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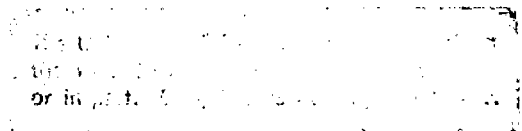
**FACULTY OF EDUCATION**

**AN APPRAISAL OF THE TEACHER INSERVICE PROJECT (TIP) APPROACH  
TO EDUCATION MANAGEMENT AND LEADERSHIP TRAINING AND  
DEVELOPMENT**

**A RESEARCH REPORT PRESENTED  
IN PARTIAL FULFILMENT  
OF THE REQUIREMENTS FOR THE DEGREE OF  
MASTER OF EDUCATION: ADMINISTRATION, PLANNING AND SOCIAL  
POLICY**

**DESIREÉ SCHOLTZ**

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## ABSTRACT

Following the events of South Africa's democratisation in 1994, the country is undergoing transformation processes in virtually all spheres of life. Education is widely accepted as the one field where transformation is most needed. However at school level so many complexities exist, that the management of the process of change and transformation requires a new approach to the effective training and development of education managers. It is precisely in this regard, that this research report seeks to offer an insight into the existing situation and understand the difficulties involved in attempts to address this need, with specific focus on the need for training and development of middle and senior management.

One notable attempt to address the need for formal training and development programs for education managers and leaders in order to meet the demands of transformation, is the organisation development (OD) approach of the Teacher Inservice Project (TIP). Embodied in the OD approach of TIP, is the philosophy and methodology of Action Research, which encourages self-reflective enquiry and allows participants to be active in their own transformation process.

In an attempt to locate TIP within the existing literature, the study shows how much it breaks new ground in the field. This new ground is reflected in the role assigned to action research within OD. TIP's approach to educational management and leadership, has value to both historically disadvantaged as well as advantaged schools, because its understanding of transformation is not solely based on the acquisition of material resources. The present educational crisis has to do with the provision of adequate resources to especially disadvantaged schools.

The Western Cape Education Department (WECD) has taken cognisance of the transformational role of education management, in that it has called on Western Cape Business to advise on school administration. School governance and management would have full responsibility for monetary allocations and thus schools would be trained to run like small businesses. As stated by the Executive Director of the WCED, 'being a principal will change radically and require thinking like a company MD', (Cape Times, 13 March 1998). However this begs the question of how justified the implementation of corporate world practices in education is. One should bear in mind that fiscal expertise is but one of the plethora of skills which current education managers require. OD through

action research could seemingly effect transformation of the entire system within which that school operates.

Conclusions drawn from this research report clearly point to the interdependence of educational transformation as espoused by TIP – to restructure and redefine school management and the national attempt to consolidate democracy within education. TIP helps to focus attention on the need to implement School Based Management (SBM) as an exercise of empowering the teaching profession, because in essence, a critical and constructive disposition is developed in educators through Action Research.

## TABLE OF CONTENTS

Acknowledgements	i
Abstract	ii
 <b>CHAPTER 1</b>	
 <b>AN HISTORICAL OVERVIEW OF EDUCATION MANAGEMENT IN SOUTH AFRICA</b>	
New Policy Initiatives	1
Understanding the Issue: Educators as Managers	2
Education Management and Leadership	4
Challenge of Transformation: Finding a Democratic Management And Leadership Theory	6
The Proposed Shift in Education	7
Conclusion	7
 <b>CHAPTER 2</b>	
 <b>LITERATURE REVIEW AND THEORETICAL CONTEXT</b>	
Education Management: Principalship	11
An Overview of Training Trends for Principals	14
School-Based Management: A Strategy for Shared Leadership	16
Transformational and Transactional Leadership	17
Key Features of Transformational Leadership	18
Educational Policy and Ethics in Leadership	21
Conclusion	23

<b>CHAPTER 3</b>	
<b>RESEARCH METHODOLOGY</b>	<b>24</b>
Qualitative Research	24
The Interview as Research Technique	25
Strategy for Conducting the Interviews	26
Interview Data	27
Processing Qualitative Data	29
Coding	30
<b>CHAPTER 4</b>	
<b>FINDINGS</b>	<b>32</b>
Action Research as Developmental Strategy of TIP	34
Constructing TIP's Identity: TIP as External Agent	36
The South African Schools Act (SASA) and TIP's Philosophy	38
TIP's Understanding of Management and Leadership Practice in Schools	40
Action Research and Evaluation Procedures	42
Conclusion	42
<b>CHAPTER 5</b>	
<b>AN APPRAISAL OF THE FINDINGS</b>	<b>44</b>
TIP's Location within Theoretical Perspectives	44
TIP's View of Management and Leadership: From Theory to Philosophy	45
An Appraisal of Action Research as Methodology	47
TIP's Strengths and Possible Difficulties	49
Conclusion	51

**REFERENCES**

53

**APPENDIX: INTERVIEW QUESTIONS**

a - e

## CHAPTER 1

### CURRENT DEVELOPMENTS IN EDUCATION MANAGEMENT IN SOUTH AFRICA

In order to comprehend the transformation which needs to be effected for a new democracy in South Africa, a revisit of the legacy of apartheid in education is necessary. In 1948, the Christian National Education Policy (CNEP) was introduced as the cornerstone of apartheid. CNEP posited that education for blacks "must of necessity be organised and administered by Whites ..." (Enslin, 1986:140), and that, "the blacks in their state of 'Cultural Infancy' need the guidance of the superior White culture ..." (*ibid.*, p141).

In the CNEP system, not only were blacks dominated, but the educators amongst them were forced to become the ideological indunas of the system. Visionary, inspiring leadership was virtually non-existent as management had to be effected within the ambit of the state-controlled CNEP. In a sense educational managers became accustomed to working in this regulated environment, and became adept at receiving and implementing the instructions of departmental officials (Report of the Task Team, 1996:19).

### NEW POLICY INITIATIVES

After 1994 when South Africa embraced a democratic form of government, the 'new' Department of Education introduced a set of policy initiatives which contained clear implications for planning and effective management. The Department of Education White Papers One and Two, the Report of the Review Committee on School Organisation, Governance and Funding, the National Education Policy Act and the SASA, including provincial legislation and policy documents all placed the South African education system on a track towards a school-based system of education management (Report of the Task Team, 1996). To this end, educational administration was decentralised from national to provincial level, while the SASA entrusted school governing bodies with the responsibility and authority to make those decisions which were central to the effective functioning of the school. Although these developments seem progressive, they still have distinct limitations in respect of, curriculum development, finances and personnel recruitment and selection. The last, as has been apparent in the Western Cape, has been a contentious issue, with certain schools demanding the right to appoint educators of their choice while legislation dictates that newly appointed educators be selected from pre-determined lists.

The scope of this report concerns not education management and leadership *per se*, but the training and development thereof. Although the above documents outline the necessity for education management training and development, for example "the task team is convinced that education management development is the key to transformation in education" (Report of the Task Team, 1996:8), very little has been done about implementation. As the above report has acknowledged, by 1996 there had been little substantial planning about how best to set in place the structures and procedures appropriate to the new needs of the system. The training of leaders and managers has "continued on a 'hit and miss' basis and the numbers reached have been small in relation to the need" (p12).

It is against this background, that a new form of developmental management for change in schools needs to be established. Whilst it is apparent that the new unified education system in South Africa demands transformational managerial expertise across the board, the need is so much greater in previously disadvantaged schools. This expertise, as argued above, was deliberately stifled in the hey-day of apartheid. Any developmental management program thus has to take cognisance of the absence of such a program in the past and the need for one presently.

It is therefore, in my opinion, imperative to look at educators in management positions in the light of the new demands. These demands, wide-ranging as they are, can only be met if a process of deskilling precedes that of reskilling. Education managers and leaders have to adapt both in style and practice to adopt that which is conducive to, and supportive of transformation. It is in this context that we need to understand that the process of transformation must be managed more than led.

#### **UNDERSTANDING THE ISSUE: EDUCATORS AS MANAGERS**

Currently South African schools are grappling with a host of challenges: a knowledge explosion based on the introduction of Outcomes Based Education, social problems which show no signs of abating and the participation of stakeholders other than educationists in the running of the school. As a consequence, in many schools the time available for constructive educational planning has decreased and crisis management has become the norm. School managers are being driven to adopt an expedient management style.

Maxcy (1991) argues that teachers have neither the time nor the inclination to govern educational institutions, but concedes that without proper training educators are ignorant of the intricacies and knowledge needed to participate in school organisation management effectively. Gray (1980) declares that many teachers reject the idea of management applied to education as being outside the ambit and experience of what is needed in education. Given this, it has become clear that as the demands of education management have grown, industrial and business techniques and practices have been foisted onto education – without a thorough understanding of their implications for education. To this end, there is a need to examine and understand the specific needs of schools as they seek to establish best practices for managing themselves. One might argue that a new ethos needs to evolve and to be infused in education where educators are seen as members of teams with specific tasks to perform and accomplish that which is determined by the governing structures. In the private sector it makes good business sense to have qualified managers who are constantly exposed to training initiatives and programs. The question to be asked is why educationists have not grown their own specific methodologies and, indeed, philosophies?

In response to this question, this research report looks at the approach being developed by a group of educators in the TIP. The Teacher Inservice Project (TIP) was established in 1993, with the express purpose of developing capacity amongst teachers, as a constituency which plays "an important role in the social and political transformation in South Africa" (TIP Annual Report, 1996).

A striking feature of TIP is the fact that its entire staff consists of women. It is led also by a female director.<sup>1</sup> TIP is connected to the University of the Western Cape (UWC), an institution which has come to be identified with the upliftment of the poor. TIP's operational base is the UWC Education Faculty and their work is considered equivalent to an extension services project. The organisation, consonant with the aims of the university, has a strong commitment to the poor and the disadvantaged. In a single year for example, TIP was involved in 47 schools, serving the poor in "managing change and

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<sup>1</sup>Whilst this does not appear to be an intentional attempt at gender equality, or women empowerment, Grace (1995:185) provides a probable rationale for this composition:

"[The] interpersonal and educational sensitivities [are] more salient in the accounts of women [managers] and with these sensitivities come a greater caution about the new managerialism ... the discourse of women school [managers] more frequently [takes] teamwork to a normal and organic process ..."

schools development and building leadership and management capacity in schools" (TIP Annual Report, 1996).

Given this background, this report will look at the (TIP) philosophy and the extent to which the organisation provides a viable model for the development of an approach to management and leadership.

## **EDUCATION MANAGEMENT AND LEADERSHIP**

Although management and leadership are inextricably linked, it is nevertheless important to draw a distinction between them. According to Bottery (1992), leadership focuses on human interactions, while management is more concerned with procedure and results – the process of getting things done. Within a diverse body of literature, leadership theory extends from the leader as efficiency expert to the leader as hero. However most theorists like Taylor, Deal and Kennedy in Bottery (1992) draw their inspiration from areas other than education, and fail to address the question of what role a leader should have if a school is to fulfil its educational purpose.

Before specifying who a leader is in education, and what his or her functions should be, it is necessary to focus on what the purpose of educational institutions should be and what sort of culture they should create. Bottery (1992:182) is of the opinion that:

The concepts of leadership and culture are closely bound because the notion of culture helps one to conjure with ultimate visions of education, and of the roles which people must play within them in order for such a culture to be created.

In addition to the varying definitions of leadership, Hoy and Miskel (1982) draw distinctions between elected leaders and appointed leaders, formal and informal leaders. Schools with their focus on human resources rather than technology, would contain individuals who do not hold formal positions, but who nevertheless wield influence and power. The converse is also in evidence, where formal leaders exercise leadership in certain instances but not in others – which could be a consequence of a lack of development and training in leadership skills.

Leadership by its very nature, implies followers – but the loyalty of groups and individuals are situational and differ considerably. For Hoy and Miskel (1982), the concept of leadership remains elusive. They contend that leadership does not only depend on the position, behaviour and personal characteristics of the leader, but also on the characteristics of the situation. Since it is evident that the criteria for leadership are wide

and varied, leadership should thus be transformative, educative and visionary, where leaders treat people as ends in themselves and not merely as means to organisational ends.

