR SEMI-STRUCTURED INTERVIEWS: SIGNIFICANT OTHERS

RQ1: Job Demands

What do you see as the major demands of the job affecting your principal?
Could you put them in any priority order?

RQ2: Personal Dimension

Why do principals invest so much of themselves in their work?
Are you able to describe your principal’s core values or deeply-held convictions?
How do you see these values coming out in action in the school environment?
How would you describe your principal’s sense of self?

Does your principal distinguish clearly between right and wrong as part of their principalship ie exert moral leadership?

Does your principal feel any sense of isolation in their job?

What particular things seem to stress your principal?

Do you think your principal follows an ethic of care in their leadership of the school?
APPENDIX I

CONSENT FORM FOR PRINCIPALS AND SIGNIFICANT OTHERS

Research ethics and guidelines for principals and significant others involved in the doctoral research carried out by Ross Notman.

This research will abide by the research guidelines of Massey University’s Human Ethics Committee. In that:

1. The University’s strict and comprehensive research guidelines ensure the anonymity of persons and institutions involved in this research. All information will be used only for the purpose of this study.

2. Participation in the research will be voluntary and I will be able to withdraw at any time.

3. None of the quotes of the interviews will be used unless I give prior permission.

4. My anonymity will be preserved unless signed permission has been given by me.

5. I will be able to decide which parts of my interview I do not wish included.

6. All information pertaining to me will be kept confidential and securely stored.

7. All information pertaining to me will be destroyed on completion of the thesis.

8. The information about me obtained during the research will only be used for the purpose of writing the thesis.

9. My signed consent will be obtained before interviews and observation periods commence.

I have read and understand the above research information and guidelines, and agree to be observed and interviewed for this research.

Name: (please print) ____________________________________________________________

School: ______________________________________________________________________

Signed: ______________________________________________________________________
APPENDIX J  BIOGRAPHICAL INTERVIEW SCHEDULE

Adapted from interview framework of Pascal & Ribbins (1998). Understanding primary headteachers: Conversations on characters, careers and characteristics. London: Cassell, to establish a portrait of each principal across a range of personal and professional issues.

PERSONAL BACKGROUND

a  Family
What was your date and place of birth?
Describe your parents’ occupation, socio/economic background, number of siblings.
Describe the characteristics of your mother and father.
Describe the influence of family in shaping your views on life, your values, your aspirations.
On reflection, how important and consistent were these various influences?

b  Early life
Describe the influence of friends and community in shaping your views on life, your values, your aspirations.
On reflection, how important and consistent were these various influences?

c  Education (primary/secondary/tertiary)
Describe the influence of peer group, teachers, lecturers, and other significant individuals or groups in shaping your views on life, your values, your aspirations.
On reflection, how important and consistent were these various influences?

THE MAKING OF A TEACHER
How and why did you become a teacher?
What influences shaped your views as a young teacher eg your own teachers, experiences at Training College, first two years of teaching?

PREPARING FOR PRINCIPALSHIP
How would you describe your career path prior to principalship?
Why and when did you decide you wanted to be a principal?
What was your view of principalship during these years and who or what shaped that view?
How influential were the principals you worked for, or have known in other ways, been in shaping your views and practice of principalship?
How well prepared were you for your first principal's position?
What 'training' or preparation might have helped you at this stage?
EARLY DAYS OF PRINCIPALSHIP
What were your feelings when you were offered your first principal's position?
What do you remember of your first day, week, year of your principalship?
How confident do you feel now?
What advice would you offer others considering applying for a principal's position?

DEVELOPMENT OF PRINCIPALSHIP

a Leadership style
What kind of a principal and leader are you?
Has this changed over time and, if so, in what way and why?
Has the principalship become less difficult as you have grown more experienced?
How does a second principalship differ from a first?
Is it any easier and, if so, why and how?
How do you enable others to lead?

b Values-based leadership
Describe your essential beliefs and values about teaching and learning, school leadership.
What has influenced this set of essential beliefs and values?
How have these professional values influenced your work as a principal?
Describe the essential personal beliefs and values that you hold.
How have these personal beliefs and values influenced your work as a principal?

PROFESSIONAL/PERSOINAL WELL-BEING
How do you keep up to date?
How do you cope with stress and manage when things go wrong?
Which aspects of the role do you most and least like?
Where do you find support for you as a professional? As a person?

THE CHANGING FACE OF PRINCIPALSHIP
Has the principalship changed radically in New Zealand since the reforms of 1989?
Has it changed for the better or for the worse in recent times?
Can you still be an educational leader?
Do you still enjoy being a principal?
Would you give up the principalship if you could? If so, why?
What would or will you do?
Would schools be better off without principals anyway?
What do you think the secondary school will look like in ten year's time?
What will this mean for principals?
APPENDIX K  ROKEACH VALUE SURVEY

Instructions
On the next pages are two sets of 18 values listed in alphabetical order. Your task is to arrange each set of values in descending order of their importance to you, as guiding principles in YOUR life. Each value is printed on a small card for manoeuvrability.

Arrange the cards for each list in descending order of importance to you. Work slowly and think carefully. If you change your mind, feel free to change your answers. The values on the printed cards can easily be moved from place to place. The end result should show how you really feel.

When you are settled on the order of each list, write the values in the appropriate box, from No 1 being the most important to No 18 being the least important.

Follow up questions to your survey response
Please write your personal response to the following three questions on a separate sheet:

1 Why are the values of each set numbered 1 - 6 important to you?
2 What do you think has influenced the importance of these values to you? eg your upbringing, personal experiences, professional reading etc.
3 From the total of 36 values in Set A and Set B, select:
   a The three most influential values that impact on your principalship and describe how they influence your style of principalship.
   b The three values least likely to influence your principalship and give reasons.

