

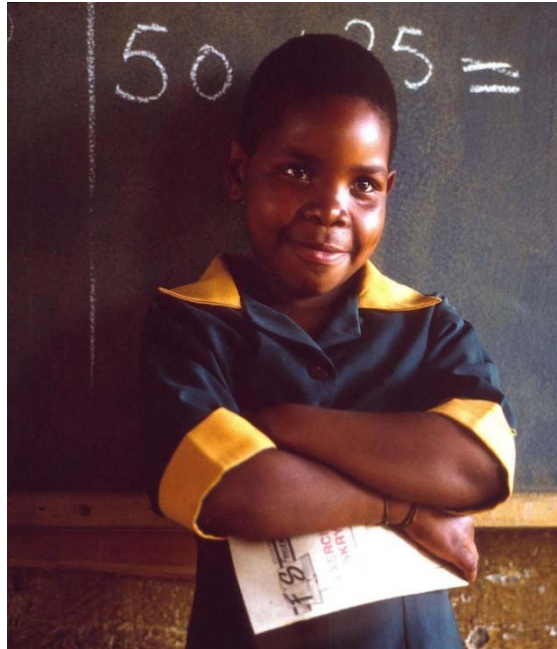
The copyright of this thesis vests in the author. No quotation from it or information derived from it is to be published without full acknowledgement of the source. The thesis is to be used for private study or non-commercial research purposes only.

Published by the University of Cape Town (UCT) in terms of the non-exclusive license granted to UCT by the author.

**PRINCIPALS: AN ASSESSMENT OF THE CORRELATION BETWEEN
LEADERSHIP AND MANAGEMENT AT SOCIO-ECONOMICALLY
DISADVANTAGED SCHOOLS IN THE WESTERN CAPE**

Taryn Lee Casey

CSYTAR001



"Images copyright © 1999 Guy Stubbs."

**A minor dissertation submitted in partial fulfilment of the requirements for the
award of the degree of Masters of Philosophy in Development Studies**

Faculty of Humanities

University of Cape Town

2010

Compulsory Declaration

**This work has not been previously submitted in whole, or in part, for the award of
any degree. It is my own work. Each significant contribution to, and quotation in,
this dissertation from the work, or works, of other people has been attributed, and
has been cited and referenced.**

Signature: _____

Date: _____

Acknowledgements

I would firstly like to acknowledge my supervisor Mary Simons for her enduring patience and encouragement through the process of writing this dissertation. Mary is an exceptional teacher and one of the most dedicated lecturers I have had the privilege of being taught by. Mary was extremely sensitive to my position of being a student and simultaneously being employed full-time and gave up much of her personal time to accommodate my work schedule.

Secondly, to my former employer, for providing me with the opportunity of doing this research and to my former colleagues were very supportive of my ongoing studies.

My final expression of gratitude goes to my mom and to Jatin. Thank you for sticking it out with me and being patient while I finally finished the *never-ending* thesis. I am grateful for the love, support and encouragement you showered upon me.

Abstract

The central hypothesis of this dissertation is that there is a strong correlation between leadership, management and *thriving* socio-economically disadvantaged schools in the Western Cape. This study is a case study of 15 schools in mostly socio-economically disadvantaged areas of the Western Cape. This was a qualitative study that included a combination of field work, interviews, literature and document reviews and desktop analysis. The literature review sought to understand the dominant theories and concepts in the field of educational leadership and management in order for the researcher to be fully grounded in the concepts and theoretical constructs of management and leadership. The findings from the literature indicated, that school leadership is vital for the success of the school. School leaders build vision, set directions, understand and develop people, redesign and re-culture the organization and manage the instructional program. School leaders apply contextually sensitive combinations of the basic leadership practices at their workplace. School leaders improve teaching and learning most powerfully through their influences on staff motivation, commitment, and working conditions. The principal has a clear vision. The most successful leaders are open minded and ready to learn from others. (Day, 2007 2-3) School leaders are visible and effective in the manner in which they communicate their thoughts and feelings. They are open and accepting of all members of the staff community and do so in a genuine manner. The principal faces problems and shares them and learns from them. They seek appropriate responses to particular circumstances (Murgatroyd and Gray, 1989:95-96) and see the big picture. (Fullan, 2003)

While Principals can display both leadership and management characteristics simultaneously, this dissertation argues that it is those school Principals that can both lead and manage that are the enablers of change. Recognising the importance of leadership, management must also be achieved in order to address the current chaos and disorder at schools in South Africa and

reinstigate a culture of teaching and learning in South African Schools. However, it is vital to understand in the context of South Africa that Principals will neither lead nor manage unless adequate support structures are put in place by the department of education and provided for by the South African Government. In terms of understanding the literature around school leadership, while different theories have value add, there is no all embracing theory “magic bullet” which will provide the answer to solving the crisis of leadership in South Africa, it is rather a combination of leadership styles and different examples of how leaders have achieved success in the most trying circumstances, that will provide a road map for instituting success at schools. What was observed during the course of study was that irrespective of the support given by the government in terms of providing schools with infrastructure it was those schools with Principals that displayed leadership qualities who were able to make the most impact and produce the most successful learners. They engaged the community, enrolled the community into their vision for the school, led by example and displayed moral leadership.

Table of Contents

Acknowledgements.....	1
Abstract.....	2
Chapter One: Introduction.....	6
Chapter Two: Context.....	10
Context of education in South Africa.....	10
Western Cape, South Africa.....	13
The context of being a principal in South Africa.....	15
Chapter Three: Methodology.....	22
Chapter Summary.....	22
Hypothesis.....	22
Issues of Measurement.....	23
Sample Design and Sampling Methods.....	24
Data Collection Methods and Fieldwork Practice.....	26
Data Capturing and Data Editing.....	27
Limitations.....	28
Chapter Four: Literature Review.....	31
Introduction.....	31
Key Concepts.....	32
The Distinction between Management and Leadership.....	32
Discussion of the literature.....	36
Theories of Leadership.....	44
Conclusion.....	60
Chapter Five: Findings.....	61
Findings from the literature on characteristics of successful school Principals.....	61
Macro-Findings.....	66
A culture of teaching and learning must be reinstated in South African Schools.....	69
Key constitutional requirements need to be met by the South African Government.....	70
There is no all embracing “magic bullet” theory.....	75
Micro-Findings.....	76
Successful Principals engage the whole community.....	76
Principal as lead Learner.....	79
Successful Principals have vision and enrol the school community in that vision.....	81
Successful Principals displayed Moral Leadership.....	83
Conclusion.....	84
Chapter Six: Conclusion.....	87

Summary of the methodology	87
Summary of the key findings	88
Conclusion.....	96
Bibliography	98
Appendixes	107
Appendix A.....	107

University of Cape Town

Chapter One: Introduction

Concerns are expressed by many at the state of education in South Africa. These concerns have increased since the establishment of democracy in 1994 when the ANC was the dominant party in the government of national unity. The ANC made a commitment in terms of housing, education and health, these areas were targeted specifically to redress the legacy of apartheid¹. As a result there have been a number of changes in policy, including the South African Schools Act (1996) since then, however it is currently evident that these changes are not having the desired effect. In order to carry out these policies of transformation at a school level, the South African Government has largely relied on school leadership. While attempts have been made to redress past inequalities, schools still as a legacy of apartheid vary significantly by race. What is incredible is that even though all the odds are stacked against them some Principals are still achieving transformation and success in the most difficult circumstances.

In my personal experience as a researcher, as I meet more and more educators it is evident that despite the most severe conditions there are a few remarkable souls who manage to triumph against all odds and not only pass but excel at delivering quality education to the poorest learners in this country. I know that our democracy is still new and much has changed and a lot has been done to improve conditions for learners at schools, yet I feel at a very real and personal level very disheartened that there has been such little investment in the future of our country and that the government has failed them. It is the handful of amazing Principals in little tucked away schools in parts of South Africa, that few have heard of that are really making a difference and it is these amazing souls that give me an ounce of hope. I am very grateful for the time and energy they gave to me during this research process and even more grateful for

¹ Historically, education was central to successive Apartheid government's efforts to segregate racial groups and maintain white minority rule and was the way in which it controlled access to skills and knowledge.

the sacrifices they make each moment in their personal lives to better prepare, nurture and care for the youth of our country. This study is therefore an attempt to highlight the important lessons that these Principals can teach us and answer questions around how some leaders are able to achieve success.

The field work for this study was conducted from April until August 2008; however the review of the literature has been an ongoing process since then and has made use of the most up to date literature in the field of education and management. The fieldwork formed part of a larger assignment that was undertaken in my role as a senior project associate at a development consultancy based in Johannesburg. The purpose of that study was to evaluate the various implementing agents that were used to build additional schools, halls and classrooms at schools in the Western Cape. The study was conducted at 18 schools in the Western Cape. The original evaluation consisted of interviews with the various implementing agents to assess their capacity. There were various tools used to measure performance of the implementing agents. The purpose of that study was then to report this assessment to the Western Cape Education Department in order for them to evaluate their current infrastructure delivery model and to decide whether it needs to be changed. This dissertation is based on a sub-study of that larger study. It is of 15 schools where interviews were conducted with leadership at the school.

This study included a combination of field work, interviews, literature and document reviews and desktop analysis. Through a document review and desktop analysis, project identification criteria were developed and projects were identified. Both qualitative and quantitative approaches have been used to collect the data. This study required an in-depth understanding of the situation which can only be achieved through qualitative methods while a quantitative indication of the performance is also important. Interviews were conducted with the principal or deputy principal or a member of the school management team, and also included a walk around

the school premises. The interviews were for a duration of one hour or more and some included interviews with members of the School governing body, other teachers and in one instance a learner at the school.

The original literature review began with a review of the literature around school buildings and the importance of infrastructure at schools. This initial review was quite extensive and made use of theorists such as Phillips, 1997; Earthman, 2002 & Rudd et al, 2008. While the importance of infrastructure has been noted it soon emerged from the interviews with leadership at the schools and observations at school B, that leaders were the most important variable in the success of the school. This was most striking in two opposing case studies, where a new school had been built at one school, there was inadequate leadership at the school and within a year the whole school had been vandalised so badly that four classrooms were unusable and more than 100 windows in the school were broken. On the other hand at an equally poor school O, the principal showed strong leadership and had managed to engage the whole community in the building process, resulting in no theft during the building process, and a greater sense of ownership of the final product. The schools were from similarly poor areas and the observable difference was leadership. The focus of the thesis has therefore been narrowed down to the role of leadership and management at schools only. However, research from the community, and the value of the infrastructure, will be included at certain points in this dissertation.

The central hypothesis of this dissertation is that there is a strong correlation between leadership, management and *thriving* socio-economically disadvantaged schools in the Western Cape. This study is an attempt to identify the gaps in the literature around leadership in South Africa and to identify emerging trends in educational leadership and management theory. The aim of the study is to seek an understanding of success at South African Schools and offer an explanatory model for success at these schools, and answer the following questions:

- Assess whether it is management, leadership or both that enables schools to thrive?
- What are the key theories that describe successful leaders?
- What are the key characteristics of successful leaders?

This study is a case study of 15 schools in mostly socio-economically disadvantaged areas of the Western Cape. The study included a combination of field work, interviews, literature and document reviews and desktop analysis. The method of analysis to be used for this study was mostly of a qualitative nature. The data was analysed based on themes that emerged in the interviews with leadership at the schools. The limitation of the study is that it initially looked at the influences of the infrastructure, the community and leadership as determinants of the school's success. However, after consideration and due to the limitations of the length of the dissertation, the focus of the dissertation has been narrowed down to the role of leadership and management at schools only. A further limitation was that some interviews were more substantial than others and therefore a vast literature review including external case studies has been included to support the findings of this research.

This dissertation will begin with a thorough discussion of the context in which this study took place, the South African Education system, it will expand upon the challenges in the current system, and specifically how this relates to the job of being a principal in the current context of education in South Africa. The context chapter will also include a brief section on the Western Cape, and the specific challenges in the province. Chapter three will provide the reader with the research methodology used for this dissertation. Chapter four is an extensive literature review, orientating the reader with the key theories of management and leadership. Chapter five discusses the key findings from the case studies and finally Chapter six is the conclusion, which summarises the main findings of the dissertation, revisits the original problem statement and offers ideas for further areas of study.

Chapter Two: Context

Context of education in South Africa

Concerns are expressed by many at the state of education in South Africa. These concerns have increased since the establishment of democracy in 1994 when the ANC was the dominant party in the government of national unity. The ANC made a commitment in terms of housing, education and health, these areas were targeted specifically to redress the legacy of apartheid². (The consequences of apartheid education will be discussed while not discussing the specificities of apartheid, at certain points in the thesis.) There has been a considerable expansion of education since 1994 the government has concentrated on creating a single unified national system, increasing access (specifically to previously marginalized groups and the poor), decentralizing school governance, revamping the curriculum, rationalizing and reforming further and higher education and adopting pro-poor funding policies. (OECD, 2009: 19) While there have been major policy achievements such as the South African Schools Act (1996), there still remain challenges in implementing these ideas. There are currently discussions within government, non-governmental organizations and amongst private sector organizations on how to implement these policies and address the gaps in the system.³

The reality in South Africa is that the majority of well performing schools are still attended by the minority, mostly white population. While the ANC has attempted to redistribute expenditure evenly among previously disadvantaged learners, these measures have not adequately addressed the shortfalls that these schools were left with in terms of infrastructure. It has been

² Historically, education was central to successive Apartheid government's efforts to segregate racial groups and maintain white minority rule and was the way in which it controlled access to skills and knowledge.

³ One such example is conversation which has just been convened by Dr Ramphela Mamphela, "Bridge-Linking Innovators in Educators" which recently convened over 120 delegates on ways to transform education, centred around a discussion of the Dinokeng Scenarios and South African Government's Education Roadmap which was compiled by the Development Bank of South Africa's (DBSA).

estimated that 60-80% of schools in South Africa might be called dysfunctional. (Bloch, 2009) There is still a large gap in terms of performance between these top 20% of learners and the rest of learners in South Africa. Most of these inequalities are still predominantly along racially segregated lines and a black South African Student still has about a 1 in a 100 chance of making it successfully to and through University.

While a number of policies have been put in place to address these challenges and expenditure on education has increased year on year since 1994,⁴ this has not resulted in an improvement of academic performance. While in 2006/7 the average expenditure per learner in public schools was estimated at about R5, 500. (OECD, 2007), learners levels of achievement in South Africa are not commensurate with the financial investment being made. Three international studies of learning achievement, namely, the Monitoring Learning Achievement (MLA) project⁵, Trends in International Mathematics and Science Study (TIMSS) and the Southern and Eastern African Consortium for Monitoring Educational Quality (SAQMEC) indicate that South African children perform exceptionally poorly as compared to other countries that participated. (Fontannaz, 2008)

There have been many theories postulated for the decline in academic performance, some of which are beyond the scope of this dissertation, however one which is worth mentioning is the current debate on the influence that Outcomes Based Education(OBE) has had on learner performance. The South African Department of Education has also acknowledged the failure of

⁴ The South African government spent nearly ZAR 93 billion on education in the 2006/7 financial year. This excludes private spending on schooling and education (in the form of fees and other private inputs) and spending by other government departments (for example Health and Agricultural departments). This was 5.3% of gross domestic product and about 18% of consolidated government expenditure. These expenditures have however been declining over the last decade (from as high as 7% in 1996). Although education expenditure has diminished, the South African economic "pie" has grown fast enough to result in an education "slice" that is some 49% larger in real monetary terms in 2005 than it was in 1994. (Department of Education, 2006d.p.16)

⁵ The MLA project was conducted in several African countries in 1999 and measured the competencies of grade 4 learners in numeracy, literacy and life skills. Of the 12 participating countries, South Africa scored the lowest average in numeracy, the fifth lowest in literacy and the third lowest in life skills

OBE. Angie Motshekga (Minister of Basic Education) in her statement to the National Assembly on November 5, 2009, stated:

"The question on everyone's lips is why we do not, as Mamphela Ramphele always wants us to do, declare the death certificate of outcomes-based education, OBE? I must say that we have, to all intents and purposes, done so. So if anybody asks us if we are going to continue with OBE, we say that there is no longer OBE. We have completely done away with it."(http://www.ecdoe.gov.za/news_article/140/We-ve-signed-OBEs-death-certificate---Motshekga)

Unfortunately, while this statement has been welcomed by many in the field of Education, it has come too late for many learners who have been through the system of OBE and whose education has been compromised as a result of the system.

Another critical challenge faced by the government is the high prevalence of HIV and AIDS amongst both educators and learners. HIV prevalence amongst children aged 2-18 is around 5.6%. 12.7% of educators are HIV-positive, with the highest incidence found among younger, African, non-degree holding, female educators in rural areas, especially in Kwa-Zulu Natal and Mpumalanga. The national estimated HIV-prevalence rate is about 11% and total HIV-positive population is estimated at approximately 5.3 million people.⁶ Largely as a consequence of HIV & AIDS, the 2007 General Household Survey indicated that there were approximately 3.7 million orphans in South Africa, this includes children living without a biological mother, father or both parents and equates to 20% of all children in South Africa. The total number of orphans in SA has increased substantially with approximately 700,000 more orphaned children in 2007 than in 2002.⁷ Many young people in South Africa find themselves taking care of family members who are dying of AIDS or becoming heads of households at an early age. This impacts upon both

⁶ OECD, 2009

⁷ Statistics South Africa (2008) General household Survey 2007. Pretoria, Cape Town; StatsSA.

the learner population and the parent body. As the principal in School A stated: *It is rare to find fathers, 99% are mothers. Most of the students come from single headed households or grandmothers.* (School A)

Western Cape, South Africa

This study took place in the Western Cape, where there are a number of other specific contextual challenges not common in other provinces. There has been rapid urbanization in this province, in the 1996 census there were 3,956,875 people living in the province this number grew by 14.3% to 4,524,335 in 2001 and grew again by 16.7% to 5,278,585 in 2007. The increase between 2001 and 2007 was even higher than Gauteng which had previously experienced the highest growth rate. (Stats SA, 2007). Human settlement in the Western Cape is unevenly distributed, with approximately two thirds of the entire population resident in the Metro sub-district. There has also been a high rate of migration from the Eastern Cape to the Western Cape. Besides the natural increase in the province's population, about 12 000 learners, predominantly from the Eastern Cape, migrate to the province every year. (WCED, 2009) It is reported by teachers in the Western Cape that these students come in droves each year. Their standard of education is below the standard of education of learners from the Western Cape and many of them face language barriers as well. As a result of overcrowded classrooms and the ongoing administrative demands of the OBE curriculum, teachers have little time to address these learning challenges among these students and many are pushed through the system without being literate.