Leadership is often confused with administration. Hodgkinson (1983) in Maxcy, (1991) equates administration with a philosophy-in-action – its processes tend to be abstract, qualitative, strategic and humanistic. Management is concrete, practical, pragmatic, and quantitative, among others. Useful as this explanation might be, Hodgkinson neglects to foresee that a philosophy of leadership could grow out of practical situations in which leaders find themselves. Hodgkinson (1983) argues that leadership and management are the same. This conclusion is based on the premise that other studies of leadership have failed to make a logical distinction between administration and management, and failed to acknowledge that administration is intrinsically philosophical (p26). To view leadership and administration as distinct from each other, where leaders are expected to effect change, implement policy, provide direction and vision, is to view administration as a lower-order activity and leading as higher (Maxcy, 1991). This notion in itself creates an organisational hierarchy, since not all leaders are managers, and not all managers are leaders.

In relation to leadership, the Task Team on Education Management and Development (1996:27) have formulated a working definition of management as follows:

Management is about doing things and working with people to make things happen. It is a process to which all contribute and in which everyone in an organisation ought to be involved.

Gray (1980), however, maintains that there are many misconceptions about management, since it is often considered to be a precise technique which could be applied to almost any situation. There is thus the misconception that management skills form a discipline which can be applied in basically the same way to any situation. It is therefore important to determine exactly what management means within the context of education. Within education, one might argue, where human organisation and interpersonal relationships are prominent, management might be associated with:

Activities necessary to influence, control, direct or influence people who have come together with a common purpose ... Good management should be concerned with freeing up the personal energy in an organisation ... .  
(Gray, 1980:9)

It is generally accepted that good management is essential to education, but that its ultimate aim is to promote effective teaching and learning in schools. The SASA (1996) entrenches school-based management, but its success is largely dependent on the quality of the internal management of a school. Since conditions and resources of South African schools vary so vastly, from rural to township, to the formerly 'Model-C' schools, continued assistance and support are essential to ensure that a participatory democratic style of management is sustained.

Each organisation has its own culture or ethos – its prevalent system of values, customs and norms which are peculiar to and characteristic of that organisation (Gray, 1980). To this end each school would need to develop a specific management and leadership style, vastly different from that which dominated during the apartheid era, to promote all the positive ideals and visions of education, the institution and the community. Education management needs to be transformed to develop the capacity to follow through with democratisation of education as part of the post-apartheid democratic dispensation.

#### **CHALLENGE OF TRANSFORMATION: FINDING A DEMOCRATIC MANAGEMENT AND LEADERSHIP THEORY**

A democratic educational system presupposes and requires a democratic society. Hartnett and Carr (1995) suggest that a democratic theory of teacher development needs to comply with three factors. Firstly, it must connect with current social and political theories about democracy, social justice, equality and legitimacy. Secondly, it should be located within a specific historical, political and educational tradition and context. Thirdly, a democratic theory of teacher education needs to re-establish a political agenda and foster networks in the wider society to bring about the changes which are required. An approach of this kind would be in agreement with Aronowitz and Giroux's (1985) notion of creating "democratic public spheres" (in Maxcy, 1991:12). McLaren (1988) in Maxcy (1991), carries this notion even further, and propagates the idea of schools as public networks, as a means of developing democratic principles and practices through debate, dialogue and opinion exchange. Schools should function as sites of democracy and work toward making connections with other democratic public spheres. The ideal is that educators should develop a critical public language and begin to function as transformative intellectual leaders based on social practice rather than expert authority.

## THE PROPOSED SHIFT IN EDUCATION

Hargreaves (1995) considers education to be in a time warp, where it is battling to adapt to what he calls, the post-modern challenge in our modernistic school systems. The accelerated change, innovation and overload as a result of processes of rationalisation, all contribute to intensifying educators' workloads and present new challenges to education managers. This has become a familiar experience in the post-apartheid changing South Africa. Profound changes have taken place with restructuring and downsizing. At the same time the country is attempting to move its schools away from the erstwhile rigid and bureaucratic system of central control, hierarchy of authority and inequitable distribution of resources.

How managers deal with these contradictory shifts are what concerns Hargreaves. He argues that there is a distinct need for flexibility and responsiveness in the way school managers deal with the new environment. He claims that educators and schools respond to the demands of the post-modern age in an inappropriate or ineffective manner – they either cling to modernistic bureaucratic solutions or “retreat into protected webs of common purpose and belonging” (p159). Within the South African context they need to be able to deal with both the macro- and micro-situations in which they find themselves.

## CONCLUSION

How then, given this description of the demands which are placed on the new manager, is the transformation process to be effected? Where is the South African educational system to look for the kind of help it clearly needs? Obviously it remains the responsibility of government to transform educational practice, including that of management and leadership in the schools. Equally obvious however, is the fact that the South African government lacks the resources to seize hold of this situation. It is against this backdrop that one needs to look at organisations like TIP and to see what they offer. The purpose of this research report is to assess the attempts of the Teacher Inservice Project (TIP) to provide a viable means of filling this apparent void. The primary objective of the study is to develop an understanding of TIP's philosophy and its central principles, and to assess its appropriateness as a model for management and leadership training in South Africa. Careful scrutiny of TIP's organisation development (OD) approach is undertaken. This research report seeks to investigate how the whole school development approach of TIP creates the necessary conditions for the development of management and leadership

capacity, simultaneously empowers all role players, and also guides them to realise the transformational objectives of the new education dispensation.

## CHAPTER 2

### REVIEW OF RECENT LITERATURE AND THEORETICAL CONTEXT

We inhabit a world which is characterised by ever-increasing social change. As the world is changing, so too are demands being made for us as citizens to understand it. A veritable plethora of information is available today, which seeks to account for the nature of the world and the change forces which make up its dynamic. It might be argued therefore, that today we have a greater understanding of the social and educational processes which have served to reshape the world (Keeves, 1990:27).

There is much though, of even the most mundane that we still have to learn about the processes of change which are taking place. This study is built on the premise that we do not have enough information about the dynamics of transformation at the level of school leadership and management.

The object of this study and of necessity, this literature review, is to assist us in understanding and being able to position the approach used by TIP within the larger field of practice in management and leadership. This literature review enables us to contextualise and understand the discussion around management and leadership development and training for South African education managers. It is necessary to draw on the wider literature in order to contextualise and gain a broader perspective on the different approaches to management and leadership development. The purpose of this literature review is therefore, to provide an overview of perspectives of management and leadership in education, to examine discussion around the skills which are required of education managers, and the various aspects which play a significant role in the functioning, *i.e.* the role of the principal, decentralised management, transformational leadership, (vision-building, empowerment, shared leadership), as well as the ethics and policy of educational leadership and management. The responsibilities of education leaders and managers are great – this review is about identifying those responsibilities within the South African context, and then determining to what extent some of these issues may be addressed by an organisation such as TIP.

Literature abounds on educational management and leadership, management and leadership theories (Bottery, 1992; Bush, 1986; Caldwell and Spinks, 1988, 1992; Chapman, *et al* 1995; Hoy and Miskel, 1982; Leithwood, *et al* 1996; Leithwood, Begley and Cousins, 1992; Sergiovanni, 1990), and democratically inclined school-based

management (Caldwell and Spinks, 1988, 1992; Chapman, *et al* 1995; Herman and Herman, 1993; Everard and Morris, 1990). However, this literature is mainly of a restricted theoretical nature and tends to reflect the narrow concerns with which education managers need to contend. On the other hand, to a lesser degree there is also a sizeable volume of manuals of how to bring about management and leadership development and training such as that which is embodied, for example, in the work of Everard and Morris, (1990) and Jenkins (1991). Some of this literature is more prescriptive and suggestive concerning development training programs and change within the school (Caldwell and Spinks, 1988; 1992; Fullan, 1993; Fullan and Hargreaves, 1992; Fullan and Stiegelbauer, 1991; Leithwood, *et al* 1996; Sergiovanni, 1990, and more recently, Davidoff and Lazarus, 1997).

Everard and Morris (1990) claim that for too long literature and programs on education management have been found wanting by students, as being too "theoretical, academic, impractical or even irrelevant". Furthermore, this literature does not focus on the real world of the manager but instead on some idealised role which seems to be detached from the real world (see also Thomas, 1991:191; and Hargreaves, 1995).

It is evident from the wider education literature, that the education field, almost everywhere in the world, has been experiencing significant changes in the last ten to fifteen years. These changes are a direct consequence of political, economic and social shifts and include the rise to power of neo-liberalism (Davidoff and Lazarus, 1997; Fullan, 1993 and 1996). It is within this context that school leadership has become a major focus of attention. There are strong calls for democratisation, school-based management, leadership by consensus, and decentralisation, (see Caldwell and Spinks, 1988, 1992; Davidoff and Lazarus, 1997; Duke, 1996; Fullan 1996; Smyth, 1995; Wynn and Guditus, 1984;), where schools are being called to move away from bureaucratic government control towards a sense of autonomy. Many scholars, like Fullan have become advocates for this change. Fullan and others argue that education managers need training and development to meet the challenges of this change, particularly, as Fullan has put it, the challenge of post-modernism and the evolution of politics, economics and social practice.

The literature of this field focuses on the reasons why education management and leadership programs are essential, what should be done, but very little on mediating the links between theory and practice. Even if one argues that Fullan's characterisation of the state of contemporary social practice and the discussion of it is too caught up in the

opaque muddle of post-modern analysis, it is indisputable that there is a woeful dearth of literature outlining how this training and development should be approached and implemented especially within the realm of organisation development. It is nevertheless important to acknowledge the theoretical, reflective genre of literature on education management and leadership which undoubtedly informs the practical aspects thereof. This praxis is of distinct significance to principals, to enable them to make informed decisions which would carry the approval of the majority of stakeholders.

The principal's role as education manager and leader of the school is pivotal to effective teaching and learning, and also in giving direction to the school in terms of its vision and mission. We need to seriously rethink and consider the support structures for principals which are (or are not) in place, to assist them in implementing an effective management system for the school. This chapter outlines the functions and roles of the principal and focuses on the global view of training trends for principals.

## **EDUCATION MANAGEMENT: PRINCIPALSHIP**

Whilst one appreciates the difficulties and problems which could be encountered in formulating a uniform training and development program in education, it does not negate the fact that there are certain commonalities to all schools across the globe. Certain academics view school management and leadership as synonymous with principalship (see Cave and Wilkinson, 1991; Chan, 1991; Herman and Herman, 1993: Ch 5.). This approach looks mainly at the skills and expertise required by principals in order to face the challenges of educational change both on a macro and micro level. There is an extensive literature on what principals should do in order to bring about change in line with democracy, autonomy and school-based management (SBM), but very little to equip the management team to serve the school community professionally, efficiently and effectively. Whilst the proponents of SBM move from the premise that all teachers are leaders and therefore all teachers should receive management and leadership training, it should be borne in mind that the actual management and leadership in terms of responsibility and accountability of a school, ultimately rests with the management team, post level 2 to the principal.<sup>2</sup>

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<sup>2</sup> Post level (PL) 2 is the first promotion level to that of head of department (HOD); PL 3 is that of deputy principal, and PL 4 is that of principal.

In contrast to this literature, my concern is with the lack of discussion around developmental management and leadership training for **all** education managers, i.e. middle and senior management. Currently courses are specifically geared towards principals, but more demands are being made on the management team as a unit, rather than on an individual. More particularly, I am interested in assessing those models which are available with respect to developmental management and leadership education. What do these models suggest for developing strategies for transforming management practices in schools in South Africa? Very few authors draw a distinction between the different management levels and the concomitant development and training required. This is clearly not satisfactory. Nonetheless, it may be expedient to ascertain what the literature says about leadership for headmasters, as the role which he/she plays is of utmost importance and should in no way be underplayed. School leaders, i.e. principals, are identified as one of, if not **the** most important elements of a successful school (Davidoff and Lazarus, 1997; Davies *et al*, 1991; Hart and Weindling, 1996; Fullan, 1996; Leithwood *et al*, 1992;).

