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Effective Leadership Behaviours

of Private Secondary School

Principals in Hong Kong

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Kwok Kai Ming

A Thesis Submitted in the Partial Fulfilment of the

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For the Degree of Doctor of Education

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ABSTRACT

The purpose of this qualitative study was to examine the principal's leadership behaviours of private secondary schools in Hong Kong with respect to the effect of a principal's leadership behaviours on students' enrollment as perceived by teachers and senior teachers. The private secondary schools principals, more than anyone else, have the capacity to create conditions for the teachers, students and parents that influence student enrollment. The literature review has shown evidence on the importance of leadership behaviours of principals in general but there is limited evidence on how teachers perceive the effects of leadership. Therefore, a study on teachers' perceptions of the impact of leadership behaviours on student enrollment was carried out as opposed to a study of the direct impact of leadership on enrollment.

The effective leadership behaviours of private secondary school principals were studied from different perspectives of teaching staffs such as (a) principals; (b) senior teachers; and (c) teachers in Hong Kong. Three research questions were answered with data collected using a survey instrument, Leadership Practices Inventory (LPI) (Kouzes & Posner, 2003), and interview instrument, Leader Effectiveness Index (LEI) (Moss et al., 1994). The leadership practices or behaviours rated or ranked high from both the frequency count (Gall et al., 1996) derived from the interview transcript using the Leader Effectiveness Index (Moss et al., 1994) and the questionnaire, Leadership Practices Inventory (Kouzes and Posner, 2003). This study was a cross-case analysis (Creswell, 1998) in a multiple-case study (Yin, 1993), the results were summed up from the number of frequency-count recording. The different leadership

behaviours of the principals are perceived by the teachers and senior teachers to affect the students' enrollment. Researcher bias is clarified by providing the Researcher's Background (Creswell, 1988; Stake, 1995).

Three Leadership practices: (a) Modelling the Way, (b) Encouraging the Heart, and (c) Inspiring the Shared Vision (Kouzes & Posner, 2003) were found to be the principal's leadership behaviours to affect the students' enrollment as perceived by the senior teachers and teachers. Results indicated Modelling the Way may be a key factor or practice to influence the students' enrollment. After analyzing the data, it is shown that the teachers and senior teachers perceived that the key practices of Encouraging the Heart and Inspiring a Shared Vision may also influence the students' enrollment. These findings are also supported by Peyer's (1995) and Marley's (2003) studies conducted on high school students entering the college or university, where modelling the way, encouraging the heart and inspiring the shared vision (with the exception of the leadership practice of "enabling others to act") were found to be explicit behaviours practised by principals. This study has implications for the preparation and in-service training of the principals or administrators who consider the effect of principal's leadership behaviours on students' enrollment.

DECLARATION

The Research Ethics and Data Protection Monitoring Form has been completed and submitted to the Department's Research Ethics and Data Protection Sub-Committee. The Committee has approved and issued the certification that the research meets acceptable ethical standards and will, if necessary, require changes to the research methodology or reporting strategy.

I have read the Department's Code of Practice on Research Ethics and believe that my research fully complies with its precepts. I will not deviate from the methodology or reporting strategy without further permission from the Department's Research Ethics Committee.

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The list of supervisors to whom I am genuinely grateful for their patience, assistance, and encouragement is extensive. The author wishes to express sincere appreciation and thanks to Mr. Stewart Martin, 1st supervisor. I am forever indebted to him for his unwavering support, knowledge, patience and encouragement. I also have to express my heartfelt thanks for Professor Michael Byram, 2nd supervisor, for his guidance and generous help on my study. Both of them have come to Hong Kong to encourage and support my research.

This study is dedicated to my wife, Miu, my best friend. You are all "the best!" It is also dedicated to my two little children: Daniel and Vania. May you find joy in learning throughout life? It is also dedicated to my Mom for always encouraging and supporting me. "Your love, patience, and support made this dream come true."

I could find no words to express the gratitude I feel for Fion Sze, my secretary, who kept my office in tact and championed my cause. You impressed me very much. Expressions of thanks also go to the Prayer Group for the gifts of time and daily encouragement without which I could not have accomplished this goal.

I also wish to dedicate this study to the children who received in the private and public education system of Hong Kong. May you find in education the key to your future dreams? Next, I wish to send my heartfelt gratitude to the principals, senior teachers and teachers who have participated in my research. Your willingness, cooperation, and wonderful insights have preciously valuable input and enrichment for this study.

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CHAPTER ONE

1.1 Introduction

As in other countries, the expansion of private education in Hong Kong seems inevitable. Although the government in Hong Kong is taking a much more active role than before in promoting the development of private education, some government policies and regulations are not well aligned with this initiative. Perhaps the most obvious example is the issue of autonomy. Some private schools have complained that some government policies have a negative effect on the school's autonomy. One of the critical issues surrounding private education debates is how to maintain a delicate balance between encouraging healthy development and maintaining adequate control. As Ho (1996) stated, "Without government mechanisms, development won't last long. On the other hand, governing mechanism will become meaningless without development" (p.1). To maintain the vitality and to spur the growth of private education, the government must align policy with practices.

Because of the decreasing birth rate, there is keen competition for students among schools in Hong Kong. The private schools compete with each other to attract students in order to ensure their finance and survival. The private schools which have more students can get more funding so that they are highly motivated to improve themselves. Therefore, the effective leadership of the principal in a private school will be a key factor for the school's survival. This is however a complex issue and in the first instance, this thesis focuses on the perceptions held by teachers concerning the effects of leadership on enrollment, since it is important to know the views of those who are most closely involved and likely to see the effects of leadership on the complex domain of enrollment.

This study is designed to explore perceptions of the effective leadership behaviours of private secondary school principals (i.e. 80 schools principals) in Hong Kong. The study has three major objectives: (1) to determine the effect of the principal's leadership on student enrollment as perceived by private schools' teachers in general; (2) to observe how different groups of teachers perceive the effect of their principal's leadership on student enrollment; and (3) to analyse the nature of perceived relationships between the principal's leadership and student enrollment in private

schools in Hong Kong. In doing so, this study will examine a number of different leadership theories as they apply to the principals of private secondary schools in Hong Kong and this then informs the ways in which the perceptions of teachers of their principals are studied taking into consideration the different perspectives of three different groups of teaching staff: principals, senior teachers and teachers. Three research questions are answered with data collected using two survey instruments: the 'Leadership Practices Inventory' (LPI) (Kouzes & Posner, 2003), and an interview instrument, Leader Effectiveness Index (LEI) (Moss et al., 1994). Findings from this research are triangulated using multiple methods such as survey questionnaires, in-depth interviews, interviews with students and parents, and documentary material on teacher turnover rate, student enrollment, school plan and report checking, public examinations results.

1.2 Background of the Problem

For centuries, charismatic leaders have engaged the interest of historians, politicians, and artists, with the focus placed on the unique traits or qualities of the 'great man'. Leaders and leadership remain substantial topics in the current literature on administration in all aspects. Leadership is still very much seen as a vibrant and dynamic force that enables contemporary organisations to establish and to achieve their goals. However, interest has largely shifted to more pragmatic concerns. Researchers studying social institutions, for example, are interested in the role and influence of leaders related to their work with groups, as well as the impact of their "style" on productivity, satisfaction, and interrelationships between group members. More specifically, the focus has shifted to observing the behaviour of the leader in individual situations. As no two situations are exactly alike, it is usually concluded that there is no one ideal leader behaviour (Hersey & Blanchard, 1982). These situation theorists have given impetus to a mixed perspective of leadership behaviour, which is based on an assumption: the best leadership style is a blend of traditionally recognised tasks and relationship behaviours (Peyer, 1995).

It is a symptom of this that there has been considerable research on leadership in a wide variety of fields and practices over the last four decades. Despite all of this attention, there is still no definition of leadership or a single useful means of

measuring the effectiveness of leaders. Yet, there is an extensive body literature that attempts to define the attributes of effective school leaders and to link these attributes to effectiveness of schools (Alkin, 1992).

A broad array of effective leadership behaviours has thus been identified in the literature on leadership. One essential ingredient of "strong school leadership is the ability to blend many practices into a balance, well-managed package of school leadership behaviour" (Hopkins, 1994). Research by Kouzes and Posner (1993) indicated that leadership skills and abilities are "an observable, learnable set of practices…It is about an attribute and a responsibility" (p.1). Bennis (1989) said that leadership seemed to be "a marshalling of skills possessed by a majority but used by a minority. It's something that can be learnt by anyone, taught to everyone, denied to no one" (p. 27). Therefore, if the behaviours and practices of those who are deemed effective educational leaders are recognizable, it is entirely possible to use those recognised skills to design programmes to prepare future educational leaders and to help practicing educational leaders improve their leadership skills.

Peyer (1995) used a theoretical framework for administrative behaviours and leadership to examine how a high school principal's behaviour facilitates or impedes the transition of high school graduates to college in Wisconsin. The study used both qualitative and quantitative data based on the Moss et al. (1994) Leader Effectiveness Index (LEI) and used the LEI as a survey instrument with a Likert scale. This study also uses the Moss et al. LEI, but it is modified to use an open-ended questionnaire for the semi-structured interviews. Besides, this study also uses the Kouzes and Posner (2003) Leadership Practices Inventory (LPI) to develop descriptive profiles of principals and to support the data gleaned from the interviews. Peyer (1995) recommended that the interview can be expanded and the study can be similarly conducted in multiple states to identify leadership effectiveness attributes that facilitate the transition of high school graduates to college beyond Wisconsin for future study. The result is consolidated to provide predictive information concerning these attributes regardless of states of residence. This study is in part of a response to that call, by using the instruments in a different country.

This study is the first to investigate the effective leadership behaviours of the private

secondary school principals in Hong Kong through the perceptions of principals and teachers. Data is collected by using a survey instrument of Leadership Practices Inventory (LPI). The LPI has two forms: Self and Observer (Appendix I and Appendix II). An interview instrument, Leader Effectiveness Index (LEI) is also used. The LEI (Appendix IV) is an instrument designed to assess the effectiveness of the leadership behaviour of principals. This qualitative research is verified by using multiple methods such as survey questionnaire, in-depth interviews, students and parents interviews and document collection such as teacher turnover rate, student enrollment, school plan and report checking, public examinations results, triangulation and clarifying researcher bias. Data analysis is triangulated by survey, interviews. The result is analysed whether in the views of those involved – the three groups of teachers: principals themselves, senior teachers and teachers – it is success or not of the private school principals' leadership practices in Hong Kong such as: (1) inspires a shared vision and establishes standards; (2) fosters unity, collaboration, and ownership and recognises individual and team contributions; (3) exercises power effectively and empowers others to act; (4) exerts external influence to set the right context for the organisation; (5) establishes an environment conducive to learning (6) creates a satisfying work environment. The six items rate the overall leadership performance of the school principal being studied. The LEI is an individual report and table of presenting LEI raw scores. Researcher bias is clarified by providing the Researcher's Background (Creswell, 1998). The results will be shown on Individualized Feedback Report for the principal. The next step is to utilize that information to plan how the principal might improve his or her performance as an effective principal. This might help the principal to establish developmental goals, formulate a leadership development plan and initiate the planned activities.

1.3 Statement of the Problem

The Education Bureau of Hong Kong places high expectations on school principals to lead with readiness and ability, especially secondary school principals. In this research, these expectations are taken to imply the principal should, follow the items of the LPI. create a positive climate such as to give each school member an opportunity to grow, to inspire a shared vision, to enable others to act, to model the way, to encourage the heart, to increase productivity and pursue higher quality. One

may argue that the recognised authority, which comes with the position, automatically eases the work of the principal. Yet the principal still needs to face the great challenges. Not only is the position of principal assailed on all sides by a wide variety of pressures and demands which often conflict with one another, it is also subject to problems which emerge constantly from economic conditions, changing values and social crisis. Demands may also come from teachers, students and parents who keep challenging the principals' position and their administrative practices as school leaders. At times, a principal's job may become very complex and overloaded. Hence, it is of great value that a harmonious relationship be created within the group between the principals and their staff members. Effective principals, when coping with pressing administrative issues and dealing with different teachers, students and parents, may exhibit different leadership behaviours and practices due to causes that have been internalized or factors that are influencing them from the outside.

1.4 Purpose of the Study

The purpose of this study is to investigate the effective leadership behaviours of the private secondary school principals in Hong Kong as perceived and reported by principals and teachers.

1.5 Significance of the Study

Educators consider the principal as one of the key persons at any level in any school system. The term 'Principal' is related to 'prince' which means the first in rank, degree, importance and authority. The principal, therefore, is one with authority to make decisions and is accountable for the entire operation of the school (Konnert and Augenstein, 1990). Fox (1974) called the principal as an organiser, a coordinator, a modifier and an evaluator. Brodinsky (1984) and Andrew et al. (1985) reported that principal's leadership greatly affects teachers' morale, which in turn results in increased or decreased learning by students (Robinson, 1984). Roueche and Baker (1986) contended that the principal's leadership is perhaps the most important element in creating and maintaining an orderly and productive school climate. Rossow (1990) stated that today's school principal must be a leader of people and not a manager of things. Sergiovanni (1984) defined the principal as the person who can

provide a force to those in the school who desire to make change to improve the school. Sergiovanni (1984) wrote about the principal as "the one who provides the version and lays out the expectations and then who practices the right blend of management to get the job done." According to Drake and Roe (1994), a competent principal possesses strong technical skills, instructional skills, cognitive skills, human skills and conceptual skills, while Starratt (2004) saw the principal as the one who has a vision of what the school might become. (citied in Lo, 1996, p.6)

The effective leader who manages the organisation in good performance always includes the development of a vision for the school. Visionary leadership characteristics are important for effective principals (Dalton, 1997). These are defined as articulating a future view for the school and providing a strategic plan to achieve that view. Dalton (1997) found that superintendents and principals shared the identical perceptions regarding the relative importance of visionary leadership characteristics of effective principals. Principals must model behaviours consistent with the school's vision (Whitaker, 1997), and develop a clear purpose in the school, so that student achievement can improve (Sohn, 1998). They must identify and implement instructional strategies that will result in achieving the school's vision and mission. The principal also performs duties related to staff development, ways of motivating teachers and staff moral. A principal's typical day consists of unexpected interruptions, non-instructional needs of teachers, organisational maintenance, discipline problems and frequent administrative meetings with superiors, parents, supports staff and others (Duffe, 1991). (based on Dalton, 1997, p.55)

Based on the four frames of understanding organisations: the structural, human resource, political and symbolic, Bolman and Deal (1993) suggested that there may be four leadership orientations in organisations: the structural leadership, human resource leadership, political leadership and symbolic leadership. For the educational organisations, Sergiovanni (1984) proposed a five leadership forces model to explain how principal's leadership is related to excellent school performance. In this model there may be five aspects of principal's leadership: the technical leadership, human leadership, educational leadership, symbolic leadership, and cultural leadership. Integrating the above two models, Cheng (1994) suggests that the principal's leadership can be described by five dimensions: structural leadership, human

leadership, political leadership, symbolic leadership and educational leadership. The human leadership refers to the extent to which the principal is supportive and fosters participations; the structural leadership refers to the extent to which the principal thinks clearly and logically, develops clear goals and policies, and holds people accountable for results; the political leadership refers to the extent to which the principal is persuasive and effective at building alliances and support as well as solving conflicts; the symbolic leadership refers to the extent to which the principal is inspirational and charismatic; and the educational refers to the extent to which the principal emphasises and encourages professional development and teaching improvement. The first four dimensions can be assessed by measures of Bolman and Deal (1993) and the last one by a measure developed from the idea of Sergiovanni (1984). With this integrated model, Cheng (1994) seeks to describe and understand principal's leadership from five critical dimensions that have roots in different organisational theories and specific nature of educational organisations.

If principals are to set the stage for the above scenarios of human dynamics and organisational cultures, this study should:

1. identify leadership theories and practices that are relevant and adaptable to the Hong Kong education system.

2. provide a basis for effective leadership behaviours and thus improve the performance of educational administrators.

3. provide a source of information – the reports of their views and perceptions by teachers of different kinds – designed to encourage further study of the leadership role and the responsibilities of private secondary school principals in Hong Kong.

1.6 Research Questions

To achieve the purpose of the study, the following research questions were used to determine the effective leadership behaviours that affected students' enrollment of the private secondary schools.

1. What the descriptive profiles of the private school principals are as reported in the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which are indicated by data collected using the Kouzes and Pozner (2003) Leadership Practices Inventory-Individual Contributor? (Appendix I and Appendix II)

2. What the descriptive profiles of the private school principals are as reported in the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which are indicated by data collected using the Moss, Lambrecht, Jensrud, and Finch (1994) Leader Effectiveness Index? (Appendix IV)

3. Is, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' leadership and ability to (a) challenge the process, (b) inspire a shared vision, (c) enable others to act, (d) model the way, and (e) encourage the heart?

1.7 Assumptions

In conducting the study, the following assumptions were made:

I. The questionnaire and interviews accurately measure perceptions of attributes of a principal's leadership.
II. The collective perceptions of principals and teachers that are measured by the questionnaire and interview are valid assessments of the principals' behaviours.
III. The design, sampling procedures, and data-processing techniques used in this study are appropriate to the intent of the investigation.
IV. The respondents answer the questionnaire and interview with sufficient honesty and objectivity.
V. The results of the recorded data are interpreted fairly, sufficiently and accurately.
VI. The individuals who participate in the qualitative study are a representative sample of staff in private secondary schools in Hong Kong.

1.8 Limitations

The following limitations are present in the study:

1.8.1 Section One: Questionnaire Survey

I. The study was carried out during the 2005-2006 academic year and was confined to private secondary schools in Hong Kong. The Hong Kong government classifies private schools into four major categories. 9 Caput Schools receive government assistance in the form of a per capital grant. 47 Direct Subsidy Scheme (DSS) schools (3 key subgroups in this category: Pro-China schools, Former Bought Place Schools, and New Direct Subsidy Scheme schools), receive direct subsidy from the government based upon the number of their students. 24 Private Independent schools, which include profit-making and non-profit-making institutions, do not receive any government subsidy. Government, subsidized and Grants secondary schools were not included in this study.

Total population sample for the study

Types	Total Number of schools
Caput school	9 schools
DSS school	47 schools
Local private independent school	24 schools

II. The study included principals, senior teachers, and teachers of private secondary schools in Hong Kong.

III. Measurement of effective leadership behaviours of principal were based on the teachers' and principals' self perceptions only as reported in the questionnaires from by Kouzes & Posner Leadership Practices Index (2003) (LPI).

1.8.2 Section Two: Interviews

I. The investigation is limited to 12 principals and 48 teachers of the private secondary schools in Hong Kong.

II. The interview is limited to a set of questions under to explore the leadership behaviours (i.e. in terms of the LPI: challenge the process, inspire a shared vision, enable others to act, model the way, and encourage the heart). The set of questions were modified from Moss, et al. Leader Effectiveness Index (1994) (LEI).

III. Leader Effectiveness Index (LEI) has not been used in Hong Kong

1.9 Definition of Terms

The following terms have specific meaning in this study and are presented to provide clarify.

1. Leadership: "The use of non-coercive influence to direct and coordinate the attributes of members of an organised group toward the accomplishment of group objectives" (Jago, 1982, p.315).
2. Effective Administrative Behaviours: Certain individual and professional characteristics deemed effective by research (Creswell, 1998; Moss et al., 1994).

1.10 Research Design and Procedures

This study was designed as an analytical study using qualitative methods. The study research was "the in-depth study of instances of a phenomenon in its natural context and from the perspective of the participants involved in the phenomenon" (Gall et al., 1996, p.754). The phenomenon was the effective leadership behaviours of private secondary school principals in Hong Kong.

The phenomenon of the effective leadership behaviours of the private secondary school principals was studied from an internal perspective using the personal views of participants. The personal view was the perception and understanding of reality as seen by participants in a qualitative descriptive study (Gall et al., 1996). The participants included: (a) 12 secondary school principals, (b) 24 seniors teachers in the secondary schools, and (c) 24 secondary school teachers.

In the past decades, literature emphasised to the importance of effective leadership, but little was found in the literature that connects this to the principal's leadership behaviours. Effective leadership in principals is still a new concept in Hong Kong although it is often referred to in the literature of educational management and improvement. There has been very little study of the effective leadership of school principals in Hong Kong. Leadership Practices Inventory (LPI) is developed by Kouzes and Posner's (2003) using several studies in Hong Kong. Leader Effective

Index (LEI) is developed by Moses, et al. (1994) which have not been used before to measure the principal's leadership in Hong Kong. These instruments are selected in this study because of Marley's (2003) work in examining the effective leadership behaviours of two high school principals in Southeast Idaho. Marley's approach appears to be better than those used by many other researchers, who use only interviews in their studies. However, there are some possible limitations to this approach, because few studies have been done by using these inventories and the methodology may not be transferable to a different cultural context.

1.11 Organisation of the Remaining Chapters of the Study

Chapter One discusses the background to the problem and issues of effective leadership in Hong Kong.

Chapter Two provides an overview of the education system and private education in Hong Kong.

Chapter Three presents a review of the literature related to this study, including a discussion of different styles of leadership and leadership practices.

Chapter Four describes the methodology and procedures used in the study.

Chapter Five presents the findings of the study in descriptive and table form, obtained from an analysis of the data.

Chapter Six summarises the major findings of the study and discusses on three research questions.

Chapter Seven offers the implications of the study and recommendations for further research.

The study concludes with bibliography and appendices.

CHAPTER TWO

HONG KONG SOCIETY: PRIVATE EDUCATION

2.1 Education Issues in Hong Kong

During the 1980s and 1990s, the society and the education environment changed very quickly not only in Hong Kong, but also in the Asia-Pacific regions. Educational goals become more complex and uncertain Particularly in Hong Kong and Mainland China; educational tasks become more difficult and demanding; expectations from the public are higher; input of quality students and teachers is more diverse; school accountability to the public is heavier than any time before. A number of educational policies have been initiated to demand changes not only in teaching method and curriculum but also in school management and organisation between Hong Kong and different parts of the world. All these inevitably become challenges to the leadership of school principals when they are pursuing school effectiveness and education quality in such a rapid changing environment (Education Commission, 1984-1995; Education and Manpower Branch, 1991).

Currently, numerous education reforms and school restructuring movements are going on to pursue educational effectiveness not only in the West such as Canada, USA, and UK, but also in the Asia-Pacific region such as Australia, New Zealand, Mainland China and Hong Kong. The search for the effective school, the shift to school-based management, the emphasis on development planning in school, the assurance of school education quality, and the implementation of various school restructuring programmes are typical examples of efforts on reforms movements. From these reforms, several trends exist and challenge school leadership (Cheng, 1996). The different countries search for effective school and school education quality, and make a great effort on education reforms, which pursue the effective principals' leadership.

Responding to these trends and developments in educational reforms and school changes, there is a strong need for a new school leadership that can initiate, support

and facilitate transformation and development in school to pursue long term effectiveness.

In 1998 the new Hong Kong Special Administrative Region (hereafter HKSAR) government led by the former Chief Executive Mr. Tung Chee-Hwa again reemphasised the importance of establishing a strong private education sector in his 1998 Policy Address.

In his Policy Address 2000, the Chief Executive endorsed the recommendations made by the Education Commission for reforming the education system in Hong Kong. The scope of the reform covered the curricula, the assessment mechanisms as well as the admission systems for different stages of education. The Government published a timetable for implementing the reform measures. Education and Manpower Bureau (EMB) have adhered to the timetable and consulted the key stakeholders and advisory bodies concerned in implementing the individual reform measures. Supportive measures for schools and teachers were put in place to ensure that the reform can be implemented smoothly and effectively.

In June 2003, EMB issued the second "Progress Report on the Education Reform" providing a detailed account of the progress in the seven key areas of the education reform and various reviews since the previous report in January 2002. EMB also held a reporting session for various stakeholders to hear their views on the reform implementation.

The HKSAR Government has been responding to the pressure for change since October 2000 when it began to introduce education reforms at every level, ranging from early childhood to tertiary and continuing education. There are six major areas under review: curriculum and assessment, language education, professional development, student admission systems, school improvement and expansion of education opportunities. Several years' worth of reform work has borne fruit — the school curriculum and the education system have been diversified to cater better for the different needs and aptitudes of students, students' learning experience has been enriched and the professionalism of principals and teachers has been enhanced.

The implementation of School Based Management (SBM) has been accompanied by an increasing emphasis on internal school self-evaluation processes to assist schools to improve the quality of learning since 2000. With the introduction of the School Development and Accountability Framework in May 2003, quality assurance inspections conducted by the EMB were transformed into a new mode of External School Review (ESR) to validate school self-evaluation and provide an external impetus for schools to set priorities for improvement in the coming years. In phases, all schools will be supported in their self-evaluation processes for sustained development, and in their self-assessment of performance relative to previous standards and the performance of other schools in Hong Kong. In the first cycle of implementation of ESR from February 2003 to December 2005, 310 schools reviewed externally. The EMB completed the first cycle of implementation of the ESR by 2007 covering over 700 schools. The EMB is conducting a review on the framework and arrangements for the ESR for the second cycle to commence in the 2008-09 school year (EMB, 2003).

To sum up, the different numbers of educational policies have been implemented to demand changes not only in curriculum reform but also from School Based Management (SBM) to new Incorporated Management Committee (IMC) from 2000 to 2009 in Hong Kong. All these policies have become challenges to the leadership of school principals when they are pursuing school effectiveness such as implementation of External School Review (ESR) in a rapid changing school environment.