There have also been significant job losses and economic downturn in the Western Cape where traditional jobs in the garment, textile and shoe apparel job losses have had a significant impact on family income levels, domestic violence/community violence and sense of self esteem. This has also been exacerbated by high levels of drug and alcohol abuse and gangsterism. While the

Western Cape has been known in the past for high levels of drug consumption, for example alcohol abuse, the infamous tot systems and mandrax, and dagga and *witpyp* (dagga mandrax combination). In contemporary Western Cape addiction to "tik" (methamphetamine) is one of the greatest social ills facing the province. According to the Medical Research Council, Cape Town is the tik (methamphetamine) capital of South Africa, with 98 percent of methamphetamine patients seen in all the provinces coming from Cape Town.

Researchers for the South African National Council on Alcoholism and Drug Dependence (Sanca) have reported that 50 percent of the dopamine- producing cells in the brain can be damaged after long exposure to relatively low levels of tik. Methamphetamine, also known as speed, ice, crank, crystal straws and tjoef, is highly addictive and especially popular with children. The highest user levels are among those under 19. (Cape Times on November 17, 2008:6) In an article in the Cape Argus in 2007, the then premier of the Western Cape, Ibrahim Rasool was quoted as saying "At some of these schools free samples of tik are handed out and there is a real marketing drive to sell drugs." Tafelsig in Mitchells Plain was the worst area hit by drug abuse and addiction in the Western Cape. (Cape Argus, July 2007)

Adolescents believe that tik gives them what many of them don't have— confidence, power and heightened sexual levels, a feeling of being 'on top of the world', one that gains immediate currency in a world dominated by gangsterism, joblessness and poverty on the Cape Flats⁸. A UCT HIV/AIDS survey shows 22% of Grade 8 pupils (13 – 15-year-olds) at one Mitchell's Plain school to have used the highly addictive tik at least once as many as 60% of pupils have

⁸ The term "Cape Flats" refers to a large area in the Cape Town Metropole that appears to be essentially flat when viewed from afar. The physical boundaries of the Cape Flats is defined by the City of Cape Town as the Metro South East Sector. However this definition is incomplete as it does not take a number of factors into account. Historically, the Cape Flats was deemed to comprise of what was predominantly previously disadvantaged communities who landed up on the Cape Flats as a result a variety of reasons - from forced removals to migration by choice. In recent times however, the definition of the Cape Flats has been extended to a broader area that includes all areas that have historical, social, environmental, political and cultural connections to the core of the Cape Flats.

experimented with tik. (September 2006, Vol. 96, No. 9 SAMJ; August 2006, Vol. 96, No. 8 SAMJ) The spill over effects of this addiction to drugs was seen at School B in our case study, where the school had had 100 windows broken, in order to steal the metal frames.

Crime and drugs are rife in the area. They created a lot of problems for the school. Every drug addict who needs a fix, jumps over the fence and steals a frame to sell for scrap metal to buy drugs” It is not adults, teenagers are mainly involved in crime at the school. I have to replace with steel window frames and put on guards. It is costing the school extra money. I have engage security guards with money I don’t t have and can hardly afford as well as replace the windows. We are paying the people ‘peanuts” but it is money that could have been spent on educational resources. (School B)

Many learners in the Western Cape are also attracted by the Gangs which have virtually taken over some communities. Faced with a lack of proper education at schools, and a range of peer and social pressures, many learners are joining gangs. Dysfunctional communities, often with high rates of alcoholism and drug abuse, have never recovered from the impact of the removals under the Group Areas Act, under which families were moved to the Cape Flats and disenfranchised in the 1950s. With drugs and social disintegration, gangs may well become more attractive as safe havens and institutions of protection, identity and belonging. (Bloch, 2009:80)

The context of being a principal in South Africa

In addition to the high level challenges of the context of education in South Africa, the principal also has to work within a given community with its own socio-economic specific challenges. The principal has to navigate this relationship ensuring that the community takes ownership and participates in the day to day activities of the school practice. This is challenging given the high levels of poverty in many communities in South Africa. Along with poverty many parents are

often uneducated or illiterate and have their own challenges in terms of how they perceive their role in the education of their children. Some Principals will not engage with the community as will be evident from the case studies presented later in this thesis. A good principal in order to meet the objectives of the department will however have to engage with the community.

Teaching force

South Africa has lost many teachers, there are two reasons for this loss, one is the hostile environment, and the second is HIV and AIDS. While the government has begun to address the last problem it has not as yet addressed the conditions under which teachers teach. There has also been a loss of teachers due to the attrition process and a lack of replacement because of insufficient training. As a result of these conditions the education system has lost many teachers to brain drain, or teachers with the means and the qualifications have deserted townships schools in favour of private schools. This shortage was exacerbated by the closing down of some teacher training colleges or merging these colleges into higher education institutions.⁹ Since 2007 the government has sought to address the shortage with the introduction of teacher bursaries and it has been reported that the number of students studying teaching at Universities has begun to increase. (Fontannaz 2009: 120) During the attrition process, voluntary severance packages were offered to teachers. In some subjects where there was not sufficient enrolment in many of the large urban areas it was math and science teachers that lost their jobs, some of the best teachers left and engaged in entrepreneurial activities. The current crisis that South Africa is facing in poor maths and science results has been exacerbated by the loss of this expertise.

⁹ Consequentially in 1994 there were 150 public institutions in South Africa providing teaching education to 200 000 students, by 2000, there were 82 institutions with only 100 000 students. This has resulted in a decline of 70 000 teaching graduates in 1994 to 6000 per annum in 2006. This is well below the replacement needs of approximately 20 000 per annum and teacher shortages increased to 38 000 in 2008. (Education Handbook, 2009:120) In 2007 government sought to address challenges with the Fundza Lushaka bursary, a national bursary scheme for teachers. As a result in 2009 it was reported that universities are beginning to see an increase in the number of students undertaking teaching.

In 2006 there were 386 595 educators employed in ordinary schools in South Africa, of this number two thirds of teachers in South Africa are between 35-50 years of age; which indicates that most teachers currently in the schooling system were trained during the apartheid era. The consequences of this on the mind-set of teachers now expected to teach under a new system are enormous. Consequences include a lack of knowledge of the curriculum; poor self-esteem and a resistance to teacher evaluation. A late-1990s rationalization process caused many of the best qualified and most experienced teachers to leave the profession. However, learner-educator ratios in former disadvantaged schools improved, while more privileged schools were able to use their fee-charging capability to employ additional educators. (OECD: 22)

Teachers are thus not only ill equipped to deliver the curriculum effectively in terms of their education, but are also psychosocially ill prepared in terms of self confidence and internalized racism. Principals have to engage with their staff in a manner that makes them feel valuable and respected. The way that the principal treats his/her staff also impacts on the way that the teachers are viewed by the learners and in turn the broader community. The principal also takes on a mediation role in the way that he navigates this landscape between the teachers and the learners in order to ensure that his/her staff deliver the highest quality of education. It is the responsibility of the principal to support the staff in order to ensure that successful education takes place. The manner in which the principal treats his staff and pupils will be imitated by the broader community.

The Learner

As the principal at School H stated, because of the socio-demographic profile of the learner he battles to get school fees and has an issue with the language of instruction at the school. He is however doing all he can to address these challenges.

The school fees are R500 per year which is set by the parents. We have 95% Xhosa speakers at the school. They can't afford the fees they come from poorer areas. If we lucky we get 70-80% it is a problem that the majority can't pay. We ask for a commitment for them to pay their fees. The learners travel up to 20kms a day to get here. The school was opened in 1940. Claremont was initially a coloured area; there are many prominent people that were at this primary school. There seems to be a slow turnaround of people returning to the area. There isn't the support of the community around the school. We were one of the first schools to absorb Xhosa learners. Mid 1980-1985 there were threats to close the school down. The SGB and the staff decided to take on Xhosa speakers to keep the school going. We have had white learners over the years.

There is a feeling among Xhosa speaking parents to get their children out of the township to a better school and an English Medium school. We don't have gangsterism or vandalism for about 13 years. Our problem however is language. Children come with very little English as our Xhosa enrolment has increased it has become a bigger problem. We have adopted a literature programme to allow the learners to adapt to English. Where literacy is concerned we started with a 40% literacy pass rate which has increased to 70%. The literacy for grade 6 is now 81% it has slowly increased however numeracy is a big challenge which we are starting on now. We are starting on a strategy to improve our numeracy. We have volunteers who come in from the community to help with literacy. We also have "help to read" an NGO with about 14 volunteers coming in every week to help learners with reading. We also have the ARP (Accelerated Reading Programme) we also have a computer room and in the classrooms through our own initiative we got computers in the school. (School H)

The community

The biggest forum for interaction with the community for the principal is his membership by virtue of his post on the School governing body ¹⁰(SGB). Some Principals find that they are able to successfully harness the support of the members of the SGB and in other cases this can be a source of conflict for the principal. (Clase et al, 2007). This can be an additional source of stress for the principal who already has a huge administrative burden of running the school. In some instances the principal will therefore take over the role without support from the parents in order to alleviate the burden of having to train the SGB members. This can make parents feel alienated and further enforce a lack of self-confidence due to the poor level of education they had. SGB's have functioned well and served their purpose in former Model C schools where members of the SGB are often middle class, educated and in a better financial position to raise funds for the school. Successful principal's in socio-economically disadvantaged communities therefore have a whole other set of challenges they have to deal with and in some cases SGBs can actually make parents and in turn the community feels alienated rather than democratically empowered.

An example of this was seen at School E, the principal said that while the SGB was willing they did not have the educational requirements to properly exercise their roll on the SGB and the department had recently tasked him with the additional responsibility of training the SGB.

We have a very willing SGB they are very helpful however the problem is that they come from a poorer community and their education is not high and therefore the responsibility falls on the principal and the teachers. They are willing to learn and play their part. In

¹⁰ The notion of School Governing Bodies is not a new concept in the world, however the previous model of School Governance in South Africa was mostly restricted to former model C/ "white" schools, it is only since 1996 and the South African Schools Act (SASA), and in the last twelve years that the notion of democratic leadership at all schools across the country has begun to take shape.

comparison if the SGB is capacitated there is less responsibility for the principal. This year the dept has made training the responsibility of the principal. These are the challenges. They do attend meetings and give their support. If you have expertise it makes the role of the principal easier. That is another challenge between advantaged and disadvantaged schools. (School E)

This type of example plays itself out in many SGBs and is particularly evident in poor and rural communities of South Africa. There is often social tension, domination and psychological stress among these groups of parents who participate in SGBs as well as a message of insignificance. These feelings influence the way that these parents negotiate their identities¹¹ and navigate their way into participating in school governance. (Brown & Duku, 2008:433) In terms of the identity of SGB members, parents have their own beliefs, customs and traditions and may have to make adjustments when negotiating their identities in the SGB as the SGB operates in a different context to the one they may be used to. As Bush & Heystek, 2003 argue that while SGB's are welcome additions to the democratic framework of any country widespread support is not sufficient to ensure their success. The evidence from England and elsewhere is that **training is essential** if governing bodies are to achieve the objectives set for them. **Capacity building** is particularly important for developing countries, and there is ample evidence that this is a major requirement for South African governing bodies. (Bush & Heystek, 2003: 128)

Socioeconomic status, employment status, level of education, race and ethnicity has been shown to have significant influence on parental involvement in SGB activities. (Brown & Duku,

¹¹ Social identity is a process of defining oneself relative to shared characteristics with others Identity can be constructed and reconstructed through the stories we tell and retell about our lives; as new stories are created, new perceptions of identity develop. Many aspects of social life, including questions of identity, can be explained in terms of implicit and explicit bargaining and negotiating. (Brown & Duku, 2008: 433-434)

2008: 437) From Brown & Duku's (2008) study of 'parents' participation in school governance in rural Eastern Cape schools and implication for school leadership' it was evident that gender politics was inherent in the SGB in these schools. African traditions and customs dictate that leaders should be men and women in SGB often give deference to elder men. These values run counter to the values of equity/equality and the notion of shared leadership and collaborative management that the schools system has adopted in SASA. There are ample studies spouting the benefits of diversity by improving group performance as the full potential of the group is realized, creating higher morale and better relationships in the group. Therefore cultural beliefs such as those evident in rural parts of the Eastern Cape do hinder the potential of the SGB to function optimally. A balance needs to therefore be found by the school leadership to be sensitive and work with local communities to find the best ways to implement the SASA provisions. It is vital that going forward leadership practices and policy provisions must reflect people's customs and traditions. (Brown & Duku, 2008:447)

Conclusion

This chapter has summarised the current context of the South African Education System as well as the context which Principals currently find themselves in. There are a myriad of contextual problems some of which are beyond the scope of this dissertation. The most glaring as highlighted in this chapter are the socio-economic challenges which most learners, teachers and Principals are confronted by every day, this results in a lack of adequate and sufficient resources in the classroom. Furthermore, this extends beyond the classroom to the neighbourhood and homes from which the learners come and the social ills they face, such as the consequences of one of the highest rates of HIV and Aids in the world, large scale unemployment, drug abuse, gangsterism and violence. It is within this context that exceptional leaders are born.

Chapter Three: Methodology

Chapter Summary

The central hypothesis of this dissertation is that there is a strong correlation between leadership, management and *thriving* socio-economically disadvantaged schools in the Western Cape. This study is an attempt to identify the gaps in the literature around leadership in South Africa and to identify emerging trends in educational leadership and management theory. The aim of the study is to seek an understanding of success at South African Schools and offer an explanatory model for success at these schools. This study is a case study of 15 schools in mostly socio-economically disadvantaged areas of the Western Cape. The study included a combination of field work, interviews, literature and document reviews and desktop analysis. The method of analysis to be used for this study was mostly of a qualitative nature. The data was analysed based on themes that emerged in the interviews with leadership at the schools. The limitation of the study is that it initially looked at the influences of the infrastructure, the community and leadership as determinants of the school's success. However, after consideration and due to the limitations of the length of the dissertation, the focus of the dissertation has been narrowed down to the role of leadership and management at schools only. A further limitation was that some interviews were more substantial than others and therefore a vast literature review including external case studies has been included to support the findings of this research.

Hypothesis

The central hypothesis of this dissertation is that there is a strong correlation between leadership, management and *thriving* socio-economically disadvantaged schools in the Western Cape. This hypothesis was arrived at based on the first round of research where the initial

hypothesis was that there was a correlation between physical infrastructure and thriving schools. This hypothesis was soon disproved and the central correlation that did emerge from the fieldwork was strong leadership. Leadership refers to the principal at the school. While some members of the school management team were interviewed it was the principal at the school who appeared to have the greatest amount of influence. Thriving schools are those schools that are not only functional by South African standards, but where students are doing well and achieving success. The importance of leadership at schools theory is supported by a large body of international and an emerging body of South African research on the topic. The role of the principal in South Africa has however changed significantly since the end of Apartheid. This study is an attempt to identify the gaps in the literature around leadership in South Africa and to identify emerging trends in educational leadership and management theory. This study seeks to understand what the literature does not explain and offers an explanatory model for success at these schools.

Issues of Measurement

A number of data collection tools were used for the original study. For the purpose of the sub-study on the role of leadership at the sites, the researcher made use of the qualitative questionnaires which were originally developed for the principal. In addition to the formal questionnaire a number of open ended loosely structured questions were asked. The interview began with the set of questions being asked and had an open ended-section at the end of the questionnaire. While some parts of the interview process were formal, other questions were asked while walking around the school premises with the principal. The main instrument of measurement in this study was the qualitative questionnaires that were used as well as the site visits. In addition to the field work, an extensive literature review was conducted which looked at international theories of leadership and management. The interviews were analysed according

to the literature review and where certain examples of leadership emerged in the case studies, these were highlighted and related to the supporting literature.

Sample Design and Sampling Methods

The initial dataset of 18 schools, made a selection of three projects per implementing agent per type of project. These projects were chosen on the basis of a set of completed projects given to the team by the WCED. Efforts were made as far as possible to choose projects from similar backgrounds / characteristics and close proximity over the different Implementing Agents. This was to ensure that projects delivered under similar conditions were used but also to maximise on the time spent in the field. Sites were selected on the basis of the evaluation of the implementing agents that was conducted for the WCED, and consisted of complete and nearly complete infrastructure projects at schools in the Western Cape.

For the purpose of the dissertation, from the original selection of project sites, two schools were removed from the data set as they were not complete at the time of the site visits. In addition at one schools the principal was not accessible and did not provide any alternative person in a management position to interview, and the visit only consisted of observations or informal interviews with the caretaker, the school was also removed from the study.

After eliminating these schools from the study the final sample consisted of 15 schools. The schools have been classified using a coding system to ensure the privacy of the participants of the study. Each school will be labelled using a letter with the location of the school.

- School A- Old Crossroads
- School B- Mitchell's Plein

- School C- Kuilsriver
- School D-Phillipi
- School E- Hanover Park
- School F-Mannenber
- School G- Kuilsriver
- School H-Claremont
- School I-Mfuleni
- School J-Wesbank, Kuilsriver
- School K- Grassy Park
- School L-Athlone
- School M- Atlantis
- School N- Philadelphia
- School O- Hermon(Paarl)

The reason for choosing schools in socio-economically disadvantaged areas of the Western Cape was because most of the backlogs in terms of infrastructure are in these areas and it is in these areas that the greatest effort needs to be made in order to address inequality in educational levels and to enhance socio-economic development in South Africa. This study is therefore a case study of 15 schools in mostly socio-economically disadvantaged areas of the Western Cape. Two of the schools were located in township areas and were former DET schools¹² ; the majority of the sample was located in the Cape Flats and were former HOR¹³ schools. School H was located in the predominantly white suburb of Claremont; however the

¹² DET Schools: Former Department of Education and Training, these were mostly for black learners under apartheid. DET schools still have really poor infrastructure and facilities and these schools are by far the worst off even today.

¹³ HOR Schools: Former House of Representatives this was the department under Apartheid that handled coloured children's schooling. Former HOR schools, although not quite as sidelined as DET schools, still have really poor infrastructure and facilities.

school was unusual in that it served a population of learners from township areas, and was hence still socio-economically disadvantaged.