An interest in education management development and the role of the principal is receiving increasing attention in response to the large number of changes which are constantly taking place. Different programs have been developed to ensure that principals are able to cope. There is clearly no general agreement within educational systems as to what the functions of the principal are; it is, as a result, difficult to generate criteria for effectiveness. There are nonetheless, a few general features of the principalship which appear in a number of programs. These are:

- Leading professional
- Boundary manager - between school and environs
- Manager - co-ordinating; controlling, decision-making, monitoring, implementation
- Administrator - carrying out routine procedures
- Policy-maker and planner
- Facilitator

(Davies, *et al*, 1991:71).

The upshot of such a list is that the principal is therefore in virtually complete control of every aspect of schooling *per se*. A scenario as outlined above, could easily give rise to bureaucracy and authoritarianism since education has a history of a top-down, hierarchical structure of management. Indeed, this has happened in South Africa, as Walker (1996:46-47) suggests,

Thus, teachers in South Africa mostly do not start from positions of innovative and reflective practice, given the history and effects of

authoritarian surveillance of teachers' working lives, of political oppression, and a truncated view of their professionalism which has turned on teachers as mere instalments of state ideology.

Davidoff and Lazarus (1997:9) identify with this perception of authoritarianism, but view it as a challenge of the new dispensation,

...the greatest challenge in South Africa is letting go of the authoritarianism of the past. ... This authority bound attitude was reflected in our schools, where principals held enormous powers ....

The reform process through which South Africa is going, requires that principals take up the challenge "of letting go of authoritarianism". Leithwood, *et al* (1992) have attempted to describe what this might mean in their discussion of the field more generally. In summary, they argue, a principal's role is multidimensional and requires a familiarity with, and the use of at least four leadership styles. Leadership Style A focuses on interpersonal relationships, encourages a co-operative and congenial atmosphere at school and ensures collaboration with community groups. The rationale for adopting this leadership style is that such relationships are critical to overall success. Leadership Style B centres on student achievement and well-being. This is achieved by adopting the interpersonal emphasis of Leadership style A, and we bring that on to sound administration and the execution of good managerial skills. Program focus and effective programs are central to Leadership Style C. "Administrivia" (*ibid.* p17), i.e. budgets, time-tables and personnel management characterise Leadership Style D.

The scope of the role of principal as outlined above, serves to sensitise education managers to the complex nature and magnitude of change which is required to move from current leadership practices to those demanded of future schools. One can conclude that current school leadership practices are not only inadequate, but need to be redesigned as a developmental strategy, e.g. professional and organisational socialisation.

But how is this challenge being taken up in practice? I now look at a few examples of how educational authorities in a few countries are dealing with the demands of the principalship.

## **AN OVERVIEW OF TRAINING TRENDS FOR PRINCIPALS**

An overview of the trends in development and training for principals in various countries, is necessary and important for the purposes of gaining a perspective on the similarities and/or differences in emergent practice in the profession.

In San Francisco, the Peer Assisted Learning Program (1983), for school principals was developed, based on four years of intensive research to seek a realistic understanding of the principal's role. An important outcome of this program is that principals should develop the capacity for "higher order thinking" to connect their management actions to an overarching perspective of school settings and student aspirations (Cave and Wilkinson, 1991:136).

A concern in Australia was that of the quality of the principals in the public education system. Observational studies proved that there should be a distinct focus on the recognition and importance of headship, and greater knowledge of what headship really entails. However, there was no clear indication of improved or expanded preparation programs for principals other than a theoretical induction program for those newly appointed (Thomas, 1991:189).

The Hong Kong education system left principals with most of the decision-making prerogatives. Principals were concerned about the changes which could be implemented in the period post-1997. It was recommended that training programs should be thorough, vigorous, comprehensive, penetrating, and should focus on conflict resolution, negotiation and the art of team management and flexible leadership. There was a plea that the newly-devised programs should be an improvement on the 30 hour "crash course" designed for vice-principals, which were previously provided (Chan, 1991).

The case of India is perhaps more familiar to the South African context. India saw a dire need to fulfil the educational needs of the growing population and the increasing social demand for education. The glaring similarities are that both countries have recognised the need to address equity in education in terms of access and success, and both are faced with the dichotomy of expanding educational systems in the face of diminishing resources. However, India is a step ahead of South Africa. India has made projections for the year 2000, for those education managers who would need to follow an in-service

program of professional enrichment of at least one week every 3 to 5 years. Sapro (1991) highlights the fact that training needs in education management can be identified for different target groups depending on:

- the general and professional backgrounds
- roles and functions they are required to perform
- problems and difficulties they have to face in the line of duty (p310).

It is pleasing to note that educationists have taken cognisance that leaders are individuals, with different backgrounds and experiences, and should not be thrust into the same programs for the mere sake of development. In focusing on the different target groups, Sapro (1991) is in fact making provision for management and leadership development for all management levels, an imperative for site-based management. Recognition of the above aspects for training and development programs allows one to frame a more realistic picture of actual training needs. The course content should address each level of management and focus on the roles and functions assigned to each category of education management. Wilson and MacIntosh (1991) propose that training programs should take into account the kinds of perspectives administration in training have or need to acquire. Only then can a training program be truly "thorough, comprehensive and penetrating" (Chan, 1991).

It has become the norm that most school principals are promoted from the ranks of teachers. Davidoff and Lazarus (1997:156) maintain that capacity building for management and leadership should not be limited to the management team only, as

There are certain skills and understandings which are necessary and important to leaders and managers. Since all teachers are leaders and managers in their classrooms ... the challenge is to build leadership and management capacity throughout the school community.

Sapro (1991) is realistic in acknowledging the differing roles, functions and responsibilities between teachers and managers. To this end, it is thus imperative to provide pre-promotional, pre-induction training for the promotee operational level managers in the fundamentals of management education. Additional in-service training programs and refresher courses should then occur on a continuous basis. Evaluation and feedback form a vital part of these programs. Sapro places a large responsibility on education management development by asserting that professional managerial competence in education will be the single most important factor to help them (India) prepare their countrymen and women, through the medium of education, to enter the 21st century with a certain amount of confidence.

Education management in South Africa is in the process of decentralisation, from national to provincial, to local governing bodies. This devolution of power and decision-making fosters collaboration and collegiality in the interest of the effective functioning of the school. This new direction is embodied in the philosophy of school-based management. The common thread which runs through the global training trends for education managers, is that the focal area of concern is for the principal. South Africa could borrow extensively from the futuristic attempts being made by India to cater for the year 2000, as well as recognising the various levels of education managers. The devolution of power to school based management necessitates training and capacity building in order to develop a strategy for shared leadership.

### **SCHOOL- BASED MANAGEMENT: A STRATEGY FOR SHARED LEADERSHIP**

School-based management (SBM) is all about building the school as a learning organisation and empowering all stakeholders to participate in decisions which ultimately affect them. Senge (1990:340) presents the future leader as follows:

The new view of leadership in learning organisations centres on subtler and more important tasks. In a learning organisation, leaders are designers, stewards, and teachers. They are responsible for **building organisations** where people continually expand their capabilities to understand complexity, clarify vision, and improve shared mental models - that is they are responsible for learning.

Smyth (1996) provides four factors which make self-managing schools "a pretty attractive" package, and give it "widespread appeal" (p 1099). SBM is:

- Participatory - the rhetoric is that of giving autonomy
- Economical - it is meant to be cost-neutral - (all schools receive the same allocation)
- Compelling - no rational person could oppose greater teacher and parental participation
- Inclusive - incorporates all stakeholders, leading each to believe that the individual position will be promoted.

Clearly since SBM brings greater decision-making power to the school, it also inadvertently creates opportunities for the abuse of that power if it is vested in management alone. The usefulness of such power devolution will now depend on the leadership style(s) employed by principals of schools to which such power has been

devolved. SBM implies transformation and therefore the leadership style has to facilitate such transformation.

## TRANSFORMATIONAL AND TRANSACTIONAL LEADERSHIP

One of the salient features of the literature on education management and leadership is that of the paradigm shift from schools as the objects of bureaucratic government management to that of decentralised, school-based management. Caldwell and Spinks (1988:5) define a self-managing school as:

One for which there has been significant and consistent decentralisation to the school level of authority to make decisions related to the allocation of resources. This decentralisation is administrative rather than political, with decisions at the school level being made within a framework of local, state or national policies and guidelines.

The shift which is required of the management and leadership style to support the self-managing school is a total transformation from authoritarian to a more democratic, participative style. The concept of transformational leadership has been used with increasing frequency in literature about the current trends and restructuring of educational management and leadership. Transformational and transactional leadership are terms coined by Burns (1978), who proposed a new theory of leadership. According to Burns, "leadership is exercised when persons with certain motives and purposes mobilize resources so as to arouse and satisfy the motives of followers" (in Sergiovanni, 1990. See also Caldwell and Spinks, 1992; Cousins, 1996; Leithwood, *et al* 1992; Leithwood, *et al* 1996).

Leithwood, *et al* (1996) argue that most understandings of leadership centre around the role of power. There are two essential aspects of power - motives or purposes, and resources. Transformational leadership not only includes a transformation in the purposes and resources of leader-follower relation, but includes an elevation of both - a change for the better. This type of leadership should be nurtured and fostered. It becomes a moral issue in that it raises the level of human conduct and the ethical aspirations of both leader and led, which has a transforming effect on both (Leithwood, *et al* 1996:786).

At the other end of the continuum, transactional leadership is evidenced when one person takes initiative in making contact with others for the purpose of exchanging valued things, (economic, political or psychological (*ibid.*,786). In contrast to

transformational leadership which is intrinsic, transactional leadership focuses on largely extrinsic motives and needs. Whilst this approach to leadership is necessary in certain situations, it would not ensure that an organisation achieves a level of excellence or new levels of achievement (Caldwell and Spinks, 1992:49). All those sources mentioned above are in favour of a transformational leadership style as it has the powerful capacity for the successful transition to SBM. Sergiovanni (1990) provides further clarification for transformational leadership - he draws on Maslow's theory of human needs, (esteem and self-actualisation), as well as appeals to the moral aspects of goodness, righteousness, duty and obligation.

How does all this impact on development and training for school leadership?

### KEY FEATURES OF TRANSFORMATIONAL LEADERSHIP

The implications for training in SBM reflect the role changes which need to be effected. Principals should be able "to combine the skills of a specialist, with the perspective of a generalist, working with diverse groups to integrate ideas aimed at solving a continuous stream of problems" (Herman and Herman, 1993:91). A new leadership environment demands a differentiated principal preparation and retraining program to incorporate:

- (1) the need for skills in goal setting;
- (2) strategic and operational planning;
- (3) management and theory practice which must exceed that of traditional leaders.

Smyth (1996:1127) cites Kohl's (1983) interpretation of leaders as intellectuals, who are *au fait* with current trends and events in education as well as within the broader context of the world. The intellectual leader uses the circular notion where experience is a basis for theory, and theory is questioned on further experience - theory informs practice and practice corrects theory.

Certain key features of leadership are constantly referred to in current literature - restructuring; vision (and mission); shared/participatory decision-making; autonomy; empowerment, collaborative cultures and others. Fullan (1993:74) warns that the widespread use of jargon hampers conceptual clarity, in addition to the superficial and substantive attempts made at change. There is a distinct shift from instructional leadership, to one which requires a sense of sophistication. Fullan (1993) finds it

This empirical evidence bears testimony to the fact that vision-building is imperative in the transformational process. Transformational leaders should heed Heifetz and Sinder's (1987) poignant reminder, as quoted in Mulford, *et al* (1991:186):

A leader's vision is the grain of sand in the oyster, not the pearl.

Secondly, Caldwell and Spinks (1992:55), maintain that leadership which empowers others is central to success in a self-managing school, especially with respect to decision-making (see also Blase and Anderson, 1995:30; Fullan, 1992; Leithwood, *et al* 1992). The key to empowerment is to revise "structures and processes" (p203), which would disperse leadership throughout the school, so that in self-managing schools the principal becomes the leader of leaders. Duke (1996:861) points out that teachers should not become passive beneficiaries of empowerment, but should realise their roles in shared decision-making for, and with parents, and within that there is also the propensity for conflict and disagreement. Duke (1996:861) raises the crux of the problem at hand, that "little in the current thinking of principals prepares them to promote empowerment, manage conflict, or cultivate staff leaders".