Thank you very much for your help in completing this survey.

RN
<table>
<thead>
<tr>
<th>SET A: Terminal Values</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>A COMFORTABLE LIFE (a prosperous life)</td>
</tr>
<tr>
<td>2</td>
<td>AN EXCITING LIFE (a stimulating, active life)</td>
</tr>
<tr>
<td>3</td>
<td>A SENSE OF ACCOMPLISHMENT (lasting contribution)</td>
</tr>
<tr>
<td>4</td>
<td>A WORLD AT PEACE (free of war and conflict)</td>
</tr>
<tr>
<td>5</td>
<td>A WORLD OF BEAUTY (beauty of nature and the arts)</td>
</tr>
<tr>
<td>6</td>
<td>EQUALITY (brotherhood, equal opportunity for all)</td>
</tr>
<tr>
<td>7</td>
<td>FAMILY SECURITY (taking care of loved ones)</td>
</tr>
<tr>
<td>8</td>
<td>FREEDOM (independence, free choice)</td>
</tr>
<tr>
<td>9</td>
<td>HAPPINESS (contentedness)</td>
</tr>
<tr>
<td>10</td>
<td>INNER HARMONY (freedom from inner conflict)</td>
</tr>
<tr>
<td>11</td>
<td>MATURE LOVE (sexual and spiritual intimacy)</td>
</tr>
<tr>
<td>12</td>
<td>NATIONAL SECURITY (protection from attack)</td>
</tr>
<tr>
<td>13</td>
<td>PLEASURE (an enjoyable, leisurely life)</td>
</tr>
<tr>
<td>14</td>
<td>SALVATION (saved, eternal life)</td>
</tr>
<tr>
<td>15</td>
<td>SELF-RESPECT (self-esteem)</td>
</tr>
<tr>
<td>16</td>
<td>SOCIAL RECOGNITION (respect, admiration)</td>
</tr>
<tr>
<td>17</td>
<td>TRUE FRIENDSHIP (close companionship)</td>
</tr>
<tr>
<td>18</td>
<td>WISDOM (a mature understanding of life)</td>
</tr>
</tbody>
</table>

WHEN YOU HAVE FINISHED, GO TO THE NEXT PAGE.
<table>
<thead>
<tr>
<th>Set B: Instrumental Values</th>
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<tbody>
<tr>
<td>AMBITIOUS (hard-working, aspiring)</td>
</tr>
<tr>
<td>BROADMINDED (open-minded)</td>
</tr>
<tr>
<td>CAPABLE (competent, effective)</td>
</tr>
<tr>
<td>CHEERFUL (light-hearted, joyful)</td>
</tr>
<tr>
<td>CLEAN (neat, tidy)</td>
</tr>
<tr>
<td>COURAGEOUS (standing up for your beliefs)</td>
</tr>
<tr>
<td>FORGIVING (willing to pardon others)</td>
</tr>
<tr>
<td>HELPFUL (working for the welfare of others)</td>
</tr>
<tr>
<td>HONEST (sincere, truthful)</td>
</tr>
<tr>
<td>IMAGINATIVE (daring, creative)</td>
</tr>
<tr>
<td>INDEPENDENT (self-reliant, self-sufficient)</td>
</tr>
<tr>
<td>INTELLECTUAL (intelligent, reflective)</td>
</tr>
<tr>
<td>LOGICAL (consistent, rational)</td>
</tr>
<tr>
<td>LOVING (affectionate, tender)</td>
</tr>
<tr>
<td>OBEDIENT (dutiful, respectful)</td>
</tr>
<tr>
<td>POLITE (courteous, well mannered)</td>
</tr>
<tr>
<td>RESPONSIBLE (dependable, reliable)</td>
</tr>
<tr>
<td>SELF-CONTROL (restrained, self-disciplined)</td>
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</table>
APPENDIX L

GUIDING QUESTIONS FOR SEMI-STRUCTURED INTERVIEWS: PRINCIPALS

Identification of Core Values:
From your case study and the Rokeach values survey (List provided), can you confirm that these are your ‘core’ values? Is there anything missing from this preliminary list?

Nature of Core Values:
Please read the following categorisation of your core values into humanistic and instrumental values (Definitions supplied). Do you feel each value is appropriately placed?

Origins of your Set of Values:
From your case study, can you confirm what you believe to be the origins of some of your key values? Are there some influences at work within the school setting that may have shaped your values set?

Impact of Principal’s Values:
How do you see your set of values impacting on the direction of the school?

Values Contestation:
Can you think of instances when there have been ‘clashes’ of values between yourself and your
- Students
- Staff
- Board of Trustees
- Parents
- Government agencies?

Principal Values Affected by School Context [Question for Max]
Compared with a larger urban school, do you think that principals of small rural schools undergo greater/lesser values tensions on account of
- Staff proximity
- National curriculum demands
- Teaching principal responsibility
- Involvement in rural community?

Spiritual Leadership:
Have you, at any stage of your principalship, experienced what might be termed ‘spiritual’ moments? For example
- Relationships/sharing knowledge at a deep level
- On a real wavelength with people
- Moment of pure reflection/understanding
- Awareness of something greater than yourself at work in your school?
REFERENCES


Alcorn, N. (1993b). Walking the tightrope: The role of school leadership in the new climate of New Zealand education. Paper presented to a graduate seminar, Massey University, 13 May.


Greenfield, T. B. (1986). The decline and fall of science in educational administration. Interchange, 17(2), 57-80.