2.1.1 The Hong Kong Education System

In order to help an international audience understand the background of educational reforms and school improvements, it is necessary to provide an overview of the education system in Hong Kong. Based on the information of the Government Information Office (1997), some main features of the Hong Kong education system are summarised as follows:

The formal education system in Hong Kong includes kindergartens, primary schools, secondary schools (including technical and pre-vocational schools), technical institutes, and tertiary level institutions. In general, kindergartens are in private sector, but most primary schools, secondary schools, and tertiary institutions are supported by the Government at highly subsidized rates. All

children are required by law to be in full-time education between ages of 6 and 15. The core of the education system is thus formed by the primary and secondary schools. However, there is a large demand for formal education both before and after universal education. Most children begin their pre-school education in kindergartens at the age of 3 and their primary education at the age of 6. At about 12, children take junior secondary education in a grammar, pre-vocational, or technical school. After this 3-year junior secondary education, most students will continue a 2-year senior secondary course leading to the first public examination, the Hong Kong Certificate of Education Examination (HKCEE). Other students will receive full-time vocational training and small number may choose to leave formal education at this point.

Following the HKCEE, opportunities for progression include a 2-year sixth form course leading to the Hong Kong Advanced Level Examination (HKALE); 2 or 3-year vocational courses leading to a certificate or diploma; and a 3-year course of teacher training. After the HKALE, students may gain a place on a degree or a higher diploma course, or on a course of teacher training normally lasting 2 years. Some students leave full-time education at the end of the senior secondary course and they can pursue part-time study or vocational training all the way up to degree level. Total enrollments in kindergartens, primary schools, secondary 1-5 and secondary 6 and 7 schools were 180,317, 467,718, 407,053 and 52,792 respectively in 1996. The school enrollment reaches 99% for 6-11 age group, 97% for the 12-14 age group, and 85% for the 15-16 age group.

In Hong Kong, the major part of educational provision is the public sector. Most schools are operated by non-profit-making voluntary organisations which receive public funds under a code of aid. Only a small proportion of primary and secondary schools are private independent. Except for the self-funding Open Learning University of Hong Kong, the eight tertiary institutions are autonomous statutory bodies. They receive public funds through the University Grants Committee (UGC) and provide different types of full-time and part-time tertiary education. The statutory Vocational Training Council (VTC) is responsible for providing a comprehensive system of technical education and vocational training with public funds. (citied in Government Information Office, 1997, p. 134)

The fundamental aim of the Hong Kong school education service is to "develop the potential of every child, so that our students become independent-minded and socially-aware adults, equipped with the knowledge, skills and attitudes which help them to lead a full life as individuals and play a positive role in the life of the community" (Education Manpower Branch, 1993, p.8) Therefore schools and their support services should aim to deliver the following services (pp.14-22):

1. To the individual, "every school should help all its, whatever their ability, and including those with special educational needs, to develop their potential as fully as possible in both academic and non-academic direction" (p.14), including literacy, numeracy, learning skills, practical and technical skills, social, political and civic awareness, personal growth, physical development, and aesthetic and cultural development.
2. To the community, "school education should aim to meet the community's need for people who can contribute to Hong Kong's social and economic development" (p.14).

From 2006, free and universal basic education is provided for Hong Kong children aged 6 to 15 — six years of primary education plus three years of secondary education. Admission to Primary 1 in aided and government schools are administered through a centralised system, and all Primary 6 students are provided with secondary school places. All Secondary 3 students who are willing and able to continue with their studies are given the opportunity to receive subsidised Secondary 4 education or vocational training. About one-third of Secondary 5 leavers may further their studies in subsidised Secondary 6 and 7 school places. The implementation of the New Senior Secondary (NSS) curriculum from the 2009-10 school years onwards will enable students to complete six years of secondary education (three-year junior and three-year senior) in the same school. (Tsang, 2007, p.57)

2.1.2 The Hong Kong Special Administrative Region's Educational Strategy from 1997 onwards

In his policy address on 8 October 1997, Mr. Tung Chee Hwa, the former Chief

Executive of the new Hong Kong Special Administrative Region Government presented an important blue print for the educational development of Hong Kong in the new century (Education Manpower Bureau, 1997). This policy address was very different from the previous British colonial government, it gave a very strong commitment to long-term educational development in Hong Kong and showed great determination to review and reform at different levels and different aspects of the school system for educational quality and effectiveness to face the challenges and competition in the new century. It supported the measures proposed by the Education Commission Report No. 7. These included developing school-based management as the major approach to quality assurance in education, encouraging educational innovations and initiatives in schools through a huge quality education development fund (HK$ 5 billion), upgrading primary teachers as graduate teachers by improving training and facilities for the teaching profession, enhancing the professionalism of the teaching force, implementing a long-term information technology education strategy and working towards the target of whole-day schooling for all primary students (Cheng, 1999).

Furthermore, it set a time schedule to review and streamline the education-related executive and advisory structure. It asked the Education Commission to begin a thorough review of the structure of pre-primary, primary, secondary and tertiary education including the school curriculum and examination system even though the Board of Education has recently completed a review of 9-year compulsory education (Board of Education, 1997). As a whole, the Hong Kong people were very impressed by the education reforms as summarised in this policy address and Education Commission Report No. 7 (EMB, 2003).

In Policy Address 2007, the second Chief Executive Donald Tsang endorsed the recommendations of the new free education system for Hong Kong children aged from 6 to 18—six years primary plus free three years of junior secondary plus another free three years of New Senior Secondary education (NSS). All children should be received 9-year free and universal basic education including 6-year primary school plus 3-year junior secondary. Additional 3-year for New Senior Secondary (NSS) should be free if the children continuously intended to further study, but it would not be compulsory education. Therefore, Hong Kong government should provide new

free education for 12 years. All children should be received basic education such as pre-primary, primary and secondary education if they want to be.

2.1.3 The Continuing Professional Development of Principals

Principals are the key to quality education. The implementation of school-based management has been given principals more autonomy and flexibility in the deployment of resources, curriculum development and other professional managerial matters in returns for greater accountability. The education reforms call for changes in students' learning attitude and habits, new learning processes and teaching strategies. The quality of school leadership is pivotal to bring all these changes into reality. It is only through continuing professional development (CPD) that principals can strive to further enhance school leadership and professionalism (Education Department, 2002, p.1).

To ensure quality entry of principal, a certification for principalship (CFP) requirement was introduced for all future aspirants in all government funded schools (i.e.: Subsidy schools or Direct Subsidy Schools (DSS)) with effect from September 2004.

For schools to thrive and to meet the ever increasing demands of the 21st century society, principals act as school leaders must be more professionally and personally competent than ever before. To guide their schools and students towards a productive future, principals must have clearly defined values and be dedicated to continually upgrading their own knowledge and skills, and those of their colleagues in schools. Working with the teachers and the school management committee, the principal provides vision, leadership and direction for the school and ensures that it is managed and organised to meet its aims and targets. As a leader in the wider community, the principal develops and maintains effective networks with, for example, parents, employers, other schools and higher education institutions to secure their commitment in enriching and enhancing students learning (Education Department, 2002, p.6).

The framework for principals' continuing professional development (CPD) comprises

three inter-related components – beliefs, leadership domains and six core areas of leadership. The beliefs statement provides the broad underpinnings CPD for principals. The leadership domains very briefly describe the broad forms of leadership that will be required of principals over the next decade. The core areas of leadership then provide the structure of values, knowledge, skills and attributes that are necessary to guide an over-arching CPD programme (p.7).

For a new appointment to principalship from the 2004-05 school year and thereafter, aspiring principals are required to attain the Certification for Principalship, which comprised a needs analysis, a preparatory course of principalship course and satisfactory completion of a professional development portfolio.

In 2005, the HKSAR Government organised a wide range of professional development activities for serving and newly appointed principals, vice-principals and senior teachers who aspire to become principals to equip and support them in their work. It also introduced a professional development framework to address principals' diverse needs after thorough consultation with the education sector. All serving principals are required to undertake 50 hours of continuing professional development activities every year, adding up to a minimum of 150 hours in a three-year cycle. Newly appointed principals who are in their first two years are provided with designated professional development programmes and a structured support programme. From the 2004-05 school years, people aspiring to become principals need to attain the Certification of Principalship before they can be considered for appointment. A Principal Support Network was also set up in 2004 to facilitate professional sharing and learning among principals.

2.1.3.1 Beliefs

The professional development of principals in Hong Kong is based on the following beliefs (E.D., 2002, p.8):

- Principals are responsible for their own professional growth;
- Principals have a mandate to be professionally up-to-date and to provide a role model for their own teaching staff in term of CPD;

- CPD enhances principals' professionalism and leadership for the benefit of students and students learning;
- CPD builds on principals' individuals strengths and is by nature development;
- CPD opportunities need to be varied to reflect the needs of aspiring, newly appointed and serving principals and open to individual selection; and
- CPD embraces collegial input and support from the education as well as other professional sectors (p.8).

2.1.3.2 Leadership Domains

Schools in the 21st century require principals who demonstrate the following (E.D., 2002, P.8-9):

- Strategic Leadership that focuses on developing vision, commitment, inspiration, appropriate values and a firm beliefs that all students can learn, as well as leading and managing change;
- Instructional leadership that focuses on strengthening learning, teaching, and curriculum, ongoing professional development, accountability and data-driven decision-making;
- Organisational leadership that focuses on personal relationships, cultural building, dispersed leadership, teamwork, communication, planning and management of resources; and
- Community leadership that focuses on awareness of the role of school in the broader society, close relationships with parents and other community members, and an ability to build utilize community resources in developing students into global citizens (p.9).

2.1.3.3 Core Areas of Leadership

The values, knowledge, skills and attributes needed by Hong Kong school principals as they pursue continuing professional development within the inter-related leadership domains can be clustered into six core areas. These are (E.D., 2002, p.9):

- Strategic direction and policy environment, where principals plan for the future and ensure school community involvement in the process. They strategically integrate relevant aspects of policy from the social, educational and political

environments into their planning for school and student improvement;

- Learning, teaching and curriculum, where principals coordinate school programmes to achieve coherence across the curriculum, learning and teaching. Together with their school communities, they ensure that all students experience a broad, relevant and balanced curriculum through formal, informal and non-informal activities;
- Teacher professional growth and development, where principals promote and enable continuing professional and career development for teachers and themselves. They foster the sharing of up-to-date professional knowledge and informed practice aimed at accommodating changes as well as the diverse needs of students within a general commitment to student and school improvement;
- Staff and resources management, where principals create a collaborative team management ethos focused on empowering human resources as well as deploying physical and financial resources effectively and efficiently towards the goals of school improvement and student achievement;
- Quality assurance and accountability, where principals in concert with their school communities build quality assurance and accountability systems that provide feedback to students, teachers and others with a view to securing school improvement. These systems also meet the information requirements of external agencies, regarding school performance; and
- External communication and connection to the outside world, where principals build connections between the school and the local, national and global communities. By doing so, they enable their school communities to contribute to the wider society and its development (p.9).

Meeting the four leadership domains comprise with the six core areas involve a commitment to relevant values as well as the practice and application of knowledge, skills and attributes. These will build up the framework and structure of CPD programmes together.

Unlike newly appointed principals, who form a relatively homogenous group in starting their career as principals, serving principals are of very diverse backgrounds in term of their years of experience, educational level and professional knowledge and so on. It is therefore important that continuing professional development

activities for serving principals should be characterised by variety and flexibility in order to cater for the varying needs of individual principals. Emphasis is placed on the concept of "continuing professional development", meaning that principals have to engage in professional development activities on an on-going basis (E.D., 2002, pp.12-13).

Principals should primarily pursue their own professional development, not just to cater others' expectations. They should also attach prime importance to setting their own professional development plans, taking into consideration of their personal development needs, as well as those of the school and the society. While the framework of continuing professional development is so designed as to embrace flexible and varied activity modes to meet principals' individual needs. It is the responsibility of principals to make the most of it by taking notice of the wide range of CPD activities available and making appropriate choices to ensure wide exposure while learning through action, reflection and structures programmes.

To sum up, it is clear from the documents cited here that the role of principal in Hong Kong is changing due to keen competition for enrollment of students. The principals' leadership is more demanding than before.

2.1.4 School Effectiveness Research in Hong Kong

Although there were a series of policy efforts from the beginning of the 1980s made for school improvement, there had been very few studies on the effectiveness of Hong Kong schools. Most of the past educational studies in Hong Kong focused only on the micro-level such as students' individual differences, teaching practices, learning processes, medium of instruction, and curriculum development. It was rare to use the school effectiveness research and this restricted the generation of useful knowledge for effective policy implementation and school improvement in Hong Kong (Cheng, 1995).

In 1986, Yin Cheong Cheng published a book entitled "Function and Effectiveness of Education" and that was the first literature about school effectiveness in Hong Kong (Cheng, 1986a). His comprehensive review of the functions of education in a modern

society provided a preliminary base for the discussion and research of school effectiveness. Based on the extensive research literature on education and management, he developed a theoretical framework of school effectiveness including the conceptions of principal effectiveness, teacher effectiveness, student effectiveness, and organisational context, teaching context, learning context and educational outcomes. His book raised a concern for school effectiveness research among readers in Hong Kong. In 1985-1986, Cheng also conducted research to investigate how school effectiveness research related to the principal's leadership style and organisational climate in a sample of 64 secondary schools. The findings of the survey and case studies reinforced the importance of organisational factors to school performance and development (Cheng, 1991b). The profile of effective schools was strongly associated with a commitment-style environment consisting of a balanced principal's leadership style as well as open and autonomous social interactions.

A number of empirical studies were initiated to explore the factors related to the effectiveness of Hong Kong schools such as leadership. Those studies are based on Cheng (1999) and are listed as below:

Cheng (1991) investigated the relationship between principal's leadership and initiating structure in a sample of 64 aided secondary schools with 627 teachers. The findings of the study suggested that principal's leadership is strongly related to organisation and organisational effectiveness. Higher relationship and higher initiating structure is preferable.

Yuen and Cheng (1991) conducted a research to study the eight types of managerial behaviours of principal's leadership in a sample of 50 aided secondary schools with 306 teachers. The findings of the study recommended that both supportive leadership and instrumental leadership are related to teacher's affective commitment to school. This relationship can be moderated by the teacher's professional orientation and task significance.

Chan and Cheng (1993) investigated the instructional leadership of principals with 12 dimensions in a sample of 60 aided secondary schools with 756 teachers. The findings suggested that instructional leadership of principals is characterised

by providing incentives for learning, enforcing academic standard, and maintaining high visibility. All the 12 instructional leadership dimensions correlated with teachers' sense of efficacy, sense of community, and professional interest. The public examination results are better in schools of effective instructional leadership. Most instructional leadership dimensions are also strongly related to students' academic achievements (standard tests and public examinations) and social and personal developments longitudinally.

Kwok, Lo, Ng and Cheng (1994) conducted a research to study five dimensions of leadership - structural, human, political, cultural and educational, management difficulties, confidence, efficacy, and satisfaction - in a sample of 152 aided secondary school principals. The findings proposed that there seems to be three stages of principal development such as new (1-2 years), slightly experienced (3-5 years), and experienced (6 or above). The development patterns of these 3 groups of principals are different in terms of leadership dimensions, management difficulties, confidence, efficacy and satisfaction. The slightly experienced principals might feel more problems in leadership.

Cheng (1994) states in his title that "Principal's Leadership as a Critical Factor for School Performance: Evidence from Multi-Levels of Primary Schools". This cross-sectional study of 190 Hong Kong primary schools investigates how principals' leadership influences school performance in terms of multilevel indicators (organisational characteristics, teacher performance, and student performance). Survey results show that strong leadership is associated with high organisational effectiveness, strong organisational culture, positive teacher-principal relationships, and positive teacher and student performance.

Shum and Cheng (1995) investigated five dimensions of leadership in sex-role orientation in a sample of 39 woman principals and 321 teachers. The findings of the study suggested the five leadership dimensions and androgynous orientation are positive and strong predictors to teachers' work attitudes.

Chui (1996) conducted a research to study the relationship of vision to five leadership behaviours in a sample of 48 secondary schools with 548 teachers. The

findings of this study recommended that there is strong relationship of vision to communication of values, empowerment of teachers, people orientation, teacher professional development, and structural leadership.

Law (1992) investigated the interaction effects between effective school and students' ability through an analysis of the Hong Kong Advanced level Examinations results.

> A team from the Chinese University of Hong Kong conducted a survey study of effectiveness of the Hong Kong secondary school system (1991- 1994). The aim of study was to identify the goals expected of the Hong Kong secondary system, and to measure the capability of the secondary school system in attaining these goals, and identify the schools and /or the educational practices within the system. In this study, the goals expected of the secondary school system were surveyed from the point of view of school users, educational professionals, and government. Characteristics of student intakes, educational process at different levels and educational outcomes were investigated in a stratified random sample of 54 secondary schools in a 3-year longitudinal period. They produced their final report in 1997 and showed some evidence of the effects of the instructional leadership of school principals and teachers on students' academic outcomes (Lo et al., 1997).

Andrew Wong of University of Hong Kong also conducted a research project on the effectiveness of Hong Kong secondary schools in 1994. Some interesting findings of the multi-level analysis of school effectiveness in Hong Kong can be found in Wong (1997). Wong investigates how principals' leadership influences school effectiveness in terms of multilevel indicators. The results show that strong leadership leads to high school effectiveness, positive teacher-principal relationships and strong organisational culture. (citied in Cheng, 1999, p.21-23)

In addition to the above studies, some researchers are making efforts to develop and integrate the theories of educational change, school effectiveness and school-based management (Cheng & Tam, 1997; Cheung & Cheng, 1996; Ng & Cheng, 1996). Theory integration and development of a management mechanism for continuous

school development is now a critical item in the research agenda in both Hong Kong and international contexts. The literature on school effectiveness research has grown quickly in Hong Kong over the last few years even though the volume is still small. Also, there is seldom study in the practice of school effectiveness and improvement in private secondary school in Hong Kong.

Nearly all the above findings of the studies stress the importance and contribution of principal's leadership to school performance, teacher work performance, and student educational performance. Specifically, the following insights can be summarised from these research studies. School principals can lead to open school climate or positive principal-teacher relationship, and can influence teachers' organisational commitment, job satisfaction and work attitudes. School principal's leadership can develop teachers' professionalism, esprit and sense of community. The principal's leadership can also make a difference in students' learning attitudes and affective and academic learning outcomes, even in a "low academic achievers" school. A strong and balanced leadership in the structural, human, political, cultural and educational dimensions is critical for school effectiveness. The school principals need strong support in leadership learning and development for professional growth.

(citied in Cheng, 1999, p.24)

2.2 Private Education in Hong Kong

Being a native of Hong Kong and having been educated in both public and private schools in Hong Kong, the researcher approaches the private education development in Hong Kong with both personal interest and insight. When searching for a possible dissertation topic, one day the researcher came across a Chinese newspaper article that reported the Hong Kong government had initiated various measures to promote the weakened private school sector in Hong Kong. The researcher began to ponder how these government policies have and will impact the private school sector in Hong Kong.

In the 1950s and 1960s, like many other developing countries, the post-war Hong Kong colonial government lacked the financial strength to provide school facilities for all school-aged children. Thus, private schools in Hong Kong have been a

practical solution (Tan, 1997).

As the financial infrastructure improved during the 1970s and 1980s, the public school sector grew, and the private school sector dwindled. To boost the growth and to improve the quality of existing private school sector, the Hong Kong government published several major reports regarding the role of private education since the 1980s. Some policies resulting from these reform efforts used private schools to serve political agendas such as subsidizing Pro-China schools. Thus, private schools in Hong Kong have been a political force.

For historical reasons, Hong Kong has one of the most confusing private school systems in the world in terms of financial arrangements and school characteristics (Education Commission, 1988). The Hong Kong government classifies private schools into five major categories. CAPUT schools receive government assistance in the form of a per capital grant. Bought Place Scheme (BPS) schools receive subsidy based on a class basis instead of per capita basis and were initiated when the Hong Kong government started to buy school places from private schools through the Bought Place Scheme because there were insufficient school places in the public sector. In the Education Commission Report No. 3 in 1988, the Hong Kong government recommended the abolition of the bought place scheme and replaced it in 2001 with the Direct Subsidy Scheme starting 1991. Direct Subsidy Scheme schools (DSS) receive direct subsidy from the government based upon the number of students the school can attract and the tuition charged. Local private independent schools include profit-making and non-profit-making schools. International schools offer curriculum designed for the needs of a particular cultural, racial or linguistic group or for students wishing to pursue their studies overseas. Some of them have received help from the Government in the form of favourable land grants, some are sponsored by their own governments and/or communities and some have received assistance from both sides.

It is interesting to note that in many developed countries, private schools are for the elite and the wealthy. This is not the case in Hong Kong. Most private schools, with the exception of a handful of high-fee international schools and prestigious

independent private schools generally cater to those who fail to obtain a government or aided school place through the public examination system.

In 1998 the new Hong Kong Special Administrative Region (hereafter HKSAR) government led by former Chief Executive Mr. Tung Chee-Hwa reemphasised the importance of establishing a strong private education sector in his 1998 Policy Address again. As Tung (1998) stated:

> For many years, public sector schools have provided most of our primary and secondary school places. They have contributed considerably to educating our children. Nonetheless, we recognise that at this stage of Hong Kong's development there are good arguments for injecting more variety into our education system, for giving schools greater scope for innovation and for allowing parents a wider choice by fostering growth in the number of quality private schools. To facilitate the expansion in the private school sector, we will
>
> - increase the level of assistance to direct subsidy schools in 1999;
> - allocate, on a pilot basis, Government-built premises to interested bodies to operate direct subsidy schools; and
> - introduce a pilot scheme whereby non-profit making private schools may apply for a land grant at nominal premium and for a capital assistance loan. (paragraph 97)
>
> These measures not only focus on improving the quality of private schools as in the Direct Subsidy Scheme launched in 1991, but also on increasing the quantity of quality private schools as well. As Mr. Anthony Leung, the Chair of Education Commission said: At present over 90% of our secondary schools are public, which is not healthy. We hope that Direct Subsidies Scheme private schools and private independent schools will become a strong sector to diversify the Hong Kong educational system. Hopefully it will increase to 25%.
>
> ("The role," 1999, p.93)

In 1991, the Education Department (now known as the Education Bureau) had already introduced the School Management Initiative (SMI) Scheme, which offered a school-based management (SBM) framework for the improvement of the quality of primary and secondary schools. In its Report No. 7 published in 1997, the Education

Commission endorsed the spirit of SMI and recommended that all public sector schools practice SBM by the year 2000 so as to achieve quality education. In 1998, the Education Department set up an Advisory Committee on School-based Management (ACSBM) to advise the Director of Education on matters related to the implementation of SBM, including the SBM governance framework. The ACSBM conducted a 2-month public consultation in February 2000 on a proposal for a SBM governance framework. Having regard to reviews and comments received, the ACSBM finalized its recommendations and submitted them to the Director of Education in 2001. The former Board of Education endorsed the recommendations, which were also discussed at meetings of the Education Panel of the Legislative Council. (EMB, 2003) The SMI is to be seen within the context of public sector reform, with its emphasis on accountability for performance, and within the context of the school effectiveness movement, with its characteristic features of devolution and delegation of decision-making in support of the principle of subsidiary (Dimmock, 2000:189).

Against this background of developments in education in Hong Kong and in particular the development of SMI policy, the purpose of this study is to investigate the effective leadership behaviours of the private secondary school principals in Hong Kong. The study has three major objectives: (1) to determine the effect of principal leadership on school effectiveness relationships as perceived by private schools teachers; (2) to observe how different teachers perceive their principal leadership on school effectiveness; and (3) to analyse the perceived relationships between principal leadership and school effectiveness on private schools in Hong Kong.

CHAPTER THREE

LITERATURE REVIEW

3.1 Introduction

The principal is the instructional leader of the school. The leadership behaviours of the principal set the climate for the instructional practices of the school and ultimately for the achievement of the students. "It is easy to govern schools based on a set of 'standardized expectations;' it is a far greater challenge to examine those expectations according to the needs of the individuals within the setting" (Ubben & Hughes, 2001, p.7).

"Excellent schools are led by excellent principals" (Konnert & Argenstein, 1990, p.104). The leadership behaviours of the principal set the climate for the instructional practices of the school and ultimately for the achievement of the students (Barth, 1990). It has been suggested by Calabrese (1991) that the principal's influence reaches into every aspect of the school including the curriculum and instruction, the tone of the school, and the order and discipline of the school. The purpose of this study was to examine the effective leadership behaviours of private secondary schools principals in Hong Kong and to determine, if in the perception of the teachers and senior teachers in the study, the leadership behaviours influenced student enrollment in private secondary schools.

The literature was reviewed to (a) pursuit of multiple school effectiveness, functions and some researches in Hong Kong, (this was presented in the previous chapter) (b) provide a historical and theoretical perspective of leadership, (c) support the indicators of leadership effectiveness found in the Kouzes and Posner (2003) Leadership Practices Inventory and the Moss et al. (1994) Leader Effectiveness Index, because, as we shall see in a later chapter, the participants in this study completed the Leadership Practices Inventory-Individual Contributor (Kouzes & Posner, 2003) and they were interviewed using the Leader Effectiveness Index (Moss, et al., 1994).