Data Collection Methods and Fieldwork Practice

This study was conducted from April until August 2008. It formed part of a larger assignment that was undertaken in my role as senior project associate at a development consultancy based in Johannesburg. The purpose of that study was to evaluate the various implementing agents that were used to build additional schools, halls and classrooms at schools in the Western Cape. The study was conducted at 18 schools in the Western Cape. The original evaluation consisted of interviews with the various implementing agents to assess their capacity. There were various tools used to measure performance of the implementing agents. The purpose of that study was then to report this assessment to the Western Cape Education Department in order for them to evaluate their current infrastructure delivery model and to decide whether it needs to be changed. This dissertation is based on a sub-study of that larger study. It is of 15 schools where interviews were conducted with leadership at the school.

At the time permission was granted by both my employer and the Western Cape Education Department (WCED) to use the interviews with the Principals for the purposes of research for my dissertation. In addition to the permission granted by my employer and the WCED, I made the participants aware that I would be using part of the research for the purpose of my dissertation. At the time, the original purpose of my dissertation was to assess the role of adequate infrastructure in the successful outcomes of education for children. However, during the interview process with Principals of the school as well as qualitative observations, the most glaring indicator of success at the school was the leadership in place.

This study included a combination of field work, interviews, literature and document reviews and desktop analysis. Through a document review and desktop analysis, project identification criteria were developed and projects were identified. Both qualitative and quantitative approaches have been used to collect the data. This study required an in-depth understanding of the situation which can only be achieved through qualitative methods while a quantitative indication of the performance is also important. Interviews were conducted with the principal or deputy principal or a member of the school management team, and also included a walk around the school premises. The interviews were for duration of one hour or more and some included interviews with members of the School governing body, other teachers and in one instance a learner at the school.

The quality of the interviews was however, beyond the control of the researcher, and some interviews went into more depth and were more substantial than others, this resulted in an unequal distribution in the length of interviews as opposed to others.

Data Capturing and Data Editing

According to Mouton (1996) the term 'analysis' means the 'resolution of a complex whole into its parts' (Mouton 1996:161). There are two types of data analysis both quantitative and qualitative.

The method of analysis to be used for this study was mostly of a qualitative nature:

In qualitative research the investigator usually works with a wealth of rich descriptive data, collected through methods such as participant observation, in-depth interviewing and document analysis. This research strategy is usually of a contextual nature. This implies a focus on the individual case (or a small number of cases) in its specific context of meanings and significance.

This approach is known as the insider perspective. The overall coherence and meaning of the

data is more important than the specific meanings of its parts. This leads to the use of methods of data analysis that are more holistic, synthetic and interpretative. (Mouton, 1996:169)

Qualitative research allows one to concentrate on how the research-participants relate to the problem by focusing on their written and spoken words and their observable behaviour. Qualitative research in this study took the form of in-depth interviewing and site visits to 15 schools in the Western Cape with relatively new (three years old) to very new (only just completed) infrastructure in the form of full schools, additional classrooms and halls. The researcher took field notes and photographs at the site visits. 15 Principals, teachers or members of the SGB were interviewed from the selected schools in the Western Cape. Two officials from the WCED were also interviewed. The researcher's role was primarily that of an interviewer.

An interview guide approach was used in the field work. Interviews were recorded and transcribed. Tape recording according to McMillan Schumacher, (1997:453) ensures completeness of the verbal interaction. The data was analysed based on themes that emerged in the interviews with leadership at the schools. These themes were in turn supported by theories and were used to explain successful leadership at the schools. Key concepts were highlighted from the interviews as well as observations of behaviour which correlated to the definitions as outlined in the literature review.

Limitations

The objective of data collection is to produce reliable data on a specific social phenomenon. It is important to remember that the data collection took place at a certain time in history with a certain sample group of participants. This data is therefore only a reflection of the opinions of

participants as well as the researcher at a certain moment in time and could change with time as further research is carried out and social phenomena change.

While the original purpose of the research was not to analyse leadership but rather the role of infrastructure, from the interviews with leadership at the schools and observation at the school, styles of leadership emerged as the most obvious variable at successful schools. In addition the study initially looked at the influences of the infrastructure, the community and leadership as determinants of the school's success. However, after consideration and due to the limitations of the length of the dissertation, the focus of the thesis has been narrowed down to the role of leadership and management at schools only. However, research from the community, and the value of the infrastructure, will be included at certain points in this dissertation.

The questionnaire conducted was asked in reference to the process of building that took place at the school and how the principal managed this process and leveraged the support of the community in order to make the construction process most successful. The limitation of the study is that the initial data set did not ask questions directly linked to leadership, however, the lack of reference to leadership allowed for the researcher to naturally observe leadership at the school. Thriving schools were evidenced not only by the behaviour of the principal but by the response of the school community to the leadership in place, this included the staff, learners and the broader community.

Some of these responses were not captured in transcripts but were rather observations on the part of the researcher. As is the case with qualitative studies, the quality of the interviews cannot be controlled; therefore some interviews were more substantial than others. This was dependent on the enthusiasm of the principal to engage with the researcher as well as the time available given the myriad of other responsibilities that Principals have. In order to support the

findings from the case studies this dissertation also included case studies based on the literature review.

Chapter Four: Literature Review

Introduction

This chapter will provide the theoretical framework in which this study is located. This chapter will begin with a brief discussion highlighting the distinctions between the concepts of management and leadership. This will inform the detailed discussion of the different models of management and leadership theories. The concepts of leadership and management in education have evolved over time in the early 1980's theorists such as Bush, Bolman and Deal were exploring the concepts of management at schools and have since further developed the concept of leadership. There is debate as to whether educational leadership is a distinct field or simply a wider branch of management study. Bush (2007) argues that while education can learn from other settings, educational leadership and management has to be centrally concerned with the purpose or aims of education. The goal of education provides the crucial sense of direction to underpin school management. As Bush (2007:391) states unless the link between purpose and management is clear and close, there is a danger of 'managerialism'. "A stress on procedures at the expense of educational purpose and values" (Bush, 199:240) while the concepts of management overlaps with that of leadership, I will make the argument that in the context of South Africa, it does become important to distinguish the two concepts.

Each theory of educational management and leadership has something to offer in explaining behaviour and events in educational institutions. The existence of several different perspectives creates 'conceptual pluralism: a jangling discord of multiple voices'. (Bolman and Deal, 1997:11). Bush quoting Morgan (1997:4-5) uses 'metaphors' to explain the complex character of organisational life and notes that any theory or perspective that we bring to the study of organisation and management, while capable of creating valuable insights, is also incomplete, biased and potentially misleading'. Theory and practice are often regarded as separate aspects

of educational management. Academics develop and refine theory while teachers and managers engage in practice. Bush asks the question as to why theory is important in the practice of educational management. Theory provides the framework for managerial decisions. What practitioners regard as 'common sense' is often based on their assumptions about good practice. Such implicit theories often provide the basis for rationale decision making. Theory provides the framework for interpretation of events; it provides 'mental models' (Leithwood et al., 1999:75) to help understand the nature and effects of practice.

Key Concepts

The Distinction between Management and Leadership

It is important at the outset of this study to begin with a brief discussion of the key concepts of this dissertation, that of management and leadership. I have summarised the key definitions of the two terms in Appendix A. Below is a discussion of the two terms.

Educational Leadership

Definitions of educational leadership and management have been in discussion over the last twenty years. The main characteristics of leadership as defined by Cuban (1988), Bush (2003, 2007), Sergiovanni (1995), Heystek (2008), Early and Weindling (2004), Bush and Glover (2003) and Yudelowitz, Koch and Field (2002) are as follows:

- Leadership is linked to **change**- leader influence others actions in achieving desirable ends. Leaders are people who **shape the goals, motivations, and actions** of others. Frequently they **initiate change** to reach existing and **new goals**. Leadership...takes...much **ingenuity, energy and skill**. (Cuban, 1988)
- Leadership is concerned with doing **right things**. (Sergiovanni, 1995:40)

- Leaders can be characterised as working with people and challenging them to **aspire to new levels through motivation**. (Heystek, 2008: 8)
- Leadership is perceived to be about the **development of people** and is linked to values or purpose (Bush, 2003)
- The term 'leadership' is the activity of leading people, which implies that things are done **through people, with the emphasis on relationships, communication, motivation and emotional intelligence**. The leader is more inclined to **open communication and risk-taking**, and less restricted by prescribed policies. (Heystek, 2008:7)
- Bush (2003:5-6) identifies three dimensions of leadership. The first of these is what the author refers to as the ability to **influence the actions of individuals or groups**. This is grounded in what he views as the second dimension, that is **personal and professional values** based on the character of the individual. For Bush, leadership is associated with **vision** and the ability to articulate this vision through the organisation.
- Leadership is the ability to **direct change and with being future orientated**. Yudelowitz, Koch and Field (2002:2)

From the above definitions it is clear that there are common themes in the definition of leadership, summarised as the ability to change or direct change in the direction of something new, the ability to influence, develop and motivate others through open communication in a value-orientated manner and the ability to be creative, take risks and work outside prescribed policies.

Management

Management on the other hand as defined by Cuban (1988), Sergiovanni (1995), Heystek (2008), Bush (2007) and Day et al (2001) as follows:

- Management is seen as a **maintenance activity**- managing is maintaining efficiently and effectively current organisational arrangements. While management exhibits leadership skills, the overall **function is towards maintenance rather than change.** (Cuban, 1988)
- Management as concerned with **doing things right** (Sergiovanni, 1995:40)
- Management is a more **structured approach of working within the confines of rules, regulations and boundaries provided in a school situation.** Managers are usually characterised by being **structured, rule-bound** and taking people in organisations to new levels because the rules require it. (Heystek, 2008)
- Management is linked to **systems and 'paper'**, and relates to implementation or technical issues. Bush quoting Day et al (2001)
- The purpose of management in all areas of the school is to enable the creation and **support of conditions under which high quality teaching and learning** can take place (Department of Education, 1996).
- If the primary goal is education, then the core business of education management is to **focus on the effective delivery of teaching and learning...** deciding on the aims of the organization is at the heart of educational management. **The aims of the organisation are often decided in conjunction with the school management team (SMT) and perhaps also with the School Governing Body (SGB).** However, school aims are also strongly influenced by pressures from external environments, and particularly from the expectations of government, often expressed through legislation or formal policy statements. Bush (2007:391-2)

Management can be summarised as a maintenance activity in order to ensure that the organisation is run well on a daily basis. It is a more structured approach of working within the confines of rules, regulations and boundaries in order to ensure that high quality teaching and

learning takes place. The aims of the organisation are decided by the SMT and SGB but are also influenced by the external environment.

While the concepts of management and leadership are integrated, they are different aspects of functions of the person heading the school. Schools today are still often over-managed and under-led. Bolman and Deal (1997) state that leading and managing are distinct but both important and Leithwood (1999) makes the point that in practice, Principals in their day to day work are rarely aware of whether they are leading or managing; they are simply carrying out their work on behalf of the learners and the school. Heystek (2008) makes the point that management and leadership are activities that a person has to perform as a head. A person may move between managing and leading, depending on the situation. This may also be influenced by the personality traits of the individual, some people tend to lead and others tend to manage. According to Calabrese (2000:27) the administrator of a school has to move fluidly between leadership and management. Cuban (1988) states he prizes both managing and leading and attaches no special value to either since different settings call for varied responses. I would argue that with the current state of education, there needs to be a style of leadership that initiates change in a drastic manner in order to improve educational outcomes.

However, as is evident in the table the two concepts are distinct and quite different. Following Grace (1995) and Foster's (1989) argument it is important that the concept of leadership be clearly differentiated from the concept of management. While it is clear from definitions of the two concepts that they are distinctly different as Grace and Foster rightly point out, the 'concept of leadership has been chewed up and swallowed down by the needs of modern managerial theory' and that 'what essentially has happened is that the language of leadership has been translated into the needs of bureaucracy, and therefore any discussion of leadership seems to dissolve into a discussion of effective management techniques'. (Grace, 1995:27) Hoyle and

Wallace (in Heystek, 2008) on the other hand argue that management and leadership are the same activity, but that they differ from managerialism, they state that people are led but processes are managed. As Grace (1995) argues the concept of leadership like the concept of culture is not readily amenable to check-list type analyses of various types. While the concept of management can be easily commodified, leadership on the other hand, while tangible cannot very easily be defined. She goes on to state that the result has been that leadership has been re-contextualised as a form or part of management. While Principals can display both leadership and management characteristics simultaneously, this dissertation will argue that it is those Principals that can both lead and manage that are the enablers of change.

In South Africa, the challenge is that some schools are not functional and therefore there must be a greater emphasis on basic management of the school. Basic management may involve ensuring regular and timely attendance by learners and educators, maintaining order and discipline in the classrooms, and providing adequate resources to enable learning to take place. Only once the schools are functional can leaders progress to developing vision, and outlining aims and policies, with the confidence that systems are in place to secure their implementation. While this is true, if management is a maintenance activity, then while schools may be functional, the state of education will never really change, it is only through leaders that transformation and change will be possible, it was therefore exceptional examples of leadership rather than management which highlighted the most successful schools in this study.

Discussion of the literature

This section of the literature review will orientate the reader with the discussion of leadership and management and how theories have evolved out of one another. The diagram below is a depiction of how the leadership theories have grown out of management theories and in turn

how new models of leadership, rooted in traditional leadership theories have recently emerged to answer crucial questions around the ideal form of school leadership.

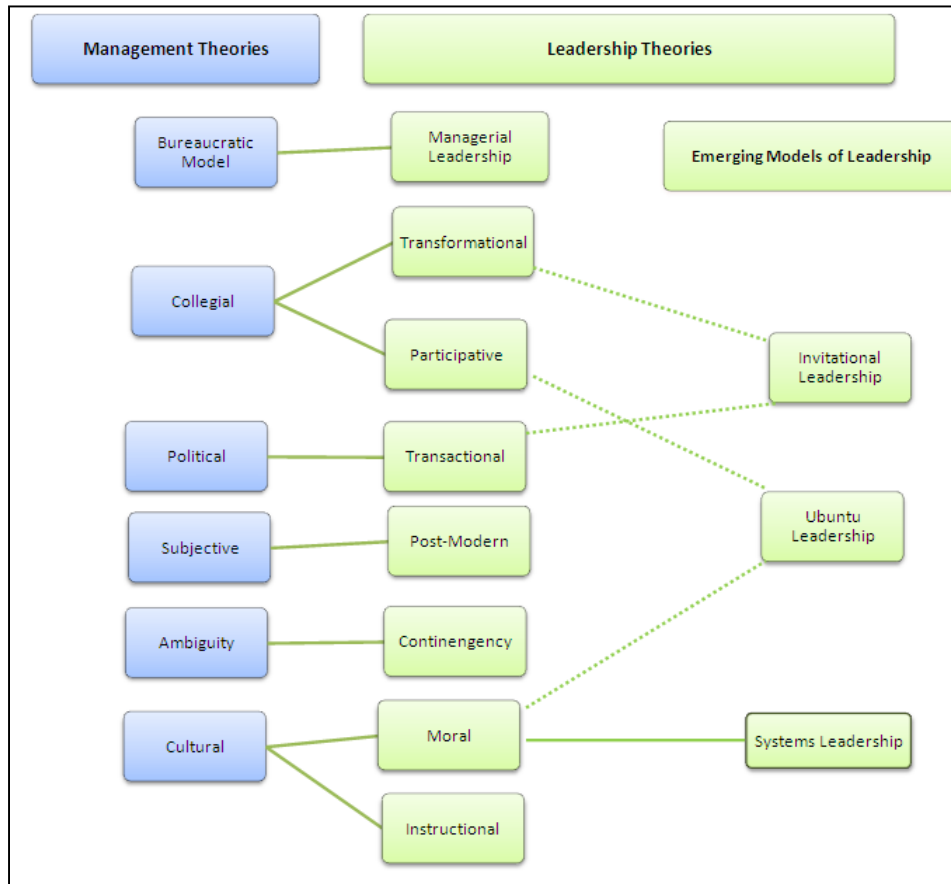


Diagram depicting the growth of both management and leadership theories

Educational management

Bush is one of the most dominant voices in the literature around management and leadership theory and his study of the theory dates back to the 1980's. Bush does draw on other authors as references for the concepts which he has developed. Bush's theory is rooted firstly in the bureaucratic model of management theory. Bush expands his vision of management to include Collegiality, Micropolitics, Subjective Theories, Ambiguity Theories and Organisational Culture. These concepts of management are uni-dimensional. It is therefore rare that a principal will

display only one style of management, but might use a combination of one or more of these theories.

As Bush (2002) states:

There is no single all-embracing theory of educational management. This is because it comprises a series of perspectives rather than an all-embracing 'scientific' truth. The existence of several different, and competing, perspectives creates what Bolman and Deal (1984) describe as 'conceptual pluralism'. Most theories have something to offer but each tends to provide only a partial explanation of educational management practice. (Bush, 2002: 16)

For the purposes of this literature review, I will offer a brief discussion around each of these concepts of educational management; however more emphasis will be placed on some than others. An explanation will be provided in terms of why certain theories are more meaningful than others.

Bureaucratic style of management

This model of management is relevant in understanding the history of management at schools under apartheid in South Africa where the state controlled curriculum at schools. The concept of bureaucracy as developed by Max Weber is still the preferred model of educational management in many countries, including South Africa, however in the new democratic South Africa, educational leadership is aiming to move away from this model and Principals are becoming more and more accountable to the school community which they serve.

In this model of management there is a hierarchical authority structure in place; schools are goal orientated-staff are expected to work towards goals as set out by the school leaders; there is a division of labour with staff specialising on the basis of expertise; decisions and behaviour

are governed by rules and regulations rather than personal initiative-schools have rules for children's and handbooks to guide the behaviour of the staff; decisions are made through a rational process and leaders are accountable to external bodies for the operation of their schools. (Bush, 2002: 17) A significant aspect of bureaucracy is that accountability to officials is regarded as more important than responsibility to clients such as students or parents. (Bush, 2002:19) With the decentralisation of education policies through the SASA (1996) there is a move away from external bodies of control towards self-management at school.