Transformational leadership is in itself a profound form of empowerment as it unites leaders and followers in pursuit of common goals by working together towards a common purpose. Sergiovanni (1990) augments Burn's concept of transformational leadership by propounding the notion of value-added leadership of empowerment, ennoblement and enhancement. These features are prominent in the four developmental stages of leadership and school improvement discussed by Sergiovanni, (1990:39-40). They are: leadership as **bartering** (the initiation stage), **building** (this stage of uncertainty arouses human potential which translates into aiming for higher levels of commitment and performance), **bonding** (transformative stage, where organisational goals and purposes are elevated to the level of a shared covenant which bonds leaders and followers in a moral commitment), and **banking** (where improvement eventually becomes routine).

Sergiovanni's (1990) version of empowerment is that of exchanging *power over* to *power to*. A leader who practices value-added leadership will be more concerned with controlling the accomplishments of shared values and goals. When SBM is understood in this way, the triangle is exchanged for a circle (*ibid.*, p104). However the circle should not only include the principal and staff. Education reformers advocate that parents should play a greater role in decision-making processes. This is very vividly outlined in

the South African Schools Act (1996). The empowerment of parents should include capacity building in order to enable them to exercise their function effectively.

Thirdly, sharing leadership and promoting professional development is more complex than the simple devolution of power, or handing over of the reins. Leaders need to realise that the organisation is larger than the individual, and that it is in the interest of the organisation and its constituents that shared leadership is to be exercised. A culture of shared leadership and collaboration should thus be inculcated. Fullan and Hargreaves (1992:121) are among the proponents of this culture and claim that

heads who share authority and establish conditions conducive to empowerment, actually **increase** their influence over what is accomplished in the school, as they work with staff to bring about improvement.

Further justification for shared leadership is the probable problem of overload. When responsibility is left to the principal primarily, overloading could result in incorrect solutions. In addition sole leadership fails to prepare teachers for future leadership roles (Fullan and Hargreaves, 1992).

Leadership is in itself a moral exercise. It is therefore necessary for education policy to ensure that leadership conforms to ethics which foster morality. In this sense then, shared leadership is more than power-sharing - it is about set values and norms.

#### **EDUCATIONAL POLICY AND ETHICS IN LEADERSHIP**

Administrators who need to initiate new directions in education ought to be aware of the normative demands associated with leading. Maxcy (1991:79) argues that a moral/ethical responsibility rests with the educational administrator. Beck and Murphy in (Maxcy, 1991) echo this sentiment and claim that educators should be cognisant of the ethical implications of their work and must be guided by morally sound decisions. Ethics provide principles to guide administrators towards morally sound decisions. To this end, Pratte (1988) and Green (1985) in Maxcy (1991) propagate developing a public as opposed to a private conscience. The outcome of a public conscience has consequences which go beyond the individual. The public good cannot be served optimally by "the inherent confidentiality of a private conscience" (*ibid.*, p128). Ultimately, effective, shared leadership cannot be promoted by private moral visions.

Maxcy (1991) implores education leaders to engage in policy deliberation, formulation, analysis and evaluation. Leaders must know policy if an organisation wishes to achieve its goals. The significance of educational policies for school leadership is outlined as follows:

- Educational policies are rules for the guidance of decisions which could arise in future operations of the school;
- Policy regulates decision behaviour;
- Policies are responsive to contextualities, i.e. they lack universality, what works for one school may not work for another (*ibid.*, p81).

Administrative leadership changes its meaning to accommodate the political culture or economic climate within which it operates, as well as the notion of expertise adopted by the leader. Maxcy (1991) stresses the need for reflective leaders to acquire knowledge of critical thinking methods for implementing sound transformational leadership.

Critical Leadership Studies (Grace, 1996), have been constituted as a new framework for understanding leadership. It is a framework which shifts the focus from education management to education leadership, "and which articulates new and emancipatory notions of what such leadership could be" (Grace,1996:3). Leadership is seen to be central to critical practice, as it advocates reflective and critical thinking about the culture and organisation of educational institutions, and about the ways in which that culture may need to change. Leadership as critical practice is very closely linked to transformative leadership (Foster, (1989), in Grace (1996)). The aim is to transform cultural and social relations, not as an individual act of charismatic leadership, but as a shared exercise of the teachers, pupils and the community. New forms of academic and professional education would have to resource new forms of transformative leadership.

Leadership for the future should fall within the critical theory paradigm as it must aim to enlighten the constituents and improve the lives and practices of those within the organisation - a change for the better. This change is brought about by presenting an analysis of the present and formulating a vision for the future. So doing, it raises the consciousness to mirror leaders' own positions and what changes need to be effected - a sense of liberation from the historical, social and intellectual constraints, a sense of demystification and empowerment (Bottery, 1992:187).

## CONCLUSION

The literature which is available across the broad spectrum of education leadership and management, is undoubtedly essential to any further research in the field. It allows one to gain an extensive overview of what has, and is transpiring and developing in the research domain. The on-going research bears testimony to the import which the topic commands, as well as the concern for developing polished, visionary, dedicated leaders who would take pride in promoting the comprehensive styles, patterns and roles which research has thus far provided.

It is interesting to note that while the literature extensively covers most aspects of education management and leadership development, there is not much focus on the role and usefulness of action research for management and leadership development. TIP's different approach of combining the aspects of organisation development, school-based management and holistic development of interdependent parts within the framework of action research, begs new research on the effectiveness thereof. Close scrutiny of the literature reveals that the writings of Leithwood, but more extensively that of Fullan, provide the impetus for the Teacher Inservice Project (TIP) philosophy of transformational leadership. However, their focus on action research as philosophy and methodology provides a new dimension to education management and leadership development and training. In this sense action research is incorporated by TIP as a means to effect transformational management and leadership. There seems to be a distinct chasm in the literature of this different approach, which advances the cause of further longitudinal studies on the efficacy of a philosophy such as propagated by TIP. Most management teams in township schools share similar problems, frustrations, insecurity and uncertainty, which the findings of research of this nature might help to alleviate.

## CHAPTER 3

### RESEARCH METHODOLOGY

This chapter aims to present an account of the methods and procedures of inquiry that are employed in data gathering for this research report.

#### QUALITATIVE RESEARCH

Whilst there are many methods for conducting quantitative research, there are certain features which occur in most types of qualitative enquiry. The following features which have been outlined by Bogdan and Biklen (1982) in Tuckman (1988:388-389), are significant to this research report (see also Miles and Huberman (1985:6-7):

- qualitative research is conducted by means of a 'field' or life situation and the researcher is the key data-collection instrument;
- the aims are, firstly to describe, then analyse;
- the focus is on process as well as outcome;
- most data are analysed inductively;
- the central concern is with the meanings of things, *i.e.* the *why* as well as the *what*.

As posited by Frankel and Wallen (1993:408),

the rationale for choosing one methodology over another is connected to the nature of the subject studied and the underlying goals of the research. Through empathetic understanding and direct experience of the social world, we gain insight into a given social phenomenon.

Because this study accentuates and explores the dire need for management and leadership training and development of education leaders and examines this aspect within the Teacher Inservice Project's (TIP) organisation development (OD) model, it was necessary to employ a methodology that incorporated the experiences of the TIP facilitators. These experiences included their perceptions and interpretations of the current state of management and leadership in schools, the proposed level of management and leadership potential aimed at, as well as how this would be achieved within OD, where management and leadership is considered the pivotal aspect within the holistic model. To this end, the evaluative survey seemed most appropriate in the sense that the settings are known and the data required is reasonably well defined by the

research proposal. Since evaluation is linked to a criterion measure, *i.e.*, assessment and appraisal of management and leadership in the TIP program, the evaluative survey can be conducted within TIP as a single group and need not be a group-to-group comparison. Although education offers innumerable opportunities for this method of research, the drawback is that an evaluation of a program has often been equated with evaluation of staff. Evaluative data could thus be taken out of context, thereby posing a personal threat to staff members (Fox, 1969:434-435). This report bears no semblance to any school or staff members, but focuses exclusively on appraising the management and leadership program as presented by the Teacher Inservice Project (TIP).

The research instrument employed to acquire knowledge and insight into the aspect of capacity building for management and leadership in schools, was that of the interview.

### THE INTERVIEW AS RESEARCH TECHNIQUE

The interview must be considered as a complex social situation in which the interviewer and interviewee are making continuous adjustments to the responses of one another (Travers, 1969:143).

The purpose of the interview as research technique was to derive meaning, experiences and motivations of management and leadership in the schools which the respondents encountered in the course of facilitation. The interviews, *i.e.*, "the careful asking of relevant questions" (Fraenkel and Wallen, 1993:385), were designed to discover how the TIP facilitators interpreted management and leadership within the holistic OD model and how those interpretations were applied as a basis for development and training.

The prime criteria for the interview as research instrument were:

- four out of six facilitators were selected as interviewees
- direct, face-to-face interaction was imperative in order to elicit the desired information
- the semi-structured interview as technique is both flexible and adaptable and thus allows a greater propensity to motivate and probe the respondent.

The interview as research technique for this report was most appropriate because as Kitwood (1977) in Cohen and Manion, (1994:282) suggests,

... the main purpose of using an interview in research is that it is believed that in an interpersonal encounter people are more likely to disclose aspects of themselves, their thoughts, their feelings and values, than they would in a less human situation.

The procedure, interview schedule and analysis used for this study were in accordance with that of McMillan and Schumacher (1993:250-255) and Cohen and Manion (1994:285-287). Semi-structured interviews, organised into pre-determined questions, were the main methods of data collection. Semi-structured interviews are verbal questionnaires designed to elicit specific answers from the respondents. During the interviews more questions emerged based on the responses provided from the pre-set questions.

### **STRATEGY FOR CONDUCTING THE INTERVIEWS**

An advance approach was made by letter to the Director of TIP, Ms Davidoff, to inform her of the nature of the research and to obtain approval for further investigation by means of interviews and TIP working documents.

Thereafter, a meeting was arranged with all the TIP facilitators where I briefed them in further detail on what I would be engaged in. No disapproval was expressed, and I was granted permission to proceed with the research project. It was decided here which four representatives I would be interviewing. Two sets of questions were compiled - that of a more philosophical nature of the organisation, and that of the operational level, although questions and/or responses invariably overlapped (see appendix). Each set of questions would be put to two interviewees, for the purpose of amplification rather than verification.

The more philosophical-type interview questions were put to two of the four interviewees, who were founder members of the Teacher Inservice Project (TIP). Ms Sue Davidoff (Director), and Ms Brenda Sonn were immersed in action research both on a practical level in schools, as well as on an academic level, having read for the M. Ed. in this specific discipline. This was the genesis of TIP as a non-governmental organisation involved in the holistic development of a school, within the broad framework of OD. The questions on the more operational level were posed to Ms Karen Collett and Ms Kabali-Kagwa, who joined TIP at a later stage (approximately 1½ years at the time of the interview), and were also actively involved in facilitation.

Before conducting the interview, the interviewer briefly explained what the interview was about in order to place the questions in perspective - that of management and leadership within OD. The responses to the interviews were taped in conjunction with key notes which were made. I elected to use a tape recorder to collect information more

completely, to preserve the continuity of the interview and to record the responses more objectively. This is adopted from Keeves (1990) and Fox (1969) who advocate the use of a tape recorder, as

freeing the researcher from the necessity of writing incessantly as the respondent speaks, makes it more likely that the interviewer can establish the natural human interrelationship so critical to success in the personal interaction.

A problem which I encountered was that of the different nuances of question content. My focus was a more general one, which sometimes seemed problematic since the respondents' locus was that of a more specific situation in a specific school. It did not always seem feasible to extract the management and leadership aspect from the OD approach, or to locate management and leadership independently, as TIP's focus is on the holistic model, where all parts of an organisation are interdependent.