3.2 The Pursuit of Multiple School Effectiveness and Functions

Due to the rapid changes and developments in technology, economy, and political climate in the 1980s and 1990s, education environments in the Asia-Pacific region as well as in the Western countries changed quickly. In the new century, education goals will become more uncertain and complex; education tasks will be more demanding; education expectations from the public will be more diverse; and school accountability to the public will be heavier than any time before. In order to cope with the challenges arising in 1990s and the 21st century, numerous educational reforms and school restructuring movements have been going on to pursue educational reforms and effectiveness and school development not only in the West such as Canada, USA, and UK, but also in the Asia-Pacific regions such as Australia, New Zealand, Mainland China, Singapore, Malaysia and Hong Kong. The search for effective schools, the shift to school-based management, the emphasis on the development planning in school, the assurance of school education quality, and the implementation of new curriculum programmes are typical examples of efforts on reform movements (Caldwell & Spinks, 1992; Cheng, 1996). During these twenty years, these researchers have been pursuing the analysis of educational reforms and effectiveness and school development in Australia, New Zealand, Malaysia and Hong Kong. They mainly investigate effective schools and the emphasis on the development planning in school, the assurance of school management quality. The implementations of principal leadership, effectiveness and new curriculum programmes are also typical examples of efforts on different educational reforms. Of these Cheng (1996) is particularly useful since he focuses on Hong Kong and based on Cheng (1996) in particular, several trends can be observed in international contexts:

* From improvement to development: There is a shift of emphasis on school improvement to school development. In the school improvement tradition, it is often assured that school goals are clear and static and schools should be improved if they cannot achieve these goals successfully. But nowadays, educational environments are changing very quickly and school goals are not so clear and unchanging anymore. In order to adapt to the changing environments, there is a strong need to develop nearly every important aspect of school continuously, including school goals, curriculum, staff

organisational structure, school process, and technology in management, teaching and learning. Continuous school development is necessary for long-term school effectiveness. Conceptually, school improvement is narrow, short-term school effectiveness, and a remedial concept. On the contrary, school development is a comprehensive, long-term, and formative concept.

*From quantity to quality: A clear shift can be seen from education quantity to education quality. People are not satisfied only with the quantity of educational service provided in the school. They are more concerned about the quality. Whether the quality of school education can meet the high and diverse expectations of school constituencies, and how it can be enhanced and assured to become key issues in most of the current educational reforms;

* From maintenance to effectiveness: Traditionally, people are more concerned about problems happening in schools, and they make great efforts to avoid troubles and maintain normal school functioning. They often ignore whether schools are effective or not. But now, there is a shift of emphasis from school maintenance to school effectiveness. Maintaining daily functioning is not sufficient to satisfy the need for high quality school education. The present school reforms aim at maximizing school effectiveness to serve diverse educational needs;

* From external control to school-based management: The shift in school management from the external control mode to the self-management mode or school-based management is evident. The traditional centralized management often ignores school-based needs. It is found to be ineffective and too rigid to develop school-based initiative and meet changing school-based needs. In current school reforms, decentralization of power from the central authority to the school level, school autonomy and self-management, and participation of school constituencies are strongly encouraged to facilitate the school-based initiative for school development and effectiveness; and

* From simplistic techniques to sophisticated technology: in present school reforms, a clear shift of emphasis from using simplistic techniques to applying sophisticated technology in school management or planning can be observed. Traditionally, it is often assumed that school goals are obvious, static, and standard, given by the central education authority. Therefore, to apply strong need to use any sophisticated management technology to deal with impacts from the changing environments is unnecessary. But nowadays, following the above shifts in reforms, the use of sophisticated technologies such as the technology of strategic management, development planning, participating management, and quality assurance, is strongly emphasised and promoted in schools. (citied on Cheng, 1996, p.130)

Cheng (1996, p.105) proposes a new direction including ten important tendencies for ongoing and future educational reform and school reengineering in Hong Kong and international contexts. The tendencies are:

1. Towards Multiple School Functions from Simplistic Purpose;
2. Towards School Autonomy and Self-Initiative through School-based Management;
3. Towards School Healthy Functioning through a Knowledge-based Profile;
4. Towards School Continuous Learning and Development through Strategic Management;
5. Towards Human Initiative through Multi-Level Self-management in School;
6. Towards School Multiple Effectiveness through a Dynamic Process;
7. Towards Holistic Education in School through Layer Management;
8. Towards Synergy and Effectiveness through Congruence in School;
9. Towards Total Home-school Collaboration and Community Support for Resources, Ideas and Legitimacy;
10. Towards School Driving Force through Transformational Leadership

Obviously, these trends represent some advances in knowledge, research, practice and policy particularly in the areas of school effectiveness and school-based management in these years. But compared with the huge scale of the ongoing education reforms involving numerous schools, staff, and students, these advances are still too small and not sufficient to support the formulation and implementation of

effective reforms. Particularly, the traditional ideas and beliefs about school functions and school-based management are still so simplistic and cannot provide a clear direction for educational reforms in school (Cheng, 1996). It is surprising that many good reforms have experienced failure and frustration. Therefore, more empirical research and theory building to support the ongoing educational reforms and school restructuring movements are necessary.

3.3 Historical and Contemporary Review of the Concept of Leadership

In order to understand effective leadership behaviours, it is valuable to look at leadership in a historical perspective first.

In the earliest works on leadership, dating from ancient Greece, the "great man" theory of leadership took the approach that leaders were destined for positions of influence as a result of birth (Steers & Black, 1994, p.406). Early leadership researchers focused on attempts to identify common traits of great leaders. They assumed that a person who exhibited these traits would be successful in leading any group. This is known as the "trait theory of leadership" (Steers & Black, 1994, p.407).

After the 1930's, the emphasis of leadership study shifted from the trait approach to Fielder's "contingency theory of leadership" (Steers & Black, 1994, p.408). This model suggested the idea that leaders must change their leadership style as they encounter different situations. One element of effective leader criteria stated by Moss et al. (1994, p.41) supports this theory: the leader satisfies the job related needs of members of the organisation by adapting leadership style to the situation. Fielder and his colleagues stress that, "changing one's personality or leadership style… is quite difficult, if not impossible. Therefore, efforts to improve leadership effectiveness must focus on changing the situation, not the person" (Steers & Black, 1994, p.412).

Konnert and Augenstein (1990) defined several theories of leadership. The environmental theory of leadership postulates that leaders arise not because of their own greatness, but that the situation determines the type of leader who will emerge. Leadership resides not in the person but in the occasion.

The psycho-analytic theory is another approach which was based on the Freudian concept of the leader as a superego father figure. The leader is a source of love or fear and is usually very charismatic. The group leader serves is loyal and unquestioning (Konnert & Augenstein, 1990). Leaders clarify their goals for their subordinates as well as the paths the subordinates must take to reach those goals. Subordinates are motivated by their leaders to perform and subordinates then feel satisfaction for doing a good job (Konnert & Augenstein, 1990).

In 1957, Douglas McGregor renamed this philosophy Theory X for low-motivated people into Theory Y which believe people can be intrinsically motivated to achieve goals for themselves. A principal who operates under Theory X seeks to control by threat of discipline and is not likely to be seen as "Modelling the Way" (Kouzes & Posner, 1993, p.20). Leaders who model the way behave in a way that is consistent with their values and beliefs and they model how they expect others to behave (Kouzes & Posner, 2003). In contrast, a principal who operates under Theory Y will exhibits more confident in the faculty and staff and will empower them through shared decision making. This allows a more challenging and satisfying work environment and one that fosters unity, collaboration, and ownership (Moss et al., 1994). These tasks are also described as the role of leaders in professional development and served as the criteria for the measurement of leader performance.

Hersey & Blanchard's (1988) theory of leadership indicated leadership style is determined via the Leadership Effectiveness and Adaptability Description (LEAD) questionnaire that was developed by the Ohio State Leadership Studies staff in 1957. This tool was designed to describe how leaders carried out their activities. The LEAD defined leadership in terms of a two-dimensional grid with task orientation on one axis and relationship orientation on the other. Hersey and Blanchard believed that it was possible to alter one's leadership style (Konnert & Augenstein, 1990). According to this theory, secondary school principals' leadership style can be altered or changed. Principals who have not had succeeded in their secondary schools, but desire to improve may find more flexibility in tasks and relationships to adapt to the situation in their school.

The understanding of leadership is continually evolving. In the past, management and leadership were sometimes used interchangeably. Bennis (1989) drew a distinct difference between management and leadership and caution that have not trained people for leadership. Although both roles are crucial, they differ. Bennis stated that the most distinct difference is that "managers are people who do things right and leaders are people who do the right thing" (p.21). Bennis (1989) believed that American organisations are "overmanaged and underled" too often (p.18). Bennis pointed out that the faults lies in the way we prepare people. "We teach people how to be good technicians and good staff, but we don't train people for leadership" (p.19). The secondary school principal's image as the leader of the school is reflected in many current educational administration preparation (Chase, 1991). Chase (1991) reported on the findings of DeYoung that administration students are now typically enrolled in programmes in Educational Leadership as opposed to earlier programmes in Educational Administration. The academic journals are now including more references to the leadership roles, which principals fulfil.

Shum and Cheng (1995) quoted a series of studies to note the importance of leadership which influences school effectiveness, educational reforms, organisational performance and effectiveness. They noted the recent trend was to employ a multi-perspective approach to investigate and explain the complexities of leadership in education.

For this study, "principal leadership" is defined as leadership exercised by the principal of a school, who is knowledgeable, skilful and influential in leading the whole school to achieve ideal goals and objectives. This review of literature is relevant to the principal role in Hong Kong, which is assumed to be greatly impacted by political, social and economical changes. The major contemporary theories reviewed as follows include transactional and transformational leadership, instructional leadership, servant leadership, distributed leadership and leadership practices.

3.3.1 Transactional and Transformational Leadership

Transactional and transformational of the leader descriptive terms were coined by Burns (1978) in his classic work, Leadership. Bass, (1985) a proponent of transformational leadership, argued that there are two types of leaders (a) transactional and (b) transformational only. He described the transactional leader as one who recognises what subordinates want to get from their work and provides appropriate rewards for expected performance. Bass said there were two factors that are usually associated with transactional leadership: (1) there is a contingent reward approach and (2) there is management-by-exception. The leader does not give directions or intervene unless standards are not being met, and the leader is concerned with how best to keep the organisation running. Bass argued that unless a transformational leader is charismatic or exhibits some transformational characteristics, they would not foster the kind of employee commitment and dedication necessary for the organisation to achieve greatness.

A transformational leader is defined by Steers and Black (1994) as "one who inspires trust, confidence, admiration, and loyalty from his or her followers" (p.420). Compliance is not enough for a transformational leader. They want followers to believe in themselves and the goals of the organisation. Transformational leaders focus more on people rather than tasks and they are more apt to seek new ways and take maximum advantage of opportunities despite higher risks. They are proactive, creative, novel, and innovative. Secondary school principals who are going to be effective in providing a school climate that serves all students and for the unknown future need to be transformational leaders.

Secondary school principals who exhibit transformational leader behaviours must be prepared to lead change. Thurston, Taft, and Schact (1993) listed four "postulates" or essential elements of "change oriented" leadership:

1. Leaders for change are transformational and engage in relationships with school personnel that inspire all participants to accept and accomplish goals that rise above self-interest.
2. Leaders for change create collaborative, inclusive decision-making processes.
3. Leaders for change are oriented toward continuous learning; they believe that the school's context partially defines the school's needs and thus that

responses to those needs must be tailored to the school's context.

4. Leaders for change use a variety of student outcomes to evaluate the effects of improvement efforts.

Gurr (1996:81) summarised from the recent research of school leadership to state that transformational leadership is more relevant to the present education environment. The transformational leadership "appears to be preferred for self-managing schools and schools undergoing restructuring". Quoting some studies such as Caldwell and Spinks (cited in Gurr, 1996:185), Gurr suggested that transformational leadership is needed in the current turbulent school environment. He summarises Leithwood's framework, in which there are four categories of characteristics in transformational leadership: **purposes, people, structures, and culture**. The **purposes** of transformational leadership include developing a shared vision, building consensus about goals, priorities, and holding high performance expectations. It lines with Kouzes and Posner's (2003) suggestion that inspiring a shared vision enlists others in a common vision and goals. **People** intend leaders provide individualised support, intellectual stimulation and modelled good professional practice. It is similar to Kouzes and Posner's (1993) suggestion how the leadership practices modelling the way and encouraging the hearts. **Structures** involve dispersed leadership and democratic decision-making. Principals use delegation extensively, trusting and giving freedom to staff to do the delegated jobs. Kouzes and Posner (2003) also proposed enabling others to act for build up teams and trust the colleagues. School **culture** can be strengthened by various ways, such as "using symbols and rituals to express cultural values, direct and frequent communication about cultural norms, values and beliefs, and sharing power and responsibility with others" (Gurr, 1996:185). The principals' leadership practices can influence the success of school culture. Therefore, the complexity of the role requires the principals to employ transformational leadership to lead their followers, depending on specific school environment.

Transformational leadership is therefore currently a popular way of conceptualizing school leadership. Indeed, transformational leadership may be the theory which has the greatest currency with researchers. The work of Foster (1986, 1989) offered a cogent view of transformational leadership reasonably.

Foster (1986) adopted the idea of Burns (1978) that leaders transform others because leadership is a special form of power (Foster 1986:176). From this perspective, the leader works with others to obtain undesirable transformations features of schooling, culture and practice:

> The leadership intention is the intention to attempt a transformation of culture and social relations in a particular institution, not as an act of individual, charismatic leadership but as a shared enterprise of the teachers, the students, and the community. Transformational leadership involves considerable social skills of advocacy, inter-group relations, team building and inspiration without domination. Foster (1986:52) talks of a `community of leaders' rather than of the leader.

Leadership does not flow from an individual in a position of power. Leaders engage in leader acts upon various times in their lives; then they are leaders, but at other times they are followers (Foster 1986). Moreover, power need not be power over, but may be power to (ibid: 178). Leaders transform followers by offering them new ideas, values and ideas.

At the same time leadership is also critical. Leaders recognise that organisations are human constructs, which, if we wish, can be changed. Critical leadership is reflective, educative and ethical. Leadership examines the taken-for granted aspects of organisational life and work as well as values, not least because education is a value-laden enterprise. Such leaders are ethical because they interested in social justice and in the emancipation of those who are disadvantaged, or even oppressed by their social circumstances. Transformational leaders also empower others to evaluate their goals and values and to `penetrate "normal" conditions' (Foster, 1986:187). When leaders are educative, they critique traditions, which can be oppressive, and aim for a transformation of such conditions (Foster 1989: 53).

Foster (1989) sees leaders as critical of existing traditions and customs. They seek to transform prevailing power relations through analysis. Critical leaders do not command others, they enlighten and educate them and are, in turn, they influenced and educated by others. Leaders and followers not only interact, they rotate. Power is

not the property of an individual, but of the group. Power does not disenfranchise, it empowers. Leadership is not about control, it is to do with emancipation (see also Lakomski 1995: 197-199).

Transformational leadership therefore encompasses a cluster of key ideas. It is leadership which addresses matters of social justice, organisational power and emancipation because transformational leaders are critically aware that management is, more or less, a `technology of control' (Lakomski 1995: 198). Therefore, implicit in the arguments of those who advocate this theory is the belief that good leaders are transformational because such leaders are moral and ethical actors. This is an important point because the theory, at least as discussed in educational leadership circles, emphasises that leadership involves morals and values as well as the more instrumental dimensions of leadership. Transformational theorists are concerned with the `goodness' of leaders, as well as their `effectiveness.'

Although the idea of transformational leadership is popular in educational management texts with several writers advocating it, the notion has not been explored or investigated in relation to current trends in school leadership action in Hong Kong. Transformational leadership exists largely as an extant theory, but not as evident in practice in Hong Kong.

3.3.2 Instructional Leadership

Instructional leadership is an important expertise required by principals because of the increased performance demands, such as to raise test scores and engage in improved instructional planning. It involves "bringing together the best learning theory, motivational psychology, and human growth and development principles into a work structure and culture" (Parker & Victoria, 1997:74-5). Effective principals identify different dimensions of instructional leadership and employ them: defining and communicating mission; managing curriculum and instruction; supervising or reflecting on teaching; monitoring student progress; and promoting instructional climate (cited in Parker & Victoria, 1997:85). Hallinger (1989:319-329) proposed the systematic development of an instructional leadership team to carry out the critical functions of curriculum, instructional coordination and supervision. The system

consists of a rationale, a framework, a process, a method for assessment, and an approach to develop skills of team members. The principal, being the initiator and leader of the team, remains responsible for its performance. Some target career development for staff, based on frequent in-class observations and assistance for teachers (e.g. Hopkins, 1994; Parker & Victoria, 1997). According to Acheson and Gall (1992:11), supervision of teachers should move away from the role of an inspector towards the role of a friendly critic or collegial observer, and include observation, feedback, and setting of teacher goals by the teacher with instructional leader. They suggest "clinical supervision" which improves instruction through systematic planning, observation, and intensive intellectual analysis of actual teaching performances. Instructional leadership deserves major attention by principals as most of the school hours and activities concern teaching and learning.

Instructional leadership is a different aspect from Kouze and Posner's (1993) five leadership practices, and Gurr's (1996) framework of four characteristics in transformational leadership: purposes, people, structures, and culture. Instructional leadership is emphasis on a leader to improve the instruction through systematic planning, observation, and analyse teaching performances.

3.3.3 Servant Leadership

The accounts and theories of leadership presented so far have dominated the literature until recently, but education management theory has begun to take note of other approaches in recent years. It has to be said that these have not yet affected leadership modes in Hong Kong, perhaps as a consequence of long Chinese traditions, although this is an issue which cannot be pursued here.

Fullan (2003) wrote that a strong education system is the cornerstone of a civil, prosperous, and democratic society and he reminded us, "One of the great strengths one needs, especially in trouble times, is a strong sense of moral purpose" (p.19). Sergiovanni (1992) stated, "In a democratic society, it is vital that students learn to think reflectively, function at high stages of moral reasoning, and be autonomous decision makers" (p.156). Hence, the role of school leader or teacher becomes critical in providing the example and environment to foster such democratic ethos. The old

leadership paradigm of the 19th and early 20th centuries suggested three particular beliefs: (1) that leaders were born and not made (your lineage or pedigree class endowed you with the look and personality of a leader- a hierarchical position); (2) good management mage successful organisations; and (3) one should avoid failure at all costs, a belief that promoted risk avoidance and fear (Block, 1993, Hickman, 1998). Leadership was defined in the literature as being hierarchical, patriarchal, coercive, and related to wealth and influence (Block, 1993; Hickman, 1998; Sergiovanni, 1992).

The paradoxical term servant-leadership is inclusive of personal service to society regardless of position (Block, 1993). This premise of a leadership-service combination was in direct opposition to the hierarchical model of leadership. In hierarchical leadership the power of the leader was visible and obeyed by those lower in the organisation (Senge, 1990); whereas, in servant-leadership, it was through strategies of service and stewardship, that a leader was identified by the people to be first among equals or "primus inter pares" (Greenleaf, 1976, p.16).

The term "servant-leadership", a new leadership paradigm, was introduced by Robert Kiefner Greenleaf (1904-1990) in his first essay entitled, the Servant as Leader, was written in 1970 at the age of 66. Greenleaf worked as a lineman first and eventually moved into organisational management at AT&T between the mid 1920s and 1960s. He lectured at Massachusetts Institute of Technology (MIT), and the Harvard Business School. Greenleaf (Spears, 1998a) told the story of how he discovered the concept of servant-leadership through reading a small book called, *Journey to the East*, by Herman Hesse (1956/2000). The book tells the story of a band of men who set out on a long journey. Accompanying the men was a fellow named Leo; his job was to care for the band of men by doing all of the menial chores and providing for their comfort. The journey progressed well until Leo disappeared. At this point, the travelers or band of men aborted the journey, when they fell into disarray without Leo.

Many years later, the narrator of the story encountered Leo. It was at this point that the narrator realized Leo was the titular head of the order that sponsored the journey. He was the leader, but his nature was a servant. His leadership was bestowed upon

him and could be taken away by the band of men. His desire to serve the groups of men came from his heart and was the real person. Leo wanted to serve to the band of men. Leo was a servant by taking care of their basic needs first while on the journey. Greenleaf believed the message of the story that one has to first serve the society and through one's service, a person will be recognised as a leader. Leadership must involve in service (Spears, 1998a).

Greenleaf (1970-/1991) gave the definition to a servant-leader. The Servant-leader firstly acts as servant. It begins with natural feeling that one wants to serve. Then conscious brings one to aspire to lead. The servant takes care different manifests: - to make sure other people's highest priority needs are firstly being served. The best test is to those served grow as persons; do they become healthier, wiser, freer, more autonomous, more likely servants while being served? And what is the effect on the least privileged in society; will they benefit or at least not be further deprived? (Greenleaf, 1970/1991, p.7)

Purkey and Siegel (2002) introduced two significant implications in Greenleaf's definition of servant-leadership. Firstly, Greenleaf pointed out that leadership without service is less substantial, more ego-driven and selfish, instead of being community centered, altruistic, and empathetic. Secondly, Greenleaf believes "that leadership involves teaching and mentoring, as one of the major requirements of leaders to invite others towards service" (Greenleaf, 1976, p.181).

Greenleaf (as cited in Frick and Spears, 1996) a Quaker, believed strongly in the equality of all human beings. Greenleaf worked with educational, business and industrial organisations (Spears, 1998a) and his goal was for the development of strong, effective, caring communities in all segments of our society (Greenleaf, 1976, Spears 1998a). An important realization was identified how servant were viewed by others, "Effective servant-leaders can be so subtle about it all anybody is likely to see the result. They do not see the cause" (1976, p.151). Purkey and Siegel (2002) also described "the little nameless acts that reveal a true leader's character, inspire trust and respect among colleagues" (p.177). Fullan (2003), wrote in *The Moral Imperative of School Leadership,* discusses Badaracco and the concepts of leading quietly" or being a "quiet leader".

> They choose responsible, behind-the-scenes action over heroism to solve tough leadership challenges. These individual don't fit the stereotype of the bold and gutsy leader, and they don't want to. What they want is to do the right thing" for their organisations, their co-workers and themselves-inconspicuously and without casualties. (p.70)

In summary, Servant-leadership is in direct opposition to the hierarchical style, and it emphasises collaboration, trust, empathy and the ethical use of power. At heart, the individual is a servant first, making a conscious decision to lead in order to serve others better, not to increase their power. The objective is to enhance the growth of individuals in the organisation and increase teamwork and personal involvement.

3.3.4 Distributed Leadership

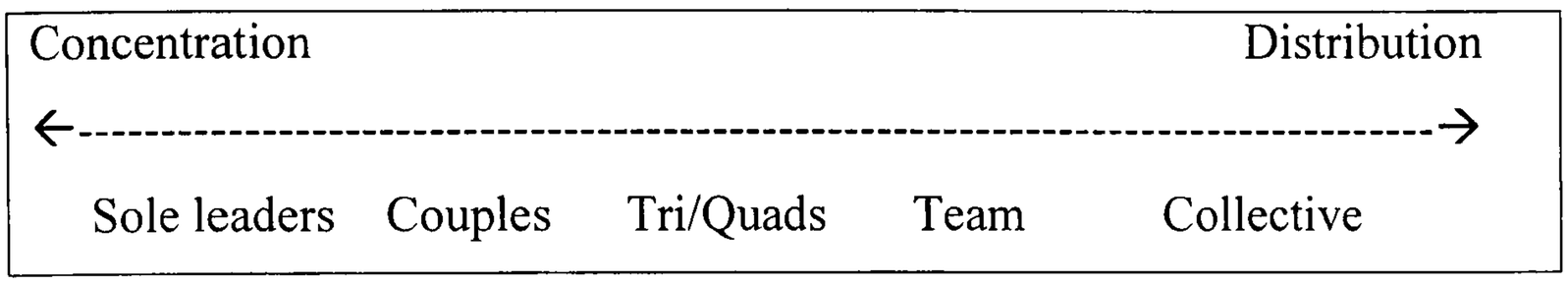
Distributed leadership is focused upon leadership practices, it moves beyond the typical and traditional explorations and examinations of leadership, to focus upon roles, responsibilities and functions and the related interactions that take place. To help us think more clearly about what this actually means, Spillane (2006) suggested that we consider the performance of a two-partnered dance. While the actions of each partner are crucial, much of the performance of the dance takes place through the interactions of the dancing partners. The practice is between the two dancers, and an account of the actions of each partner would not capture the practice took place (p.16).

Recent work which carried out in the UK, examining programmes of study designed to develop leaders, similarly indicates that leadership action or practice is part of a chain of events – leading to multiple actions, drawing upon a variety of tools, which are focused upon a number of discrete objects. This is, in effect, a system of inter-related activities: "the action of one person only makes sense as part of a pattern of relationships which form the collective activity" (Ross et. al, 2005, p.132).

Such distributed leadership organisations (where roles and responsibilities are shared), are therefore distinct from typical or traditional organisations (where roles and responsibilities reside in the sole leader). Rodgers et al. (2003) suggested that sole or

individualised approaches to leadership represent one end of a leadership continuum – the other being one where responsibilities are shared collectively or collaboratively between a numbers of different leaders. This is summarised in the diagram below.