Collegiality

Moving away from the bureaucratic, top-down model, Bush developed the collegial model of management. As Bush states this is an attractive model for educational organisations as it provides for the participation of teachers, in particular, in those decisions which affect their working lives. This assumes that decisions are made in discussion with all parties leading to consensus and that power is shared amongst all members of the organisation. This style of management is relevant in South Africa as there has been a greater emphasis on inclusivity and democracy within education. (Bush, 2002: 21)

However, this model has inherent weakness in that it assumes an authority of expertise- in contrast to the positional authority in bureaucracy; teachers have a common set of values from their training and professional experience which translates into shared aims and that decisions that are reached through a process of discussion lead to consensus. There is an optimistic assumption that outcomes will be determined by consensus rather than conflict. This style of management greatly depends on the time that it will take to make these decisions as well as the willingness of the principal and the staff to make it work. Heads may prefer to rely on their own professional judgement while teachers may not wish to commit the time required to participate

in the meetings required to implement collegiality. There may also be contrived collegiality in order to secure the implementation of national or school policy (Bush, 2002: 21)

This model of management is also evident in Ubuntu (Naidu et al, 2008) styles of management, where it is assumed that the participants will actively engage in a “lekgotla”¹⁴ style of meeting with each person having a voice. This style of management does not adequately take into account gender biases and the patriarchal manner in which meetings of this type are conducted, as well as the reluctance on the part of the participants to publically contradict someone in authority. ¹⁵ Bush (2002) states that in post-apartheid South Africa, a commitment to democratic values means that the notions of collegiality are beginning to permeate a previously bureaucratic model of management. The recent history of South Africa means that ‘the notion of participation is currently in vogue’ (Sayed and Carim, 1997: 94)

While it is evident from several South African Studies (Poo and Hoyle, 1995: Steyn and Squelch, 1997) that teachers do want greater participation; the quality of decision-making may be better when educators participate in the process and effective implementation of decisions is more likely if teachers own the outcomes through their participation, (Bush, 2002: 20) this style of management should be approached with caution.

Micropolitics

The concept of micropolitics refers to the political activity that takes place inside schools; School Governing Bodies provide a good example of micro-political activity. Micropolitics assume that policy and decisions emerge through a process of negotiation and bargaining. The focus is on

¹⁴ The Lekgotla emphasizes the role of all members in the community. The tribal chief, the Kgosi, is a chief through his people. (Naidu et al, 2008 quoting De Liefde, 2003:55)

¹⁵ I recently observed how protocol at government level can hinder processes. I took part in a seminar with a DOE official who said that in government meetings no-one wished to contradict or argue with the DG and therefore it was not truly a democratic process in how decisions were made but rather the voice of the head was the final say in how policies were implemented.

group activity rather than the whole institution; it is concerned with interests and interest groups; stresses the prevalence of conflict in organisations-in which individuals and interest groups pursue different aims, leading to conflict between them; decisions emerge after a complex process of bargaining and negotiation and the concept of power is central to micropolitics- the decision-making process is likely to be resolved according to the relative power of the participants. (Bush, 2002: 23)

This type of management is relative in understanding the history of schooling in South Africa, schools were political arenas during the resistance movement during apartheid, and in certain schools the culture of political activity has continued. Forums such as SGB's are likely to become micro-political arenas as they provide a legitimate opportunity to promote interests and also offer the prospect of regulating and resolving conflict between groups. (Bush, 2002: 24)

This is also evident in the manner in which teacher unions engage with schools, within teaching bodies there may be differences of opinion dependent upon which unions certain teachers belong to. Principals may also experience challenges in how they relate to members of the SGB and in turn the community, this type of activity may be a hindrance to the principal or it may help the principal in advocating for better rights for the school.

Subjective Theories

The main aim of this theory is to seek to understand the ways in which individuals create, modify and interpret the social world which they inhabit. There is recognition on the part of the manager that individuals have different needs and in order to successfully manage the organisation, the principal must be aware of the different values and motivations of the various individuals in the organisation. (Bush, 2002: 25) Principals need to be sensitive to the different individuals in the organisation in order to enrol them into their vision of the school.

Each person within the organisation is assumed to have a unique and subjective perception of the organisation with events having different meanings for each participant. Organisations are portrayed as the manifestations of the values and beliefs of individuals, rather than the concrete realities of bureaucracy. There is a focus on the beliefs and perceptions of individual members of the organisations; it is concerned with the meaning placed on events by individuals; structure is treated as a product of human interaction rather than being predetermined or fixed; the significance of individual purposes is emphasised and the existence of organisational aims are denied.

Ambiguity Theories

These theories stress the uncertainty and unpredictability in organisations. The emphasis is on the instability and complexity of institutional life. The main features of this theory are the lack of clarity about the aims of the organisation; organisations are characterised by fragmentation and loose coupling-schools are divided into groups with links which are tenuous and unpredictable; the organisational structure is regarded as problematic-there is uncertainty over the different parts of the institution; there is fluid participation-members move in and out of decision-making situations. In the absence of any clear goals decision making is difficult. Organisations tend to operate with a mix of rational and irrational processes. The ambiguity tends to increase at time of external turbulence and makes it difficult to adhere to rational approaches (Bush quoting Hoyle, 1986:72)

This theory of management is relative in understanding schools where there is not strong leadership in place and there is high turnover of staff. It is also relative in the context of South African education, where there has been very fragmented guidance in terms of curriculum changes from the National Department of Education. It is also important to note that any school can be blown off course by sudden changes in the environment at the school, such as a change

in leadership or the introduction of new external policies. This theory is therefore helpful in explaining the declining success rates of South African schools.

Organisational Culture

This theory emphasises the informal aspects of organisations rather than their official elements. The central focus is on the values and beliefs of members of the organisations-these values underpin the behaviour and attitudes of individuals; there is an assumption that these individual values will coalesce into shared norms and meanings which gradually become cultural features of the school; culture is typically expressed through rituals and ceremonies which are used to support and celebrate norms and beliefs-prize-givings etc; culture also assumes the existence of heroes and heroines who embody the values and beliefs of the organisation. The importance of sport in South Africa is often reflected in the choice of heroes and heroines at South African schools.

Effective leadership is increasingly linked to the generation or adaptation of culture (Bush, 1998). The lack of an entrenched culture of teaching and learning at South African schools has become deeply problematic and has resulted in a numerous dysfunctional schools. Township schools in South Africa were particularly affected by this during the years of the struggle against apartheid. Both students and teachers used to 'strike' and demonstrate against the policies of the white government and a culture of teaching and learning was difficult to sustain in such a hostile climate. (Bush, 2002:28) "Liberation before education" was the stance taken during the years of the struggle and not only damaged the culture of teaching in schools during the 1980's but is still prevalent in many South African Schools today. (Niemann & Kotze, 2006) "The crisis in black education, including what has come to be referred to as the "breakdown" in the "Culture of leaning" continues unabated" (Bush quoting Badat, 1995:143) The development of a genuine

culture of teaching and learning is still largely dependent on the quality of leadership in individual schools. (Bush, 2002)

Theories of Leadership

Introduction

Leadership theories are grounded in management theory and in the case of some theories of leadership such as managerial leadership, it is difficult to understand the differences, and I would in fact argue that they are not theories of leadership at all, but rather theories of management. Nevertheless for the purposes of this literature review, I will offer a brief discussion around the evolution of leadership theory and how it is related to management theory. It is useful at this point to once again reflect on the concepts of leadership and management in order to understand the key differences in these theories. While management is described as a maintenance activity in order to ensure that the organisation is run well on a daily basis with a more structured approach of working within the confines of rules, regulations and boundaries in order to ensure that high quality teaching and learning takes place. Leadership on the other hand is the ability to change or direct change in the direction of something new, the ability to influence, develop and motivate others through open communication in a value-orientated manner and the ability to be creative, take risks and work outside prescribed policies. The following are the dominant theories of leadership in the literature relevant to South Africa. Theories of leadership that exhibit these key characteristics leadership will be useful in understanding the observations made in the field, while other theories will be disregarded for the purpose of this review.

Managerial Leadership

This first model of leadership that emerged in the literature was that of managerial leadership, this model is closely aligned with the Bureaucratic model of management as outlined by Bush (2002). Since this model is regarded as the starting point for the practice of educational management in South Africa, Europe and North America, it will be discussed, however this model of leadership seems to display very few of the characteristics of leadership as defined in the previous section and I would argue that it should be excluded from leadership models but rather kept under management theories.

The focus of the leader according to this theory will be on functions, tasks and behaviours and if these are carried out competently the work of others in the organization will be facilitated. Authority and influence are allocated to formal positions in proportion to the status of those positions in the organisational hierarchy (Leithwood, 1999:14 as quoted by Bush, 2007). Caldwell (1992: 16-17 as quoted by Bush, 2007) argues that there are seven managerial functions which must be developed by managers and leaders of self-managing schools which are: goal-setting; needs identification; priority-setting; planning; budgeting; implementing and evaluating. Managerial leadership does not include the concept of vision which is central to most other leadership models. It is more focused on managing existing activities rather than visioning for a future better school.

Managerial leadership is associated with Apartheid South African schools when the principal's authority was perceived to be 'god-given' and 'juridical' these leadership styles are often described as 'authoritarian, hierarchical and inaccessible management styles'. It was also according to Sebakwane (1997), used in Apartheid to 'bring control over teachers and students at a time when the system of education of blacks was characterised by massive student and teacher protests'. (Bush, 2007: 395)

In order for learning to take place in South Africa it is essential to achieve functioning schools and this requires calm and orderly schools and classrooms. This style of leadership therefore has advantages in terms of instituting bureaucratic systems at schools, however it hampers the role of the principal owning innovations at the school. This in turn leads to a lack of enthusiasm amongst staff at school which could lead to possible failure. (Bush, 2007:396)

Transformational Leadership

The term 'Transformational Leadership' has appeared with increasing frequency since the late 1980's. (Leithwood, 1996: 785) This theory of leadership is linked to Bush's *collegial* management model. This theory assumes that the central focus of leadership ought to be on the capacities of the organisational members. Extra effort and greater productivity is brought about by higher levels of personal commitment to organisational goals and greater capacities for accomplishing these goals. (Leithwood, 1999) According to Leithwood (1994) Transformational leadership has eight dimensions: Building school vision; Establishing school goals; Providing intellectual stimulation; Offering individualised support; Modelling best practices and important organisational values; Demonstrating high performance expectations; Creating a productive school culture; and developing structures to foster participation in school decisions. I would argue that this model of leadership is essential in understanding leadership, especially in the context of South Africa, where the whole education system has undergone radical transformation.

This model of leadership is essential for autonomous schools. Transformational leaders are able to succeed in gaining the commitment of followers to such a degree that higher degrees of accomplishment become virtually a moral imperative. According to Caldwell & Spinks (1992) a powerful capacity for transformational leadership is required for the successful transition to a

system of self-managing schools. (Quoted by Bush, 2007:396) The ideal of transformational leadership is that it has the potential to engage all stakeholders in the achievement of educational objectives. The principal is able to develop such a harmonious relationship and share common aims amongst all stakeholders, leading to agreed decisions. Within South Africa genuine transformation requires action at all levels and there are limits to what Principals can achieve in the absence of appropriate physical, human and financial resources. (Bush, 2007:397) Sergiovanni (1995) states that initially transformative leadership takes the form of leadership by building, the focus is on arousing human potential, satisfying higher order needs and raising expectations of both the leader and the follower in a manner that motivates both to higher levels of commitment and performance. This type of leadership often becomes moral as it realises the level of human conduct and ethical aspiration of both the leader and led.

This model focuses on the process by which leaders seek to influence school outcomes rather than the nature or decision of those outcomes. It has however been criticized as a vehicle for control over the teachers and is more likely to be accepted by the leader than the led. (Chiricello: 1999) Allix (2000) argues that transformational leadership also has the potential to become 'despotic' because of its strong heroic and charismatic features, which could raise doubts about its appropriateness for democratic organisations. (Bush, 2007:396) Politicians similarly have been known to use the rhetoric of transformation to achieve their own policy objectives. The word 'Transformation' seems to be evident in much of the literature on education in South Africa with the need to redress past inequalities in the education system. However the chasm between the rhetoric and the reality of transformation is still very wide. While the national policies have been rich in political symbolism of redress and equity there is very limited implementation of change on the ground'. (Lemon, 2004: 269 as quoted by Bush, 2007)

Participative Leadership

This model of leadership assumes that the decision-making processes of the group ought to be the central focus of the group. (Leithwood, 1999 quoted by Bush, 2007) This model of leadership is also linked to the *Collegial* Management Model and is underpinned by three assumptions: Participation will increase school effectiveness; Participation is justified by democratic principles; and in the context of site-based management, leadership is potentially available to any legitimate stakeholder.

The participative approach will in theory (Sergiovanni, 1984) bond staff together and ease the pressure on school Principals. The burden of leadership is lessened as the principal shares roles and leadership functions with other staff. This type of model of leadership is consistent with the democratic values of the new South Africa. With the increased importance of SGBs and SMT there is commitment to participative decision making. There is however a need for co-operation between Principals and SGBs if governance is to be effective. (Bush & Heystek, 2003, Karlsson, 2002 and Harber and Trafford, 1999) While there is a significant differential between managers and teachers they are often not willing to take on the roles of management and leadership, in addition school teachers complain about the admin/management which compromises their time spent on education. While this model may have replaced the authoritarian bureaucratic model and offers a far more participatory approach, it does however place new demands on staffs that are still not properly compensated in terms of salary structures.

Participative and democratic structures such as SGBs need to be carefully planned and parents need to be supported and informed. (Karlsson, 2002:332) stated that in a study of six schools she found Principals dominant in all meetings because of their power position within the school and their level of education in contrast to other members. While participative decision-making is

the ideal it is not yet a reality in many South African Schools. It will take many years before such attitudes permeate the whole system. While the concept of the SGB is a good one in practice it is not always as efficient as assumed, some of the challenges are the capacity and lack of training of the SGB members as well as the cultural context in which they operate. (See context chapter for more on SGBs) McLennan and Thurlow refer to an emerging paradigm which is ‘a growing emphasis on building relationships in education’¹⁶. While the SGBs provide the potential for participative leadership there is still little evidence that it is supplanting or even supplementing the principal’s singular leadership. (Bush, 2007:398). Therefore the ideal of participative leadership is not yet a reality in many South African schools and it will take many years before such attitudes permeate the whole system.

African Models/Concepts of Leadership

This is an emerging model of leadership which has been predominantly modelled on the concept of *Ubuntu*-captured in the expression “umuntu ngumuntu ngabantu” (a person is a person through other human beings). Mbigi (1997) describes *Ubuntu* as collective personhood and collective morality. *Ubuntu* is one of the most fundamental values of the South African constitution. It is rooted in African traditional society and espouses the idea of the interconnectedness among people. This type of leadership is being described as “ubuntu management” which is also based on human relations theory. This theory requires managers to focus on positive human relations and instil a sense of ownership and trust in all the stakeholders in a workplace or organisation (in this case a school). This is a new type of leadership and more research is required to assess whether, how and to what extent the concept of *Ubuntu* does influence school leadership South Africa. The concept of *Ubuntu* does share traits with participative and moral leadership models which are both focused on collective and humane values and on managing by consent. More research is still to be done in this field

¹⁶ This type of relationship building is the focus of Government’s Dinokeng Scenarios- where the concept of “walking together” is seen as the ideal way for South Africa to move forward.

of leadership to assess how this type of leadership influences school leadership in South Africa. (Bush, 2007: 403) As stated earlier in the discussion on collegial management, one hopes that this style of leadership will take into account patriarchal notions of leadership and truly allow for a voice for all participants in a truly democratic manner.

Political and Transactional Leadership

This theory is also linked to Bush's Micropolitics/Political Management Model. This model of leadership is relevant when there is conflict between stakeholders, with disagreement being resolved in favour of the most powerful protagonists. This type of leadership is usually one in which relationships with teachers are based upon an exchange for some valued resource. To the teacher the interaction between administrators is usually episodic, short-lived, limited to the exchange transaction. (Miller & Miller, 2001:182) and is usually based on exchange of services (from teachers, for example) for various kinds of rewards (salary, recognition, and intrinsic rewards) that the leader controls, at least in part. (Leithwood quoted by Moos, 2000:95)

This type of leadership has obvious reference to the extended period of struggle against the apartheid regime. A constant feature of educational resistance was the politics of opposition. Sayed and Carrim (1997) stated that teacher unions such as SADTU are examples of mass action in pursuit of certain policy objectives such as them embarking on protest actions to ensure that they formed a majority of the SGB. The SGB is also a political forum because it provides for the representation of sectional interests, creating the conditions for the increasing fragmentation of the educational system.

This type of leadership may be relevant in order for constitutional requirements, such as equity *requirements for example representation of gender, disability, inclusionary practices to be*

achieved, however as Bush (2007:398) states it does not engage itself beyond the immediate gains of the transaction. It therefore does not produce long term commitment to the values and vision being promoted by the school leaders. In order for school leaders to secure effective management of the school it is important that they gain the trust and cooperation of the educators. In the current educational landscape many of these essential constitutional requirements have not yet been achieved, and there is still political interference in the manner in which for example people are appointed into positions of power.

In order for leadership to emerge more strongly it is important that these requirements are met first as Leithwood argues there needs to be a move from transactional to transformational leadership, in order to develop the school into a learning organisation with shared defensible values and goals, with good communication and problem solving routines. Many Principals felt that the system had actually failed them and had to seek other ways of ensuring the success of their schools, this extended to external parties, such as the community and donors etc.

Post-Modern Leadership

This model of leadership aligns closely with the subjective model of management. This theory suggests that leaders should respect and give attention to the diverse and individual perspectives of stakeholders. There should be an avoidance of reliance on hierarchy as this concept has little meaning in such a fluid organisation. This model is aligned with democracy and advocates a more consultative participatory inclusionary stance, an approach consistent with participative leadership. (Bush quoting Starratt, 2001) All stakeholders have a right to be heard. The importance of the 'voice' is emphasised in this model of leadership which fits in with the current aspirations of democratic South Africa. Principals need to facilitate participation by educators, parents, learners and the school community in all issues that affect their interests. The SGB is one vehicle for achieving this objective. (Bush, 2007:400) This type of leadership is

important for understanding how Principals give attention and manage the participants in a group setting and may have some overlap with participative leadership as well as Ubuntu Styles of leadership. This model of leadership I would argue would only be applicable to schools, where there is strong participation on the part of the SGB as well as the external community. It would also require that the Department of Education be intrinsically connected and involved with the school.