Silverman (1993:117) cautions that "it should not be assumed that the preparation of transcripts is simply a technical detail prior to the main business of analysis". Close, repeated listenings to the recordings are essential to reliable transcriptions, which frequently reveal "unnoted recurring features of the organisation of talk" (*ibid*). Silverman (1993:119) cites Heritage's (1984) apt summary of the advantages of transcripts:<sup>3</sup>

The use of recorded data is an essential corrective to the limitations of intuition and recollection. In enabling repeated and detailed examination of the events of interaction, the use of recordings extends the range and precision of the observations which can be made. It permits other researchers to have direct access to the data about which claims are being made, thus making analysis subject to detailed public scrutiny and helping to minimise the influence of personal preconceptions or analytical biases.

## INTERVIEW DATA

Silverman (1993) distinguishes between two versions concerning the status of interview data, that of positivism and interactionism. The positivistic stance is that interview data give us access to 'facts' about the world where valid and reliable data may be generated by the administration of random samples and standardised questions. Interactionism posits that interviewees are portrayed

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<sup>3</sup> The transcripts are available for verification.

as experiencing subjects who actively construct their social worlds. The data generated here give an authentic insight into people's experiences by means of open-ended interviews.

The positivistic stance focuses on 6 kinds of topics to which interview questions should be addressed (see Silverman, 1993:92). However for the purpose of this report, the topic of **standards of action** is significant, as:

These relate to what people think should or could be done about certain stated situations. Here it helps to link such standards to people's experiences. Where someone has actually faced a situation of the type described, his/her response is likely to be more reliable.

This is distinctly relevant to this research report which relied primarily on the data gathered during interviews, based solely on "people's experiences" (*ibid.*). For positivists, one way of achieving reliable and valid data is by conducting standardised, rather than unstructured interviews. The need to follow a standardised protocol is the essence of achieving and maintaining reliability. The standardised protocol for interviewers includes asking questions precisely as it is worded, and in the same order, not revealing surprise or disapproval of responses or suggesting possible replies.

When one moves away from the positivistic standardised interview towards a more open-ended interview, one enters the terrain of interactionists, who posit that "the social context of the interview is intrinsic to understanding any data that are obtained" (*ibid.*, p94). Denzin (1970) in Silverman (1993) cites an important preference for open-ended interviews, that they allow respondents to raise pertinent issues which may not have been covered in the interview schedule. This would ensure a more detailed and broader perspective of the topic being covered. Although the open-ended interview is deemed more flexible, positivists are wary that this could result in a lack of comparability of one interview with another.

One could be lured into adopting the more interpretivist and humanistic stance of interactionism above that of the purely technical version of interviews as espoused by positivists. Interactionists like Glassner and Loughlin (see Silverman 1993:106), assume that the cultural world is more complex than positivism would give recognition to, and therefore advocate that it would be more appropriate to ensure systematic observation before an interview is conducted.

A major concern is that interview data can be biased. Positivists attribute possible bias to bad interviewers and bad interviewees - this could be interpreted as the

untrustworthiness of respondents and their inability to comprehend social scientific language (see Silverman, 1993:107). The interactionists' concerns of bias are reflected in how respondents may distort social reality or conceal what the interviewer most wants to know (*ibid.*). Therefore the issues of bias for positivists and interactionists are that interviewees may have an intellectual inability to provide the apt, required responses, or it could be a moral issue of deliberately or inadvertently distorting social reality. However, what cannot be refuted is that bias is inherent in all research, and that data are highly susceptible to distortion. Leedy (1980) avers that bias may innocuously creep into the research design, where an interviewer's personality or paralinguistic factors such as tone of voice or accent, may influence the manner in which the respondent replies. It is considered inexcusable "for the researcher not to acknowledge the likelihood of biased data, or to fail to recognize the possibility of bias in the study" (Leedy, 1980). Since bias is omnipresent in research, the pivotal concern is controlling bias rather than denying its existence.

While the two perspectives of positivism and interactionism seem apparently incompatible, one should not perceive interviews as **either** potentially factual reports, or only as contextually situated narratives. Since interviews on social disciplines, e.g. such as education, are by their very nature subjective, it would indeed be difficult to assume an absolutist either/or approach. It is my contention that both perspectives are of value to qualitative research in order to attain a balanced perspective of data related to the topic under research. This is clearly evident in the interviews conducted for this report (see interview questions and analysis).

## **PROCESSING QUALITATIVE DATA**

Travers (1969:361) is of the opinion that qualitative data seems to be the norm rather than the exception in educational research. He cautions that the "mere inspection of data without the aid of systematic analysis is a hazardous process" (*ibid.*), thus data should be analysed to eliminate personal prejudice from the interpretation of the material. Verbal responses do not easily lend themselves to immediate analysis in the same manner that numbers do. To analyse such data it is necessary to resort to the process of content analysis. This is a procedure for the categorisation of verbal data for the purposes of classification, summarisation and tabulation (Fox, 1969:646; Sowden and Keeves, 1990:518,519).

In order to obtain maximum effect of content analysis, it is necessary to draw a distinction between the manifest level and the latent level (*ibid.*, p647). The former denotes the content analyses of the respondent's response, devoid of any bias or assumptions - it is merely a direct transcription of the response. The latent level is used to code the meaning of the response or the underlying dynamics which motivate the behaviour described - to infer what was implied or meant.

Qualitative data analysis is a reflective activity that usually produces a set of analytical notes that guide the process. However, the eclectic nature of qualitative data analysis dictates that "there is no 'right' way" (McMillan and Schumacher, (1993:484). The process of inductive content analysis for this report was informed by McMillan and Schumacher (1993: 482 - 499).

After the interview transcriptions, data were segmented into relevant units, within a holistic perspective. Close reading of all the transcriptions was essential to facilitate the interpretation of data into smaller units. The content analysis revealed certain topics or categories from which a pattern was deciphered. For this to be effected, it was necessary to engage in "discovery analysis and interim analysis" (*ibid.*). Discovery analysis strategies are employed to develop tentative and preliminary ideas during data collection, while interim analysis allows the researcher to make decisions in data collection and identify emerging topics, organising and classifying topics and categories, and recurring patterns (see McMillan and Schumacher (1993:484 - 486) for a discussion of these analyses as well as Miles and Huberman's (1985:10 - 15) concurrent flows of analysis activities, i.e. data reduction, data display and conclusion drawing/verification).

The process of interim analysis is imperative to coding the topics and categories. Qualitative data analysis is the integration of organising, analysing and interpreting data. To this end, coding is a useful process.

## **CODING**

Once interview data have been collected, the next stage involves coding, "the translation of question-answer responses and respondent information to specific categories for purposes of analysis" (Kerlinger, 1970, in Cohen and Manion, (1994:286). Pivotal to the success of document analysis is the precise definition of those aspects of a document's contents that the researcher wants to investigate, and then to formulate relevant

categories that are so explicit that another researcher would in all probability find the same proportion of topics emphasised or ignored (Fraenkel and Wallen, 1993:390).

According to the methodology of coding in McMillan and Schumacher (1993), the data collected were segmented into units of meaning called topics, and grouped together into larger clusters, i.e. categories. These are developed by comparing each category with other categories to identify distinctive attributes. This report consists primarily of emic categories of data which "represent the insider's view such as terms, actions and explanations that are distinctive to the setting or people", as opposed to etic categories which represent the researcher's concepts and scientific explanations (*ibid.* p493).

The next step in the progression of data analysis is for McMillan and Schumacher (1993:495), the ultimate goal of qualitative research – "to make general statements about relationships among categories by discovering **patterns** in the data". Sowden and Keeves (1990: p518) posit that analysis of qualitative research data passes through three interrelated stages, i.e. data reduction, data display and conclusion drawing and verification, that are not sequential, but form an iterative process. These three stages were adopted and adapted in the data analysis for this research report with a view to ensure greater reliability and validity of the findings.

As a pilot run, Ms Davidoff's transcript was used to develop a set of codes or key words, which served to formulate a summary of the major thrusts and themes which emerged. This decision was based on the fact that she holds the position of director/founder member, and also because of the philosophical nature of the interview. Since the methodology employed in the pilot run seemed to provide a sound technique for data analysis, the other transcripts of interviews were approached on the same basis. This allowed for the data of the four transcripts to be compared and contrasted in order to gain a composite picture of the codes, themes, patterns and categories, and to take issue with the salient features which constitute the central tenets of this report. Ultimately, these details were used to report on the findings and verifications as outlined in the next chapter.

## CHAPTER 4

### FINDINGS

The primary function of this chapter is to relate the findings of the interviews conducted with the TIP representatives. The focus of the interviews was essentially on TIP's approach to management and leadership development in schools, and looked extensively at their philosophy of Organisation Development (OD) and their use of Action Research as their developmental methodology. This research report focuses on how management and leadership is dealt with within this approach. The presentation of the data is divided into the various elements pertaining primarily to leadership and management, which featured prominently during the interviews. Since qualitative research is by its very nature subjective, every effort has been made to minimise the element of bias in my relation to, and interpretation of the data, in order to mirror a reasonable reflection of the transcripts.

The most striking feature of the Teacher Inservice Project (TIP) is that its origin explains its philosophy. The founder members were involved in research activities relating to the improvement of classroom practice, which used the approach of Action Research. There is thus a distinct relationship between the educational histories of the TIP founder members and TIP's philosophy for OD. This is directly acknowledged in the following quotation from a founder member:

our theoretical understanding came from the action research approach because we were in the action research project.

More specifically, one can trace the TIP philosophy to four major influences. In the first instance, many elements of the TIP approach come from their involvement with the Materials Development Project (MDP) as well as the Teacher Action Research Project (TARP). This experience convinced them that if they wished to develop good classroom practice amongst teachers, there needed to be a development of the whole school as opposed to a focus on individual teachers. The objective of the MDP was to "publish and disseminate innovative teaching materials of practicing teachers" (Robinson, 1993). The MDP approach draws very much from action research because the "process of materials development takes shape through collaborative teacher reflection, action and evaluation" (*ibid.*). This activity falls "within the framework of emancipatory action research". I concur with Robinson that this speaks of a political commitment, and in this sense "action research forms a powerful basis for teacher development in South Africa" (*ibid.*, p72). The Teacher Action Research Project operated in conjunction with the MDP, since both

projects shared a common objective, to realise the goals of action research, to emancipate and empower the teacher, *i.e.* reskilling as opposed to deskilling. Both projects functioned within the Department of Didactics at the University of the Western Cape, but later merged to form the Teacher Inservice Project (TIP). A fieldworker relates that,

we started having discussions about what we should do – about having one project instead of two. ... We felt we needed to start a project using our experience and learning from the past.

Following this, the Director explained that she had learnt that the notion of whole school development implied the building of a very strong organisational base. This approach called for an effective management and leadership team, good governance, committed staff members, and inspired pupils and parents who ideally shared a common mission and vision which evolved as a consequence of a democratic process. It appeared from the interviews that TIP had taken this philosophy into its own genesis and had developed staff development sessions built around the understanding that the school operates as an organisation of interdependent parts. OD as an overarching approach thus emanates directly from staff members' involvement in MDP and TARP. Also emanating from this experience is TIP's deep commitment to action research.

Another source of influence came from the input of an OD consultant, David Scott whose experience of how organisations work was effectively utilised in TIP staff development sessions. This reinforced their perception of the school as an organisation. In these sessions emphasis was placed on the fact that the process of development could only be realised if development was seen as transformational.

Another source was Fullan's work, which focuses primarily on the transformation and democratisation of schools. According to a fieldworker it is about "what teachers needed to change, not only the practice, you have to look at the whole school context". Interestingly, other than the reference to Fullan, the fieldworkers do not believe in presenting the role players at schools with a course based on a whole range of theoretical learnings. They prefer instead to stimulate consultation with teachers about the teacher's own practice. A TIP coordinator relates their origin as follows:

Our theoretical understanding came from action research because we were in the action research project. We got a lot from OD – a broad approach to OD and we also drew a lot on Fullan's work ... When we looked at a change in schools, about materials, what teachers needed to change, [was] not only the practice...