Diagram 1: Adapted from Rodgers et al (2003) and Ross et al. (2005)



To sum up, Spillane (2006) said that distributed leadership is centrally concerned with leadership practice and this practice is framed in a particular way. It is a product of the joint interactions of leaders, their followers and aspects of their situation such as the tools they use and the routines or procedures they adopt. Such a distributed view of leadership shifts the focus from the typical or traditional leader (a chief executive or Headteacher or Principal), to an intricate and complex web of leaders, followers and their situation that give rise to leadership practice – as expressed in the above diagram. The distributed leadership and approaches focus upon the practices of leadership rather than focusing upon the empowering approach and actions of the hierarchical leader. As such, distributed leadership places leadership power with a range of individuals. Distributed leadership is different from traditional or typical forms of leadership; it requires organisations to think, and acts behave in different ways. It replies upon a variety of factors to become effectively implemented.

Personal experience shows however that this theory and style of leadership has not yet affected thinking in Hong Kong – with its Chinese traditions of leadership – and therefore has not been taken into account in the development of data collection methods described in a later chapter.

3.3.5 Change Process

Many principals were found to have difficulty in initiating, implementing, and institutionalizing the ***change process*** in their schools, according to Bamburg & Andrews (1989:309), because they fail to understand that the change process itself is

an innovation; to manage it successfully, they must understand the complexity of change. Fullan (1982:1) identified three dimensions of change—in materials, teaching approaches and beliefs. He advised leaders to recognise the dynamic complexity of change and teachers' need to be informed clearly about the ideas, rationale and the process of change. Change should be based on clear evidence of what is the best for the young people in that school, and it should be linked with the community in bringing realistic education outcomes for the younger generation (Hopkins, 1994). The principal is a "dynamic change agent within an interactive system", who is required to be flexible and credible, to inspire and respect others, and be able to provide useful learning opportunities for teachers as well as students (Kaufman, 1997:101). Murphy and Hallinger (1992) noted the change of the role of principalship which has become more diverse and complex, under extreme political pressures in exceedingly complex environment; and they identify ***six forces*** propelling fundamental changes in schools—increasing importance in education, competitive forces, demands of a changing population, changing political landscape, debureaucratization of society, and decentralisation of problems. Caldwell & Spinks (1992) identified ***empowerment*** as a factor underpinning change in a self-managing school. It involves a cyclical process of goal-setting, identification, priority setting, policy making, planning, budgeting, implementing and evaluating in a manner that provides for the appropriate involvement of staff and community, including parents and students as relevant. Principals of Hong Kong are particularly concerned with dramatic changes, and their leadership is vital in implementing changes successfully. It lines with Kouzes and Posner's (1993) suggested that leadership is closely associated with change and innovation. **Challenge the process** may find change opportunities, and they also suggested **enabling others to act** involve empowering teachers to work together.

Change oriented leadership requires that the leader has a vision of what the organisation needs to change. In the literature, vision is listed as an effective leadership attribute by any authors and researchers including Bennis (1993), Fullan (1982), Moss et al., (1994), Kouzes & Posner (1993), Sergiovanni (2001), Ubben et al. (2001).

Mattocks and Drake discussed the visionary leader's role in the Winter 2001 AASA Professor:

> School leaders at all levels in American educational systems play decisive role as the educational enterprise examines its form and function in our society. The competence and confidence of visionary leaders will be a key factor in connecting schools and their communities so as to provide quality educational programmes and services for all students. The contemporary leadership roles for school administrators will require individuals who are flexible and credible, who inspire and respect others, and who can provide meaningful opportunities for personal as well as organisational growth and improvement. (p.15)

Schmieder and Cairns (1996) compiled a list of the top ten critical skills necessary for the principalship in California. The top ten skills include:

1. Having a vision along with an understanding of the steps needed to achieve relevant goals.
2. Demonstrating a desire to make a significant difference in the lives of staff and students.
3. Knowing how to evaluate staff (e.g., procedures for the task and also substances: What do standards really mean?)
4. Understanding that change is ongoing and that it results in a continually changing vision of the principalship.
5. Being aware of one's biases, strengths, and weaknesses.
6. Knowing how to facilitate/conduct group meetings (large and small).
7. Portraying a sense of self-confidence on the job.
8. Knowing how assess job responsibilities in terms of the 'real role' of the principalship.
9. Knowing how to encourage involvement by all parties in the educational community (p.xvi).

Although there are some differences in terminology used, and this list of skills for the principal is more nuts and bolts, it contains many of the same themes of leadership that Moss et al., (1994), Kouzes & Posner (1993), and other authors on leadership

found to be effective leadership behaviours. Therefore, effective leadership behaviour requires that the principal have a clear vision of what the school needs to change.

In summary, in the literature above-mentioned, the notion of a shared vision is listed as an effective leadership behaviour attribute by many researchers such as Bennis (1993), Fullan (1982), Moses et al., (1994), Kouzes & Posner (1993), Sergiovanni (2001), Ubben et al. (2001), and this will be an important concept in the development of the investigation later in this thesis.

3.4 Effective principals' behaviour makes a difference to the performance of their schools

In the recent literature of effective schools, the importance of the principal's leadership is emphasised among the input or process variables of school system such as school climate, curricular materials and organisation, instructional tactics and strategies, financial resources, facilities, equipments, and parental and school-community involvement in education (Sergiovanni, 1984; Hall et al., 1984; Bolman et al., 1993; Cheng, 1996). Numerous studies in the field of organisation and management have also suggested that leadership is a critical factor for organisational performance and effectiveness by shaping organisational process and structure, patterns of social interactions, and members' beliefs, attitudes, and job behaviours (Bolman et al., 1993).

Many studies employed the different leadership models to investigate leadership in various organisations. But recently some scholars queried whether the models are powerful enough to describe complicated leader behaviour and generate more useful knowledge for management. Therefore, they proposed different models to investigate leadership (Yukl, 1981).

Based on the four frames of understanding organisations: the structural, human resource, political and symbolic, Bolman and Deal (1993) suggested that there may be four leadership orientations in organisations: the structural leadership, human resource leadership, political leadership, and symbolic leadership. For the educational organisations, Sergiovanni (1984) proposed a five leadership forces model to explain

how principal's leadership is related to excellent school performance in this model. There may be five aspects of principal's leadership: the technical leadership, human leadership, educational leadership, symbolic leadership, and cultural leadership. Integrating the above two models, we may assume that principal's leadership can be described by five dimensions: structural leadership, human leadership, political leadership, symbolic leadership, and educational leadership. The human leadership refers to the extent to which the principal is supportive and fosters participations; the structural leadership refers to the extent to which the principal thinks clearly and logically, develop clear goals and policies, and holds people accountable for results; the political leadership refers to the extent to which the principal is persuasive and effective at building alliances and support and solving conflicts; the symbolic leadership refers to the extent to which the principal is inspirational and charismatic; and the educational refers to the extent to which the principal emphasises and encourages professional development and teaching improvement. The first four dimensions can be assessed by measures of Bolman and Deal (1993) and the last one by a measure developed from the idea of Sergiovnani (1984). With this integrated model, Cheng (1994) describes and understands the principal's leadership from five critical dimensions that have roots in different organisational theories and specific nature of educational organisations. Cheng's (1994) assumes that principal's leadership can be described by five dimensions: structural leadership, human leadership, political leadership, symbolic leadership, and educational leadership. Cheng then (1994) conducted a research to study five dimensions of leadership - structural, human, political, cultural and educational, management difficulties, confidence, efficacy, and satisfaction - in a sample of 152 aided secondary school principals. The findings proposed that there seems to be three stages of principal development such as new (1-2 years), slightly experienced (3-5 years), and experienced (6 or above). The development patterns of these 3 groups of principals are different in terms of leadership dimensions, management difficulties, confidence, efficacy and satisfaction. The slightly experienced principals might feel more problems in leadership.

How to improve school performance becomes a salient issue in policy-making, public discussion, and educational research in Hong Kong as well as in other countries (Education and Manpower Branch and Education, 1991; Education

Commission, 1984, 1988, 1990, 1992). Unfortunately, school performance is rather broad and vague concept involving many factors, difficult to be assessed by one single indicator or one single model accepted by all concerned. Therefore, school performance can be conceptualized as a multi-level phenomenon that should be described multi-level indicators including organisational-level indicators, teacher-level indicators, and student-level indicators. The organisational-level indicators may include organisational structures (in terms of formalization, participation, and hierarchy of authority (Oldman & Hackman, 1981; Hage & Aiken, 1967), strength of organisational culture (Price & Mueller, 1986; Cheng, 1993), perceived organisational effectiveness (Mott, 1972), principal-teacher relationship (Chan, Cheng, & Hau, 1991). The teacher-level indicators may include the group-level and individual-level. The former may include teachers' social interactions (in terms of esprit, intimacy, hindrance, and disengagement (Croft & Halpin, 1963)) and teachers' professionalism (Cheng, 1992). The latter may include teachers' personal intrinsic satisfaction, extrinsic satisfaction, influence satisfaction, social satisfaction, job commitment, feeling of job meaning, and feeling of fair role loading (Cammann et al., 1983). The student-level indicators may include students' self-concept, attitudes towards peers, teachers, the school, the learning, feeling of homework overload, and intention to dropout (Cheng, 1993). Therefore, school performance can include different level of indicators as above mentioned, but the most important factors are the multi-level tasks of the principal and teachers participation.

Principal's leadership is often believed to be critical to school performance. But very few studies have investigated empirically how the principal's leadership, particularly in terms of Cheng's (1994) five dimensions leadership such as structural leadership, human leadership, political leadership, symbolic leadership, and educational leadership is related to school performance in terms of the organisational level indicators, teacher-level indicators and student-level indicators. Lack of understanding of this relationship hinders the effort for improvement of the principal's leadership and the school performance in turn. Therefore this study aims to explore this research question. The findings may make a contribution to the ongoing discussion and effort for private school management reform and educational improvement in Hong Kong (Cheng, 1994).

Cheng (1994) suggested principal's leadership as a critical factor for school performance: evidence from multi-levels of primary schools. This cross-sectional study of 190 Hong Kong elementary schools investigates how principals' leadership influences school performance in terms of multilevel indicators (organisational characteristics, teacher performance, and student performance). Survey results show that strong leadership is associated with high organisational effectiveness, strong organisational culture, positive teacher-principal relationships, and positive teacher. Therefore, a strong principal leadership is highly related to the positive attitudes and response of teacher.

Cameron (1984) and Cameron and Whetten (1983) reviewed the literature on organisational effectiveness and suggested that a number of models can be used to study effectiveness of organisations in general. They classified the conceptions of school effectiveness into seven models. The different models include the goal model, the system-resource model, the internal process model, the strategic constituencies' model, the legitimacy model, the organisational learning model, and the ineffectiveness model. To different models, their indicators of effectiveness and their applicability to a specific context are quite different. All these models have their own strengths and limitations.

Nearly all the above studies stress the importance and contribution of principal's leadership to school performance, teacher work performance, and student educational performance. Principal's leadership is also a critical factor for school performance and effectiveness by shaping organisational process and structure, patterns of social interactions, and members' beliefs, attitudes, and job behaviours. Specifically, the following insights can be summarised from these research studies. School principals can lead to open school climate or positive principal-teacher relationship, and can influence teachers' organisational commitment, job satisfaction and work attitudes. School principal's leadership can develop teachers' professionalism, esprit and sense of community. The principal's leadership can also make a difference in students' learning attitudes and affective and academic learning outcomes, even in a "low academic achievers" school. A strong and balanced leadership in the structural, human, political, cultural and educational dimensions is critical for school effectiveness. The school principals need strong support in leadership learning and development for

professional growth.

3.5 Effective Principal Behaviours

The previous section was mainly mentioned about the school effectiveness and performance related to principal's leadership. In this section, the following theories are related to effective principal leadership behaviours which serve as background knowledge to: facilitate the researcher's understanding of experiences revealed by the school leaders, place this study in the context of others, and enable analysis and interpretation of the qualitative data later (Rankin, 1998:38).

Marley (2003) examined the effective leadership behaviours of two high school principals in Southeast Idaho. High school principals were studied from the three perspectives of internal stakeholders: (a) principals, (b) teachers, and (c) counsellors. Three research questions were answered with data collected using the survey instruments, Leadership Practices Inventory (LPI) (Kouzes & Posner, 1993), and the interview instrument, Leader Effectiveness Index (LEI) (Moss, et al., 1994). Three leadership practices, enabling others to act, encouraging the heart, and modelling the way (Kouzes & Posner, 1993) were found to be the foundations of success. Results indicated "Inspiring a Shared Vision" may also be a foundation of success. Data indicated that "Enabling Others to Act", (Kouzes & Posner, 1993) or effective use of power and empowerment (Moss, et al., 1994), did influence the success of professional-technical programmes.

Leadership effectiveness has been studied but agreement by every student of leadership on an exact definition, a definite model, or the most useful measurement of leadership effectiveness is incomplete. However, Moss et al. (1994) stated that:

> There is, however, substantial agreement that leadership is a viable construct and that it can be recognised in practice, that aspects of leadership behaviour can be measured and shown to be related to effectiveness performance, and that educational interventions can affect the behaviour of leaders (p.2).

Kouzes and Posner (2003) reported that if certain "behaviour represented leadership at its best, then leaders who engage in these behaviours must be more effective and successful than leaders who do not engage in these behaviours" (p.15).

The behavioural attributes of effective principals follow a variety of formats and theories. The researcher has reviewed different related instruments used for measuring principals' leadership, such as Leadership Effectiveness and Adaptability Description (LEAD), Cheng's (1994) five leadership forces model and Marley's study. Leadership style is not just a continuum. Hersey and Blanchard (1988) believed that it was possible to alter one's leadership style (in Konnert & Augenstein, 1990). According to this theory, secondary school principals' leadership style can be altered or changed. The LEAD defined leadership in terms of a two-dimenional grid with task orientation on one axis and relationship orientation on the other. This tool is not suitable for this research since it examines relationship between tasks orientation and relationship orientation only. This research is to investigate the principals' leadership behaviours. For the educational organisations, Cheng Y. C. (1994) suggested that the principal's leadership can be described in five dimensions: structural leadership, human leadership, political leadership, symbolic leadership, and educational leadership. Cheng's Five Leadership Forces Model investigates how principals' leadership influences school performance in terms of multilevel indicators such as organisational characteristics, teacher performance and student performance. The model investigates school performance by mean of three different aspects: organisational effectiveness, teacher performance and student performance. There are eight management models for organisational effectiveness including the goal model, system-input model, process model, satisfaction model, legitimacy model, ineffectiveness model, organisational learning model and total-quality model, and therefore their cognate indicators for monitoring are different, but student enrollment is not included in this study. Cheng's five leadership forces model is not suitable for this research due to it investigates the school performance only. This study is to determine the effect of principal's leadership behaviours on the students' enrollment by the perceptions of teachers and senior teachers. The research instruments in the Marley's study were nonetheless employed since both her study and research were to investigate the leadership practices in a context of an educational organisation. The Leader Effectiveness Index (LEI) developed by Moss et al. (1994) was to provide an

in-depth investigation of leadership practices of Leadership Practices Inventory (LPI) so that the researcher can have a further understanding of leadership practices and behaviours.

In the Leader Effectiveness Manual, Moss et al. (1994) identified specific leadership attributes of effectiveness administrators. Referring to these attributes, Peyer (1995) stated:

> These attributes are established as measurable criteria within their leader Effectiveness Index. As such they provide a comparable framework from which to study administrative behaviour relative to vocational educators or education-for-work programmes and processes. (p.33)

The six leadership attributes from the Leader Effectiveness Manual are used to describe the envisioned role of leaders and serve as criteria to examine the effective leadership behaviours of high school principals (Moss et al., 1994, p.6). These attributes are:

1. The ability to inspire a shared vision and to establish standards to help the organisation to achieve its next stage of development.
2. The ability to foster unity, collaboration, and ownership, while recognizing individual and team contributions.
3. The ability to exercise power effectively and to empower others to act.
4. The ability to exert influence outside of the organisation in order to set the right context for the organisation.
5. The ability to establish an environment conducive to learning.
6. The ability to satisfy the job related needs of members of the organisation as individuals.

3.5.1 The Leadership Practices Inventory

Kouzes and Posner (2003) developed the Leadership Practices Inventory as part of a research project into the everyday behaviours and actions of exemplary leaders. Five practices were identified that recognised as common to leadership success: (a) Challenging the Process, (b) Inspiring a shared vision, (c) Enabling others to acts, (d) Modelling the way, and (e) Encouraging the heart. There is a strong commonality between the effective leader behaviours identified by Kouzes and Posner.

3.5.2 Challenging the Process

Leaders who challenge the process search out opportunities, and are willing to "experiment and take risks" (Kouzes & Posner, 1993, p.1). A successful secondary school principal who challenges the process will be willing to take risks, allow teachers to take risks, and learn in the process. Leaders who challenge the process do not take mistakes as failure but as learning experiences are prepared for whatever challenges may come. Bennis (1989) called this ability the "Wallenda Factor" (p.22). Leaders who exhibit the Wallenda Factor do not think of failure as most people do. They do not necessarily treat mistakes as failures. Bennis studied interviews he conducted with a group of exemplary leaders and analysed the interview for synonyms that the leaders used for the word failure. The words they used included:" mistake, error, false start, bloop, flop, loss, miss, foul-up, stumble, botch, bungle… but not failure" (p.22). Burns (1978) said that leaders believe in the necessity of mistakes and see them as synonymous with growth and progress. The effective leader learns from mistakes and uses that learning not as failure but as the next step. Principals who challenge the present system and encourage others, such as teachers, to reach for new goals and to reach for the next stage of development (Moss et al., 1994) would be considered as transformational leaders. Teachers who want to change their teaching methods or examine their teaching style need support from their principal. Teachers who want to keep current with constantly-changing education reform need the support of a principal who is willing to be flexible and take the risks associated with the change. Principals who challenge the process (Kouzes & Posner, 1993) will establish a climate where teachers feel supported and are secure enough to attempt an examination of their teaching (Sergiovanni, 1995).

Leaders who challenge the process will push themselves and others to exceed accepted limits. They take calculated risks to move forward thus enabling their organisation to move forward. Although the term 'challenge' is often associated with taking a bold action, it may also mean taking modest actions on a continuing basis. These incremental improvements lead to better quality (Kouzes & Posner, 1993). Leaders who challenge the process "actively seek opportunities both to learn and to have an impact on results" (p.5). Covey expressed this proactive behaviour as making changes from the inside. This type of leader says: "I can be more resourceful, I can be more diligent, I can be more creative, and I can be more cooperative" (Covey, 1990, p.89). Covey also paraphrased Peter Drucker who said: "effective people are not problem-minded; they are opportunity minded. They feed opportunities and starve problems" (p.154).

Peter (1987) referred to those willing to take risks as champions. He quoted Machiavelli in The Prince:

> It ought to be remembered that there is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success, than to take the lead in the introduction of a new order of things. Because the innovator has for enemies all those who have done well under the old conditions and lukewarm defenders among those who may do well under the new (p.246).

Even when things are going well in the secondary school, the principal who challenges the process will search for new innovations and improvements to help the school move forward (Moss et al., 1994). Peters and Austin (1985) said that one question must take precedence: "What—specifically—have you changed? What—specifically—have you changed today? How much—specifically—have you changed today? How much—specifically—are you planning to change tomorrow?" (p.5)

A successful principal who is a risk taker will encourage "creation and innovation from the entire school community" (Bullard and Taylor, 1998, p.5). The principal will inform teachers of new methods of instruction and be willing to assist them. The principal will look for resources for teachers and seek the assistance from parents, business, and community members.

3.5.3 Inspiring a Shared Vision

Both the Leadership Practices Inventory (Kouzes & Posner, 1993) and Leader Effectiveness Index (Moss et al., 1994) included vision as an effectiveness leadership behaviour. Kouzes and Posner indicated that leaders with vision are able to scan across time and envision the future that they want to create. They enlist others to share the vision through enthusiasm and skilled communication.

Vision is also listed as an important attribute of effective leaders by other authors on leadership: Bennis (1993); Covey (1990), Konnert & Augenstein (1990); Peters (1987). According to Bennis, "every effective leader needs a powerful vision of the way the organisation should be" (1993, p.28). Covey defined vision as beginning "with the end in mind" (1990, p.98). It means "to start with a clear understanding of your destination. It means to know where you are going so that you understand where you are now and so that the steps you take are always in the right direction" (Covey, 1990. p.98). Leaders who inspire a shared vision look for ways to commit others through mutual interests and common purposes. Bennis (1984) described vision as "the capacity to create and communicate a compelling vision of desired state of affairs, a vision… that clarifies the current situation and induces commitment to the future" (p.66). Chase (1991) said the principal who is a visionary leader works to develop a common purpose among all those in the school. Strong leaders believe "in their ideas and sell them to others" (p.11).

Research has shown the most effective principals have a clear sense of purpose and priorities and able to enlist the support of others towards these ends (Ubben & Hughes, 1987). Possessing a vision for the organisation and being able to share and enlist support from others is in almost every list of leadership attributes. Konnert and Augenstein (1990) stated:

> A vision is a statement of belief. It is a core statement of philosophy and values… However, the vision and goals must be owned by everyone…There must also be a process of interaction leading to mutually acceptable and shared vision and goals. At this point, everyone becomes empowered to proclaim the vision boldly and loudly (p.106).

Sergiovanni (2001) stated that as the leader of the school, the principal should have a vision of the school that reflects the "hopes and dreams, the needs and interests, the values and beliefs of everyone who has a stake in the school—teachers, parents, and students…In successful schools consensus runs deep" (p.149). Sergiovanni also said that this shared vision binds everyone together in a system of values that provides an agreement that is the "basis for decisions and actions" (p.149). "This binding and solemn agreement represents the school's covenant. When both vision and covenant are present, teachers and students respond with increased motivation and commitment and their performance is beyond expectation" (p.149). When the people in the secondary school have purpose and shared values, Sergiovanni stated that is the "glue" that bonds them together in a loosely connected world (p.67).

DuFour and Eaker (1998) stated that a school is a learning community rather than just an ordinary school, has a shared mission, vision, and values and there is a "collective commitment" (p.25). More important is that the mission, vision and values are "embedded in the hearts and minds of people throughout the school (p.25).

In their study of excellent organisations, Peters and Waterman (1982) came to believe that the success of the organisations over time was based on the beliefs of the organisation and the meaning these beliefs had for the organisation's people. They said:

> Any organisation, in order to survive and achieve success, must have a sound set of beliefs on which it premises all its policies and actions…If an organisation is to meet the challenge of a changing world, it must be prepared to change everything about itself except those beliefs (p.280).

Jago (1982) defined the process of leadership as "the use of non-coercive influence the direct and coordinate the attributes of the members of an organised group towards the accomplishment of group objectives" (p.315). Principals then must be able to motivate the staff to work as a group towards the principal's vision.

Principals need to show they believe in fostering unity, collaboration, and ownership (Moss et al., 1994). One way they can model is to provide teachers with opportunities

for collaboration, opportunities for social interaction, and opportunities to provide leadership for the vision that will give them pride and ownership. Teachers must know what the group vision is if they are going to support it. Visions should not merely be placed on a poster and posted in classrooms (Conley & Goldman, 1994).

To sum up, the most effective principals often seem to have a clear sense of purpose and vision of the school. Principals have a shared vision and values, and they must be able to motivate the teaching staff to work as a group towards their vision.

3.5.4 Enabling Others to Act

Successful leaders involve others by "fosters collaboration" and "strengthening others" (Kouzes & Posner, 1993, p.2). They involve others in planning and allow people to make decisions. Collaboration with others and building unity are part of their practiced behaviours. Effective leaders exercise power effectively and empower others to act (Moss et al., 1994). Grimes (1987) defined power as:

> Interpersonal relationship in which one individual (or group) has the ability to coerce another individual (or group) to take an action that would not be taken otherwise … However, leadership elicits a response that goes beyond required or mechanical compliance. It is this voluntary aspect of leadership sets it apart from power and authority (p.523).

Tracy (1990) outlined 10 components of empowerment. They are: (a) outline responsibilities given, (b) give people proper authority to act on the responsibilities, (c) set high standards, (d) provide training needed to succeed, (e) provide knowledge and information, (f) provide appropriate feedback, (g) recognise achievement, (h) trust the people who have been empowered, (i) allow them to fail, and (j) treat them with respect and dignity.

Bennis (1989) said leadership "is the ability of the leader to reach the souls of others in a fashion that raises the consciousness, builds meaning and inspire the human intent that provides the power to lead" (p.109). The effective principal will stimulate and motivate the staff and exercises power others effectively. "Excellent schools are led by excellent principals. Excellent principals are leaders by empowerment… The

school principal then must empower the staff because these individuals articulate the vision and mission in a dynamic curriculum" (Konnert & Augenstein, 1990, p.104). Empowerment in an organisation is evident in 4 themes: (a) people feel significant, (b) learning and competence matter, (c) people are part of a community, and (d) work is exciting (Bennis, 1993, p.84). Teachers may feel more significant and an importance part of the school community when their contributions are recognised as important by the principal.

Short and Greer (1994) listed indicators of teacher empowerment as: (a) ability to make decisions, (b) opportunity for professional growth, (c) teacher is empowered to make decisions that enable them to be effective, (d) autonomy, and (e) impact. Progressive leaders are not dictatorial but have learnt to share some of their responsibility for leadership with others and delegate some of their authority to others. People will respond to this by being more likely to do what the leader think is good for the school (Sergiovanni, 2001).