Moral Leadership

The focus of this type of leadership is on the values, ethics and beliefs of the leaders themselves. There are two approaches one is spiritual which relates to the recognition that many leaders possess what might be called 'higher order' perspectives and may well represent a particular religious affiliation. The second category is 'moral confidence' which is the capacity to act in way that is consistent with an ethical system and is consistent over time. (Bush quoting West-Burnham, 1997) Sergiovanni (1991) argues that both moral and managerial leadership is required to develop a learning community. This style of leadership is very important in the context of leadership in South Africa. There are a number of challenges that Principals in South Africa have to deal with (see context chapter) such a HIV and AIDS, poverty etc. The most successful Principals in the case studies displayed this type of leadership. At school 0 the principal showed great respect for the learners at the school, she explained that they come from very violent homes and she wished to create a safe space for the learners in order to nurture them and build their self-esteem.

In 1995 Sergiovanni looked at the concept of the School as a Moral Community. He emphasised the importance of the community, '*within communities, empowerment focuses less on rights, discretion, and freedom and more on commitments, obligations, and duties that people feel towards each other and the school.*' (Sergiovanni, 1995: 67) The quality of the

relationship if for example they are more special, meaningful and personal results in a quality of connectedness that has moral overtones(Sergiovanni, 1995:69) The quality of relationships is an important ingredient in the makeup of a good school, this has been documented as a critical leverage point for school improvement (Sergiovanni quoting Rothman, 1992). He argues when communities take hold in schools the principal emerges as a true leader. This was evident in schools that got the communities on board within the school. When the communities showed ownership and participated in the activities of the school, the school was most successful, there were also fewer incidences of vandalism, and the school was placed as a central important and respected structure within the community.

Fullan (2003) is the dominant and most often quoted voice in the theory of moral leadership. He also introduces the term *Moral purpose*- having a system where all students learn, the gap between high and low performance becomes greatly reduced, and what people learn enables them to become successful citizens and workers in a morally based knowledge society. Fullan argues that the role strategically placed to best accomplish this is the principal. Fullan (2003) goes on to describe four levels of this type leadership and he argues that all four levels need to be accomplished in order to achieve the moral Imperative and sustainable change. The first level is the individual, the second is the school, the third is the region and the fourth level is within society. Fullan (2002) states that within the organization how leaders treat all others is a component of moral purpose, while at a larger level moral purpose means acting with the intention of making positive differences in the (social) environment. Moving beyond the school Fullan argues that policymakers and leading practitioners will be more concerned that reform is confined to pockets of innovation which are neither sustained nor sustainable, rather attention will be focused on achieving district wide reform. The goal is therefore system improvement (all schools in the district). This means that the school principal has to be as concerned about the success of other schools in the district as he or she is about his/her own school. Fullan argues

that sustained improvement of schools is not possible unless the whole system is moving forward. This commitment to the social environment is precisely what the best Principals must have. (Fullan, 2002:4-5)

Systems Leadership

Systems theory has grown out of moral Leadership and is beginning to gain interest in the field of education. The field recognizes that if they are ever to achieve sustainable education change it must be led by those close to the school, with a systematic focus. I will spend a bit of time discussing this concept as this may be one of the appropriate constructs in describing successful leadership in South Africa. Hopkins in *Pont, Nusche & Hopkins* (2008) argues that *this type of leadership is not an academic or theoretical idea, but has developed out of the challenges that the system reform is presenting, as well as the thoughtful, pragmatic and morally purposeful responses being given by leading Principals and heads.* (Pont, Nusche & Hopkins, 2008: 29).

The broad definition of system leadership is:

System leaders are those head teachers who are willing to shoulder system leadership roles, who care about and work for the success of other schools as well as their own. To expand on this point, system leaders goals are to make "every school a great school" and policy and practice must focus on system improvement. In other words schools need to be as concerned about the success of others schools as they are about their own schools. Sustained improvement of schools is not possible unless the whole system is moving forward. (Pont, Nusche & Hopkins, 2008:22)

The central key aspect of system leadership is Fullan's (2003) concept of moral purpose. Without moral purpose these leaders would not have the passion to proceed or the

encouragement for others to follow. System leaders express their moral purpose in the following ways: In the OECD (*Pont, Nusche & Hopkins, and 2008:22*

- Measuring their success through student learning and increasing achievement and striving to raise the bar and narrow the gaps;
- Being fundamentally committed to the improvement of teaching and learning;
- Developing their schools as personal and professional learning communities, with relationships built across and beyond the school to provide a range of learning experiences and professional development opportunities;
- Striving for equity and inclusion through acting on context and culture. This is not just about eradicating poverty, but also giving communities a sense of worth and empowerment;
- Appreciating that the classroom, school and system levels all influence each other. Crucially system leaders understand that if you want to change the larger system you have to engage with it meaningfully. (Pont, Nusche & Hopkins, 2008:23)

The roles of these leaders are consistent with the moral purpose as previously mentioned:

- Developing and leading successful educational improvement partnerships between several schools;
- Choosing to lead and improve a school in extremely challenging circumstances, building a culture of success to sustain high valued added;
- Partnering another school facing difficulties to improve it, either as an executive of a federation as the leader of more informal improvement arrangement. Leaders here work from a lead school into a low achieving or underperforming school that require intervention;
- Acting as community leader to broker and shape partnerships and or networks of wider relationships across local communities to support children's welfare and potential;

- Working as a change agent or expert leader within the system, identifying best classroom practice and transferring it to support improvement in other schools, this could include: heads working as mentor leaders within networks of schools.

The difference between leadership and management as outlined in the OECD study is the manner in which adaptive challenges are resolved. Adaptive challenges are described as problem situations for which solutions lie outside the schools current ways of operating, this is in contrast to a technical problem for which we already know the answers exist. Resolving a technical problem is a management issue while tackling adaptive challenges requires leadership. This therefore requires new ways of thinking and operating. This aspect of Systems leadership relates to the theory of contingent leadership.

Leithwood (In Pont, Nusche & Hopkins, and 2008:26) lay out the core functions of leaders:

- Setting direction: to enable all learners to reach their potential and to translate vision into a whole school curriculum with consistency and high expectations;
- Managing teaching and learning: to ensure that there is a high degree of consistency and innovation in teaching practices to enable personalized learning for all students;
- Developing people: to enable learners to become active learners and to create schools as professional learning communities for teachers;
- Developing the organization: to create evidence based schools and effective organization, and to be involved in networks collaborating to build curriculum diversity, professional support and extended services.

Instructional Leadership

This type of leadership is strongly concerned with teaching and learning, including the professional learning of teachers as well as student growth. It focuses on the learning and

teaching and on the behaviour of teachers working with students. The leaders influence is targeted at student learning with teachers. The emphasis is on the direction and impact of influence rather than the influence itself. (Southworth, 2002 & Bush and Glover, 2002) Instructional leadership is a very important dimension of leadership as it targets the school's central activities, teaching and learning. This paradigm does underestimate other aspects of school life such as sport, socialisation, student welfare and self esteem. (Bush, 2003)

In South Africa there is a virtual absence of a 'culture of teaching and learning' which has eroded the confidence of education managers in many urban and rural schools. Restoring the importance of leadership for learning within Principals' training and development programmes would make a valuable contribution to the restoration of an appropriate culture of teaching and learning and to the development of schools as learning organisations. (Thurlow, 2003 quoted by Bush, 2007)

This type of leadership is criticized by theorists such as Fullan, who argue that while this type of leadership has been useful in increasing student learning, this does not translate into lasting reforms. Fullan argues that while literacy and numeracy scores can increase in the short run, the moral and working conditions of teachers deteriorates over the mid to long run. What is therefore needed is a fundamental transformation in the learning cultures of schools and the teaching profession itself. (Fullan, 2002. 1-2)

Contingent Leadership

The contingent model of leadership recognizes the diverse contexts of schools and the advantages of adapting leadership styles to a particular situation rather than a one size fits all approach. The diverse nature of schooling in South Africa ranging from very affluent schools to very poor schools without access to basic facilities such as water, electricity and sanitations

suggest that it is unwise to prescribe one universal approach. Principals should rather be equipped with a 'tool kit' of skills and the wisdom to know which approaches would be best applied in particular circumstances. (Bush, 2007: 402)

The managerial job of a principal is too complex a task and too unpredictable to rely on a set of standardised responses and events. Leadership requires an effective diagnosis of the problems, followed by adopting the most appropriate response to the situation. (Yukl, 2002 and Morgan, 1997) This is particularly important in times of turbulence when leaders need to show creativity and skill in assessing the situation rather than relying on a standardised model.

Invitational School Leadership Theory

Kamper (2008) adopted Stoll and Fink's (1996) exposition of invitational leadership to explain school leadership in high poverty contexts, due to its direct link with the already indicated values and principles (with key notions of relationships and respect) in poverty alleviation. Stoll and Fink (1996) point out how the concept of leadership evolved gradually from managerial approaches, focused on the results, via transactional approaches, with the focus on staff efficiency, to transformational approaches, with the focus on attitudinal change. (Stoll & Fink, 1996:106-107), but failed to capture the essence of school leadership, and the type of leadership required in the future.

Effective school leaders attend to structure and culture, continuity and change; they are both managers and leaders; they are both transactional and transformation. It would appear that no single leadership model adequately describes the expectations and reality for contemporary school leaders. In an effort to synthesise existing leadership models, while providing sufficient scope to encourage the imagination and creativity of school leaders, the invitational leadership model was developed. It uses the metaphor of invitation to describe positive self-concept and

positive inclination towards others. “Invitations, therefore, are messages communicated to people who inform them that they are able, responsible and worthwhile”. (Stoll & Fink, 1996: 109)

The four basic principles of invitational leadership are *optimism* (constituted in the belief that people have untapped potential for growth and development); *respect* (manifested in courtesy and caring); *trust* (the cornerstone of “civil society within a school”); and *intentional care* (intentional provision of growth opportunities). Stoll and Fink (1996) conducted a study of 83 schools with more than 100 school leaders and found four dimensions of invitational leadership, namely, that invitational leaders a) invite themselves personally (key notion: self confidence); b) invite themselves professionally (key notion: personal growth); c) invite others personally (key notion: relationships) and d) invite others professionally (key notion: meeting the unique challenges and needs of a specific school in a particular position on the continuum of “sinking”, “struggling”, “strolling”, “cruising” or “moving” schools).

The notion of invitation according to Kamper (2008) is encapsulates the gist of already indicated key values and principles in meeting the challenges of poverty alleviation in a meaningful way. Invitational school leadership theory therefore appears to constitute the ideal conceptual framework for studying the role of school leadership in dealing with the impact of poverty on education. According to Kamper (2008) a number of studies indicate convincingly that invitational leadership (with its basic premises of optimism, respect, trust and intentional care, and the four dimension of invitational leadership) is characteristic of leadership style at successful high-poverty schools. The case studies highlight the principal's passion for upliftment of the poor, and their unshakeable belief in the potential for high-poverty learners to excel personally and academically. *Successful Principals show great care for their learners, teachers and parents; they have an ability to think and act in a visionary way, and set and maintain high*

expectations in view of specific standards and norms, to inspire (not only motivate) others, to build team spirit and pride, and to see and explore every possible opportunity, source and action to provide for meeting the schools needs. (Kamper, 2008:5)

Conclusion

This review has sought to understand the dominant theories and concepts in the field of educational leadership and management. From an exploration of the concepts of leadership and management the literature outlined that although the two concepts overlap and have grown out of one another, they are in fact two distinguishable concepts and therefore characteristics used to describe a school principal. While there does need to be an emphasis on basic management Principals in line with Bush's bureaucratic model, there also needs to be a move away from this model towards a model of leadership. With the current state of education in South Africa, there is a dire need for a great amount of change and the literature has highlighted that it is only through strong **leadership** that change will be possible. What is also evident from the literature review is that while it is easy theoretically to classify the different management and leadership models, these are in fact theoretical constructs and in practice Principals are seldom aware of whether they are leading or managing a school. Different styles of management and leadership may also be appropriate at different points in the development of the school. As Bush (2002) states *there is no single all-embracing theory of educational management*. This review has therefore sought to demonstrate that a thorough review of the literature has been undertaken in order for the researcher to be fully grounded in the concepts and theoretical constructs of management and leadership.

Chapter Five: Findings

This chapter is a discussion of the results of the study. This chapter includes both examples from the case studies as well as supporting literature from the literature review. This chapter will demonstrate the key characteristics of successful Principals observed during the course of the fieldwork and how their behaviour is linked to the theories of leadership and management in Chapter two. The chapter will begin with a high level overview of the findings from the literature on the characteristics of successful school Principals. It is important to include these at the outset of the chapter in order to support the findings from the case studies. While many of the characteristics were observed in the field, the list of characteristics from the case studies is not an exhaustive description of what makes a successful principal. The chapter will then present a high level overview of the macro-findings in relation to what is necessary for Principals to succeed at schools, given the national context of the current crisis in education. The chapter will then go into more detail in the micro-findings section of what was observed at each of the schools and how these observations are related to the existing body of literature on leadership.

Findings from the literature on characteristics of successful school Principals

Based on the literature and the case studies explored there are a number of ideas as to what makes a successful school principal. It is interesting to note that the conclusions arrived at do not differ much in terms of national and international case studies and there are a common set of beliefs around the characteristics of a good leader. While the leaders in the case studies in this study had to display exceptional styles of leadership in order to overcome the low base at which they started compared to their colleagues from schools in socio-economically advantaged areas, there are nevertheless a common set of personality traits. Leaders who have a deeper and more lasting impact provide more comprehensive leadership than just focusing on higher standards.

Kemper (2008) describes schools successful Principals as follows:

Successful Principals show great care for their learners, teachers and parents; they have an ability to think and act in a visionary way, and set and maintain high expectations in view of specific standards and norms, to inspire (not only motivate) others, to build team spirit and pride, and to see and explore every possible opportunity, source and action to provide for meeting the schools needs. (Kemper, 2008:5)

The International Successful School Principalship Project (ISSPP) is a study of over sixty schools in eight countries (Australia, Canada, China, Denmark, England, Norway, Sweden and the USA) as well as a review of international literature (Leithwood, Day, Sammons, Harris & Hopkins, 2006) on successful Principals. This study highlights the importance of leadership and makes seven research-based claims made about successful principal leadership:

- School leadership is *second only to classroom teaching* as an influence on pupil learning. The case studies could not find a single documented case of a school successfully turning around its pupil achievement trajectory without talented leadership.
- Almost all school leaders draw upon the *same repertoire of basic practices* (building vision and setting directions; understanding and developing people; redesigning and re-culturing the organization; and managing the instructional program). The assumptions are that a) the central task of leadership is to help improve employee performance and b) such performance is a function of employees' beliefs, values, motivations, skills and knowledge and the conditions in which they work.
- The ways in which successful leaders apply these basic leadership practices-not the practices themselves- demonstrate responsiveness to, rather than dictation by, the contexts in which they work. *Successful leaders apply contextually sensitive combinations of the basic leadership practices to their workplace.*

- *School leaders improve teaching and learning indirectly and most powerfully through their influences on staff motivation, commitment, and working conditions.*
- *School leadership has a greater influence on schools and students when it is widely distributed. These are “indirect effects of total leadership” (i.e. the combined influence of leadership from all sources) on student learning and achievement through its direct effects on the three dimensions of staff performance (i.e. capacity, motivation and commitment, and working conditions) this accounts for two to three times higher variation in student achievement than is typically reported in studies of head teacher effects.*
- *Some patterns of distribution are more effective than others, especially those which are aligned with the agreed vision for the school and in which responsibility, accountabilities, and sense of ownership are present. Such coordinated patterns of leadership practice are associated with more beneficial organizational outcomes.*
- *A small handful of personal traits (rather than charisma) explain high proportion of variation in leadership effectiveness; the most successful leaders are open-minded and ready to learn from others. They are also flexible rather than dogmatic in their thinking within a system of core values, persistent (e.g. in pursuit of high expectations of staff motivation, commitment, learning and achievement for all), resilient, and optimistic. Yet while these claims are clearly authoritative, even they do not reveal the tensions and dilemmas, nor the kinds of personal and professional stresses which must be managed during the processes of leading schools successfully in the changing social, political, and policy landscapes. (Day, 2007 2-3)*

In contrast, Murgatroyd and Gray (1989) discussed the traits of ineffective leadership in an ineffective school which they investigated. From their study the following emerged as the most desirable traits of a leader which were lacking in the school being studied:

- Visibility: leaders need to be seen; ineffective leaders generally hide or remain unobserved. At the ineffective school, the staff commented that the principal was too remote and lacked empathy.
- Leaders need to be effective: leaders need to communicate their thoughts and feelings and describe behaviour to others. Ineffective leaders usually have poor communication skills. The manner of communication to staff was downwards only and staff felt ill-informed and isolated, there was a wide sense of frustration with, and suspicion of the leadership, meetings were also conducted in less than cordial atmosphere and generated hostility, tension and animosity.
- Leaders need to accept others, not reject them: At meetings staff felt patronised which discouraged them from further participation.
- Openness and genuineness is a feature of acceptance: Ineffective leaders tend to be secretive and not genuine. The staff at the school reported that the principal presented a façade of democracy but acted in an authoritarian manner.
- The leader needs to have a clear vision: Ineffective leaders rarely declare their intentions.
- Effective leaders face problems, share them and seek to learn from them: Ineffective leaders do not face problems but seeks to avoid them.

Effective leaders seek appropriate responses to particular circumstances: Ineffective leaders resolve difficulties in a punitive fashion. (Murgatroyd and Gray, 1989:95-96) In contrast to Kamper's description of a successful principal, their conclusion of their study was that at the core of the problem was the lack of mutual respect, warmth, empathy and genuineness. It was a depersonalized punitive institution.