As this foregoing discussion has showed, there is a strong relationship between OD and action research in TIP's philosophy. It is evident that action research plays a fundamental role, and is the grounded theory of TIP's OD approach, providing the framework for all the other aspects of their work. Their literature claims that whole school development as a transformational process, takes place within an educational system which needs to adapt to the challenges that the past and present political dispensations present. The concern of TIP is that the legacy of apartheid has left teachers demoralised and disempowered. Schools have, as a result, in the words of the director, "been conditioned to be compliant, obedient, unquestioning institutions, not taking initiative for themselves, and in the history of apartheid they have been left in a very, very terrible mess". As well as addressing the need for empowerment through critical debate around transformation, TIP sees its OD and Action Research philosophy as an attempt to redress the effects of the past system's imbalances of inequality, inequity, to provide previously disempowered groups with an approach which will help them to seize control over their own destinies and to do so in ways which promote reflection and collaboration. The Director explains this as follows:

One of our fundamental principles is around empowerment of teachers and ownership of the process of change. So all of our workshop processes are designed in such a way as to give as much opportunity to the teachers or whoever the participants are, for their voice to be heard, because we believe that that is how the process of change is really going to take root.

It is thus quite significant that this project was mooted for application in township schools, where the need for empowerment was deemed to be acute, as a TIP fieldworker explains, "I think that's where the greatest need is. I think that's where the greatest need has been historically".

### **ACTION RESEARCH AS DEVELOPMENTAL STRATEGY OF TIP**

According to TIP, action research is central to OD and thus fundamental for whole school development. Action research has much to do with ownership and implies educationists taking responsibility for their own situation. A fieldworker in TIP claims that it also affords teachers the opportunity of establishing the needs of their profession and practice within the whole school context, because

... you have to look at the whole school context if you want to bring about change. An understanding of something bigger has to happen than that which happens in the classroom.

Attendant to this is that development is initiated from within and every staff member has the opportunity of making an input to address those needs. It is implicit that action research as a dynamic process creates an important diagnostic as well as prognostic evaluation mechanism since transformation forward is always based on what has transpired in the past. Based on this, TIP has managed to develop its own theory and structured its own approach to its practice. This idea is reinforced by the recurring claim to "our own understanding of schools ... developing our own literature.... our own work ...our own enquiry and reflection.... We've shaped everything ...to keep abreast of our own practice".

There is agreement that action research unleashes the forces necessary for change because it identifies and empowers the internal agents of change. Importantly also, is the fact that action research helps to focus on the pivotal role played by leadership and management, but in a way that is non-threatening to both management as well as the managed constituency. A fieldworker coordinator explains that they (management),

are blamed...and then not to leave it there but to sort of draw out certain learnings ... and do it differently...start off by looking at ways in which people can start talking about management and leadership in a non-threatening way, not blaming anybody , and the idea is that if there's a problem at the school, we're all part of the problem. And if there's a problem with leadership do I contribute to the problem by not saying anything? ...That's the idea of having that discussion, where people can openly think about leadership without leadership figures getting threatened.

Thus through action research, the importance of both parties is accentuated – all staff members are seen as part of the problem as well as the solution. It must be borne in mind that TIP is not only dealing with trial and error attempts but invariably find themselves in an experiential and experimental stage by virtue of their relatively recent existence. It is interesting to note that TIP's claim to sovereignty over their philosophy is based on action research. They claim that they have developed their own understanding of what they are doing, why they are doing it, through their own enquiry and reflection and staff development processes while they have, as it says "borrowed very little from elsewhere". The founders of TIP developed a sensitivity for transformation of schools and this served as a stimulus for adapting the OD approach, where the school is seen as an organisation of interdependent parts.

## CONSTRUCTING TIP'S IDENTITY: TIP AS EXTERNAL CHANGE AGENT

TIP confidently engages with schools, because within schools internal conflict and dynamics favour the use of an external change agent for development. The literature reveals that in the past schools have been conditioned not to take initiatives for themselves. Fieldworkers of TIP are of the opinion that this invariably adversely affected the staff so that latent conflict was never resolved and development as a consequence of critical thinking did not feature prominently. As an external change agent, TIP sees itself as an independent facilitator able to create opportunities for openness, and freedom of speech, thus moving towards breaking the culture of silence. A TIP fieldworker relates that

The schools that we work at, they appreciate an external person because it frees up everybody on the staff to speak about what needs to happen there. They also like to have somebody who is neutral, who will take the side of the school ...

TIP attempts to adopt a neutral stance by presenting itself as taking the side of the school as opposed to this or that individual or group, and in so doing directs the input of staff members towards the objective of effective whole school development. This role is important because invariably initial requests for its interventionist and facilitative approach come from activists within specific schools. TIP presents itself as a non-partisan external agent that facilitates transformation directed at addressing the mutations of action research processes which they propagate. TIP's philosophy of action research underpins the notion that whatever changes the organisation and its members need to address should emanate from development initiated from within the school. In this sense, TIP's intentions with the school create a peculiar power relation in which TIP's approach as facilitator is enhanced. The Director posits that in this context TIP is "not prescriptive, but [they're] not neutral" as they have "a certain set of beliefs, assumptions, values and [they] feel that it's [their] responsibility to make it as transparent as possible".

As an organisation, within the context of school development, TIP deals with capacity building for leadership and management on two levels – the formal theoretical level, and the practical level. The theoretical level focuses on providing a foundation of leadership theory, while the practical level concentrates on the implementation of theory through workshops. By focusing on leadership and management, they hope to lay the foundation for a participatory decision-making approach to school development. From the outset, programs to address these issues have been approached as a development for transformation exercise. From the interview transcripts it is clear that TIP identifies this as

a major concern. Implicit in the transcripts is a causal relationship between the bureaucratic structures of the apartheid era, and the lack of middle and senior management, because "all the kinds of skills and abilities and competencies which one would normally expect of teachers were actually discouraged in the apartheid government". As a result, according to a TIP fieldworker, "...there are very few people in the schools who have the insight to see when things are wrong ... [and] what needs to be done about it". The dilemma of leadership and management at schools is further exacerbated "because people are promoted to management positions ... and they're in there – and they don't have any management skills and they don't know what to do". This not only hampers transformational development but causes a serious lack of accountability.

One of the tenets of TIP's approach to leadership and management is that the management team should not be allowed to stand aloof from the staff, but should, in fact be seen as part of the staff. A TIP fieldworker provides a practical example of this:

...for example, if a school has called us in to work out a process amongst teachers around an appraisal system, then the staff, that forum, takes the process ahead. The principal is part of that forum, so are middle management and senior management, and decisions are made about how the process goes on, what needs to be implemented next, and even within that, people are mandated to take on responsibilities – but the agenda and what needs to happen – the planning for the way ahead – it comes out of that process.

This is important in that it ensures equality of voice and through this TIP hopes to develop a critical, but committed mass in each school, who would positively drive the process of transformation. To this end, TIP seeks to ensure that all role players are willing and committed to change, and feel empowered by the capacity to listen and contribute. The skilful use of TIP's discourse is encouraged.

Another principle allied to this is that TIP does not only perceive their partnership role as a support mechanism to resolve conflict, but as an aid to develop an understanding amongst role players that conflict is inherent in any organization and could be a powerful stimulus for change. A TIP fieldworker explains:

We also try and get people to begin to talk about things that disturb them, but also to acknowledge when people also sometimes do things well. Because that also sometimes breeds conflict, and to be aware that sometimes you need to actually ask a third party who is neutral to come in and facilitate that sort of process.

As espoused by TIP, conditions make it difficult for schools to always identify problems and develop the concomitant skills to resolve them. Conflicting inter-personal relationships, internal politics and positional power relations among staff members, could complicate initiatives for change. This could further exacerbate tension, by utilizing any individual staff member as internal change agent, because it could provide fertile soil for suspicion. It is against this background that TIP justifies its role as an external agent more appropriately placed to facilitate change.

TIP holds a non-negotiable view that the school IS THE locus of change and although they do not completely concur with aspects of the South African Schools Act (SASA) they accept that their development strategies will have to take cognisance of the entire Act. They are therefore seeking to apply their OD philosophy as a transformation strategy in such a way that the process of democratisation of school management and governance and empowerment of stakeholders meet with the objectives of the Act as well as that of their OWN philosophy. As the Director says:

There are lots of things in the Schools Act we support, but there are lots of other [things about it] where the implications [are] controversial. But we believe that as the Schools Act would say, that you need to look at the whole school and the governance of the school, and the day to day management of the school.

The SASA, and TIP's stance with respect to it, provides a useful illustration of TIP's philosophy. While SASA provides the legal framework for the democratisation of structures and procedures, TIP engages in the implementation and practice thereof. To this end there seems to be congruence between the organisation's philosophy and the new legislation.

### **THE SOUTH AFRICAN SCHOOLS ACT (SASA) AND TIP'S PHILOSOPHY**

SASA provides the legislative guidelines to establish the ideal school, but it must be understood that this is effected within a political framework bent on bringing about equality and equity. TIP's primary goal is to help develop the ideal school through OD, but within the context of the current political dynamics. Their respect for SASA notwithstanding, TIP is aware of the need to project itself in non-party political terms as an agency focusing on empowering all staff members irrespective of their political persuasions.

According to a founder member, the legacy of apartheid education has left schools in "a terrible mess", where a culture of silence was prevalent, ensuring white control over black education. In this quest for supremacy by whites, all kinds of skills, abilities and competencies normally expected of teachers were actually discouraged. It was stressed that it was not TIP's intention to clean up the "mess". Instead in a partnership relationship it has to find ways and means to encourage the development and application of those skills amongst the disempowered staff. The SASA is an exercise in educational democracy, as posited by the director that, "the Schools Act is a very powerful attempt to create authority within schools to make decisions for themselves...." Given this, TIP's role is that of supporting the development of management and leadership.

Fieldworkers hold the view that the ideal school would be a safe institution, where there is a distinct culture of teaching and learning, and a sense of harmony, notwithstanding the presence of conflict. They argue for a school that "is able to learn from its own experience and processes in such a way that it is constantly growing and changing". This, TIP would argue, is the very essence of its methodology of action research and informs its approach to leadership and management. Thus while SASA provides the legal framework for the democratisation of schools, schools are having to develop a style of management geared toward transformation. Central to this style is the reflective manager. Based on the literature, TIP sees this as a long-term process of experiential capacity building. The absence of a formal development and training program tends to complicate this process and could retard and obstruct the attainment of equality and equity. To this end TIP attempts to fill this void.

One could argue that the SASA, like TIP's philosophy, fosters whole school development because it does not hierarchise the status of all stakeholders. Governing structures and management structures have a clear inter-dependency because they undoubtedly complement each other. In this respect, TIP sees a strong congruence between its Action Research approach, which emphasises inter-dependence, and the thrust of the SASA.

Another area in which TIP's philosophy might be observed is in school management practice. Certain aspects of transformational school management practice were established from the transcripts.

## TIP'S UNDERSTANDING OF MANAGEMENT AND LEADERSHIP PRACTICE IN SCHOOLS

In TIP's approach, management and leadership play a pivotal role, in that TIP maintains that change must be initiated from the top. This is qualified by the director, who suggests that "when they [Management] do things right they are pivotal, but when they do things right, they've actually given a lot of power to teachers". TIP fieldworkers were consistent in their rating of the role of management and leadership, 9 on a scale of 1 to 10, which further suggests TIP's recognition of the importance of the role of leadership and management. It is implicit here that effective management creates an enabling environment for diversified leadership and management. This is in accord with TIP's view of leadership and management development. The director emphasises that the question of values is vital to discourse – every change is made against the background of agreed values. Discourse attempts to make those values and principles part of the practice in the school. This could only be brought about if the significance of democratic leadership is appreciated where leadership is competent, good, inspiring and motivating.

The following paragraphs further seek to elucidate the impact which management and leadership have on school practice.

Firstly, in terms of TIP's philosophy as represented by the fieldworkers, democracy is about a set of values which education has to inculcate, that is fundamental to the rights of individuals. A TIP coordinator reflects on their perception of democracy as follows:

Democracy is where you recognise the rights of others ... people have rights, and when they have rights, they also have certain responsibilities, and it's democracy within that framework of human rights and the Constitution, and the Bill of Rights, that's also our framework ....