Bonding leaders follow the empowerment rule that "everyone is free to do the things that make sense to them, providing the decisions they make about what to do embody the values that are shared" (Sergiovanni, 2001, p.151). An effective leader should avoid the mistake of equating empowerment with freedom. Obligation and duty are part of empowerment. Sergiovanni stated that "one is not free to do what he or she pleases, but free to make sensible decisions in light of shared values" (p.151).

Drucker (1993) said that leaders allow others to be part of decision-making process and especially in those areas that impact them. Leaders make the decisions that have an impact on the larger organisation and allow people within the organisation to make decisions that are pertinent to them. Ashton and Webb (1986) found that school climates are supportive for teaching and learning environments with shared decision making contribute to cooperative relationships and higher levels of interaction. Covey (1990) said that unity is a form of "creative cooperation." It provides synergy from which people "create new alternates—something that wasn't there before" (p.262).

The secondary school principal who fosters unity, collaboration, and ownership through shared decision making and empowerment will provide an atmosphere in the school that promotes good teaching and learning. Change initiatives are especially likely to stall if members of the faculty do not feel ownership. Kanter (1995) wrote:

> Change is always a threat when it is done to people, but it is an opportunity when it is done to people. The ultimate key in creating pleasure in the hard work of change is … to give people the tools and autonomy to make their own contribution to change (p.83).

In their studies of excellent companies, Peters and Waterman (1982) found that these companies take advantage of one very important human need: "the need one has to control one's destiny" (p.80). The need for self-determination is termed "illusion of control" (p.80). This simply means simply that people who think they have even a little control over their own destines will stay with, do better at, and be more committed to tasks. These companies have "tough-minded respect for the individual" (p.239). They are willing to train the people and set clear and reasonable expectations for them. Most importantly, they give the person the autonomy to "step out and contribute directly to his job" (p.239). Excellent companies have leaders who empower others to act. It follows that successful schools will have principals who use their power effectively by allowing others to share authority. Enabling others to act nurtures their skills and builds cadres of leaders.

Jordon (1994) outlined key components for an effective enabling principal: (a) the principal believes in the values of a programme, (b) the principal believes that teachers are capable decision-makers, (c) the principal identifies and utilizes teacher leaders, and (d) the principal is patience, realistic and willing to build on small successes.

To sum up, the effective principals seem to involve others in planning and allow teaching staff to make decisions frequently, and will use this approach to stimulate and motivate the staff and exercise power effectively over others. They will also provide an atmosphere in the school that promotes good teaching and learning. Collaboration with others and building unity are part of their practiced behaviours.

3.5.5 Modelling the Way

Effective leaders model the way by setting an example and behaving consistently with their values and beliefs. Principals who are effective school leaders are models of the behaviours they seek in the teachers and staff. Emerson once said (citied in Covey, 1990, p.22): "What you are shouts so loudly in my ears I cannot hear what you say." Covey paraphrased this concept with the idea that "the real key to your influence with me is your example, your own conducts" (p.28). Teachers and staff will not spend the time to develop new concepts, ideas, and projects; take the work seriously; or feel good about what they are doing unless the principal is involved and the teachers sense the project is top priority (Waterman, 1990).

Influence Outside the Organisation. Leaders who model the way will exert their influence outside of the organisation in order to set the right context for the organisation. They serve as a symbol for the group, secure resources, build coalitions, and act as an advocate (Moss et al., 1993).

The school community is made up of parents, employers, organisations and individuals who have a stake in the success of the school. "The school is the closest community agency to residents, in both a literal and figurative sense. In geographic proximity, the school is 'just around the corner' and often becomes the first line of communication with the area served" (Ubben et al., p.321). There is a responsibility for schools to communicate to community groups about what they are trying to accomplish and how they are doing it.

The schools should also secure the expertise and resources of community groups to help the school meet its goals. In order for a school to become a true learning organisation, there must have "a willingness to learn from its external environment" (DuFour & Eaker, 1998, p.14). Although the formation linkage between school and community are not clear, it is a "well-established understanding" that these partnerships should be forged (Hoachlander et al., p.34). According to Kanter (1997), the most successful people in any area look beyond their narrow field for fresh perspectives and new ideas.

McCauley (1990) said that the demands on the schools are more customer oriented that required principals "to manage more external relationships than ever" (p.5). Sharp et al. (1998) stated that "stakeholders external to the school building—parents, interested members of the corporate sector and leaders in the community—will play an increasing enhanced roles in education significantly" (p.1). If the principal has a vision to provide quality education in the school curriculum, it must talk about in the school community (Peyer, 1995, p.22). An effective principal must be able to balance both the internal and external stakeholders of the school community, and also able to communicate positively with them.

Environment conducive to learning. Effective school leaders will model the way by establish an environment conducive to learning that is in congruence with their values and beliefs. The school climate, the intellectual stimulation of the staff, and the facilitation of staff professional growth contribute to a positive learning environment. Ubben and Hughes (1987) said that "the principal's own behaviour will help set the tone. A principal who helps teachers develop good disciplinary practices, a principal who maintains direct with students, and a principal who is visible and active in the hall, cafeteria, and library is critical to good learning climate" (p.109).

Achilles and Smith (1994) summed up the principal's responsibility in providing a safe and orderly school: "The principal must ensure a safe environment that encourages learning. Pupils need to feel safe so they can attend to the school's learning goals; pupils who are trying to learn must be free from harassment, violence and external diversions that distract them from the tasks of learning. Teachers should be free to work at teaching rather than at order and control." (p.256)

Gorton and McIntyre (1978) reported on a 1977 study of the high school principalship conducted by the National Association of Secondary School Principals (NASSP). The principals in the study stated "the main causes of good morale and good school climate are closely associated with the actions of the principals themselves. Such actions are characterised by support of teachers in the performance of their duties, involvement of teachers in the making of decisions important to them, and open, honest communication at all times" (p.19).

Professional Development. An effective principal will model the way by engaging in personal professional development and by supporting staff professional development. A principal who participates in professional development models the importance placed on continual learning. An effective principal recognises the values of support for professional development and the significance of this for the teaching and learning environment.

Fullan (1993) said that "you cannot have students as continuous learners and effective collaborators without teachers having the same characteristics" (p.46). Paraphrasing this concept, we could also say that you cannot have teachers as continuous learners and effective collaborators if you do not have principals who model this same characteristic. Principals have a set of Continuous Professional Development (CPD) planned by the School Management Committee (SMC), which is measured by how many hours of professional development should the SMC be measured? Principals show their own example at least 150 hours of CPD every 3 academic years. The CPD of principals will be approved by SMC and will also be shown on each school annual report, which build their credibility by maintaining consistency between their words and deeds.

Principals get started by convincing teachers that impossible is possible and by taking the first step themselves. Breaking problems into manageable pieces keeps teacher's capacities from being overwhelmed. Small wins breed success and set the stage for building commitment to the new path.

To sum up, the effective principal must be able to balance both the internal and external stakeholders of the school community, and also able to communicate positively with them such as parents. The principals have the responsibility in providing a safe and orderly school. In addition, an effective principal recognises the values of support for professional development and the significance of this for the teaching and learning environment.

3.5.6 Encouraging the Heart

Another effective leadership behaviours which Kouzes and Posner (1993) identified in their research was that of "Encouraging the Heart" (p.2). Leaders who practice

encouraging the heart let people know that they are appreciated, they recognise accomplishments and "nurture a team spirit" (p.2). Moss et al. (1994) expressed this same behaviour as being to recognise individual and team contributions and "to satisfy the job related needs of members of the organisation as individuals" (p.6). The school principal must always be aware that the organisation is comprised of individuals who desire to come to work each day in an environment that is satisfy to them. They want to be respected, trusted, and recognised as having individual worth.

Leaders recognise others for their contributions. Kouzes and Posner (1993) found that "People who lead make their coworkers feel like heroes" (p.7). Blase and Kirby (1992) studied the everyday behaviours of effective principals use to motivate, influence, and empower teachers. One of these behaviours was the use of praise. Praise can be written or verbal but it needs to be sincere, not necessarily lengthy or formal. Even a nonverbal form of praise such as a smile or a nod communication that the principal recognises the work of the teacher. The effective principal will not only praise the teacher personally but will always boast to others about the teacher's efforts. Because all the teachers want to be respected, trusted, and recognised as having individual worth.

To sum up, the principals must always be aware the teachers who want to be respected, and trusted. All the teachers want to be recognised as an individual. Recognition and praise should be shared among all of the internal stakeholders.

From the above reviewed literature on effective principals' leadership behaviours, the researcher has reviewed different related instruments used for measuring principals' leadership, such as Leadership Effectiveness and Adaptability Description (LEAD), Cheng Y. C.'s five leadership forces model and Marley's study. The application of Marley's study and this research investigated the leadership practices in schools, as opposed to surveying their styles. The Leadership Practices Inventory (LPI) developed by Kouzes and Posner (2003) was used by another research in Hong Kong, so both reliability and validity are supported for this research. Leader Effective Index (LEI) developed by Moss et al. (1994) was to provide an in-depth investigation of leadership practices of LPI and this was chosen so that the researcher can have further understanding of leadership influence on students' enrollment.

3.6 Conclusion

In Chapter Three the literature was reviewed to (a) provide a background that illustrated the need for school effectiveness of the education reform of the 21st century and some related researches in Hong Kong, (b) provide a historical and theoretical perspective of leadership such as transformational, transactional, instructional leadership, servant leadership, and distributed leadership etc., and (c) review the literature on effective leadership behaviours that supports the indicators of leadership effectiveness found in the leadership survey instruments of Kouzes and Posner's (2003) Leadership Practices Inventory-Individual Contributor and the Moss et al. (1994) Leader Effectiveness Index. Chapter four includes the methodology and procedures used to obtain data, for this case study on effective principal leadership behaviours in private secondary school.

CHAPTER FOUR

METHODOLOGY

4.1 Background

The purpose of this research is to investigate whether in the views of different groups of teachers principals' leadership practices affect students' enrollment in private secondary schools in Hong Kong. The perceptions of the principals and teachers concerned were interpreted through a questionnaire and an interview.

In the opening chapter the following assumptions were listed as important to the study

I. The questionnaire and interviews accurately measure attributes of principal's leadership.
II. The collective perceptions of principals and teachers that are measured by the questionnaire and interview are valid assessments of the principals' behaviours.
III. The design, sampling procedures, and data-processing techniques used in this study are appropriate to the intent of the investigation.
IV. The respondents answer the questionnaire and interview with sufficient honesty and objectivity.
V. The results of the recorded data are interpreted fairly, sufficiently and accurately.
VI. The individuals who participate in the qualitative study are a representative sample of staff in private secondary schools in Hong Kong.

The purpose of this chapter is to show how those assumptions or conditions for good research are fulfilled. As will be seen the use of questionnaires was somewhat disappointing since only 12 of 80 school replied. It was therefore decided to interview all those who did reply (i.e. 5 from each of the 12 schools) and focus as much upon the qualitative data as upon the quantitative data and not to make claims of generalisation to the whole population. On the other hand the data from 60 interviews of up to one hour each provided very substantial qualitative data for the analysis of the perceptions of those involved which could then be related to theories of educational management outlined in the previous chapter.

With respect to the importance of the accuracy and validity of measures of the (perceived) attributes, the methodology used in the Marley's study was employed to investigate principal's leadership behaviours in Hong Kong. Marley (2003) used Leadership Practices Inventory (LPI) to measure leadership practices, and Leader Effectiveness Index (LEI) to measure the leadership behaviours. Therefore, both LPI and LEI are employed in this research.

The researcher reviewed different related instruments used for measuring principals' leadership, such as Leadership Effectiveness and Adaptability Description (LEAD) questionnaire which was developed by the Ohio State Leadership Studies staff, the Five Leadership Forces Model of Cheng Y. C. and the ones used in the Marley's study. Leadership style is not just a continuum. Hersey and Blanchard (1988) believed that it was possible to alter one's leadership style (Konnert & Augenstein, 1990). According to this theory, secondary school principals' leadership style can be altered or changed. The LEAD defined leadership in terms of a two-dimensional grid with task orientation on one axis and relationship orientation on the other. This tool is not suitable for this research since it examines relationship between tasks orientation and relationship orientation only. This research is to investigate the principals' leadership behaviours. For the educational organisations, Cheng Y. C. (1994) suggests that the principal's leadership can be described in five dimensions: structural leadership, human leadership, political leadership, symbolic leadership, and educational leadership. Cheng's Five Leadership Forces Model investigates how principals' leadership influences school performance in terms of multilevel indicators such as organisational characteristics, teacher performance and student performance. The model investigates school performance by mean of three different aspects: organisational effectiveness, teacher performance and student performance. There are eight management models for organisational effectiveness including the goal model, system-input model, process model, satisfaction model, legitimacy model, ineffectiveness model, organisational learning model and total-quality model, and therefore their cognate indicators for monitoring are different, but student enrollment is not included in this study. Cheng's five leadership forces model is not suitable for this research due to investigate the school performance only. This study is to determine the effect of principal's leadership behaviours on the students' enrollment

by the perceptions of teachers and senior teachers. The research instruments in the Marley's study were nonetheless employed since both her study and this research were to investigate the leadership practices in a context of an educational organisation. The Leader Effectiveness Index (LEI) developed by Moss et al. (1994) was to provide an in-depth investigation of leadership practices of Leadership Practices Inventory (LPI) so that the researcher can have a further understanding of leadership practices and behaviours.

As for the reliability and validity of the Leadership Practices Inventory (LPI) developed by Kouzes and Posner (2003), it was employed by other Hong Kong researchers who used the LPI in their researches. Some researchers in Hong Kong have established this instrument's reliability and validity. For example, Man H. W. (2000) investigated the leadership Practices of Middle Managers in Clinical Oncology Department, which involved a sample of therapeutic radiographers from Hong Kong. Its reliabilities ranged between .82 and .93. Tsend A. (2000) also studied Leadership Practices in Higher Education in China and concluded: "The response options on the Leadership Practices Inventory (LPI) are fairly straightforward… and there are no statements that directly reflect American cultural values that could potentially confuse respondents from other nations" (p.196). Therefore, the reliabilities have also been more than acceptable in many studies, involving non-American populations such as the Chinese of Hong Kong.

As mentioned before, the adoption of the Marley's study creates some limitations but the researcher justifies it as follow. Although the Leader Effectiveness Index (LEI) has not been used in Hong Kong (see Chapter One, section 1.8.2), the researcher still employs this instrument as the LEI questions are closely related to leadership behaviours and originated from the Leadership Practices Inventory (LPI). Marley employed the LEI questions originated from LPI for an interview to investigate leadership behaviours. The researcher uses these two instruments to have a further understanding of leadership practices and behaviours in this study. Moreover, the research theme for two studies is different. Marley's research was to investigate whether principals' leadership practices are correspondent to students' graduation prospects while the researcher is to investigate whether, in the perceptions of the teachers and senior teachers, students' enrollment of the private secondary schools is

influenced by the principals' leadership behaviours. Although the research themes are different, the researcher slightly adjusted the questionnaire and interview accordingly so as to fit the needs of this study. Marley has given the permission to this study. An approval letter was obtained from Marley for researcher to replicate her study and is attached as Appendix A.

For the first stage of the investigation, the Leadership Practices Inventory (LPI) was used in a form of a questionnaire to measure the perceptions of the participating teachers and principals about different principals' practices. The results of the questionnaire were then be analysed to explore the perception discrepancy between the participating teachers and principals. The questionnaire was also be used to collect the demographic data of the respondents. The Leadership Practices Inventory (LPI) was used to explore the perceptions of the teachers and principals about five leadership practices. These behaviours are classified under the five key leadership practices: (1) inspiring a shared vision, (2) encouraging the heart, (3) enabling others to act, (4) modelling the way, and (5) challenging the process. Marley (2003) used Leadership Practices Inventory (LPI) to measure leadership practices in U.S.A. The five key leadership practices are correspondent to the Leader Effectiveness Index (LEI) developed by Moss et al. (1994). Each leadership practice has six questions under the Leader Effectiveness Index (LEI). The details will be shown in section one of this chapter.

One of the conditions for good research mentioned in the first chapter and at the beginning of this chapter is the quality of interviews and approaches to interviewing. Interviews were conducted to investigate the perceptions of the participants about principals' leadership behaviours. The details will be explored in section two, but an outline is provided here. An interview guide was developed as per the Leader Effectiveness Index (LEI) developed by Moss et al. (1994). The interview consists of seven questions. The Leader Effectiveness Index (LEI) was used as an open-ended questionnaire for the semi-structured interviews. The first six questions are the statements regarding six broad tasks or responsibilities of a leader in educational context: (1) inspires shared vision and establishes standards; (2) fosters unity, collaboration, and ownership and recognises individual and team contributions; (3) exercises power effectively and empowers others to act; (4) exerts external influence

to set the right context for the organisation; (5) establishes an environment conducive to learning; (6) creates a satisfying work environment. The last question regarding the overall leadership performance of a school principal was used. In this study, it also used to illuminate the findings from a qualitative study to explore how teachers and senior teachers perceive the principals' leadership on the student enrollment in private secondary schools in Hong Kong.

4.2 Purpose of Study

This study was designed to explore the perceptions of the effective leadership behaviours of the private secondary school principals in Hong Kong. The leadership of the private secondary school principals was studied by a group of internal respondents of the private secondary schools. What is important therefore is to describe and analyse those perceptions, to understand the point of view of the informants, and this takes us into the debate about subjective and objective data and research.

4.3 Principles of the Design of the Study

Burrell & Morgan (1979) claim that one can understand the range of current sociological debate by mapping theories on a two-dimensional map, with the subjective-objective debate on one axis and the regulation-radical change on the other. Each quadrant corresponds to a particular paradigm in sociology. Most researchers stay in one paradigm.

1. Functionalist paradigm (objective - regulation) - This is the dominant paradigm for organisational study. It seeks to provide rational explanations of human affairs. It is pragmatic and deeply rotten in sociological positivism. Relationships are concrete and can be identified, studied and measured via science. This paradigm has been mildly influenced by idealist and Marxist's thought too.

2. Interpretive Paradigm (subjective-regulation) - It seeks to explain the stability of behaviour from the individual's viewpoint. They are most interested in understanding the subjectively created world "as it is" in terms of ongoing processes. It emphasises the spiritual nature of the world. Philosophers like Kant

formed it's basis, and Weber, Husserl, and Schutz furthered the ideology. This paradigm hasn't generated much organisational theory.

3. Radical Humanist (subjective-radical change) - In this view, the consciousness of man is dominated by the ideological superstructures with which he interacts, and these drive a cognitive wedge between himself and his true consciousness, which prevents human fulfilment. These theorists are mainly concerned with releasing the social constraints that bind potential. Its philosophers are Kant and Hegel and young Marx. It was carried on into the 20's at the Frankfurt School, and in French existentialism. Most of this paradigm is actually anti-organisation.

4. Radical Structuralist (objective - radical change) - They believe that radical change is built into the nature of societal structures. "Contemporary society is characterised by fundamental conflicts which generate radical change through political and economic crises. It is based on mature Marx, followed by Engles, Lenin and Bukharin. It has received little attention in the US outside of conflict theory.

(as citied in Burrell & Morgan, 1979, pp30-37)

This Interpretive Paradigm "seeks to explain the stability of behaviour from the individual's viewpoint". Researchers in this paradigm try to observe "on-going processes" to better understand individual behaviour and the "spiritual nature of the world". "Interpretive Paradigm" tends to understand the subjective experience of individuals (Burrell & Morgan, 1979, p.47), and this study of teachers' perceptions fits within that interpretive paradigm – often called as a 'qualitative approach' because it usually uses mainly qualitative data - to investigate the principal leadership behaviours from the teachers' point of view.

The aim of such research is to offer a perspective of a situation and provide well-written research reports that reflect the researcher's ability to describe the corresponding phenomenon. One of the greatest strengths of the qualitative approach is the richness and depth of explorations and descriptions.

The term qualitative/interpretive research is most often used in the social sciences in contrast to functionalist paradigm or quantitative research. It differs research in many ways. Firstly, sampling is typically not random but is purposive, and this is the case in

this study which is based on the perception of the teachers and senior teachers to their principals' leadership and therefore these groups were deliberately sought out. Secondly, the role of the researcher is the key factor. Researcher must reflect on the role in the research process and make this clear in the analysis. Thirdly, data analysis differs considerably. Researcher must carefully code data and discern themes in a consistent and reliable way. In general, the qualitative data give more insight than quantitative data. Thus although questionnaires are used and data are quantified, as we shall see later, the purpose of the questionnaires is to elicit perceptions which are then explored in more depth with interviews. In in-depth interview, the participants give more details and regaining behind the answers to questionnaire questions.

4.3.1 Rationale for a Qualitative Design

The researcher determined that a qualitative study design was based appropriately on the opportunities for learning about and seeking to understand effective leadership behaviours of selected successful Idaho comprehensive high school principals by Marley in 2003. This study was replicated with modification. Credit should be given to Marley for this idea to study the principal's leadership behaviour. Creswell (1998) provided a definition of qualitative research as follows:

> "Qualitative research is an inquiry process of understanding based on distinct methodological traditions of inquiry that explore a social or human problem. The researcher builds a complex, holistic picture, analyses words, reports detailed views of informants, and conducts the study in a natural setting" (p.15).

Yin (1994) stated that "these studies are the preferred strategy when 'how' or 'why' questions are being posed, when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real-life context" (p.1). This study involves 12 private school principals and 24 senior teachers and 24 teachers. Under such circumstances, the researcher has no control over events and the progressive focusing is on a real-life contemporary phenomenon. The phenomenon is effective leadership behaviour of the private secondary school principals in Hong Kong.

4.4 Section One: Questionnaire Survey

The LPI questionnaire has two forms: Self and Observer (Appendix I & II). Each form consists of thirty statements in total – a group of six statements are assigned under the five leadership practices. The Self-form was completed by the principal himself or herself, and the Observer form was completed by senior teachers and other teachers who directly observe the leadership behaviours of their principals. During the study, the researcher compared these three sets of responses to investigate their perceptions about principals' leadership. The results of the study will suggest a pattern of behaviour performed by the principals who acted as leaders. All these behaviours are developed by the Leadership Practices Inventory (Kouzes & Posner, 2003) as mentioned above.

4.4.1 The Population and Sampling

This study was to investigate perceptions of the principals' leadership in private secondary schools of Hong Kong. The sample was a purposive one, as described above, and the total population to be sampled was all principals in 80 private secondary schools and all teachers in these private schools in Hong Kong. (The international schools are not included in this study because they are teaching a different curriculum, culture and in a different situation. Some international schools are also sponsored by their own countries. Most of them have high student enrollment. The international school principals and their principals in Hong Kong compared with private schools and their principals can more easily survive. Therefore, the principals' leadership behaviours in private schools might have some different and not of relevance here.)

Each principal in the 80 schools was asked to invite two senior teachers whose surname was the first two in alphabetic order and two junior teachers whose surname was the last in two alphabetic orders to fill up the questionnaire, and ensured a random sample for the questionnaire. Replies were received from 12 schools, which is rather low percentage but this is not surprising in view of the pressures on schools, but it was decided to interview all these who replied, as we shall see below. There were in total 60 respondents to the questionnaires (i.e. 5 from each school: the

principal and 4 teachers). All information would be held in the strictest confidence. It would not be personally identified in any reporting and all records for the study would be destroyed upon completion. All participants gave informed consent and had an option to withdraw or not take part to the questionnaire. The response rate of this questionnaire was expected to be very low due to keen competition among principals. It was a complicated matter because the researcher was also a private secondary school principal. Most of the principals did not easily let the others know the student enrollment and school performance such as public examination results. The data collected in this study only come from private secondary school principals and teachers in Hong Kong. Therefore, the research was a modified replication from the original idea studies of Marley (2003) in U.S.A. The samples selected were only teachers in this study because it was difficult to arrange the parents or counsellors in the private schools to respond to the study in Hong Kong.

4.4.2 The Role of Researcher and as a member of this population

The role of the researcher was complex, not least because "The researcher is the primary 'measuring instrument" (Gall et al., 1996, p.554). The researcher played several roles and might choose how each of these would be played (Stake, 1995). For this study, the researcher played the role of principal, teacher, advocate, and interpreter. The researcher strived to provide information, to persuade readers to believe what the researcher came to believe from the research findings, and to understand how a principal's effective leadership behaviours facilitate student enrollment of private secondary schools in Hong Kong.

The researcher worked as a teacher of one subsidy secondary school for eight years, and participated in planning, implementation, and development of School Management Initiative (SMI), which was highly recommended by Education Department in 1991. His experience also included eleven years as the principal of private secondary school in Hong Kong from 1993 to 2005. The researcher has become a subsidy secondary school principal since December 2005, and also believed these experiences gave him an understanding, an awareness, knowledge, and sensitivity to the challenges, decisions, and issues encountered by developing principals, administrators, teachers and students.