Fullan (2002) makes the point that the principal of the future has to be much *more attuned to the big picture*, and much more sophisticated at conceptual thinking, and transforming the organization through people and teams. Moving beyond the school Fullan argues that policymakers and leading practitioners will be more concerned that reform is confined to pockets of innovation which are neither sustained nor sustainable, rather attention will be focused on achieving district wide reform. The goal is therefore system improvement (all schools in the district). This means that the school principal has to be as concerned about the success of other schools in the district as he or she is about his/her own school. Fullan argues that sustained improvement of schools is not possible unless the whole system is moving forward. This commitment to the social environment is precisely what the best Principals must have. (Fullan, 2002:4-5)

In conclusion the findings indicate that school leadership is vital for the success of the school. School leaders build vision, set directions, understand and develop people, redesign and re-culture the organization and manage the instructional program. School leaders apply contextually sensitive combinations of the basic leadership practices at their workplace. School leaders improve teaching and learning most powerfully through their influences on staff motivation, commitment, and working conditions. School leadership has a greater influence on schools when it is widely distributed. Some patterns are more effective than others, especially those which are aligned with the agreed vision for the school and in which responsibility, accountabilities and sense of ownership are present. The principal has a clear vision. The most successful leaders are open minded and ready to learn from others. *They are also flexible rather than dogmatic in their thinking within a system of core values, persistent (e.g. in pursuit of high expectations of staff motivation, commitment, learning and achievement for all), resilient, and optimistic.* (Day, 2007 2-3) School leaders are visible and effective in the manner in which they communicate their thoughts and feelings. They are open and accepting of all members of

the staff community and do so in a genuine manner. The principal faces problems and shares them and learns from them. They seek appropriate responses to particular circumstances. (Murgatroyd and Gray, 1989:95-96) This type of leadership is relevant within schools, Fullan argues that in order to be great leaders, Principals need to see the big picture and move beyond the schools in order to understand how the success of his her school is intrinsically connected to all the schools in the district.

Macro-Findings

Leadership and Management are two distinct concepts and in order to be successful and for education to be transformed at South African schools, Principals need to display leadership.

While the concepts of leadership and management do overlap, the important finding from the literature review is that they are two distinct concepts. Leadership can be summarised as the ability to change or direct change in the direction of something new, the ability to influence, develop and motivate others through open communication in a value-orientated manner and the ability to be creative, take risks and work outside prescribed policies. Management on the other hand can be summarised as a maintenance activity in order to ensure that the organisation is run well on a daily basis. It is a more structured approach of working within the confines of rules, regulations and boundaries in order to ensure that high quality teaching and learning takes place.

Based on the literature review and my case studies of 15 Principals at the schools, it was evident from both the interviews and from qualitative observations, that some Principals displayed clearer examples of leadership than of management. It is important to be aware that while the concepts of management and leadership are integrated, they are different aspects of functions of the person heading the school. Bolman and Deal (1997) state that leading and managing are distinct but both important and Leithwood (1999) makes the point that in practice,

Principals in their day to day work are rarely aware of whether they are leading or managing; they are simply carrying out their work on behalf of the learners and the school. Heystek (2008) makes the point that management and leadership are activities that a person has to perform as a head. A person may move between managing and leading, depending on the situation. This may also be influenced by the personality traits of the individual, some people tend to lead and others tend to manage. According to Calabrese (2000:27) the administrator of a school has to move fluidly between leadership and management.

However, as is evident the two concepts are distinct and quite different. Following Grace (1995) and Foster's (1989) argument it is important that the concept of leadership be clearly differentiated from the concept of management. While it is clear from definitions of the two concepts that they are distinctly different as Grace and Foster rightly point out, the 'concept of leadership has been chewed up and swallowed down by the needs of modern managerial theory' and that 'what essentially has happened is that the language of leadership has been translated into the needs of bureaucracy, and therefore any discussion of leadership seems to dissolve into a discussion of effective management techniques'. (Grace, 1995:27) This dissertation will therefore make a clear distinction between leadership and management. However, as Grace (1995) argues the concept of leadership like the concept of culture is not readily amenable to check-list type analyses of various types. While the concept of management can be easily commodified, leadership on the other hand, while tangible cannot very easily be defined. She goes on to state that the result has been that leadership has been re-contextualised as a form or part of management.

While Principals can display both leadership and management characteristics simultaneously, this dissertation will argue that it is those Principals that can both lead and manage that are the enablers of change. As the research suggests and as is publicly acknowledged by policy

makers and educationalists, the South African education system is currently in crisis. In the context of education in South Africa, which is therefore desperate for change, it is important that this distinction be clearly recognised. Principals that exhibited characteristics of leadership were most likely to also show signs of progress and change at their schools. While some Principals displayed good management dispositions and the school seemed to be in good working order there was nothing remarkable about the school and the status quo of the school was maintained. From the case studies it was evident that it was only in those schools where there were clear examples of leadership, that the greatest degree of success had been achieved. Examples of this success will be discussed in more detail throughout this chapter.

The challenge with this hypothesis is that in South Africa there are many schools that are currently not functional and therefore there must be an emphasis on basic management of the school. Basic management may involve ensuring regular and timely attendance by learners and educators, maintaining order and discipline in the classrooms, and providing adequate resources to enable learning to take place. Only once the schools are functional can leaders progress to developing vision, and outlining aims and policies, with the confidence that systems are in place to secure their implementation. While this is true, if management is a maintenance activity, then while schools may be functional, the state of education will never really change, it is only through leaders that transformation and change will be possible. Most functioning schools today are still often over-managed and under-led. From the case studies it was evident that the most successful schools displayed exceptional examples of leadership rather than management.

A culture of teaching and learning must be reinstated in South African Schools

Management must be achieved in order to address the current chaos and disorder at schools in South Africa. There has been criticism levelled at South Africa, that there is a virtual absence of a 'culture of teaching and learning' which has eroded the confidence of education managers in many urban and rural schools.¹⁷ In order for learning to take place in South Africa it is essential to achieve functioning schools and this requires calm and orderly schools and classrooms. A managerial style of leadership therefore has advantages in terms of instituting bureaucratic systems at schools; however it hampers the role of the principal owning innovations at the school. This in turn leads to a lack of enthusiasm amongst staff at school which could lead to possible failure. This therefore brings up the important point, that while this culture must be attained, in order to improve teaching and learning and management is necessary to do this, however in order for sustainable change to take place, what is needed is a fundamental transformation in the learning cultures of schools and the teaching profession itself. (Fullan, 2002. 1-2) As Thurlow states, restoring the importance of leadership for learning within Principals' training and development programmes would make a valuable contribution to the restoration of an appropriate culture of teaching and learning and to the development of schools as learning organisations. (Thurlow, 2003 quoted by Bush, 2007) (Bush, 2007:396)

Basic management may involve ensuring regular and timely attendance by learners and educators, maintaining order and discipline in the classrooms, and providing adequate resources to enable learning to take place. Only once the schools are functional can leaders progress to developing vision, and outlining aims and policies, with the confidence that systems are in place to secure their implementation. While this is true, if management is a maintenance

¹⁷ This has been one of the first mandates of the government's Education Road Map. The South African government has also recently introduced the ACE qualification for Principals.

activity, then while schools may be functional, the state of education will never really change, it is only through leaders that transformation and change will be possible. Most functioning schools today are still often over-managed and under-led. From the case studies it was evident that the most successful schools displayed exceptional examples of leadership rather than management. This re-emphasises the importance of the first key finding that transformation will not be possible without leadership.

Key constitutional requirements need to be met by the South African Government

In order for Principals to be able to successfully manage schools, adequate support structures need to be put in place from the department of education. In some instances of self-managed schools such as school L, the principal felt that he had to circumvent the Department of Education in order to achieve anything at the school. In school B, the principal complained that she did not have the basics from the Department of education. The basic structures such as safe classrooms and grounds that children can play on as well as desks and chairs are essential aspects of a school. However, where the department did not provide these basic requirements the most successful Principals were able to get on with the job without the support of the department and had sought external manners in which to raise funds in order to support the school. The schools are given limited budgets and expected to perform miracles within the confines of those budgets. Successful principles find innovative ways to make their budgets stretch further and they try every method possible to engage with the wider community to further fund and support the school. However, I would argue that this type of behaviour on the part of the South African government is simply not good enough and the basic support structures should be put in place in order to ensure the success of education in South Africa.

Political/Transactional styles of leadership may be relevant in these examples in order for constitutional requirements, such as equity *requirements for example representation of gender,*

disability, inclusionary practices to be achieved. An example of this type of leadership was observed at school N, where the principal advocated for the rights of the broader community as well as students in the school. His language was very political in nature and made no apologies for being a “card carrying member of the ANC”.

We had a long fight with WCED simply for the reason that when I took over in 1999. There was nothing it was according to the old apartheid system for the farm workers children. It covers all the surrounding farms in this area and Philadelphia. We have a huge influx of black learners from Dunoon the informal settlement. We used to be at 222 we are now at 465 learners. That is Grade R-7. When I was appointed I was shocked there was no fresh water no electricity no fencing not even proper toilets still the bucket system in 1999. We cannot go on like this. My vision is social upliftment towards academic progress. If you don't have suitable socio-economic conditions it impacts on the school. There are high levels of illiteracy at school and amongst the farm workers. The drop out figure is big. These children come from farms. The school is not attractive. They come from the worst ever conditions on the farm the poorest of the poor. I became very unpopular because I started to attack the farmers. We need to do something. They were still using the dop system and I suspect they are still doing it but now they are getting clever so I can't make those statements any more. I came to a farm and I saw all the people in a line after work and they we are all shocked because they were getting their alcohol. Since then they say I am ANC and blah blah blah... If you don't want to give them proper facilities I am willing to be communist, ANC whatever because I can't allow this. It is impacting on my school. I get a learner that is very aggressive towards buildings simply because they don't have a sense of pride. They are coming to a school that is supposed to be a safe haven so it is not a real school. The parents don't worry. But now it is changing big time. It is a paradigm shift that needs to take place. We

started with electricity, water, computers, and proper toilets. I am a community development person, it is just so sad to see this, it is not going the way I want it to go, we engaged with the EMDC. We need proper safe classrooms. The buildings are very old. The buildings are being constantly repaired and they are wasting money. You can run through the walls. We spoke to the WCED to apply. We forced Minister Dugmore to get on board. And indeed that is when things started to happen. In 2004/2005 the process started. In terms of what we have done... we motivated for a new school with a letter. The school started as a temporary structure 32 years ago. The children are entitled to a safe structure. Khanya couldn't install computers as the building was not safe. Doors are not able to lock etc. The school doesn't have a staffroom and computer room. The learners have to use the building that was previously used as a toilet. (Excerpt from interview School N)

The principal at School B also expressed her frustration at the lack of support from the department:

Give me the basics...I am passionate about education. I love what I am doing; I believe I am here to make a difference and to contribute to society. I didn't choose to go apply to up market schools, I chose to apply here. But I have certain expectations. Allow me to do what I need to do. (School B)

In order for leadership to emerge more strongly it is important that these basic requirements are met first as Leithwood(2000) argues there needs to be a move from transactional to transformational leadership, in order to develop the school into a learning organisation with shared defensible values and goals, with good communication and problem solving routines. Many Principals in the case study felt that the system had actually failed them and had to seek

other ways of ensuring the success of their schools, this extended to external parties, such as the community and donors etc.

In Kamper's study he found that the principal's expressed serious concerns about the problems that they experienced from the side of their respective education departments. Kamper's study found discrepancies in the poverty grading of schools with the grading often not being based on factual-family income, but merely on superficial observation of school surroundings. It was felt that in general education departments were not sufficiently knowledgeable about grassroots conditions in high-poverty schools. One of the schools in Kamper's study was graded as a Q1 school but did not receive the state subsidy it was entitled to, because in the opinion of the provincial education department the school had been sufficiently successful in acquiring its own funds: a cynical measure which actually penalised leadership initiative.

These sentiments were also echoed in my study where Principals would take matters into their own hands rather than rely on the government departments to come to their aid. In school L the principal complained that he had been writing letters to the department about the poor state of certain buildings in his school which were a safety hazard for more than fifteen years, but nothing has been done. Because he was doing well and his school was regarded as successful it was never renovated. He felt that he was being punished for his achievements rather than being rewarded. Another school in the area had been re-painted three times in the time that he had been principal at the school while his school had not been painted once.

"If you look after yourself they don't worry about you. I have made a big noise about the physical cracks in the school, it goes back to 1989! There is proof of letters etc. If anything happens at the school, I am not responsible....the school up the road has been cleaned and repainted three times and our school has never been done!" (School L)

Another school H in our study complained that they were classified as a Q4 school as they were located in a middle-class neighbourhood; however the learners who attended the school were not from the surrounding neighbourhood but came from lower income areas and were mostly poor. The grading system therefore does not seem to work fairly as in the case of Kamper's study the conditions of the school were taken into account although in a disadvantageous way, in my study the poverty levels at the school were not taken into account when given out the budgets.

The negatives of being in the Claremont area there is a perception that you are an upper class school, which is not the case. We are number 4 on the poverty index not because of the school but because of the area we cannot get funding etc. It has huge implications for funding etc. Many companies who sponsor schools do not look at poorer schools in Claremont.

Kamper's study found that there was a need for education district officials to engage in closer interaction with schools, by training SGB members, assisting Principals to draw up business plans and assisting schools to acquire what was urgently needed. The Principals in n Kamper's study reported that the officials were slow to react to enquiries and merely interested in exercising control over the financial management of the schools. There were similar reports in our study (School M) stating that they could not wait for the department to act and took matters into their own hands or that they had been complaining for years about the same problem to no avail. There were prefabricated buildings that were supposed to have been temporary structures which were still standing thirty years later and the complaints that these were safety hazards had fallen on deaf ears.

In order for learning to take place in South Africa it is essential to achieve functioning schools and this requires calm and orderly schools and classrooms. This style of leadership therefore has advantages in terms of instituting bureaucratic systems at schools, however it hampers the role of the principal owning innovations at the school. This in turn leads to a lack of enthusiasm amongst staff at school which could lead to possible failure. (Bush, 2007:396) This does not detract from Bush's findings it may well be that in South Africa we do have head masters with leadership capacity who are not able to overcome the sinking sand of the bureaucratic system.

There is no all embracing “magic bullet” theory

While different theories have value add, it is rather a combination of leadership styles and different examples of how leaders have achieved success in the most trying circumstances that will provide a road map for instituting success at schools. Leadership is contingent upon a number of factors, such as personality traits, personal histories and the environment in which the principal finds him/herself. It is however, vital that at this stage to recognise those exceptional leaders who are succeeding at all odds and build on the success of their model of leadership. In the case studies of 15 schools only 2 of the schools stood out as having exceptional leadership in place. It is important that researchers and the Department of Education recognise the achievement of these examples of leadership and understand and learn from these examples, what it is that makes for good leadership. While leadership is only one aspect of a whole range of contributing factors to thriving schools; what was most evident from the literature as well as the case studies is that it was the a fundamentally important part of the story in understanding successful schools.

This dissertation will demonstrate some of the most obvious examples of leadership relevant to the literature. It is important to note that Principals follow different styles of leadership at

different times in the evolution of their school as an organisation. They use whatever means and methods necessary to move towards their vision of what would constitute success at their school, and therefore follow no prescribed formula but rather use innovation and creativity in experimenting with what works for them in the context of their school.

Micro-Findings

From the case studies the following micro-findings were most relevant within the context of the schools which formed part of this study. This is not an exhaustive list of findings, but rather key characteristics of successful Principals that stood out and for which this study could provide evidence. At the beginning of this chapter I have included international characteristics of what makes a successful principal. While some of my findings do overlap with these, I did not find ample evidence in my small study to support each and every claim and therefore have only included a few key findings.

Successful Principals engage the whole community

Successful Principals in the case studies (schools, L, and O) showed clear examples of how they had both engaged the external community and the internal school community. This type of leadership is aligned to the theories of participative and transformation styles of leadership, it also has undertones of Bush's collegial model of management as well as the emerging model of Ubuntu style leadership.

The very successful Principals in the case studies leveraged off creating important partnerships within their school communities in order to enhance synergy and cooperation. The effect of these successful partnerships spilled out into the wider school community. Parents were proud of their children attending the school; they took an active role in the school governing body. Fairs and concerts were well supported by the community as were fundraising efforts. The principal negotiated with parents who couldn't afford to pay school fees that they volunteer their

time at these events. There was a different attitude reflected in the learners at the schools, they stood up and greeted the researcher when I entered the classroom they walked in an orderly fashion down the corridors, their uniforms were neat and well kept, they took pride in the way they conducted themselves. The school grounds also reflected this, they were well kept and free from litter. The one school visited had won an award for the most beautiful school grounds in the Western Cape.

As the principal at school L stated:

The whole staff contributes to the success of the school. The main thing is that when I took over the school, one of the things that I did at the time was a seven year projection to 2000, this started in 1992-1993. I need to upgrade the front of the school, I firmly believe that if you have a pleasant working place and you come and you are happy to be here then you will be productive. This is exactly what you see. Most of the teachers have been at the school for a long time. I have one or two staff that have been grabbed by the department. It is the whole staff that contributes to the success of the learners. It is a build up. The community is very supportive. Anything they arrange and do is well supported. On a Friday night once a month we have a takeaway evening and raise a lot of money.

This statement shows not only participative style of leadership, but has undertones of moral leadership. This is also linked to system's leadership. This principal shows clear examples of moral leadership in the sensitivity that the principal displays for his staff and the appreciation he has of the supportive community. These Principals also displayed a confidence to engage with the private sector and showed entrepreneurial skills in the manner in which they approached external companies for donations which contributed to the enhancement of their schools.

School O is a small school for farm workers children located in Hermon, a small rural town outside of Paarl. The children come from similar backgrounds to the children at school M, both farm workers children. What was immediately apparent as you entered the school was the neatness of the school grounds.

The following is an excerpt from the interview with the principal and another teacher at the school:

The building is their building (the communities). Since I am here we don't have any burglary or theft there. The building was unsecured when they were building and nothing was stolen. The community sees the building as theirs....Even at our school we don't have graffiti. It is a pride and it is neat and smart. (Teacher speaking) The principal instills a sense of pride in the learners and teachers. Apart from that the principal also encourages us to shape our leadership skills. We received skills from America. We raised money and went to do this course. It gave us greater relations with the people around us and also with our colleagues and the kids also the next level is with the community. We did the course in New York. We raised money ourselves, but we did get some sponsors. It is just the way you handle people, you handle learners with that sense of fun, love, belonging and survival and let each one make their own choice. Because when they leave our school after grade 7 we want them to have that burning desire to succeed in life. Some teachers have been here for 20 years. What the principal teaches us and exposes us to has been great leadership and enriches yourself and the way it makes you feel. It is amazing what you can do with the kids afterwards. "Walk the walk and talk and talk".