Because values constitute democracy, rights and respect are complementary to each other. In the TIP view, how to run a school has become a completely integrated or inclusive process whether at management or governance level. There is acknowledgment by TIP representatives that teachers are very powerful socialising agents in society, who simultaneously act as agents of democracy.

Secondly, in ascribing to the principle of holism, the unquestionable potential of leadership and management, in playing the cohesive, coordinating role of development and transformation is emphasised. This decisive view of leadership and management within the holistic framework is aptly expressed by a TIP fieldworker that,

... if you bring about changes in the one area it affects different areas – they're all interrelated ... the one will have a ripple effect on the other. But things need to be held together. That's why we say leadership and management is crucial. The whole idea is to manage, to hold things together.

The role of management and leadership is thus not one of power play, but indeed one of empowering. Every teacher in the school must be seen to be a manager and a leader in the broadest possible sense – there is absolute consensus among TIP fieldworkers that leadership and management potential must be developed throughout the school and not just with the management team. The management team must lead as well as be led.

Thirdly, TIP's philosophy is about democratisation of the organisation in its developing processes, by means of consensus models of decision-making. They insist on an all inclusive approach and process, because within this respect and rights are observed. Management needs to make the formal decisions in such a way that it is appropriate to whatever the situation is. Having management make decisions on behalf of the staff should be fiercely discouraged. Decisions which are made, must be as a consequence of agreement around decision-making procedures. Decision-making could be described as context and issue specific, which does not always allow for collaboration and collective decision-making. A TIP fieldworker maintains that school staff members should "become aware of the different contexts, the different situations and how to actually deal with it [decision-making] at that particular time, and not say there's one way of doing things ...."

Decision-making ultimately has to do with authority, responsibility and accountability. TIP proposes to build a framework for these structures and procedures with a view to broadening the base of leadership and management within a school. There are attempts to develop a clear correspondence between responsibility and authority, because very often principals would have authority but carry limited responsibility. Conversely, teachers are levied with responsibility but lack *de jure* authority. So clearly TIP aims to spread authority more evenly throughout the school by shifting the lines of authority so that people are really empowered to make decisions. One could conclude that if the relations amongst staff members is on an elevated professional level, the issue would not primarily centre on who is making the decisions. TIP is of the opinion that "the most important thing has to do with communication and relationships, and building and trusting, so that it's not an us and them situation".

## **ACTION RESEARCH AND EVALUATION PROCEDURES**

Other than action research as an evaluation method, no formal assessment strategy has been finalised in TIP. The role of the management team in the overall transformation process is considered to be both crucial and fundamental, and as such there is a desire on their part to establish evaluation mechanisms to ensure further development of their program. This notion is reinforced by a coordinator that, "since we've identified management and leadership as a key thing, I'm sure that's one of the things that will be evaluated". Internal evaluation ensures feedback and success of the project because it is executed by the role players themselves, through action research. Evaluation is more qualitative because it is aimed at sustaining the process of transformation. Management should own the process of change to improve the development plan and use those skills acquired (through partnership with TIP), to address new issues. These skills are very necessary since the course of OD will invariably have to adapt as circumstances change. Using action research, the school remains constantly in transformative mode, as it is indisputably a locus of change because it cannot divorce itself from external influences such as politics and globalisation.

TIP recognises the need for a formal training program for leadership and management, but cautions that such programs could cause alienation of other staff members. The sustainability of the transformation process must be seen against the background of endeavours to realize self-actualisation of staff members. Experiential learning and creative participation is a pre-requisite for self-actualization.

## **CONCLUSION**

It is evident that the founder members of TIP, who responded to the philosophical-type questions, have a common research history, i.e. action research. This has resulted in a common philosophy about OD and whole school development, and is therefore apparent in a strong commitment and allegiance to the organisation's objectives. This clearly impacted on the co-fieldworkers who responded to the operational-type questions. This accounts for the distinct corporate identity which was projected as an organisation committed to its beliefs, as well as the consistency in the discourse of all TIP facilitators. The elaborations of this identity and its depth are evident in the movement which TIP has made beyond its original objectives. Evident in the organisation is an attempt to develop a distinct style of teacher inservice training which is clearly not based on a static or

stagnant formula or program, but which allows for improvisation and open-endedness. To this end, each school is considered to be a unique organisation, operating within a specific context.

It is clear that action research is not only paramount to all interactions of TIP, it is the overwhelming force that was the genesis of their philosophy. The following examples confirm this:

- Their OD approach is based on action research – the impetus of transformation
- Vision-buiding and the consequent mission statement
- Development of educational management and leadership
- Empowerment of all role-players
- Creation of democratic structures
- Decision-making mechanisms
- Evaluation mechanisms.

One could conclude from the transcripts, that TIP subscribes to a form of action research based on the ideology of democracy, because fundamentally the organisation is promoting the notion of empowerment for all role players. This approach, while amenable for use within the entire bureaucratic, apartheid school management system, where advantaged as well as disadvantaged schools were “autocratic and stagnant” institutions, appears more favourable to the disadvantaged schools. To empower these schools in the TIP director’s view is akin to developing political power - “it was TIP’s policy from the beginning to work in historically disadvantaged schools”.

## CHAPTER 5

### AN APPRAISAL OF THE FINDINGS

Smyth (1991:83) asserts that

The question of how to bring about lasting, significant and meaningful change in schools is one of the most enduring, confusing and perplexing issues currently confronting us .... It is not that there is any lack of knowledge about what *should be done*; rather, it has to do with a failure to appreciate the enormous chasm between *knowing something* and being able to *initiate action*.

This chapter attempts to locate the philosophy and methodology of TIP within the wider literature on management and leadership perspectives. The focus here is on how TIP attempts to clarify "confusing and perplexing issues" which educators need to contend with, by employing strands of action research in order to "initiate action" (*ibid.*). While TIP claims to have developed their own literature, there are distinct similarities between education management and leadership theorists and what TIP has developed. This chapter seeks to provide an exposé of the similarities, as well as departures from the precedents in this field. The departure alluded to here falls within the context of TIP's objectives, *i.e.*, not only to address a political, and consequent educational need, but also to establish a TIP identity. Further to this, a broad outline of TIP's unwavering preoccupation with action research as methodology follows.

### TIP's LOCATION WITHIN THEORETICAL PERSPECTIVES

TIP's actions and philosophy spans across three paradigms of research and metatheory. This does not by any means, imply that their philosophy is being compromised, but rather that there are elements which range from functionalism to interpretivism, to critical social theory, which underpin TIP's *modus operandi*.

Firstly, the functionalist approach is discernible in TIP's involvement in befitting the school and community for contemporary society, (Soltis and Feinberg, (1992)), *i.e.*, viewing the school as an organic organisation, and equipping all teachers as managers and leaders

to operate within the ambit of organisational development. These adaptations ensure that the school accommodates the needs of the broader society.

Secondly, TIP's philosophy and methodology of action research is by its very nature, central to the interpretivist paradigm – to interpret events and actions, and participate meaningfully in them. The outcomes are usually products of the political climate in which the events and actions are interpreted. Kemmis (1990:48) provides an apt summation of what could be interpreted as TIP's interpretive approach:

Interpretive research sees education as a historical process and as a lived experience for those involved in educational processes and institutions. It's form of reasoning is practical; it aims to transform the consciousness of practitioners, and by so doing, to give them grounds upon which to reform their own practices. Its interest is in transforming education by educating practitioners ... [who are] free to decide how to change their own informed practical deliberation.

Thirdly, the tenets of action research, as espoused by TIP, are based on a spiral of cycles of planning, acting, observing, and reflecting (Kemmis, 1990). They would invariably culminate in assimilating the critical social theory paradigm. The basic principle of this theory is that all role players should be potentially active agents, and should be subjects rather than objects of transformation whereby "they can reflect and act on the dialectical process of creating and recreating themselves and their institutions" (*ibid.*, p48). There thus seems to be a logical progression in TIP's philosophy from a functionalist to an interpretivist, to a critical social theory, which could be related to transformation for emancipation.

#### **TIP'S VIEW OF MANAGEMENT AND LEADERSHIP: FROM THEORY TO PHILOSOPHY**

TIP sees management and leadership as THE most important inter-dependent aspect of whole school development within OD, because they (management and leadership) need to drive and sustain the process of transformation. Whilst most literature seem to focus on the various perspectives of educational leadership and management, there is little to draw on where management and leadership is developed within the OD approach. This could be deemed as an alternative approach to conventional literature on educational management and leadership (see Davidoff and Lazarus, 1997). TIP attempts to maintain a facilitative stance, as opposed to a prescriptive stance in the implementation of their

philosophy and methodology. This facilitative role and interpretivist stance were confirmed by the director as follows:

We're not prescriptive, but we're not neutral – one of our fundamental principles is around empowerment of teachers and ownership of the process of change. So all of our workshop processes are designed in such a way to give as much opportunity to the teachers or whoever that participants are, for their voice to be heard, because we believe that that is how the process of change is really going to take root. However, we also come with a certain set of beliefs, assumptions, values, and we feel that it's our responsibility to make it as transparent as possible.

This approach could be borne out of the fact that action research focuses on lived experiences of the real world that serve as a source for developing TIP's own theoretical base, as well as enabling teachers to become agents of change. TIP's practice is not based on a theory – the eclectic nature of their theory is governed by practice within action research, as related by a TIP fieldworker,

We'd be quite eclectic, we'd draw from different bodies of theory, but we see theory as being of relevance if it links with people's practice and deepens their understanding – theory that's meaningful.

Whilst the theory is purported to be their own, TIP's philosophy is also derivative in that they heed to calls for democratisation, school-based management, leadership by consensus and decentralisation, as espoused by Caldwell and Spinks, (1998;1992); Davidoff and Lazarus, (1997) and Tullan, (1993). The transformational outcomes referred to above, are, in the case of TIP, probably motivated by a political, economic and social commitment to change, hence the involvement with historically disadvantaged groups. These transformations of democratic school management systems would necessitate a transformed view of principalship, and expand the notion of management and leadership to that of diversified management and leadership. A TIP fieldworker expounds on this as follows:

When we think of diversified leadership, we see it's not just a strong power block of middle management and senior management pulling and holding and taking things forward and having all the power – but it's really about empowering other individuals ...

This philosophy of leadership would necessitate a departure from the traditional functions and roles of principals as analysed by Davies, *et al* (1991), where "other individuals within the school system take on their leadership and management role within their area of responsibility ...." TIP concurs with Everard and Morris (1990) about the value of learning about management from the private sector. Their involvement with David Scott, an organisation development consultant in the corporate world, is evidence of this.

On the issue of capacity building for education managers, Sapra (1991) holds the view that aspirant managers on the operational level should be provided with pre-promotional and pre-induction training, followed by inservice training on a continuous basis. Davidoff and Lazarus (1997) on the other hand, suggest that capacity building for management and leadership should go beyond the management team, because it has become the norm that most education managers are promoted from the ranks of teachers. All teachers are seen as managers and leaders in their classrooms. While TIP concurs with Sapra's insistence on capacity building, it should, however be effected within the perspective as proposed by Davidoff and Lazarus (1997). TIP's philosophy on management and leadership is grounded in transformational leadership because of the relationship where empowerment of both leader and follower is mutually consequential. In that sense, leadership is a shared experience. In this regard Duke (1996) points out that teachers should not become passive beneficiaries of empowerment, but should realise their roles in shared decision-making. TIP attempts to develop a critically empowered mass for effective decision-making processes and procedures.

TIP needs to contend with organisational socialisation, because it deals with post-appointment capacity building. This, as Hart and Weindling (1996) suggest, could leave new leaders wanting and develop into "crisis management being the norm". This is confirmed by TIP fieldworkers as follows:

I think when we look at the schools that we work with, I think that's the norm, crisis is the norm. I think people actually know how to work in crisis and don't know how to plan, so what we try and do is to get them to plan ... and

...I think where schools are learning to become proactive about their future their planning, their evaluating, there's a much clearer idea of planning and not hitting so many crises because they've not looked at certain things.