Because of the investigator's experiences, he brought certain biases to the study. These biases might have shaped the way he viewed, understood, and interpreted the data he collected. However, it was very important to the researcher that his contribution was positive and objective so as to not jeopardize the validity of the study. In addition to clarifying researcher bias, this research also included assumptions and limitations in this study that might, although not consciously, have had an effect on interpretation of findings. The researcher also applied for and received the clearance of the University of Durham via the ethics committee of the School of Education. (Appendix P)

4.4.3 Access and Permission

To arrange access and permission for the study, phone calls were made by the researcher to the principals of the private secondary schools in Hong Kong for participation. The purpose of the study was explained, and permission to conduct the research is requested. The principals were asked to send the researcher a letter granting permission. Upon receiving permission, a phone call was made to each of the secondary school principals. In order to preserve the anonymity of the participants, the permission letters are not included as appendices to this study, but they are in the files of the researchers (see Appendix G for the letter). Each potential teacher would be invited by the school principal, and also received a letter from the researcher explaining the study and asking them to participate.

4.4.4 The instrument for the surveys

The first stage of the study was to send out the Leadership Practices Inventory (LPI) (Kouzes & Posner, 2003) to all private secondary schools (i.e. 80 schools) in Hong Kong. This study used the Leadership Practices Inventory to discover each principal's descriptive profile. The total 400 questionnaires were sent out which included 80 principals' questionnaires and 320 teachers' questionnaires. There were only 12 responded private secondary schools, including 12 principals, 24 senior teachers and 24 teachers. The response rate was comparatively very low (i.e. 30% response rate).

Data on the demographics of the participants such as age, gender, teaching experience, number of years serving in current school and administrative position were collected through a questionnaire that was filled out by the participants before the interview (see Appendix H for senior teachers' and teachers' form and Appendix J for principals' form). The demographic data is provided as description only and no analysis of this information has been undertaken for this study (see Appendix K for principals', and Appendix L for senior teachers' demographic data and Appendix M for teachers' demographic data).

The investigator made use of multiple sources to collect data (Stake, 1995). Two methods of data collection were used: (a) a questionnaire that used a rating system, and (b) a focused semi-structured and open-ended interview. The instrument used for the questionnaire was the Leadership Practices Inventory (LPI) developed by Kouzes and Posner (2003) (see Appendix I & II). It was used as the questionnaire in this study. The instrument used for the interview was a modified Leader Effectiveness Index developed by Moss et al. (1994) (see Appendix IV). The modification was made because statements in the original instrument were used in a Likert scale. The statements were modified as open-ended questions in this study. The use of member checking plus the two data sources provided what is known in qualitative research as methodological triangulation (Stake, 1995, p.114). The use of more than one method to measure findings has been used by Campbell and Fisk (1995), by Denzin (1978), and by Jick (as cited in Creswell, 1994). "With multiple approaches within a single study, we are likely to illuminate or nullify some extraneous influences" (Stake, 1995, p.114).

To sum up, the LPI is quite powerful in assessing individuals' leadership capabilities, and demonstrating that the five practices of exemplary leaders make a difference at the personal, interpersonal, small group, and organisational level. The LPI has proven quite strong in assessing individuals' leadership behaviours and in providing useful feedback for developing and enhancing leadership capabilities. The five practices exemplary leadership framework (modelling the way, encouraging the hearts, enabling other to act, inspiring the shared vision, and challenging the process) and the LPI contribute richly to our understanding of the leadership process and in the development and unleashing of leadership capabilities (Lam, 1998). The Leadership

Practices Inventory (LPI) is correspondent to the Leader Effectiveness Index (LEI) developed by Moss et al. (1994).

4.4.5 Validity and Reliability

4.4.5.1 Concurrent Validity and Face Validity of the Leadership Practices Inventory

Kouzes and Posner (1993) stated that "validity concerns whether an instrument truly measures what it purports to measure and whether its scores have meaning for a respondent" (p.80). Kouzes and Posner discussed the validity of the Leadership Practices Inventory (LPI)-Individual Contributor in terms of predictive and/or concurrent validity and also face validity. "The extent to which LPI score are correlated (associated) with other important variables answers the question of whether scores have payoff for a respondent" (p.80). Since the 1993 publication of the LPI-Individual Contributor instrument, several studies had been conducted. Kouzes and Posner discussed the concurrent validity by using these studies.

Lam S.K. (1998) has been an expert in cultural differences who is a professor of the Business Department in the University of Hong Kong. He (1998) investigated an assessment of the reliability and validity of the Leadership Practices Inventory in Hong Kong. Factor analysis with varimax rotation revealed a three-factor solution, with clear distinct factors, explaining over 57 percent of variance. The factors closely correspond with Enabling, Modelling and Encouraging, suggested that "the proposed five dimension of LPI were not confirmed and only three factors were revealed in a non-Western setting. Internal consistency for the LPI, estimated using Cronbach's coefficient alpha, ranged from .744 to .834 and were equivalent to those reported by Kouzes and Posner (1998). Lam S.K. (1998) concluded that because the participants in this study were practising managers in Hong Kong, their cultural norms probably influenced how they perceived leadership… one of the prime differences between Chinese and North America culture appeared to be collective orientation of the former and the individualistic orientation of the latter… Challenging the process and inspiring a (shared) vision might not be commonly practices in a collective culture. More research should be conducted to further investigate these differences. (p.59)

On the other hand, research conducted by Yan and Yang (2000), regarding the impact of managerial leadership practices of nurses in U.S and China showed that the usage of LPI was "easily used across boundaries". This suggests that there is no cultural difference between U.S. and Chinese of the instrument. (p.168)

Furthermore there are other studies in Hong Kong and China, in which the reliability and validity of the LPI have already been acceptable. For example, Man H. W. (2000) investigated the Leadership Practices of Middle Managers of therapeutic radiographers from Clinical Oncology Department in Hong Kong. Its reliabilities ranged between .82 and .93 (p.96). Tsend A. (2000) also studied Leadership Practices in Higher Education in Mongolia, China who reported from "good" to "very good" internal reliability for a Chinese-language version of the LPI as well (p.196).

In the cases where the LPI has proved satisfactory, the people involved were wholly in Chinese institutions – unlike those investigated by Lam S.K. - and were also in the 'caring professions' of public health. The people investigated in this study are also in the caring professions and working in Chinese institutions – schools which follow Chinese traditions and are wholly staffed by Chinese people. This suggests therefore that it is safe to use the LPI in investigating the teaching profession since it is comparable to the health professions.

4.4.5.2 Reliability of the Leadership Practices Inventory

The Leadership Practices Inventory-Individual Contributor Trainer's Manual (Kouzes & Posner, 1993, p.79) addressed the reliability of the instrument:

> "Acceptable 'internal reliability coefficients are usually .50+, and the LPI-IC scales are generally above.70; therefore, the LPI-IC has strong internal reliability.... Over periods as short as one or two days and as long as three to four weeks, scores on the LPI-IC show significant test-retest reliability (or consistency) at levels greater than .90 correlation.... Finally, reliability is enhanced when an instrument asks about behaviour more than once. Therefore, a two-item scale is inherently more reliable than a one-item scale, and so on. The LPI-IC scales contain six items or statements for each of the five key leadership practices" (p.79).

Test-retest reliability for the LPI has been consistently strong, generally at the .90 level and above. Riley C.H. (1991) investigated in superintendents' leadership behaviours which promote the instructional leadership of principals, studied involving school administrators, and test reliabilities were reported to be .86 for superintendents and .79 for school principals. In general, scores on the LPI have been relatively stable over time.

In several studies, involving the non-U.S. populations such as Chinese in Hong Kong, reliabilities have already been acceptable. Tsend A. (2000) also studied Leadership Practices in Higher Education in Mongolia who reported from "good" to "very good" internal reliability for a Chinese-language version of the LPI. As one researcher, who translated the LPI into Mongolian for use in a study of the leadership practices of higher education leaders, concluded: "The response options on the LPI are fairly straightforward… and there are no statements that directly reflect American cultural values that could potentially confuse respondents from other nations"(p.196). Therefore, the reliabilities have also been acceptable in many studies, involving the non-U.S. populations such as Chinese in Hong Kong.

Furthermore, reliability and validity were enhanced when an instrument asked about behaviour more than once. The LPI-IC instrument which used in this study has acceptable reliability and validity. The LPI-IC had strong internal reliability, which meant errors that might cause scores to differ for reasons not related to the individual respondent were few.

4.4.5.3 Validity of the Leader Effectiveness Index

The Leader Effectiveness Index (LEI) used for the focused open-ended interview was modified from the Leader Effectiveness Index (Appendix IV) which developed by Moss et al. (1994). The construct validity of the LEI was assessed in the study. A study using the 1993 edition of the LEI indicated the construct validity (Moss et al. 1994).

> "The correlation coefficient between the average score of the first six items (the six broad tasks of leaders) and items 7 (overall assessment) of the two samples were r =.91 and .92. The average difference between the mean score of items 1-6

and item 7 was only .054 (mean score (1-6) =3.027; mean score (7) =2.973). Thus with the average score of the six tasks practically the same as the score on items 7, and the correlation coefficient between them so high, the six tasks measured by the LEI appears to be assessing the complete set of criteria used to judge leader effectiveness" (p.23).

4.4.5.4 Reliability of the Leader Effectiveness Index

The test-retest reliability of the Leader effectiveness Index (LEI) (Moss et al., 1994) has been established.

> "The test-retest correlation coefficient of the average rating on the six tasks at r =.94 and .93. The test-retest coefficients of the item 7 (overall assessment) were r = .95 and .92. These coefficients demonstrate the satisfactory short-term stability of the LEI score… Cronbach's alpha is the statistic most widely used to assess internal consistency… Using the average of the three to five ratings-by-observers over the first six LEI items for each ratee and a sample of 551 ratees, the alpha of the current version of the LEI was .92…. The interrater reliability of the average rating of the first six LEI items/tasks is .86" (p.24).

The Leader Effective Index (LEI) instrument used in this case study had acceptable reliability and validity. An acceptable internal reliability coefficient is usually .50+. The LEI has a test-retest reliability of .94. In using the instrument of LEI, no respondents reported that any of the tasks were irrelevant to their conception of leadership. This acceptability is considered as evidence of the instrument's face validity. The construct validity of the LEI was assessed in two studies. "The correlation coefficients between the average score of the first six items (the six broad tasks of leaders) and item 7 (overall assessment) of the two samples were r = .91 and .92" (Moss et al., 1994, p.23).

4.5 Section Two: Interviews

4.5.1 The argument for a complementary investigation by interviews

In 2003, Marley used both qualitative and quantitative data based on the Moss et al. (1994) Leader Effectiveness Index. Marley (2003) used the Leader Effectiveness

Index (LEI), which was also modified to an interview instrument.

This study also used the Moss et al. Leader Effectiveness Index (Appendix IV), but was modified to be used as an open-ended questionnaire for the semi-structured interviews. The modified LEI was also approved and checked by Moses et al., which might not have affected the integrity of the instrument (Appendix D for permission to modify and use). The Leader Effectiveness Index (LEI) which is a multi-rater instrument designed to assess the effectiveness of leadership performances of educators was included on six items. The first six items are statements of six broad tasks (or responsibilities) of a leader in education. The last question regarding the overall leadership performance of the school principal was used.

The open-ended questions and transcripts would be read and corrected of errors by the two translators. The first translator would change the transcripts from English to Chinese, and the other translator would change the transcripts from Chinese to English. Then, the two translators would compare the meaning of the questions and transcripts whether there was any translation error. The researcher piloted these questions to interview 2 principals and 4 teachers to see whether they were understood by the interviewees or not. Then, the researcher checked all modified questions to make sure there was no misunderstanding before the interview. Finally, the researcher would use the questions for the interview, and transcription would be done by the same process before analyzing the result.

4.5.2 Selection of Sample for interviews- access and ethics

For the survey, the sample would be the entire population, i.e. 80 private secondary schools in Hong Kong. In the event the rate of response was low percentage indicated above, and therefore there was a total of 12 principals and 24 senior teachers and 24 teachers in the survey. From these 12 private schools, the researcher cannot generalize the result as this is a qualitative study. These 12 private schools belong to different kinds of school, for example two of them are CAPUT schools (i.e. schools receive government assistance in the form of a per capital grant), eight are Direct Subsidy Schools (DSS) and two are Private Independent schools.

To ensure each principal follow the guidance about choosing staff, the researcher accessed and enabled to verify to staff lists, that it was in fact the first and last two staff in alphabetic order who were chosen. The researcher checked the senior teachers' surname to see whether they are the first two alphabetic order and two junior teachers whose surname were the last two alphabetic order before the interviews.

It was decided that the sample of 60 participants (i.e. 1 principal, 2 senior teachers, 2 teachers from each school) would be given an interview that lasted for about one hour each. The researcher ensured that there were the same participants who filled in the questionnaire. The interview was conducted in Cantonese, which would be felt comfortable and free during the process. The period of interview lasted from September 2005 to January 2006. All information was held in the strictest confidence. It would not be personally identified in any reporting and all records for the study would be destroyed upon completion. All participants were informed of this and gave their consent. It was made clear in interviews that each subject might withdraw from the research, and they would be informed before interviewing that tape recoding, transcription and excerpts would be made use of.

For the in-depth interviews, a format of progressive focusing was used. *Progressive focusing* is defined as the researcher being involved in a process to sort out the peripheral from the central factors involved and directs attention to looking at key contexts for the vital evidence. The researcher must provide evidence for the

conclusions reached (Glaser & Strauss, 1967). In the evidence through a process of progressive focusing, we identified a broad range of issues such as leadership practices and behaviours that we tested for importance in the first stage of survey questionnaires. Each of the issues was considered critical for good leadership practices and behaviours in the private secondary schools. When various practices and behaviours emerged from this survey, they were used as focusing questions in the following in-depth interview.

4.5.3 The Approach to the Interviews

A phone call was made to each of the response 12 principals and 48 teachers to arrange a time and place for the interviews. The period of interview were arranged from September 2005 to January 2006. Creswell (1998) stated that in qualitative research the researcher is important to "conduct the study in a natural setting" (p.15). In order to keep the interview as natural as possible, the participants selected the location for the interview. The protocol for the interview was included on the interview guide as suggested by Creswell (1998, p.152):

> (a) a heading, (b) instruction to the interview (opening statement), (c) the key research questions to be asked, (d) probes to follow key questions, (e) transition messages for interviewer, (f) space for recording the interviewer's comments, and (g) space in which the researcher records reflective notes.

After receiving consent from the participant, the interviewer tape-recorded the interviews. All the participants were willing to be tape-recorded. Stake (1995) suggested, "audio-taping is valuable for catering the exact words used... Some researchers find they can think better, reflecting, probing, if they have a recorder going" (p.56). Stake (1995) also noted:

> "The interviewer needs most to listen, maybe take few or many notes... but to stay in control of the data gathering, thinking about form the account will take in writing. Main questions should be kept in mind, probes carefully created. occasionally asking the dumb question, assuring that what was said, or asking if they meant what clearly was not meant" (pp.65-66).

Gall et al. (1996) reported that a major disadvantage of tape recording of an interview is that participants may be reluctant to "express their feelings freely if they know that their responses are being recorded" (p.320). The interviewer used a small hand-held recorder that the participants could hold and control. This seemed to give them a sense of confidence and to "minimize any undesirable effects of having the interview recorded" (Gall et al., p.320). It also allowed the interviewer to have the opportunity to listen and try to capture the mood, read between the lines, and noticed effective components. It was important for the interviewer to understand "the context from which the interviewee perceives the world" (Yin, 1994, p.56). The interviewer also took shorthand and longhand notes on a copy of the interview guide as Gall et al. suggested.

4.6 Data Analysis Procedures

- The interview was keyed using a word processor and then analysed using a coding procedure to locate categories, theme, or tenets of effective leadership as identified by Kouzes and Posner (2003) and Moss et al. (1994). A cross-case analysis was used to analyse the data. This occurred when the researcher examined more than one case, and themes were examined across cases to discern themes that were common to all cases (Stakes, 1995). Once the transcripts had been coded, themes or leadership practices and behaviours were placed on a spreadsheet (Appendix K) so the mention of themes by the participants could be visualized for the cross-case analysis. Because this study was a cross-case analysis (Creswell, 1998) in a multiple-case study (Yin, 1994), the results of the number of frequency–count were summarised (Gall et al., 1996) (see Table A or Table 16) of different behaviours that a secondary school principal would want to practice effectively. For example, senior teachers viewed the principal referred to ***Clear on doing leadership philosophy*** who acts as a symbol of the group or school. The principal is very famous in the community. The highlighted words in the following reveal the key concepts. "He has ***a clear image***; the ***reputation*** is also a factor of student enrollment rate." The other example, teachers also indicated that the principal ***Practices what is espoused values*** as another example. The principals make efforts in ***connecting*** parties outside the school. The involvements of different stakeholders are very important to attract

student enrollment. "***Linkage*** to the outsiders is the factor to attract student enrollment."

Table 1A: Frequency-Count Table on the Responses Find in LEI Interview and Identified the Behaviours with Keywords

Leadership Practices	Identified Behaviour	Key words
Modelling the way	Creates on leadership philosophy	Clear image, leader, reputation, symbol
Modelling the way	Practices what is espoused	Linkage, connection, parents
Modelling the way	Shares own beliefs and values	Mission, vision, direction
Modelling the way	Ensures values are adhered to	School characteristic, culture
Modelling the way	Breaks projects into steps	Teamwork, projects
Modelling the way	Sets clear goals and milestones	Goals, clear, good future
Encouraging the Heart	Tells others about the group work	Team-spirit, satisfaction, support
Encouraging the Heart	Recognises people's contributions	Recognise, well-done
Encouraging the Heart	Gives teams appreciation/support	Appreciate, support, teamwork
Encouraging the Heart	Gives Praise for job well done	Appreciate, recognition, praise
Encouraging the Heart	Celebrates milestones?	Celebrate, future outlook
Encouraging the Heart	Finds way to celebrate	Celebrate, relationship, way
Inspiring a Shared Vision	Describes future we can create	Development, future, goal
Inspiring a Shared Vision	Forecasts the future	Direction, clear policy
Inspiring a Shared Vision	Excited about possibilities	Excite, future, plan
Inspiring a Shared Vision	Shares future dreams	Future sharing, belief, goal
Inspiring a Shared Vision	Communicates positive outlook	Communicate, outlook, future
Inspiring a Shared Vision	Links others to vision	Share vision, link other
Enabling Others to Act	Treats others with respect	Respect, trust
Enabling Others to Act	Creates atmosphere of trust	Trust, collaborate, culture
Enabling Others to Act	Involves others in planning	Cooperate, Involve, participate
Enabling Others to Act	Gets other own projects	Delegate, encourage
Enabling Others to Act	Trusts others to make decisions	Trust, participate, delegate
Enabling Others to Act	Develops cooperative relationships	Cooperate, relationship
Challenging the Process	Challenges the status quo?	Challenge
Challenging the Process	Seeks to challenge	Change, challenge
Challenging the Process	Experiments and takes risks	Initiate, risk taking
Challenging the Process	Stays up-to-date	Staff training, development, study
Challenging the Process	Asks what we can learn	Professional, staff relationship
Challenging the Process	Looks for ways to improve	Team, teaching, professional

4.6.1 Research Question One

What the profiles of the private secondary school principals in Hong Kong were as **reported in** the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which were indicated by data collected using the Kouzes and Posner (2003) LPI-IC? To answer research question one, the Kouzes and Posner (2003) LPI-IC scores were recorded on scoring grids. Then, the scores from both schools for each group of respondents: (a) principals, (b) seniors teachers, and (c) teachers were averaged. The researchers then created tables showing the tenets of leadership effectiveness that were

matched to the internal stakeholders. The tables were used to indicate those leadership behaviours that were rated or rank high and to indicate congruence or non-congruence between the respondents' perceptions of the principals' effective leadership behaviours. Those leadership behaviours that rate or rank high and had congruence between the respondents were considered to indicate the profiles of the private secondary schools principals in Hong Kong by using the Leadership Practices Inventory-Individual Contributor (Kouzes & Posner, 2003) questionnaire.

4.6.2 Research Question Two

What the profiles of the private secondary school principals in Hong Kong were as **reported in** the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which are indicated by the data collected using the Moss et al. (1994) Leader Effectiveness Index (LEI)? To answer research question two, the researcher wrote a report using thick description. Thick description is narrative "present detail, context, emotion, and the webs of social relationship.... and evokes emotionally and self-feelings....The voices, feeling, actions, and meaning of interacting individuals are heard" (citied in Creswell, 1998, p.184). As Gall et al. (1996) stated: "The researcher searches for just the right words to represent the themes and patterns that she discovers in the data" (p.25). Word tables were also created using quotes from the interviews to summarise the leadership tenets indicated by the responses of the internal stakeholders: (a) principals, (b) senior teachers, and (c) teachers. If more than one group of respondents mentioned the same practices or behaviours positively, this would be easily seen on the word tables. The researcher then made an "assertion" (Creswell, 1998, p. 63) that these behaviours or practices comprised the profile of the effective principals' leadership as shown by the interview responses.

4.6.3 Research Question Three

Is, in the perception of the teachers and senior teachers, the student enrollment of the private secondary schools influenced by the principal's ability to (a) challenge the process, (b) inspire a shared vision, (c) enable others to act, (d) model the way, and (e) encourage the heart (Kouzes & Posner, 2003)? This question is perhaps the most important because of the perceived importance of principals in schools and

particularly in private schools, in Hong Kong as doubtless is the case in many countries. Although no evidence from this study could be seen of a causal relationship between the management styles of principals and the strength of the school involvement, teachers (parents and others) may perceive management style and enrollment to be linked and therefore crucial to the continuing existence of the school and of their employment. This study will therefore focus on the perceptions of the teachers and senior teachers and their beliefs about enrollment.

To answer research question three, a table was created that listed the five key leadership practices identified by Kouzes and Posner and the 30 behaviours associated with those practices. The behaviours were listed and ranked by the frequency with which these leadership behaviours were reflected in the responses of the participants. Gall et al. (1996) labelled this method frequency-count recording. It is defined as "measurement of the number of times that each observational variable occurs during an event (e.g., a classroom lesson)" (p. 760). For this study, the frequency-count event was the interview. Kouzes and Posner (1993) suggested that in a ranking of the behaviours, with the first five who most engaged in and the last five who least engaged in.

4.7 Methods of Verification

Creswell (1988) cited the view of Stake (1995) that case study "requires extensive verification" (p.213). Creswell listed eight procedures that may be followed for verification and he recommended the researcher use at least two of them. This case study is verified by three of the suggested procedures: (a) member checking, (b) triangulation, and (c) clarifying researcher bias.

4.7.1 Member Checking and Triangulation

A major purpose of the study research was to represent the personal perspective that was, constructed reality by the individuals who were studied. The validity of a researcher's reconstructions of an individuals' personal perspective could be corroborated by member checking, which was the process of having review on these individuals statements made in the researcher's report for accuracy and completeness.

The researcher asked the participants to examine rough drafts of writing in which the actions or words of the participants were featured. Member checking might reveal factual errors that were easily corrected or it might show that the researcher needed to collect more data to reconcile discrepancies. If respondents verified the report was accurate and complete, this would support the findings. Gall et al. (1996) and Stake (1995) considered member checking to be "the most critical technique for establishing credibility" (as cited in Creswell, 1998, p.202).

"The use of several different research methods to test the same findings is sometimes called triangulation" (Babbie, 1995, pp.105-106). Triangulation helps to eliminate biases that may result from replying exclusively on any one data-collection methods, source, analyst, or theory. The use of triangulation and member checks lent internal validity to a qualitative study (Creswell, 1994. p.202).

Stake (1995) discussed different types of triangulation: (a) data source triangulation, (b) investigator triangulation, and (c) multiple methods of data collection. Data source triangulation occurs when "we look to see if the phenomenon or case remains the same at the other times, in other spaces, or as persons interact differently" (p.112). Data source triangulation occurred in this study with the use of private secondary schools for the survey and for interviews. The data was also triangulated because the data was provided by more than one source: (a) principals, (b) two senior teachers, and (c) two teachers in each school. For the investigation or research question one, the Leadership Practices Inventory (LPI) was used in a form of a questionnaire to measure the perceptions of the participating teachers and principals about different principals' practices. The results of the questionnaire data were then analysed to explore the perception discrepancy between the participating teachers and principals. Interviews were the investigation of research two, and were conducted to investigate the perceptions of the participants about principals' leadership behaviours. The details will be explored in section two. The Leader Effectiveness Index (LEI) was used as an open-ended questionnaire for the semi-structured interviews. In this study, the data was also used to illuminate the findings from a qualitative study to explore how teachers and senior teachers perceive the influence of principals' leadership on the student enrollment of private secondary schools in Hong Kong. The data was therefore triangulated because the questionnaire data and interview data were

provided by different informants such as: principals, senior teachers, and teachers in each school.

Stake (1995) said that 'it is useful to.... use a panel of researchers and present the data to them so they can give support to the interpretation or dispute the interpretation" (p.113). The individual used in this study had experience as a principal and had been involved with private education for more than ten years.

To complete the triangulation in this study, the researcher used multiple methods of data collection (Creswell, 1994). The Kouzes and Posner (2003) Leadership Practices Inventory-Individual Contributor was used as the questionnaire and Moss, et al. (1994) Leader Effectiveness Index was used to conduct a focused open-ended interview. The interviews using the Leaders Effectiveness Index were analysed to find the leadership practices and behaviours identified by Kouzes and Posner. Convergence between the findings of the two methods occurred if practices or behaviours were rated or ranked high on both the focused interview transcript from the Leader Effectiveness Index (Moss et al., 1994) and the Leadership Practices Inventory-Individual Contributor (Kouzes and Posner, 2003).