As in the case of School A, when the condition of the physical building is improved it appears that learners want to attend the school and the community participation will increase. *"Attendance and community participation has increased. More learners are*

returning to school since the new school has been built. There is increased utilization of school facilities. Parents of young learners participate more in the school activities". According to Kamper there are key ingredients which embody successful leadership qualities of school Principals in South Africa. (Kamper, 2008:11)

At school E, the principal echoed similar sentiments:

We have done very well for that area. We got a letter commending us on the performance. It was discussed in parliament. You are not self-motivated it is a selfless job. If you don't have the passion the school will just go down...It has a lot to do with management and staff. They can play a huge role in changing the schools.

*Some staff have been at the school since 1976. Because we are situated in Hanover Park there is a perception that it is dangerous. We have done very well. **The children might come from poor backgrounds and a gangster ridden area but once you see them and meet them...they are a lovely bunch of children. I don't see them as gangsters. I see them as potential that can move forward.** All our visitors that engage with them say they have to change their mind about the school. (School E)*

Principal as lead Learner

Drawing on Naidu et al's (2008) concept of the principal as lead learner. The most successful principal saw themselves as the face of the school and showed discipline in the way in which they conducted themselves. There was an absolute commitment to educational excellence. They had a lot of self discipline and were the first to arrive and last to leave. They had a lot of energy and enthusiasm for what they did, which was reflected in staff and learners. The Principals also ensured that they were visible around the school and were really face of the school. They often taught classes too as part of the hands on approach. As Kamper aptly puts it

“coping with ill-equipped resources and often a lack of support from educational authorities is not for the faint hearted. Bravery and resilience are therefore crucial leadership qualities” (Kamper, 2008:11)

The Principals that were successful in the study were well recognized at the schools I visited and commanded respect from the learners, what was also impressive is that they knew many of the learner’s names. The Principals in Kamper’s study also emphasizes that activities are essentially focused on excellence in the classroom. Learner progress is continuously and meticulously monitored, with action to correct problems as they occur and every possible measure is taken to ensure that the teachers are equipped for their tasks. There was also a great emphasis on teamwork. It was interesting in the case studies with the most successful Principals and schools, they had managed to retain staff for long periods of time and the staff seemed to be very happy to work at the school. The teachers I spoke to also share the vision of the principal.

Kamper (2008) summarizes that the crucial leadership consideration in high poverty schools is that respect must be earned through the school’s demonstrated compassion for the needs of the learners, teachers and parents/caregivers, its involvement in community upliftment, and its reputation for educational achievement. This was also evident in Naidu et al’s (2008) text in which they introduce the concept of the principal being the lead Learner. Instead of the hierarchical structure of the past where the principal was the leader, Principals should see the main business of the school and the entire education system as creating and sharing knowledge and leading learning, then all of those employed in education should be involved in the process. Berth (1990) as quoted by Naidu et al. (2008) states that “schools cannot be places where “big” people who are *learned* teach “little” people who are *learners*. Schools should be places where both adults and young people discover the joy of learning together. This can only happen if the

principal becomes the lead learner and fosters an educational culture that embraces continuous learning by all.

Successful Principals have vision and enrol the school community in that vision

In line with the concept of vision, Systems theory speaks about a greater vision than the confines of one's own school. *System leaders are those head teachers who are willing to shoulder system leadership roles, who care about and work for the success of other schools as well as their own. To expand on this point, system leaders goals are to make "every school a great school" and policy and practice must focus on system improvement. In other words schools need to be as concerned about the success of others schools as they are about their own schools. Sustained improvement of schools is not possible unless the whole system is moving forward. (Pont, Nusche & Hopkins, 2008:22)*

At school K, the deputy principal was interviewed and described the leadership in place at the school as well as the school's vision, he said at the outset of the interview that he understood what the vision of the school was as the principal had instituted it amongst all the staff members and that I (the researcher) would get the same comments from all staff members.

Speaking of the principal: *He has been principal for 14 years. I have been here for 19 years. It is a good team and a good leader. We have seen each other get old, not a high turnover of staff.... We have been trying to get a quality product with what we produce and how we deliver. For anybody to move on and let them realize there are bigger and better things. We must give them bigger and better things. Why always stick with the bottom of the range things. When presenting quality to people you make them move on. The toilet looks better than most hotel toilets you have seen. The students appreciate it. There has been a change in behaviour. Each pupil participated in the concert. Every*

parent and granny etc participated in it. You will never believe what we have discovered in our kids, besides the talent the confidence the ability to act and the need for them to be on a stage was unreal, it did a lot to the kids. It is not just the hall, the quality we used etc is the line we try to draw throughout their academics. The whole approach. If we are going to give, we are going to give our all; we are going to give quality. It changes the mindset. All members of the staff have the same philosophy and the culture....The students do well, they enjoy it. They can feel they are being respected. We even have a new computer lab. (School K)

At school L, the vision was to build a hall to host musicals and ballet productions, by enrolling the whole community into that vision, the principal had with the help of the community raised an additional R2 million.

*The community supported the school. One parent donated a car to raffle and we raised R235 000. We did a lot of fundraising. The hall is fairly big. We got a lot of compliments about the hall...We use the hall for musicals. We have a big music department. The school is actually originally known for its arts and culture. Initially we had 6 full time music teachers. All of them had to be let go of with the downscaling. People as far afield would send their children to the school. They would club together and send the learners to the school with their own driver. We have another music academy which has taken over the music dept. I bought some trumpets from Holland over the internet. I have bought 3 trumpets and 3 saxophones and a trombone which is the property of the school. Last year we had a huge production for the 30 year anniversary and we staged the "Sound of Music" the school brass band was the live accompaniment we had 800+ learners in the concert. We have a big choir of 90 learners. Exposure is very important. **Our concern is that the child we are sending out must be a good product. They can withstand and run with their success.** I get letters from High Schools about the*

learners. They offer them bursaries. Schools in the area can't offer those things. There is not enough investment by the department in primary schools. There is no incentive for primary schools really. The school also has ballet classes. Ballet lifts the level of the girls the aesthetics of the girls and their self esteem. (School O)

Successful Principals displayed Moral Leadership

The focus of this type of leadership is on the values, ethics and beliefs of the leaders themselves. Sergiovanni (1991) argues that both moral and managerial leadership is required to develop a learning community.¹⁸ The principal's personal traits played a huge role in this, the principal's compassion for the poor and passion for their upliftment through quality education is a very large factor for success. The Principals go above and beyond the call of duty and see the children as their own. Principals would come to the school after hours. They would avail themselves to parents and take a sincere interest in the learners at the school. They showed compassion for the learners in terms of the socio-economic backgrounds they came from. One principal would not use any negative terms when speaking to learners as she said that they were pushed down enough at home and needed to be uplifted at school. If for example a child had come to school in sneakers and not school shoes she would comment on what nice shoes the child was wearing rather than admonishing them for not wearing uniform. The principal showed great respect for the learners at the school, she explained that they come from very violent homes and she wished to create a safe space for the learners in order to nurture them and build their self-esteem. This style of leadership is very important in the context of leadership in South Africa. There are a number of challenges that Principals in South Africa have to deal with (see context chapter) such as HIV and AIDS, poverty etc. The most successful Principals in the case studies displayed this type of leadership.

¹⁸ This point is made in the first set of macro-findings that argue for the importance of managerialism in creating a culture of teaching and learning.

We want to invest in the children and we want the children to come back and invest in the school... When the principal teaches us and exposes us to has been great leadership and enriches yourself and the way it makes you feel. It is amazing what you can do with the kids afterwards. "Walk the walk and the talk the talk" People who are involved in the school for example the labourers it instils something in the children... Because a lot of people think oh farm school those people, it is just another school. Why are we here? Our Christian belief system we instil in the kids. (School O)

The principal in this excerpt was speaking about how she had instilled a sense of pride in the learners and the fact that she had exposed them to a better way of behaving in the manner in which she treated the poor. What was evident at School O was that the spirit of the school was more important than the condition of the school. They still took pride in the school as an institution even if the buildings were in poor condition. The principal also made sure to appoint the right people and she invested in them. During the building process she would take learners on to the site and get them to ask the builders questions. This not only instilled a real sense of ownership of the project from both the staff and learners, but also allowed the learners to engage the builders as people, rather than labourers and show them the respect they deserved by recognising their humanity. This type of leadership was also relevant in the previous section at School K. (see excerpt above)

Conclusion

This chapter set out to unpack the findings from the case studies. The findings from the literature indicated, that school leadership is vital for the success of the school. School leaders build vision, set directions, understand and develop people, redesign and re-culture the

organization and manage the instructional program. School leaders apply contextually sensitive combinations of the basic leadership practices at their workplace. School leaders improve teaching and learning most powerfully through their influences on staff motivation, commitment, and working conditions. School leadership has a greater influence on schools when it is widely distributed. Some patterns are more effective than others, especially those which are aligned with the agreed vision for the school and in which responsibility, accountabilities and sense of ownership are present. The principal has a clear vision. The most successful leaders are open minded and ready to learn from others. (Day, 2007 2-3) School leaders are visible and effective in the manner in which they communicate their thoughts and feelings. They are open and accepting of all members of the staff community and do so in a genuine manner. The principal faces problems and shares them and learns from them. They seek appropriate responses to particular circumstances. (Murgatroyd and Gray, 1989:95-96)

This type of leadership is relevant within schools, Fullan argues that in order to be great leaders, Principals need to see the big picture and move beyond the schools in order to understand how the success of his her school is intrinsically connected to all the schools in the district. While Principals can display both leadership and management characteristics simultaneously, the findings indicated that it is those Principals that can both lead and manage that are the enablers of change. Recognising the importance of leadership, management must also be achieved in order to address the current chaos and disorder at schools in South Africa and reinstitute a culture of teaching and learning in South African Schools. What is vital to understand in the context of South Africa; however is that Principals will neither lead nor manage unless adequate support structures are put in place by the department of education and provided for by the South African Government. In terms of understanding the literature around school leadership, while different theories have value add, there is no all embracing theory “magic bullet” which will provide the answer to solving the crisis of leadership in South Africa, it is rather a combination of

leadership styles and different examples of how leaders have achieved success in the most trying circumstances, that will provide a road map for instituting success at schools. What was observed during the course of study was that irrespective of the support given by the government in terms of providing schools with infrastructure it was those schools with Principals that displayed leadership qualities who were able to make the most impact and produce the most successful learners. They engaged the community, enrolled the community into their vision for the school, led by example and displayed moral leadership.

University of Cape Town

Chapter Six: Conclusion

The central hypothesis of this dissertation was that there is a strong correlation between leadership, management and *thriving* socio-economically disadvantaged schools in the Western Cape. The findings from the literature indicate that school leadership is vital for the success of the school. Leadership and Management are two distinct concepts and in order to be successful and for education to be transformed at South African schools, Principals need to display leadership. While Principals can display both leadership and management characteristics simultaneously, this dissertation argues that it is those Principals that can both lead and manage that are the enablers of change. Recognising the importance of leadership, management must also be achieved in order to address the current chaos and disorder at schools in South Africa and reinstitute a culture of teaching and learning in South African Schools. What is vital to understand in the context of South Africa; however is that Principals with neither lead nor manage unless adequate support structures are put in place by the department of education and provided for by the South African Government. In terms of understanding the literature around school leadership, while different theories have value add, there is no all embracing theory “magic bullet” which will provide the answer to solving the crisis of leadership in South Africa, it is rather a combination of leadership styles and different examples of how leaders have achieved success in the most trying circumstances, that will provide a road map for instituting success at schools.

Summary of the methodology

This study is an attempt to identify the gaps in the literature around leadership in South Africa and to identify emerging trends in educational leadership and management theory. This involved a case study of 15 schools in mostly socio-economically disadvantaged areas of the Western Cape. The study was qualitative in nature and included a combination of field work,

interviews, literature and document reviews and desktop analysis. The data was analysed based on themes that emerged in the interviews with leadership at the schools.

Summary of the key findings

The findings from the literature indicate the school leadership is vital for the success of the school. School leaders build vision, set directions, understand and develop people, redesign and re-culture the organization and manage the instructional program. School leaders apply contextually sensitive combinations of the basic leadership practices at their workplace. School leaders improve teaching and learning most powerfully through their influences on staff motivation, commitment, and working conditions. School leadership has a greater influence on schools when it is widely distributed. Some patterns are more effective than others, especially those which are aligned with the agreed vision for the school and in which responsibility, accountabilities and sense of ownership are present. The principal has a clear vision. The most successful leaders are open minded and ready to learn from others. *They are also flexible rather than dogmatic in their thinking within a system of core values, persistent (e.g. in pursuit of high expectations of staff motivation, commitment, learning and achievement for all), resilient, and optimistic.* (Day, 2007 2-3) School leaders are visible and effective in the manner in which they communicate their thoughts and feelings. They are open and accepting of all members of the staff community and do so in a genuine manner. The principal faces problems and shares them and learns from them. They seek appropriate responses to particular circumstances. (Murgatroyd and Gray, 1989:95-96) This type of leadership is relevant within schools, Fullan argues that in order to be great leaders, Principals need to see the big picture and move beyond the schools in order to understand how the success of his her school is intrinsically connected to all the schools in the district.

In the case studies two categories of key findings were found; macro-findings relative to the overall context of Education in South Africa, and micro-findings relative to the individual school level.

The macro-findings are as follows: **Leadership and Management are two distinct concepts and in order to be successful and for education to be transformed at South African schools, Principals need to display leadership.** While Principals can display both leadership and management characteristics simultaneously, this dissertation argues that it is those Principals that can both lead and manage that are the enablers of change. As the research suggests and as is publicly acknowledged by policy makers and educationalists, the South African education system is currently in crisis. In the context of education in South Africa, which is therefore desperate for change, it is important that this distinction be clearly recognised. Principals that exhibited characteristics **of leadership** were most likely to also show signs of progress and change at their schools.

The challenge with this hypothesis is that in South Africa there are many schools that are currently not functional and therefore there must be an emphasis on basic management of the school.

Therefore the next key finding is a **culture of teaching and learning must be reinstated in South African Schools.** Management must be achieved in order to address the current chaos and disorder at schools in South Africa. There has been criticism levelled at South Africa, that there is a virtual absence of a 'culture of teaching and learning' which has eroded the confidence of education managers in many urban and rural schools.¹⁹ In order for learning to take place in South Africa it is essential to achieve functioning schools and this requires calm and orderly schools and classrooms. However, while management is necessary to achieve this

¹⁹ This has been one of the first mandates of the government's Education Road Map. The South African government has also recently introduced the ACE qualification for Principals.

culture, in order for sustainable change to take place, what is needed is a fundamental transformation in the learning cultures of schools and the teaching profession itself. (Fullan, 2002. 1-2) Basic management may involve ensuring regular and timely attendance by learners and educators, maintaining order and discipline in the classrooms, and providing adequate resources to enable learning to take place. Only once the schools are functional can leaders progress to developing vision, and outlining aims and policies, with the confidence that systems are in place to secure their implementation.

While this is true, if management is a maintenance activity, then while schools may be functional, the state of education will never really change, it is only through **leaders** that transformation and change will be possible. Most functioning schools today are still often over-managed and under-led. From the case studies it was evident that the most successful schools displayed exceptional examples of leadership rather than management, which leads back to the first finding that **transformation will not be possible without leadership.**

What is vital to understand in the context of South Africa; however is that Principals will neither lead nor manage unless there is adequate support provided by the South African Government, the next key finding is therefore that **constitutional requirements need to be met by the South African Government.** In order for Principals to be able to successfully manage schools, adequate support structures need to be put in place from the department of education. In some instances of self-managed schools, Principals had to circumvent the Department of Education in order to achieve anything at the school. The basic structures such as safe classrooms and grounds that children can play on as well as desks and chairs are essential aspects of a school. However, where leadership really stood out in the case studies was that where the department did not provide these basic requirements the most successful Principals were able to get on with the job without the support of the department and had sought external manners in which to raise

funds in order to support the school. Successful principles find innovative ways to make their budgets stretch further and they try every method possible to engage with the wider community to further fund and support the school. The reason these Principals had to this was that they thought that the system had failed them. I would argue that this type of behaviour on the part of the South African government is simply not good enough and the basic support structures should be put in place in order to ensure the success of education in South Africa.

The final finding relative to the overall thesis is that **while different theories have value add, there is no all embracing theory “magic bullet” which will provide the answer to solving the crisis of leadership in South Africa**, it is rather a combination of leadership styles and different examples of how leaders have achieved success in the most trying circumstances, that will provide a road map for instituting success at schools. Leadership is contingent upon a number of factors, such as personality traits, personal histories and the environment in which the principal finds him/herself. It is however, vital that at this stage to recognise those exceptional leaders who are succeeding at all odds and build on the success of their model of leadership. In the case studies of 15 schools only 2 of the schools stood out as having exceptional leadership in place. It is important that researchers and the Department of Education recognise the achievement of these examples of leadership and understand and learn from these examples, what it is that makes for good leadership. While leadership is only one aspect of a whole range of contributing factors to thriving schools; what was most evident from the literature as well as the case studies is that it was the a fundamentally important part of the story in understanding successful schools.

From the case studies the following micro-findings were most relevant within the context of the schools which formed part of this study. This is not an exhaustive list of findings, but rather key characteristics of successful Principals that stood out and for which this study could provide

evidence. At the beginning of this chapter I have included international characteristics of what makes a successful principal. While some of my findings do overlap with these, I did not find ample evidence in my small study to support each and every claim and therefore have only included a few key findings.

The first key micro-finding is that **successful school Principals engage the community**. The very successful Principals in the case studies leveraged off creating important partnerships within their school communities in order to enhance synergy and cooperation. The effect of these successful partnerships spilled out into the wider school community. The Principals engaged the teaching community and showed great respect for their teachers and learners. In addition the principal engaged the wider community by ensuring that no parents felt alienated. The Principals would seek ways to help parents pay back school fees if they could afford them.

The second finding draws on Naidu et al's (2008) concept of the **principal as lead learner**. The most successful principal saw themselves as the face of the school and showed discipline in the way in which they conducted themselves. There was an absolute commitment to educational excellence. They had a lot of self discipline and were the first to arrive and last to leave. They had a lot of energy and enthusiasm for what they did, which was reflected in staff and learners. The Principals also ensured that they were visible around the school and were really face of the school. Instead of the hierarchical structure of the past where the principal was the leader, Principals should see the main business of the school and the entire education system as creating and sharing knowledge and leading learning, then all of those employed in education should be involved in the process. Berth (1990) as quoted by Naidu et al. (2008) states that "schools cannot be places where "big" people who are *learned* teach "little" people who are *learners*. Schools should be places where both adults and young people discover the joy of

learning together. This can only happen if the principal becomes the lead learner and fosters and educational culture that embraces continuous learning by all.