## **AN APPRAISAL OF ACTION RESEARCH AS METHODOLOGY**

Crisis management has become one of the characteristics in under-resourced, under-staffed, ill-equipped, disadvantaged schools. This situation has clearly been exacerbated by the transformational character of the present education system. TIP therefore charged itself with the responsibility of empowering management and leadership as well as all staff members to meet these demands. According to TIP this need could be satisfactorily met through action research. Besides informing teachers about their practice, causing them to reflect and change that practice, action research enables them to plan on a

contingency basis where crisis management looms. In this regard TIP breaks new ground by attempting to stabilise management in an unstable school setting. Action research neutralises panic, despondency and low morale, because teachers are empowered to make informed decisions collectively.

These perspectives are in line with those of Kemmis (1990) who purports that action research provides a test of commitment and a means by which practitioners can determine the adequacy of the understandings of the situations in which practice occurs. Kemmis highlights aspects of action research to which attention should be paid especially where an organisation like TIP acts as an external facilitator. The profound effects of external facilitation on the character of action research could influence the agenda of issues being addressed, the data gathering, and analytical techniques employed, as well as the findings of particular studies. Furthermore, the intervention of outsiders may introduce significant distortions in the three characteristics of action research, *ie.* the degree to which it is practical, collaborative or self-reflective.

TIP sees action research as an emancipatory exercise with a view to empower teachers, not only to act as agents for transformation within the school, but also in the broader society. Kemmis' (1990: 47) idea of "process consultancy" resonates with TIP's approach as an outsider who forms a co-operative relationship with practitioners, helping them to articulate their own concerns and actions, and reflect on processes and consequences. This relationship could be determined by TIP's own "set of beliefs, assumptions and values". This could create the possibility of TIP's "beliefs, assumptions and values" being inadvertently foisted on the practitioners, as they "also [try] to guide the process in ways through our understanding of what needs to happen organisationally".

In order to determine whether TIP's philosophy could be employed on a more general basis, within the entire education system, one needs to consider the following analytical questions raised by Walker (1996: 50-51). Firstly, how would we avoid simply recycling common sense? This does not negate the importance of common sense since good sense can be fashioned out of common sense. Walker's citation of Cocks (1989) asserts "that the practical task of critical theory is to begin always with the common sense and cultivate the elements of the good sense ... in order to fashion a new common sense which is altogether good". Secondly, how do we create new interpretative categories that we might otherwise not encounter? Thirdly, how do we progress from notions of personal development and reflection to more collective notions of political responsibility and social transformation? Fourthly, if action research is presented as simple and accessible, we

are in danger of misrepresenting its complexity which will ultimately undercut its potential for transformation. Britzman (1991) in Walker (1996) urges us to take cognisance of action research as a transformational process. Action research "is always a process of becoming: a time of formation and transformation, of scrutiny into what one is doing and who one can become", and in this sense TIP could be seen as a motivating force. Their catalytic role as development and transformation agent, could be considered both proactive and emancipatory, as they seek to conscientise participants about the need and necessity for meaningful change.

### **TIP's STRENGTHS AND POSSIBLE DIFFICULTIES**

This research report, whilst focusing in essence on a lack of a formal training program for senior and middle management in schools, also highlights the nature of the challenge within the governmental school system. The function of TIP as a non-governmental organisation (NGO), to address what could be argued to be the responsibility of government, could be seen as a poor indictment on the national and provincial education policy. One would certainly expect that inservice training of educators, and specifically education managers, should be the focal point of schools development. Teaching is a political process and this being the case, TIP as an NGO could come under scrutiny by opposition forces within national politics. However, the emphasis in this report is on the viability of TIP as a support structure for training and development of educators. In order to do this, it is necessary to raise the issues around TIP's strengths and possible difficulties which it might encounter.

The strengths are as follows:

Firstly, the founder members of TIP are concerned with school development to the extent where they have chosen as their area of work, the task of facilitating capacity building of the relevant role players. The scale of this task is large and often, as those working in the field know, beset with major difficulties. The organisation, however, has recognised the need for beginning the process of making strategic interventions - albeit in a limited way. The approach of TIP is that this process of transformation is effected against the background of the school being an organic structure. Not only is this an attempt to bring about change, it is clearly one that seeks to bring democracy to the locus of change. Democratic virtues are to be learnt and taught, and the school is called upon to accommodate that process. TIP thus enters the scene at a time when South Africa is

taking a giant leap towards democracy, and thereby assumes a role of preparing the school community for that new system.

Secondly, TIP responds to a request from a specific school to engage in a development process to improve the functioning of that school. Such a request is normally made on the strength of a perceived problem with management at the school. From the outset, TIP plays the part of facilitator and does not merely prescribe. This is a very valuable strategy to laying the foundation for their philosophy of their holistic approach to development. All resolutions to problems are considered to be developmental. Herein lies the gist of action research. This leads one to conclude that TIP is biased towards the philosophy that the organisation needs to be developed, and would steer problems and arguments in that direction.

Thirdly, an important methodology employed by TIP that clearly enhances the principle of action research, is that of workshoping. Through this they achieve a number of objectives as espoused in their working document. Firstly, they seek to achieve maximum participation by a majority of the staff. Secondly, they strive to break the culture of silence and also focus on the establishment of the problem as well as the provision of the solution by staff members themselves. Thirdly, they deny emphasis of hierarchical and bureaucratic structure, thereby developing a common responsibility for the outcome of the workshop. Because it takes place outside school hours it should ensure greater commitment and hopefully, greater dedication to the cause of the school.

A possible problem is that TIP's philosophy is not results-specific – it is qualitative in essence, focusing on the **development** of the inter-dependent parts, rather than focusing solely on the end in itself. In attempting to develop a critical overview of this approach, a number of observations can be made. These observations are organised in terms of an assessment of TIP's philosophy. Central in developing this critique is that little attention, it appears, is given in TIP to the question of outcomes.

A second problem could be that, it seems as if the fieldworkers do not pay particular heed to evaluative means to establish the impact of OD on outcomes, academic performance, promotability and training within the development process. By implication effective OD, and therefore effective whole school development, would yield effective curricula and extra-curricula performance. Against this background, the development and progress of the child is dependent on the development of the teacher, who is faced with radical changes in classroom practice as a result of an entire educational transformation, i.e.

rationalisation, increased pupil:teacher ratio and the newly introduced outcomes based education. There is little mention of how TIP develops the teacher as well as management to meet these demanding changes and challenges.

From the findings one can deduce that the responsibility for implementing resolutions arrived at through workshops is that of the managers and leaders. A TIP founder member clearly outlines this as a function of management and leadership, that

they [management] have to see to it that these things that they [staff] decide in a workshop, for those things to really have authority and to work ... it has to be part of the essential functioning of the school and that's where the management of the school comes in.

## CONCLUSION

In conclusion, I would argue that all promotees should attend a compulsory course on the expectations, skills and training required for the respective positions. Together with their own conceptions, experiences and theories as educators, this would undoubtedly demystify their roles and responsibilities, which would invariably lead to a deeper understanding of the social and institutional circumstances in which schools function. Education managers should not only engage in an academic agenda or be immersed in pedagogy, but should ideally, adopt a transformative, critical perspective to assist teachers to reach the plateau of understanding and awareness of the school as the locus of change. This disclosure and enlightenment could in itself be a dialectical process to advance the transformation process.

The ideal is that all education managers, not only principals are exposed to capacity building in order to confront the daily daunting challenges. A TIP fieldworker aptly states that while the leadership styles, and perhaps the leadership qualities may differ, there are qualities and skills which all leaders should have. Although the role of the principal is considered vital, it is the management and leadership team at the school that forms the cog which drives the processes, resolutions and decisions. TIP field workers have expressed the opinion that isolating the management team for reskilling and capacity building programs could lead to alienation, since management should be seen as part of the staff – a tenet of TIP's philosophy is that all teachers are managers and leaders. Yet, it is precisely the lack of understanding of rules and responsibilities of middle and senior management, which ironically leads to alienation as they are very often perceived as being incompetent, "and the buck is passed to the principal or down to the teachers".

There is a definite need for equipping middle and senior management to unreservedly and confidently fulfil their roles assigned to them.

While TIP's approach is developmental and therefore arguably a viable model for educational transformation within schools, it has nonetheless proved to be time consuming. The fact that they insist on an **own philosophy and an own theory** that evolve within the context of their engagement in particular schools where context also dictates methodology, their facilitative role extends beyond their capacity to embark on interaction on a massive scale.

Through action research they attempt to sustain the process of transformation which they have initiated, but the obvious absence of results-oriented assessment strategies cause the process to become not only a drawn out one but one that seemingly demands continuous interfacing with fieldworkers. It is therefore difficult to establish the point in time in which they would withdraw from a school. The need to focus on training leadership and management to "replace" TIP at a school becomes crucial if the needs of other schools are to be addressed. TIP's unique approach to employ action research in OD could then in this sense hamper a mass based schools development program. Action research – while it results in empowerment and self-actualisation of staff members, should thus find support in other strategies and techniques of developing the school as an organisation.

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## APPENDIX

### INTERVIEW QUESTIONS FOR TEACHER INSERVICE PROJECT (TIP) CO-ORDINATORS AND FIELDWORKERS

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#### PHILOSOPHICAL-TYPE QUESTIONS

1. What is the origin of TIP's philosophy?
2. Has TIP's Organisational Development (OD) approach been commissioned by local research or has it been conceptualised elsewhere and merely implemented here?
3. Do you think that change in schools requires an external intervention agent? Please motivate your answer.
4. How do you construct the role of intervening agent in relation to a school with whom you would work?
5. How does TIP's philosophy tie in with the South African school system?
6. What is TIP's model of the ideal school in South Africa?
7. In terms of Management and Leadership, how can TIP influence the discourse within school practice?
8. One of the broad aims of TIP is to build a democratic school. What is the relationship between democracy and education?
9. Tip ascribes to the principle of **holism** - where and how does management and leadership impact on the holistic model?
10. To what extent would the holistic model facilitate the kind of influence which TIP envisions?
11. What strategies does TIP employ to convince staff members of a school to participate in the program?
12. Does TIP play a **facilitative** role, ( as in allowing staff to empower themselves by means of introspection), or does TIP play a **prescriptive** role, ( as in prescribing what should be done to empower staff members.

13. According to the Working Document, TIP proposes to build a framework of appropriate Structures and Procedures, where *Authority and Responsibility are well defined*. What exactly is meant by this?
14. In terms of TIP's model, what role does the management team play in decision-making?
15. *TIP accompanies institutions and individuals through their transformation process to the point of sustainability.*
- 15.1 What exactly is meant by **accompanies**?
- 15.2 What evaluation procedures are in place to assess the impact of the transformation process in management and leadership?
- 15.3 What follow-up programs are included in the program to ensure sustainability?
16. The working document makes constant reference to **interdependent parts**.
- 16.1 Are any parts considered more important than others?
- 16.2 On a scale of 1-10, where does management and leadership feature, and why?
17. Does Tip have a training and development program for those newly appointed on promotion posts, to assist them in the transitional promotion stage?  
If not, why not?
18. In terms of TIP's model, how would you define transformational leadership given the following explanation:  
*Transformational leadership entails not only a change in the purposes and resources of those involved in the leader-follower relationship, but an elevation of both - a change 'for the better'.*  
(Leithwood, et al, 1996:786)
19. How does TIP incorporate the aspect of Leadership within:  
.1 Organisational Culture, ( i.e. the school)  
.2 Multicultural schools, ( i.e. different cultures within one school)
20. As part of its Propositions and Assumptions, TIP appears to favour the following approach to change:  
.1 interpretive and radical humanistic  
.2 radical  
.3 regulatory.  
What exactly does this mean?
21. How does TIP address the issue of macro policy and macro changes which impact on the micro situation?
22. TIP's philosophy tends to foster self-actualisation of staff members. How does TIP's objectively contribute to this principle?

23. How do you establish that your function at a school has been accomplished, (i.e. at which point do you withdraw, and how is this done)?

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What power relations are referred to here?

14. What theoretical background on management and leadership is given to staff members?
15. What strategies are employed to develop a team spirit amongst formal and informal leadership which incorporates respect and, and for authority?
16. Would you classify TIP's model as collaborative approach? Please explain further.
17. Why has TIP mainly focused on 'township schools' to implement the program?

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