4.8 Conclusion

Chapter four discussed the research methods and procedures including (a) background of the study; (b) purpose of study; (c) rationale for a qualitative design; (d) questionnaire survey and the reliability and validity of the Leadership Practices Inventory; (e) the population and sampling; (f) the role of researcher; (g) access and permission; (h) the instrument for the surveys; (i) validity and reliability of the LPI and LEI; (j) the interview and the argument for a complementary investigation by interviews; (k) selection of sample for interviews; (l) the approach of the interviews; (m) data analysis procedures; (n) methods of verification; and (o) member checking and triangulation.

To sum up, the period of literature search and identification of the instrument started from July 2004 to January 2005. After that, the thesis proposal was approved by two supervisors of the University of Durham and the application for permission to

use the instruments such as LPI, LEI and Marley was processed from January 2005 to March 2005. A sample of the principals and teachers were selected for the trail and a test of the instruments was implemented from March to May 2005. Feedback and comments would be collected for revision. The implementation of the study and collection of the questionnaires were processed at the end of June 2005. After the summer vacation, the interviews with 12 principals and 48 teachers started from September 2005 to January 2006. Member checking was taken place from January to February 2006. Data analysis and initial data processing were implemented from March 2006 to July 2007.

CHAPTER FIVE

5.1 Introduction

The leadership behaviours of the principal set the climate for the instructional practices of the school and ultimately for the achievement of the students (Baths, 1990). Therefore, the purpose of this study was to examine the principal's leadership behaviours in Hong Kong private secondary schools and to determine the effect of principal's leadership behaviours on students' enrollment by the perceptions of the teachers and the senior teachers.

The research questions formulated in Chapter 1 to guide the investigation were:

1. What the descriptive profiles of the private school principals are as reported in the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which are indicated by data collected using the Kouzes and Pozner (2003) Leadership Practices Inventory-Individual Contributor? (Appendix I and Appendix II)

2. What the descriptive profiles of the private school principals are as reported in the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which are indicated by data collected using the Moss, Lambrecht, Jensrud, and Finch (1994) Leader Effectiveness Index? (Appendix IV)

3. Is, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' leadership and ability to (a) challenge the process, (b) inspire a shared vision, (c) enable others to act, (d) model the way, and (e) encourage the heart?

Ubben and Hughes (2001) maintained, "school leadership is best understood in relation to the context in which that leadership takes place" (p.24). Hence, the data was collected from those people that Gall et al. (1996) referred to as key informants or these "individuals who have a special knowledge or perceptions that would not otherwise be available to the researcher" (p.306). The different teaching staff: (a) secondary school principals, (b) senior teachers, and (c) teachers were those

individuals considered, by the researcher, to have the most informed perspective of the principal's leadership behaviours as they influenced the success of the private secondary school. Two principals, four senior teachers and four teachers from two Caput schools; and six principals, twelve senior teachers and twelve teachers from six Direct Subsidy Scheme schools (3 newly DSS established after 2001 and 3 other DSS schools established before 2000); and four principals, eight senior teachers and eight teachers from three private independent schools. A total 60 participants took part in the study including 12 principals, 24 senior teachers and 24 teachers.

5.2 Section One: Questionnaire Survey

The answer of the research question one was derived from the responses of the three groups of key informants (Gall et al., 1996): (a) 12 secondary schools principals, (b) 24 senior teachers, and (c) 24 teachers and provided data source triangulation for this case study. The responses to the research question one for each group of stakeholders were analysed separately. However, a cross analysis was used for the 12 private secondary schools and findings were reported as aggregate evidence (Yin, 1994). Findings from each group of key participants in the twelve cases were synthesized to provide a cross-case analysis for the overall descriptive profile of the 12 principals. Two methods of obtaining the data: (a) questionnaire and (b) interview; multiple participants: (a) principals, (b) senior teachers, and (c) teachers; and the use of 12 different private secondary schools.

As explained in Chapter 4, two different instruments were used to gather the data for research question one: (a) 12 private secondary school principals were asked to assess their own leadership behaviour using the Kouzes and Posner (2003) Leadership Practices Inventory- Individual Contributor: Self (see Appendix I), and (b) 24 senior teachers and 24 teachers were asked to assess their principal's leadership performance using the Kouzes and Posner (2003) Leadership Practices Inventory-Individual Contributor: Observer (see Appendix II).

A comparison was made between the principals' perception of their leadership practices and the senior teachers' and teachers' perception of their leadership practices. Kouzes and Posner (2003) stated that when a discrepancy occurs between

the principal's ratings and the observer's ratings, there is a mismatch. This mismatch is indicated when the discrepancy between the average score of the observers (senior teachers and teachers) and the average score of the self (principals) is greater than 1.0. Should this occur, Kouzes and Posner (2003) suggested that the best representation of the principal's leadership practices would be from the ratings of others? The practices that showed congruency between the ratings and rankings of the internal participants: (a) principals, (b) senior teachers, and (c) teachers presented a valid descriptive profile of the private secondary school principals.

The data for research question one was summarised using tables and narratives. The tables summarise the principals', the senior teachers', and teachers' profiles of the principals as shown by the ratings and rankings of the principals on the five key leadership practices and six behaviours of each leadership practice (Kouzes & Posner, 2003). Both the mean and the rank orderings were used. Kouzes and Posner stated that: Even though there may be differences between the absolutes score from the "Self Rating" and the "AVG (Mean)" columns (for example, 25 is not the same as 20.5). It is possible that both parties' score and rank orders are very similar of this practice, indicating agreement on the strength of this leadership behaviour in relation to the others. (p.20)

The * in the tables indicates a discrepancy greater than 1.0 between the average score of the principals and the average score of the senior teachers or the teachers. In this study, the private secondary school principals' self-ratings were generally higher than the observers' ratings. Most of the principals considered themselves to be very self-confident and therefore gave themselves high ratings on this factor. Participants included 12 secondary school principals while there were 24 senior teachers and 24 teachers. The mean scores were calculated from a scoring grid to which the scores from the Kouzes and Posner (2003) Leadership Practices Inventory-Individual Contributor were transferred (see Appendix R for scoring grid sample).

The information in the tables is not intended to provide scaled quantifications of characteristics but nominal indicators of the characteristics i.e. it is meant to give a profile of the setting and of the participants in the study.

5.3 Findings of the study for Research Question One

Research question one asked: What the descriptive profiles of the 12 private secondary schools principals are as reported in the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which are indicated by the data collected using the Kouzes and Posner (2003) Leadership Practices Inventory-Individual contributor? The instruction on the Leadership Practices Inventory-Individual contributor (Kouzes & Posner, 2003) directed the participants to rate the principals according as how frequently the principal engaged in each key leadership practice. The five choices given were: (a) If the leader rarely or very seldom does what is described in the statement, circle "1". (b) If the leader does what is described once in a while, circle "2", (c) If the leader sometimes does what is described, circle "3", (d) If the leader does what is described fairly often, circle "4", (e) If the leader what is described very frequently or almost always, circle "5" (p.1).

Items ranked one or two represented the practices or behaviour that respondents perceived the principals engaged in most frequently or was most comfortable with. The practices ranked four, five or six represented those practices or behaviours that the respondents perceived the principals "engage in least frequently and are least comfortable with, fail to appreciate the importance of, and/or have missed opportunities to engage in" (Kouzes & Posner, 2003, p.19).

Table 1

Stakeholders' Comparative Ratings and Rankings for Five Key Leadership Practices

	Principals		Senior Teachers		Teachers	
Key Practice	**Mean**	**Rank**	**Mean**	**Rank**	**Mean**	**Rank**
Enabling Others to Act	**4.2**	**1**	**3.9**	**1**	**4.0**	**1**
Encouraging the heart	**4.1**	**2**	**3.7**	**3**	**4.0**	**1**
Inspiring a Shared Vision	**4.0**	**3**	**3.8**	**2**	**3.7**	**2**
Modelling the Way	**3.9**	**4**	**3.8**	**2**	**3.7**	**2**
Challenging the Process	**3.9**	**4**	**3.6**	**4**	**3.7**	**2**

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.
Rank order is 1 = highest to 5 = lowest.
Secondary school principals n= 12, senior teachers n = 24 teachers n = 24

Table 1 summarises the results for the self-assessment completed by the private secondary school principals and the observer assessment completed by the senior teachers and teachers using the Kouzes and Posner (2003) five key leadership practices. Mean scores of the principals on the five key practices indicated the principals viewed themselves as doing all five practices at least sometimes (3.9). All means for the principals were above 3.9, and from the highest to the lowest average was a difference of only 0.3.

The private secondary school principals rated themselves highest in the key leadership practices of ***Enabling Others to Act***. This leadership practices involve fostering collaboration and sharing power and information (Kouzes & Posner, 2003). The mean for principals was 4.2, the mean for the senior teachers was 3.9, and the mean for the teachers was 4.0. According to the results shown in Table 1, all three groups ranked this key leadership practices as the number one effective leadership practices used by the private secondary school principals. Congruence on ***Enabling Others to Act*** indicated this is a strong leadership characteristic of these principals and part of their descriptive profile.

Principals ranked as the second on the key practices of ***Encouraging the Heart***. The mean for the principals was 4.1, which is higher than the mean of teachers and senior teachers. Teachers ranked on this key practice as first. The mean for the teachers was 4.0, which indicated Leaders encourage the heart when they recognise "individual contribution to the success of every project" and "team accomplishments regularly" (Kouzes & Posner, 2003, p.7). The senior teachers ranked this key leadership practices as third. The mean for the senior teachers was 3.7. Teachers were closer to the principals' ranking than the senior teachers' ranking. The difference between the means for the principals and the teachers was only 0.1. In other words, the difference is larger than the senior teachers but it is still small. There is closely among the mean between the principals, the senior teachers and the teachers on this effective leadership practice. ***Encouraging the Heart*** is still a strong leadership characteristic of these principals and part of their descriptive profile.

Both senior teachers and teachers ranked on the key practices of ***Inspiring a Shared Vision*** and ***Modelling the Way*** as second. The means for the principals were 4.0 and 3.9 respectively, which represented an engagement in these two practices fairly often. The means for senior teachers and teachers were both 3.8 and 3.7 similarly on two key practices. Although the principals ranked the key practices of ***Modelling the Way*** as fourth, the mean was 3.9, which is same means score for senior teachers and teachers as ***Inspiring a Shared Vision***. Therefore these two key leadership practices of ***Inspiring a Shared Vision*** and ***Modelling the Way*** are also considered to be two of the effective leadership practices engaged in frequently.

However, teachers ranked on the key practice ***Challenging the Process*** as second, the mean scores were 3.7. The principals and senior teachers ranked this practice as fourth and the mean scores were 3.9 and 3.6 respectively. Therefore, the key leadership practice of ***Challenging the Process*** is not included in this study.

The profile of the private secondary schools principals as perceived by the private secondary principals, the senior teachers, and teachers, may be better understood by also viewing how they rated the six behaviours identified as part of each key leadership practice. There were six questions on the Kouzes and Posner (2003) questionnaire for each behaviour of the five key leadership practices.

5.3.1 Challenging the Process

Table 2

Stakeholders' Comparative Ratings and Rankings for Challenging the Process

		Principals		Senior Teachers		Teachers	
Q	Behaviour	M1	Rank	M2	Rank	M3	Rank
16	Looks for ways to improve	4.1	2	4.1	1	4.0	2
6	Stays up-to-date	4.2	1	3.8	2	4.1	1
1	Seeks challenges	3.8	3	3.6	4	3.8	3
26	Experiments and takes risks	3.6	5	3.7	3	3.8	3
21	Asks "What can we learn?"	3.8	3	3.2	6	3.5	4
11	Challenges how things are done	3.7	4	3.3	5	3.2	5

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.

Rank order is 1 = highest to 5 = lowest.

Secondary school principals n= 12, senior teachers n = 24 teachers n = 24

Table 2 summarises the means and rankings for the six behaviours within the key practices of ***Challenging the Process***. Leaders who challenge the process look for opportunities to grow and improve and they take risks and learn from the mistakes they made (Kouzes & Posner, 2003).

The mean scores of the 12 private secondary schools principals on the key leadership practice of ***Challenging the Process*** indicated that the twelve principals perceived themselves as engaging in the six leadership behaviours within this practice at least sometimes (3.6). All mean scores for the principals on the six behaviours of the key leadership practices for ***Challenging the Process*** were 3.6 or above, and a difference of 0.6 from the highest to the lowest mean.

Table 2 also indicates the strongest descriptor of the principals' leadership behaviour to be ***Looks for ways to improve***. The mean of all three groups of informants are almost identical, and the rankings are similar. The senior teachers rank this behaviour as the first; the mean for the senior teachers was 4.1. The mean for the principals and teachers was 4.1 and 4.0 respectively. All rankings are similar. This similarity

indicates that ***Look for ways to improve*** is behaviour within the profile of the twelve private secondary school principals. Therefore, this is a strong part of their profile. Since Kouzes and Posner (2003) indicated that the best representation of the principals' leadership practices would be from the ratings of others, the behaviour of ***Looks for ways to improve*** should be considered effective leadership behaviour within the profile

The first ranking of the private secondary school principals and teachers indicated the behaviour they often perceive themselves as being most engaged in is ***Stays up-to-date***. Principals rated themselves a mean of 4.2, which mean they fairly often view themselves as engaging in this behaviour. The mean for the teachers was 4.1. Leader who ***stays up-to-date*** and ***look for ways to improve*** are at their best that they have the opportunity to change things and they view failure as an opportunity to learn and grow (Kouzes & Posner, 2003). The senior teachers' ratings of the principals' behaviour for ***Stays up-to-date*** ranked as second and the mean ratings of the senior teachers were 3.8. The mean for ***staying up-to-date*** fairly often in the perceptions of the teachers was 4.1, while the mean of the principals was 4.2. Therefore, this is a strong part of the profile. Since Kouzes and Posner (2003) indicated that the best representation of the principals' leadership practices would be from the ratings of others, the behaviour of ***Stays up-to-date*** should be considered effective leadership behaviour within the profile

However, principals, senior teachers and teachers ranked on the remaining key practices were below 4.0 of the mean scores. Therefore, the key leadership practice of ***Seeks challenges, Experiments and takes risks, Asks "What can we learn?"*** and ***Challenges how things are done*** are not considered to be one of the leadership practices in this study.

A successful principal who is a risk taker will encourage to "***Look for ways to improve***" and "***Stay up-to-date***". The principal will ***stay up-to-date*** information to all teachers of new methods of instruction and be willing to assist them. The principal will look for ways to improve for helping teachers and seek for assistance of parents, business, and community members.

5.3.2 Inspiring a shared Vision

Table 3:

Stakeholders' Comparative Ratings and Rankings for Inspiring a Shared Vision

		Principals		Senior Teachers		Teachers	
Q	Behaviour	M1	Rank	M2	Rank	M3	Rank
12	Communicates positive outlook	4.3	1	4.0	1	3.9	1
22	Forecasts future	4.2	2	4.0	1	3.8	2
2	Talks about future to create	3.9	4	4.0	1	3.8	2
27	Is excited about possibilities	4.1	3	3.8	2	3.6	3
17	Links others to vision	3.8	5	3.6	4	3.5	4
7	Appeals to share in dreams	3.7	6	3.7	3	3.5	4

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.

Rank order is 1 = highest to 5 = lowest.

Secondary school principals n= 12, senior teachers n = 24 teachers n = 24

Table 3 summarises the means and rankings for the six behaviours within the key practices of ***Inspiring a Shared Vision***. In the ratings of the five key practices ***Inspiring a Shared Vision*** was ranked third by the principals and the teachers and second by the senior teachers. Leaders who inspire a shared vision see the possibilities in the future, and they are able to excite others to join them to achieve a common vision (Kouzes & Posner, 2003).

The mean scores of the principals for the six behaviours within they key leadership practice of ***Inspiring a Shared Vision*** indicated that the twelve principals viewed themselves as engaging in these six leadership behaviours at least sometimes. All average for the principals were 3.7 or above, and from the highest to lowest mean was a difference of 0.5. The principals and senior teachers and teachers all ranked the behaviour of ***Communicate positive outlook*** as first. The principals rated themselves a 4.3, the highest rating, which means they viewed themselves as engaging in this behaviour fairly often. The means of senior teachers and teachers are 4.0 and 3.9 respectively. ***Communicate Positive outlook*** was similar the mean for the all three groups, which shows congruence on the engagement of the principals in this behaviour. Even though means are varied, there is congruence of ranking one and

highest mean score indicating leadership strength for the behaviours of ***Communicate positive outlook***.

The senior teacher ranked the behaviour of ***Forecast future*** as first which the mean was 4.0. The means for principals and teachers were 4.2 and 3.8 respectively. There is also congruence of mean score indicating leadership strength for the behaviours of ***Forecast future*** is second. Therefore, these behaviours are included as components of the profile of the principals.

The senior teacher ranked the behaviour of ***Talk about future to create*** as first which the mean was 4.0. The mean for teachers was 3.8 as second. However, the mean for principal was only 3.9. The mean score is indicating weak leadership strength for the behaviours of ***Talk about future to create.*** Therefore, this behaviour is not included as components of the profile of the principals.

However, senior teachers and teachers ranked all the remaining key practices the mean scores were below 4.0. The principal ranked the key practice of ***Is excited about possibilities*** were third and mean score was 4.0. The other two key practices for the principals' mean scores were 3.8 and 3.7 respectively. Therefore, the key leadership practices of ***Appeals to share in dreams, Links others to vision*** and ***Is excited about possibilities?*** are not considered to be one of leadership practices in this study.

Ubben and Hughes (2001) stated that the ideas of shared vision and transformational leadership are related. "Vision seems to distinguish leaders from those who are simply good managers" (p.13). The implication for principals was that those who want to be effective principals, who are good at ***Communicate Positive outlook*** and ***Forecast the future***, need a compelling vision. Bennis (1993) found that leaders "manage attention through a compelling vision that brings others to a place have been before" (p.79). Effective principals might bring their colleagues to a clear future and ***communicate a positive outlook***. Vision is about: (a) future, (b) dreams, (c) being excited about is conceivable. The principal must be a partner with senior teachers in knowing where they want to go and how they are going to get there. The processes must have substance and principal and senior teachers must linked together and share

in the same dreams. Sergiovanni (2001) stated that when there are shared purposes and values there is a different in the quality of the finished job:

> Management processes alone turn workers into subordinates. Substances, by contrast, build followerships. Subordinates comply with management rules and procedures and with the leader's directives; the job gets done. Followers, however, respond to ideas, ideals, values, and purposes; as a result, the job gets done well (p.148).

5.3.3 Enabling Others to Act

Table 4

Stakeholders' Comparative Ratings and Rankings for Enabling Others to Acts

		Principals		Senior Teachers		Teachers	
Q	Behaviour	M1	Rank	M2	Rank	M3	Rank
8	Treats others with respect	4.6	1	4.0	1	4.0	2
18	Cooperates with co-workers	4.1	3	4.0	1	4.2	1
13	Trusts others to make decisions	4.3	2	3.7	4	4.0	2
3	Involves others in planning	4.3	2	3.9	2	3.8	3
23	Creates atmosphere of trust	4.1	3	3.8	3	4.0	2
28	Gets others to own projects	4.0	4	3.8	3	3.8	3

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.
Rank order is 1 = highest to 5 = lowest.
Secondary school principals n= 12, senior teachers n = 24 teachers n = 24

Table 4 summarises the means of the rankings for the six behaviours within the key practices of ***Enabling Others to Act***. Leaders who enable others to act think in terms of teamwork. They strengthen others by sharing information and power and they engage in collaboration, building cooperative relationships, and creating an atmosphere of trust and respect. (Kouzes & Posner, 2003).

The private secondary school principals rated themselves as 4.0 or above on the behaviour within the key leadership practices of ***Enabling Others to Act***, which means they viewed themselves as engaging in all of these behaviours fairly often. The

4.0 or above ratings on all six behaviours suggested the principals perceive ***Enabling Others to Act*** as a strength in their leadership practices.

The means and rankings of the principals, the senior teachers and the teachers in Table 4 show strong congruence on two behaviours: ***Treats others with respect*** and ***Cooperative with co-workers***. The mean for the principals, senior teachers and teachers was 4.6, 4.0 and 4.0 respectively of the behaviour of ***Treats others with respect.*** Similarly, the means for the principals, senior teacher and teachers was 4.1, 4.0 and 4.2 respectively of the behaviour of ***Cooperative with co-worker***. Therefore, ***Treats others with respect*** and ***Cooperative with co-worker*** are two of the behaviours that would be considered effective leadership behaviour within the profile.

The combination of the congruence on ***Treats others with respect*** and ***Cooperative with co-workers*** as well as the fairly high rankings and similar means on these behaviours, indicates that the behaviours within ***Enabling Others to Act*** would generally be considered by all three groups to be a very strong part of the profile of these private secondary schools.

The principals and teachers ranked the behaviour of ***Trusts others to make decisions*** as second which the mean scores were 4.3 and 4.0 respectively. The mean score for senior teachers was 3.7. The mean score is indicating weak leadership strength for the behaviour of ***Trusts others to make decisions.*** Therefore, this behaviour is not included as components of the profile of the study.

However, senior teachers and teachers ranked all the remaining key practices the mean scores were below 4.0. The principal ranked the remaining three key practices of mean scores were 4.3, 4.1 and 4.0 respectively. Therefore, the key leadership practices of ***Involves others in planning Creates atmosphere of trust*** and ***Gets others to own projects*** are not considered to be one of the leadership practices in this study.

Literature supports the importance of power and empowerment or Enabling Others to Act (Kouzes & Posner, 2003). McCauley (1990) said that an effective principal would work to build productive and ***Treats others with respect.*** Bullard and Taylor (1998) explained that one way for a school leader to become effective is to develop

and ***Cooperate with co-workers*** to share decision-making process. Tracy (1990) outlined 10 components of empowerment. Konnert and Augenstein (1990) said. "Excellent schools are led by excellent principals. Excellent principals are leaders by empowerment" (p.104). Schmieder and Cairns (1996) listed "knowing how to encourage involvement by all parties in the educational community (p.xvi) as one of the top ten skills needed by principals. Involvement of members of the school community, trusting people and their judgements, and involving stakeholders in the management processes are part of the dispositions in the Standards for Administrators (Ubben & Hughes, 2001). Practising ***Cooperative*** relationships ***with co-workers*** is also part of the standards. Standards 6 list the dispositions of "importance of a continuing dialogue with other decision makers affecting education," "recognizing a variety of ideas, values and cultures," actively participating in the political and policy-making contexts in the service of education" (Ubben & Hughes, 2001, pp392-393). Some of the other authors who addressed the importance of empowerment are Bennis (1989, 1993), Convey (1990), Drucker (1993), and Short and Greer (1994).

Sergiovanni (2001) spoke about how empowerment also implies an obligation and duty to "make sensible decisions in light of shared values" (p.151). The principal who shares decision-making powers cannot be successful with a lasses-faire attitude. Sergiovanni (2001) also indicated that empowerment is the giving of power more than power over. The leader principal must be involved, and senior teachers must perceive the principal as a partner not just an authoritarian figure. Involvement can be simple things such as frequent visits to the classroom, attending advisory committees or at least visiting with the teacher to learn what the advisory committee recommended. It means: (a) providing the resources needed for programmes to stay up-to-date, (b) providing adequate facilities, (c) providing opportunities for teachers to consistently improve themselves, and (d) involving the senior teachers in decision-making activities of the school community. They must perceive that they are as important to the school curriculum and valued as much by the school organisation.

5.3.4 Modelling the Way

Table 5

Stakeholders' Comparative Ratings and Rankings for Modelling the Way

		Principals		Senior Teachers		Teachers	
Q	Behaviour	M1	Rank	M2	Rank	M3	Rank
4	Is clear about doing one's best	4.3	1	3.9	1	4.0	1
24	Practices espoused values	4.2	2	3.8	2	4.0	1
19	Shares own beliefs and values	3.9	4	3.9	1	3.8	2
29	Ensures goals are set	4.0	3	3.8	2	3.6	3
14	Ensures values are adhered to	3.6	5	3.7	3	3.6	3
9	Breaks work into steps	3.6	5	3.4	4	3.3	4

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.

Rank order is 1 = highest to 5 = lowest.

Secondary school principals n= 12, senior teachers n = 24 teachers n = 24

Table 5 summarises the means and rankings, for the six behaviours within the key practices of ***Modelling the Way***. Leaders who model the way set an example by behaving in a manner consistent with their values and they plan achievement in small segments of progress (Kouzes & Posner, 2003). The means scores of twelve private secondary school principals on key leadership practice of ***Modelling the Way*** indicated the twelve principals viewed themselves as engaging in three of the six leadership behaviours within this practices as 4.0 (fairly often) and the other three behaviours were rated at 3.6 or above (sometimes).

There was congruence between the principals, the senior teachers and the teachers on the behaviour ***Is clear about doing one's best***. The means for the principals, senior teachers and teachers was 4.3, 3.9 and 4.0 respectively, and all three groups ranked this behaviour number one.

While there was a similar mean of the principals, the senior teachers and the teachers of 4.2, 3.8 and 4.0 respectively on the behaviour ***Practices espoused values***, there was similar agreement in the ranking of this behaviour between all three groups. The near agreement coupled with the high rankings of these two behaviours, indicated they

would be part of the profile of these private secondary school principals within the key leadership practices of ***Modelling the Way***.