Successful Principals have vision and enrol the school community in that vision. At School L, the principal stated: *The main thing is that when I took over the school, one of the things that I did at the time was a seven year projection to 2000, this started in 1992-1993.* At school K, the deputy principal was interviewed and described the leadership in place at the school as well as the school's vision, he said at the outset of the interview that he understood what the vision of the school was as the principal had instituted it amongst all the staff members and that I (the researcher) would get the same comments from all staff members.

Successful Principals displayed moral leadership; the focus of this type of leadership is on the values, ethics and beliefs of the leaders themselves. The principal's personal traits played a huge role in this, the principal's compassion for the poor and passion for their upliftment through quality education is a very large factor for success. The Principals go above and beyond the call of duty and see the children as their own. Principals would come to the school after hours. They would avail themselves to parents and take a sincere interest in the learners at the school. They showed compassion for the learners in terms of the socio-economic backgrounds they came from. One principal would not use any negative terms when speaking to learners as she said that they were pushed down enough at home and needed to be uplifted at school. If for example a child had come to school in sneakers and not school shoes she would comment on what nice shoes the child was wearing rather than admonishing them for not wearing uniform. The principal showed great respect for the learners at the school, she explained that they come from very violent homes and she wished to create a safe space for the learners in order to nurture them and build their self-esteem. This style of leadership is very important in the context of leadership in South Africa. There are a number of challenges that Principals in South Africa

have to deal with (see context chapter) such a HIV and AIDS, poverty etc. The most successful Principals in the case studies displayed this type of leadership.

Revisiting the Limitations

The objective of data collection is to produce reliable data on a specific social phenomenon. It is important to remember that the data collection took place at a certain time in history with a certain sample group of participants. This data is therefore only a reflection of the opinions of participants as well as the researcher at a certain moment in time and could change with time as further research is carried out and social phenomena change. Thriving schools were evidenced not only by the behaviour of the principal but by the response of the school community to the leadership in place, this included the staff, learners and the broader community. Some of these responses were not captured in transcripts but were rather observations on the part of the researcher. As is the case with qualitative studies, the quality of the interviews cannot be controlled; therefore some interviews were more substantial than others. This was dependent on the enthusiasm of the principal to engage with the researcher as well as the time available given the myriad of other responsibilities that Principals have. In order to support the findings from the case studies this dissertation also included case studies based on the literature review.

Further areas of study

Given the importance of leadership at schools in South Africa and the importance of creating thriving schools in socio-economically disadvantaged areas, further research is required, in order to fully understand the complexity of leadership in South Africa. The following is a list of possible further areas of exploration which this study could not explore.

A better understanding of the historic background of the Principals

The International Successful School Principalship Project (ISSPP) a study of over sixty schools in eight countries (Australia, Canada, China, Denmark, England, Norway, Sweden and the USA) as well as a review of international literature (Leithwood, Day, Sammons, Harris & Hopkins, 2006) on successful Principals made the important point that while schools do need leaders with moral purpose who are “strong” and “purposeful” with teaching and learning at the heart of their agendas, these reveal only the outer workings of a successful principal. In order to understand what being a successful principal really means, it is important to drill beneath the outer, visible, layer to uncover more detailed knowledge of their work in schools which are in different developmental phases and in different social contexts. The life history of a principal is one important aspect of what makes a principal successful and few studies have been done on this. (Sugrue, 2005) Given the context of leadership in South African schools and the changes that the landscape has undergone in the last 15 years it is important to note that most of the Principals in this study were schooled under Apartheid and their life stories may therefore be relevant to their role as Principals. This study did not undertake an inventory of the life histories of these Principals and this may be an area of research which needs to be further explored.

Develop a better understanding of the ACE qualification

The final report of the pilot study is currently with the Department of Education waiting for approval. ²⁰Once this report is released it would be a very good starting point in understanding what interventions the South African Government has made thus far in ensuring that leadership is given the prominence it deserves. There is also currently collaboration underway between the University of Johannesburg and the Harvard Graduate School of Education titled *Developing Educational leadership capacity in South Africa*. This is a further area of study which would help in understanding ACE.

²⁰ I was able to get the midyear review from October 2008, but chose not to include it in the findings.

The value of Systems leadership in South Africa

This theory of leadership is fairly new and has been explored in international contexts by the OECD, a follow up study in South Africa would be appropriate in understanding the relevance of this theory in the context of South Africa.

What are the enablers/influences of good leadership?

While this study explored the results of good leadership, it would be interesting to explore what enabled that leader to be good, possible questions could include the role of family history, the support of a spouse etc.

Conclusion

The findings from the literature indicate that school leadership is vital for the success of the school. Leadership and Management are two distinct concepts and in order to be successful and for education to be transformed at South African schools, Principals need to display leadership. While Principals can display both leadership and management characteristics simultaneously, this dissertation argues that it is those Principals that can both lead and manage that are the enablers of change. Recognising the importance of leadership, management must also be achieved in order to address the current chaos and disorder at schools in South Africa and reinstitute a culture of teaching and learning in South African Schools. In the context of South Africa; it is important to note that Principals will neither lead nor manage unless adequate support structures are put in place by the department of education and provided for by the South African Government. In terms of understanding the literature around school leadership, while different theories have value add, there is no all embracing theory "magic bullet" which will provide the answer to solving the crisis of leadership in South Africa, it is rather a combination of leadership styles and different examples of how leaders have

achieved success in the most trying circumstances, that will provide a road map for instituting success at schools.

What was observed during the course of study was that irrespective of the support given by the government in terms of providing schools with infrastructure it was those schools with Principals that displayed leadership qualities who were able to make the most impact and produce the most successful learners. They engaged the community, enrolled the community into their vision for the school, led by example and displayed moral leadership. It is important to remember that these Principals are working in socio-economically disadvantaged areas with poor parents who do not have the resources to engage with the school as actively as those Principals in former model C or private schools, they are however able to produce thriving schools. This attests to not only their personal traits but to the exceptional examples of leadership displayed by these individuals.

Bibliography

Bloch, G (2009) *The Toxic Mix*, Tafelberg Publishers Limited

Branham, D. (2004) *The Wise Man Builds His House Upon the Rock: The Effects of Inadequate School Building Infrastructure on Student Attendance*, University of Houston SOCIAL SCIENCE QUARTERLY, Volume 85, Number 5, December 2004/2004 by the Southwestern Social Science Association

Brown, B & Duku, N (2008) Negotiated Identities: dynamics in parent's participation in school governance in rural Eastern Cape schools, and implications for school leadership *South African Journal of Education*, Vol. 28:431-450

Bush, T (Ed) (1989) *Managing Education: theory and practice*, Philadelphia, Open University Press

Bush, T and Bell, L. (Eds) 2002. *The Principles and Practice of Educational Management*. London: Sage Publications.

Bush, T. (2007) Educational Leadership and Management: Theory, Policy and Practice, *South African Journal of Education*, Vol. (27(3) 391-406

Bush, T. 2003. *Theories of Educational Leadership and Management*. London: Sage Publications

Bush, T. And West-Burnham, J. (Eds) 1994. *The Principles of Educational Management*. London: Longman

Bush, T., & Heystek, J. (2003). School Governance in the New South Africa. *Compare: A journal of comparative education* , 127-138.

Calitz, L, Fuglestad, O.L & Lillejord, S (2002) *Leadership in Education- Productive Learning*, Johannesburg, Heineman

Chapman, J (1996) A New Agenda for a New Society In: Leithwood, K, Chapman, J, Corson, D, Hallinger, P & Hart, A (Eds) (1996) *International Handbook of Education Leadership and Administration – Part 1 and Part 2* The Netherlands, Kluwer Academic Publishers

Chisholm,L (2005) The state of South Africa's Schools-*State of the Nation* 2004-2005

Clase. P, Kok. J & van der Merwe. M (2007) Tension between school governing bodies and education authorities in South Africa and the proposed resolutions thereof, *South African Journal of Education*, Vol 27(2) 243-263

Day, C (2007) What being a successful principal really means: an international perspective, *Educational Leadership and Administration*

DBSA (2008) Education Roadmap for South Africa

Department of Education: Republic of South Africa. (September, 2007). *National Education Infrastructure Management System (NEIMS)*.

De Wet, C (2004) The extent and causes of learner vandalism at schools, *South African Journal of Education*, Vol24(3) 206-211

Education Policy Unit (Natal). (1998). *Democratic Governance of Public Schooling in South Africa*. Education Policy Unit (Natal).

Evers, C & Katyal, K (2007) Paradoxes of leadership: contingencies and critical learning, *South African Journal of Education*, Vol. 27(3) 377-390

Farrell, C., & Law, J. (1997). The Accountability of School Governing Bodies. *British Educational Research Association Annual Conference September 1997* (pp. 1-13). Education-Line.

Fleisch, B & Christie, P (2004) Structural Change, Leadership and School Effectiveness/Improvement Perspectives from South Africa, *Discourse: studies in the cultural politics of education*, Vol. 25(1) 95-112

Fontannaz, S (Ed) (2009) *Education Handbook: Connecting to Make a Difference* Argo, Stellenbosch, South Africa

Fullan, M (2003) *The Moral Imperative of School Leadership*, United States of America, Corwin Press

Gibberd, J(2007) *South Africa's School Infrastructure Performance Indicator System*, OECD

Grace, G (1995) *School Leadership: Beyond Management Education*, London, The Falmer Press

Heystek, J (2004) School Governing Bodies-the principal's burden or the light of his/her life?
South African Journal of Education, Vol. 24(4) 308-312

Heystek, J (2008) *People leadership in education*, Johannesburg, South Africa: Heinemann

Heystek, J, Nieman, R, van Rooyen, J, Mosage, J & Bipath, K (2008) *People Leadership in Education*, Johannesburg, Heinemann

Heystek, J. (2006). School Governing Bodies in South Africa. *Educational Management Administration and Leadership* , 473-486.

Johnson, D (1995) Introduction: The Challenges of Educational Reconstruction and Transformation in South Africa, *Comparative Education*, Vol. 31(2) 131-140

Kamper, G (2008) A profile of effective leadership in some South African high-poverty schools,
South African Journal of Education, Vol 28: 1-18

Karlsson, J. (2002). The Role of Democratic Governing Bodies in South African Schools.
Comparative Education Volume 38 No.3 , 327-336

Leithwood, K, Chapman, J, Corson, D, Hallinger, P & Hart, A (Eds) (1996) *International Handbook of Education Leadership and Administration – Part 1 and Part 2*, The Netherlands, Kluwer Academic Publishers

Leithwood, K, Tomlinson, D & Genge, M (1996) Transformational School Leadership In:
Leithwood, K, Chapman, J, Corson, D, Hallinger, P & Hart, A (Eds) (1996) *International Handbook of Education Leadership and Administration – Part 1 and Part 2* The Netherlands, Kluwer Academic Publishers

Lipham, J. M and Hoeh, J.A (1974) *The Principalship: Foundations and Functions*, New York, Harper & Row Publishers

Macbeath, J, Moos, L & Riley, K (1996) Leadership in a changing World In: Leithwood, K, Chapman, J, Corson, D, Hallinger, P & Hart, A (Eds) (1996) *International Handbook of Education Leadership and Administration – Part 1 and Part 2* The Netherlands, Kluwer Academic Publishers

Mail & Guardian. (05 February, 2008). *SA schools 'are downright dangerous'*. Johannesburg, South Africa: Mail & Guardian.

Mail & Guardian. (2008). *Report: SA Education in crisis mode*. Johannesburg, South Africa: Mail & Guardian.

Mathonsi, V. (17-21 April 2001). South African Schools Act no 84 of 1996 and the School Governing Bodies. *South African Democratic Teachers' Union(SADTU) National Education Policy Conference* . Gallagher Estate, Midrand-Gauteng.

Mestry, R & Singh, P (2007) Continuing Professional development for Principals: A South African perspective, *South African Journal of Education*, Vol. 27(3) 477-490

Moloi, K (2007) An overview of education management in South Africa, *South African Journal of Education*, Vol 27(3) 463-476

Mouton, J. (1996). *Understanding Social Research*. Pretoria: J.L. van Schaik Publishers

Mouton, J. (2005) *How to Succeed in your Master's and Doctoral Studies*, Pretoria: J.L. van Schaik Publishers

Msila. V(?) *The Impact of Social Capital on the School's General Success* Faculty of Education, Advanced Education Studies, Nelson Mandela Metropolitan University

Naidoo, J (2003) Policy and Strategy Paper: *Implementing Educational Decentralization*

Naidu. A, Joubert. R, Mestry.R, Mosoge. J & Ncgobo. T (2008) *Education Management and Leadership: A South African Perspective* Oxford University Press, Southern Africa

Ngidi. D & Qwabe. J (2006) The Partnership of Parents, Educators, and Principals in Creating a Culture of Teaching and Learning in Schools *South African Journal of Education*, Vol 26(4) 429-539)

OECD (2008) *Reviews of National Policies for Education: South Africa* OECD Publishers

Prew, M (2007) Successful Principals: why some principals succeed and others struggle when faced with innovation and transformation, *South African Journal of Education*, Vol 27(3) 447-462

Pont, B, Nusche, D and Hopkins, D (Eds.) (2008) *Improving School Leadership, Volume 2: Case Studies on System Leadership*, OECD

Riches, C and Morgan, C (1989) *Human resource management in education*, Philadelphia, Open University Press

Riley, K.A & Seashore Louis, K (eds) (2000) *Leadership for change and school reform: international perspectives*, London ; New York: Routledge/Falmer

Rudd. P, Reed. F & Smith. P (2008) The effects of the school environment on young people's attitudes towards education and learning, *National Foundation for Educational Research*

Sayed, Y. (1999). Discourses of the Policy of Educational Decentralisation in South Africa since 1994: an examination of the South African Schools Act [1] [2]. *Compare: A journal of comparative education* , 141-152.

Sayed. Y & Soudien. C (2005) Decentralisation and the construction of inclusion education policy in South Africa *Compare* Vol. 35, May 2005, 115-125

School A Interview- Old Crossroads- 22 April 2008

School B Interview - Mitchell's Plein-22 April 2008

School C Interview - Kuilsriver-24 April 2008

School D Interview -Phillipi-24 April 2008

School E Interview - Hanover Park- 21 April 2008

School F Interview -Mannenber-21 April 2008

School G Interview - Kuilsriver-25 April 2008

School H Interview -Claremont-15 May 2008

School I Interview -Mfuleni-25 April 2008

School J Interview -Wesbank, Kuilsriver 13 May 2008

School K Interview - Grassy Park-13 May 2008

School L Interview -Athlone-12 May 2008

School M Interview- Atlantis-14 May 2008

School N Interview - Philadelphia- 12 June 2008

School O Interview - Hermon (Paarl)-12 June 2008

Sergiovanni, T.J (1995) *The Principalship: A Reflective Practice Perspective*, Boston, United States, Allyn and Bacon Publishers

Stubbs, G (1999) Image of school girl on cover page

Swanepoel, C & Booyse, J (2006) The involvement of teachers in school change: a comparison between the views of school Principals in South Africa and nine other countries, *South African Journal of Education*, Vol. 26 (2) 189-198

Taylor, N (2007) *Equity, Efficiency and the Development of South African Schools* (Chapter in Townsend, T (Ed). *International Handbook of School Effectiveness and Improvement*, 523-540. Springer)

Dinokeng Scenario Member Team, (2009) *The Dinokeng Scenarios: 3 Futures for South Africa*

Van der Berg, S (2007) Apartheid's enduring Legacy: Inequalities in Education, *Journal of African Economics*, Vol. 16 (5) 849-880

Van der Berg, S (2002) A Study of School Performance in the Western Cape, Paper to DPRU/FES Conference on Labour Markets and Poverty in South Africa, Johannesburg, 22-24th October, 2002

Website: http://www.ecdoe.gov.za/news_article/140/We-ve-signed-OBEs-death-certificate---Motshekga Date Accessed: 12 November, 2009

Xaba, M (2006) An investigation into the basic safety and security status of schools' physical environments, *South African Journal of Education*, Vol. 26(4) 565-580

Appendixes

Appendix A

Theorists/Source	Leaders/Leadership	Managers/Management
Cuban (1988) quoted by Bush (2007)	Linked with change- By leadership, I mean influencing others actions in achieving desirable ends. Leaders are people who shape the goals, motivations, and actions of others. Frequently they initiate change to reach existing and new goals. Leadership...takes...much ingenuity, energy and skill.	A maintenance activity-. Managing is maintaining efficiently and effectively current organisational arrangements. While management exhibits leadership skills, the overall function is towards maintenance rather than change. I prize both managing and leading and attach no special value to either since different settings call for varied responses.
Sergiovanni, 1995:40	concerned with doing right things	concerned with doing things right
Heystek, 2008: 7-8	<ul style="list-style-type: none"> • characterised as working with people and challenging them to aspire to new levels through motivation • is more inclined to open communication and risk-taking, and less restricted by prescribed policies 	<ul style="list-style-type: none"> • more structured approach of working within the confines of rules, regulations and boundaries provided in a school situation • characterised by being structured, rule-bound and taking people in organisations to new levels because the rules require it
Day et al (2001)	perceived to be about the development of people	is linked to systems and 'paper'
Bush (1998, 2003, 2007)	<ul style="list-style-type: none"> • links leadership to values or purpose • ability to influence the actions of individuals or groups; personal and professional values based on the character of the individual and the ability to articulate their vision through the organisation 	<ul style="list-style-type: none"> • management relates to implementation or technical issues • purpose of management in all areas of the school is to enable the creation and support of conditions under which high quality teaching and learning can take place • if the primary goal is education, then the core business of education management is to focus on the effective delivery of teaching and learning • deciding on the aims of the organization is at the heart of educational management
Early and Weindling (2004) & Bush and Glover (2003:10)	the activity of leading people, which implies that things are done through people, with the emphasis on relationships, communication, motivation and emotional intelligence	
Yudelowitz, Koch and Field (2002:2)	the ability to direct change and being future orientated	

A comparative table depicting the various definitions of leadership and management