The senior teachers ranked the behaviour of ***Shares own beliefs and values*** as first (the mean score was 3.9). The mean score for teachers was 3.8 as second. However, the mean for principal was only 3.9. Comparing these three scores with the other scores with mention as above, the mean score rated as sometimes only. The mean score is indicating weak leadership strength for the behaviours of ***Shares own beliefs and values.*** Therefore, this behaviour is not included as components of the profile of the study.

However, the mean scores of senior teachers and teachers ranked all the remaining key practices were below 3.8. The senior teachers and teachers ranked the practice of ***Ensures goals are set*** as second and third respectively; the mean scores were 3.8 and 3.6. Comparing these scores with the other scores with mention as first two, the mean score rated as sometimes only. Therefore, the key leadership practices of ***Ensures goals are set, Ensures values are adhered to*** and ***Breaks work into steps*** are not included to be one of leadership practices in this study.

The researcher has concluded that the principals show more by action than words what their espoused values are, and that is perhaps why the specific behaviours '***Practices what is espoused*** and ***Is clear about doing one's best***' rank so high. Convey (1980) cited Emerson: "What you shout so loudly in my ears I cannot hear what you say" (p.22). In other word, "The real key to your influence with me is your example, your own conducts" (Covey, p.238).

5.3.5 Encouraging the Heart

Table 6

Stakeholders' Comparative Ratings and Rankings for Encouraging the Heart

		Principals		Senior Teachers		Teachers	
Q	Behaviour	M1	Rank	M2	Rank	M3	Rank
15	Praises for job well done	4.4	1	3.9	1	4.0	1
30	Tells others about group's work	4.3	2	3.9	1	4.0	1
20	Gives group appreciation/support	4.3	2	3.9	1	3.8	2
10	Recognises people's contributions	4.1	4	3.8	2	3.7	3
25	Finds ways to celebrate	4.2	3	3.6	3	3.6	4
5	Celebrate milestones	3.4	5	3.5	4	3.5	5

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always. Rank order is 1 = highest to 5 = lowest.

Secondary school principals n= 12, senior teachers n = 24 teachers n = 24

Table 6 summarises the means and ranking for the six behaviours within the key practices of ***Encouraging the Heart***. Leaders who encourage the heart recognise the contributions of others and look for ways to celebrate team accomplishment on a regular basis. These leaders are "in love with the challenge and with their co-workers" (Kouzes & Posner, 2003, p.6).

There was congruence between the principals, the senior teachers and the teachers on the behaviour ***Praises for job well done***. All groups ranked this behaviour number one. The principals ranked the behaviour of ***Praises for job well done*** first with a mean of 4.4. The mean on this behaviour for the senior teachers was 3.9 and the mean on this behaviour for the teachers was 4.0.

The means and rankings of the principals, the senior teachers and the teachers in Table 6 show strong congruence on two behaviours: ***Gives group appreciation or support*** and ***Tells others about group's work***. ***Tells others about group's work*** are also second by the principals with a mean of 4.3, both the senior teacher and the teachers ranked this behaviour first with means of 3.9 and 4.0 respectively. ***Gives group appreciation or support*** was also ranked first by the senior teachers, and

second by the principals and the teachers. The behaviour ***Gives group appreciation or support*** was second by the principals with a mean of 4.3. However, the senior teachers ranked this behaviour first with means of 3.9, and the teachers ranked this behaviour with means of 3.8 respectively. These two behaviours are made up the profile of these twelve private secondary school principals.

The mean scores of the principals are similarly strong on two behaviours: ***Finds ways to celebrate*** and ***Recognises people's contributions.*** The mean scores of the principals were 4.2 and 4.1. However, the senior teachers on these two behaviours were third and second with means of 3.6 and 3.8 respectively, and the teachers on these behaviours were third and fourth with means of 3.7 and 3.6. These two behaviours were not included as components of the descriptive profile of the principals.

Therefore, within the key leadership practices of ***Encouraging the Heart***, the behaviour indicated by the data to be part of the profile of these twelve private secondary school principals are ***Praises for job well done, Gives group appreciation or support*** and ***Tells others about group's work.***

The literature is replete with the importance of recognition. Gurr (1996) said that praise to teachers should be communicated to the teacher and to community and parents as well. Tracy (1990) outlined the recognizing achievement as one of the 10 components of empowerment. Blasé and Kirby (1992) stated that it does not matter what form the praise or recognition takes but it must be sincere and should be shared among all of the internal stakeholders. Ubben & Hughes (2001) said that "Hoopla' is not hokey (p.104), and that recognition should be given to all members of the school community including senior teachers, teachers, students, supporting staff and janitors.

Senior teachers and students may feel more significant and believe they are an important part of the school community when their contributions are recognised as important by the principal. They have a need to be respected, trusted, and recognised as having individual and collective worth. When the students win at student's competitions, or are recognised in some way by professionals, the principal who

wants to influence the high students' enrollment will make the recognition of these achievements as important as the academic and other extra-curricular achievements.

5.3.6 Summary of findings for research Question One

The profiles of the study were shown by the perceptions of the principals, senior teachers and teachers which indicated that the five key leadership practices were rated as following orders: ***Enabling other to Act, Encouraging the Heart, Shared the Vision, Modelling the way*** and ***Challenging the Process***. The mean scores of principals were 4.2, 4.1, 4.0 3.9 and 3.9 respectively. The teachers were similarly to the same perceptions of the principals which were indicated the ***Enabling other to Act*** and ***Encouraging the Heart*** as first rank, and ***Shared the Vision, Modelling the Way*** and ***Challenging the Process*** were ranked second. The mean scores were 4.0, 4.0, 3.7, 3.7 and 3.7 respectively. The senior teachers also had the similar perceptions to the principals. The practices of ***Enabling other to Act, Encouraging the Heart, Shared the Vision, Modelling the Way*** and ***Challenging the Process*** mean scores were 3.9, 3.7, 3.8, 3.8 and 3.6 respectively.

In overview, the data from research question one indicated the conclusion from Table 1 that the key leadership practices (1) ***Enabling Others to Act*** ranked as first, (2) ***Encouraging the Heart*** ranked as second, (3) ***Inspiring the Vision*** ranked as third, and (4) ***Modelling the Way*** ranked as fourth, (5) ***Challenging the Process*** ranked as fifth. The five keys of effective leadership practices of school principals were further investigated on the research question three in this study.

These practices represented the behaviours or strategies as following (From Table 7 below): ***Treats others with respect, Cooperative with co-worker, Praises for job well done, Tells others about group's work, Communicate positive outlook, Is clear about doing one's best*** and ***Look for ways to improve.*** Kouzes and Posner (2003) suggested that in a ranking of the behaviours, the most practices are the first five and the least practices are the last five. There were three leadership behaviours top five ranking as the same means score. The five key leadership practices were including:

(i) ***Enabling other to Act*** with the behaviours of ***Treats others with respect*** and ***Cooperative with co-worker;***

(ii) ***Encouraging the Heart*** with the behaviours of ***Praises for job well done*** and ***Tells others about group's work;***

(iii) ***Inspiring a Shared Vision*** with the behaviour of ***Communicate positive outlook;***

(iv) ***Modelling the Way*** with the behaviour of ***Is clear about doing one's best;***

(v) ***Challenging the Process*** with the behaviour of ***Look for ways to improve***.

These five leadership practices and behaviours may also be a foundation for the effective leadership behaviours of the principals. The justification for including behaviours of ***Treats others with respect***, ***Cooperative with co-worker, Praises for job well done, Tells others about group's work, Communicate positive outlook, Is clear about doing one's best, Look for ways to improve,*** were the top seven in rankings and will be therefore considered in the study.

To sum up, the profiles of the private school principals are shown by the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which are indicated by data collected using the Kouzes and Posner (2003) Leadership Practices Inventory (LPI). The data from research question one suggested the conclusion that the five key leadership practices ***Enabling Others to Act***, ***Encouraging the Heart***, ***Inspiring the Vision, Modelling the Way*** and ***Challenging the Process*** were the foundation for the effective leadership practices of the principals in this study. These practices represented the behaviours or strategies in the rankings are: ***Treats others with respect***, ***Cooperative with co-worker***, ***Praises for job well done***, ***Look for ways to improve, Communicate positive outlook, Tells others about group's work, Is clear about doing one's best.*** The top seven rankings will be further investigated in this study on research question three.

Table 7

Stakeholders' Comparative Ratings and Rankings for 30 Leadership Behaviours

		Principals		Senior Teachers		Teachers	
Q	**Behaviour**	**M1**	**Rank**	**M2**	**Rank**	**M3**	**Rank**
8	**Treats others with respect**	4.6	1	4.0	1	4.0	2
18	**Cooperates with co-workers**	4.1	3	4.0	1	4.2	1
15	**Praises for job well done**	4.4	1	3.9	1	4.0	1
16	**Looks for ways to improve**	4.1	2	4.1	1	4.0	2
12	**Communicates positive outlook**	4.3	1	4.0	1	3.9	1
30	**Tells others about group's work**	4.3	2	3.9	1	4.0	1
4	**Is clear about doing one's best**	4.3	1	3.9	1	4.0	1
6	Stays up-to-date	4.2	1	3.8	2	4.1	1
24	Practices espoused values	4.2	2	3.8	2	4.0	1
22	Forecasts future	4.2	2	4.0	1	3.8	2
20	Gives group appreciation/support	4.3	2	3.9	1	3.8	2
3	Involves others in planning	4.3	2	3.9	2	3.8	3
13	Trusts others to make decisions	4.3	2	3.7	4	4.0	2
23	Creates atmosphere of trust	4.1	3	3.8	3	4.0	2
2	Talks about future to create	3.9	4	4.0	1	3.8	2
28	Gets others to own projects	4.0	4	3.8	3	3.8	3
19	Shares own beliefs and values	3.9	4	3.9	1	3.8	2
10	Recognises people's contributions	4.1	4	3.8	2	3.7	3
27	Is excited about possibilities	4.1	3	3.8	2	3.6	3
25	Finds ways to celebrate	4.2	3	3.6	3	3.6	4
29	Ensures goals are set	4.0	3	3.8	2	3.6	3
1	Seeks challenges	3.8	3	3.6	4	3.8	3
26	Experiments and takes risks	3.6	5	3.7	3	3.8	3
14	Ensures values are adhered to	3.6	5	3.7	3	3.6	3
17	Links others to vision	3.8	5	3.6	4	3.5	4
7	Appeals to share in dreams	3.7	6	3.7	3	3.5	4
21	Asks, "What can we learn?"	3.8	3	3.2	6	3.5	4
5	Celebrate milestones	3.4	5	3.5	4	3.5	5
9	Breaks work into steps	3.6	5	3.4	4	3.3	4
11	Challenges how things are done	3.7	4	3.3	5	3.2	5

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.

Rank order is 1 = highest to 5 = lowest.

Secondary school principals n= 12, senior teachers n = 24 teachers n = 24

5.4 Findings of the Study for Research Question Two

Research question two asked: What the descriptive profile with respect to the effective leadership of private secondary school principals in Hong Kong are as

reported in the data using the Moses, et al. (1994) Leader Effectiveness Index which illustrates the effective leadership behaviours of the private secondary school principals as perceived by (a) the principal, (b) the senior teachers, and (c) the teachers? To support the triangulation of the data from the Leadership Practices Inventory from research question one (Creswell, 1994; Gall et al., 1996, Yin, 1994), a modified Leader Effectiveness Index which approved by the Moss, et al (Appendix D). The leader Effectiveness Index statements were modified to read as open-ended questions, rather than statements, for the interview process (see Appendix II for interview guide); and behaviours from the Kouzes and Posner (2003) Leadership Practices Inventory (LPI) were used as leads to probe deeper. A cross reference between the two instruments was developed by Marley in 2003 (see Appendix S).

Responses were reported separately for each of the internal stakeholders: (a) 12 secondary school principals, (b) 24 senior teachers, and (c) 24 teachers. To provide anonymity and confidentiality from the 12 different private secondary schools: (a) SKH All Saint Middle School, (b) Kowloon Sam Yuk Secondary School, (c) QaliEd College, (d) St. Margaret's Co-educational English Secondary School, (e) ECF Saint Too Cannan College, (f) Chan Shu Kui Memorial School, (g) Pak Kau College, (h) China Holiness College, (i) Delia Memorial School (Broadway), (j) Hong Kong Adventist College, (k) Yuen Long Lutheran College, (l) Tsung Tsin Middle School, the responses were blended within the different groups. The findings were reported in narrative form using actual quotations from the respondents.

5.4.1 Shared Vision

The first interview question asked participants to explain how the principal "inspires a shared vision and establishes standards that help the organisation, such as the school, achieve its next stage of development. For example, creates a sense of purpose, defines reality in the larger context, instils shared values and beliefs" (Moss et al., 1994, p.3). This question corresponded very closely to the effective leadership practice identified by Kouzes and Posner (2003) as **Inspiring a Shared Vision** in the Leadership Practices Inventory (see the cross reference in Appendix S).

Principals. Principals' responses indicated they had a vision for their schools and that they practised **Inspiring a Shared Vision** as the teachers worked together to develop school goals, vision, and mission statements. Many principals spoke about the ***vision being shared*** or offered responses such as: (the highlighted words in the following reveal the key concepts)

> Through staff meeting, executive committee meeting and subject panel meeting are **sharing vision** taken place. (CH P)
>
> Through beginning of the year and staff meeting, we **share our vision**. Also, briefing meeting and assembly **sharing our goals** will be taken place. (CSKP)

We can see from these statements that principals have different strategies for **sharing the vision**. There are formal staff meetings, brief meetings, and the use of one teacher to inform others.

The principals' vision was reflected in the actions they said they were taking to begin programmes. Many principals' comments reflected ***Forecasting the future*** which leadership behaviour developed by Kouzes & Posner (2003) in LPI.

> The alleged vision is the **goal** of altogether. For our **goal**, we had a succession of meeting in last semester in order to establish our school motto. During this period, we had had four to five meetings. (DP)
>
> The school management committee member such as Supervisor will have meeting every year, he shares a vision and the **direction** of the school, and then, we just follow the **direction**. (StM P)

We can also see from these that principals have different strategies for ***forecasting the future***. There are formal staff meetings, subject panel meetings, and the school management committee member such as supervisor to inform the **direction** of the development of the school in the future.

One principal referred to ***describe future to create***. First of all, we must know what the school mission is so we sit together and look on it. About this topic, the first we should stay clear is what our **development** of this school is. (D P)

10 of 12 principals referred to the importance of **sharing the vision**. 9 out of 12 principals also referred to the importance of **direction** and **development.**
The key words include: **sharing the vision, direction, and development**

Senior Teachers. Regarding ***a shared or common vision***, the senior teachers spoke about the principal's vision in terms of purpose, openness, going forward or improving, and goals:

> The principal will **share his vision** through staff meeting. (QST1)
>
> Over all, principal **shares his vision** in meeting or morning assembly…
>
> Sometimes, he shares by email and sent to the teachers. (EST1)

We can observe from the senior teachers that principals have different strategies for ***sharing common visions***. There are some staff meetings, morning assemblies, and attending the discipline committee or counselling committee meeting to **share the visions** with others.

Some senior teachers referred to the principal's ***forecast the future.*** The principal has described the future **direction** in the meetings. (ASST1)

> The principal forecasts the future **direction**. His objective is clear to the teachers. (DST2)

Senior teachers also focused on the principals' vision as being one of helping the school achieve its next stage of **development** (Moss et al., 1994). Some senior teachers stated the principal's ***describe the future:***

> The principal is absolutely keen on foresee the future **development**. His objective is clear to the teachers. (QST1)
>
> He will share the positive direction of the school **development** with the teachers and work together with them. He has made a positive sense of direction to us. (PKST1)

To sum up, there is some congruence between principals' and senior teachers' view, and there is also a common discourse where the same words and concepts are being used. So there is overlap between the keywords used by the principals and by senior teachers. Both groups refer to: **share vision, direction,** and **development**. Of the 24 senior teachers, 18 referred to the importance of **sharing vision.** 17 out of 24 of senior teachers referred to the importance of **direction**. It is notable however that the senior teacher put less number of emphases on '**development**'.

Teachers. Many teachers spoke about how their principals' were ***sharing the vision.***

> The principal **shares** the education **vision** at different meeting and informal occasion such as the briefing meeting. (QT1)
>
> She **shares her vision** in staff meetings and personal occasions. The direction of the principal is clear. (STMT1)

The teachers agree that the principals ***share his vision*** to them, and have expressed the school development during the staff meetings, morning assemblies and committee meetings.

Many teachers also talked about how the principals **forecast the future** through communicative and receptive skills:

> The principal have a clear **direction** picture. (CSKT1)
>
> She knows the main **direction** of the school; she knows EMI is the main stream (StMT1)

The teachers mentioned that the principal also listened to the dreams and visions of others. The sharing of the dream was a two-way street. "His **direction** is clear for us to follow; he shares his dream with us. He will actively participate in the new school development." (YLT1).

Some teachers also talked about how the principal ***describe the future***.

> Staff meeting and teachers' development day, the principal have a **clear description of the development** of the school. (StcT1).

Therefore, there is overlap between the keywords used by the principals, by the senior teachers and by the teachers. The three groups refer to: **share vision, direction** and **development**. Of the 24 teachers, 17 referred to the importance of **share vision** and **direction**. However, it is notable that the senior teachers and teachers put less emphasis on '**development**'.

The principal's responses, the senior teachers' responses, and the teachers' responses did reflect that a descriptive profile of the principals would include ***Share Vision and direction.*** All three groups gave supporting comments in the interview although they also expressed a desire to have a clearer understanding of the principals' vision. The

literature and research on leadership agree that the existence of a vision is shared as an important attribute of effective leaders. (Bennis, 1993; Konner & Augenstein, 1990; Kouzes & Posner 2003; Moss et al., 1994; Peyer, 1995; Marely 2003).

Table 8 gives a summary of the effective leadership practices of private secondary school principals in Hong Kong obtained from different respondents: (a) 12 principals, (b) 24 senior teachers, and (c) 24 teachers to interview question one pertaining to the leadership practices identified by (Kouzes & Posner 2003; Moss et al., 1994) as **Inspiring a Shared Vision**. The terminology used by the respondents has been grouped with the leadership practice by similarity of the properties or themes.

The private secondary school principals, senior teachers and teachers all talked about the six leadership behaviours in the Kouzes and Posner (2003) key leadership practices: ***(a) Describe future to create, (b) Shares future dreams, (c) Enlists a common vision, (d) Communicates a Positive Outlook, (e) Forecasts the future and (f) Contagiously Excited About Future.*** However, both the senior teachers and teachers indicated by comments such as "share more" and "talk more" that they would like the principals to talk with school more about their vision and goals. Comments indicated the principals communicated a positive outlook, but only one principal and few teachers indicated that "contagiously excited about future" making this behaviour a weak descriptor.

Table 8

Leadership Behaviours of the principals for Inspiring a Shared Vision

	Positive Response Comparison		
Leadership Behaviour	**Principals**	**Senior teachers**	**Teachers**
Describe Future to create	We should stay clear is what our expectation of this school is.	He can describe the directions of the school's future development	The principal shares his vision generally
Shares Future Dreams	Through staff meeting, executive committee meeting and subject panel meeting are sharing vision taken place.	The principal share the dream and vision of the school.	His direction is clear for us to follow; he shares his dream with us.
Communicates a Positive Outlook	We actively participate in the new school development.	Most of teachers also know the school development.	He will actively participate in the new school development.
Enlists a Common Vision	We can link with the religion and the goal of teaching. And we should co-operate each other in the developing of school.	There is absolutely keen on foresee the future direction of development.	The principal have a clear direction and development picture.
Forecasts Future	Formally in staff meeting, I will set the higher goal and wish to achieve.	His objective is clear to the teachers.	The principal expects the school will become the DSS School.
Contagiously Excited About Future	Share my expectation that we want on teaching these students (South-Asian students).	The principal can describe the school's future development.	We are some meetings about the goal and direction of future development.

To sum up, Principal indicated they ***shared others to their vision*** as they worked on school development plans that included vision statements, mission statements, and goals. "We sat down to created some goals for the school and what we want to look at, and how we want to accomplish those goals for next few years." The senior teachers remarked that the principal tried to communicate and share the school to the vision. "In staff meeting he will share what the vision is or what the plan is to reach it… I think there is a common vision that is to do what is the best for the students."

Some of the comments by senior teachers and teachers indicated that they believed the principal could share his vision more. "He doesn't take it into the future too far… I think it would be good to have more leadership and talk about long-term goals and where we want to go." These perceptions may be responsible for the key leadership

behaviour ***Inspiring a Shared Vision*** ranking lower than might be expected as part of the profile of a successful principal in the earlier data (refer to Table 3).

5.4.2 Fosters Unity, Collaboration and Ownership

The second interview question asked participants to explain how the principal "***fosters unity, collaboration, and ownership, and recognises individual and team contributions. For example, creates a climate of community, building morale, sets a positive tone, resolves disagreements***" (Moss et al., 1994, p.4). This question correlated very closely to the effective leadership practices identified by Kouzes and Posner (2003) as **Encouraging the Heart** in the Leadership Practices Inventory (see the cross reference in Appendix S).

Principals. Principals stated that ***unity, collaboration, and ownership*** occurred when they respected and trusted each other. Principals ***fostered unity*** using their **communication** skills. For example the highlighted words in the following reveal the key concepts:

> We should create a chance for them to **communicate**, and will have the good communication between any committees and departments. (DP)
>
> Staff meeting not only announces issues or policy but also **discussing issues** in depth. (CSKP)

They also emphasised the importance of helping new teachers to understand the school:

> Emphasise the staff training of new teachers and middle level. **Make the new teachers know well** about the school culture of the school by using "1+4" system to train them. (QP)
>
> The ratio of **pairing up** between existing colleague and new teachers is one on three or even one on one in the previous years. (StMP)

The principals also mentioned the ***collaboration and ownership*** establishing.

> Establish **teamwork** and give them room to develop depending on the principal's leadership. (QP)

> **Teamwork** will be established when dividing them into groups according to their subjects, which they teach. They get satisfaction by themselves. (StMP)

Principals talked about many ways they show **appreciation** to individuals and teams privately and publicly. One view is that he should be done in private so as to create trouble such as: "I **appreciate** to the teacher when they did a good job **privately** but seldom appreciate in publicity in order to decrease the trouble." (DP)

Another view is however that this should be done both in **public** and **privately**:

> I will **appreciate** staff specifically in the **public** occasion. Write card to the staff e.g.: Thank You card. Appreciation Awards and subjects prizes awards with some special funds. I concern about and understand the teachers (above average). Have lunch with colleagues **individually**. (CSKP)

Of the 12 principals, 10 referred to the importance of **appreciation** either in public or in private. 9 out of 12 principals referred to the importance of **teamwork** and **communication**.

The key words include: **appreciation, teamwork, communication**

Senior teachers. Senior teachers mentioned about the climate of the school created when there is a fostering of ***unity, collaboration and ownership.*** One aspect of this reference to the principal 'sharing' his 'vision':

> He will ask the teachers about the difficulties and help them initiatively. He is honest to open his mind and can share with us. It is ideal that he can ***share his vision***. (TTST1)

It is also noted that the principal should be 'positive' in this action of sharing.

> He will positively speak certain things to the staff, I can see his attitude in dealing with problem is not negative, and also he have vision. (QST1)
>
> To establish a positive culture, the members of the administrative committee will work hard to form cohesion between the members and afterwards between all the staff. (ASST1)

The comments on **appreciation** given by the senior teachers were frequent and indicated they perceived the principals being active in this area such as:

> He shares the importance of the **team spirit** in staff meeting and informal occasion. **Approving** teacher via the e-mail when say, student got certain achievement…etc. (QST2)

It is also important that the principal does not remain separate on a day to day basis. He has the meal or other activities with colleagues and these can show the **team spirit**. He gives some **praise** to the teachers during the staff meeting. He encourages the teachers to take part in different work and challenges. The **teamwork** is good. He **appreciates** the teachers during the meeting. (TTST2)

Therefore, there is overlap between the keywords used by the principals and by senior teachers. Both groups refer to: **appreciation, teamwork** and **communication**. Of the 24 senior teachers, 20 referred to the importance of **appreciation** and **teamwork**. However, it is notable that the senior teachers did not put as much emphasis on '**communication**'.

Teachers. Teachers noted that the principal ***fostered unity*** using his communication skills such as:

> He is an open-minded principal; he actively participates in friendship tying activities, and makes the teacher have sense of belonging. We are **united**. He is willing to **listen to every staff**. (QT2)

Teachers mentioned about how to establish the ***collaboration and ownership*** in school. "The principal has divided the teachers into groups, in the next year; a new committee will be run in order to distribute works to every teacher. He will **take care about the new teachers** and enhance the **cooperation between existing and new teachers.** He will invite teachers to make decisions together." (YLT2)

Teachers had only positive responses to ***recognition of individual and team*** contribution. They spoke about the principals making certain they **appreciated students** for both academic and extracurricular activities often **in assemblies**:

> He will make appraisal in order to know students' perception to them. He often **appreciates** teachers and students... He encourages the teachers. In some cases, he approves some of the teachers to participate in the **team**. He sometimes encourages the students. (YLT1&2)

Therefore, there is overlap between the keywords used by the principals, by the senior teachers and by the teachers. The three groups refer to: **teamwork, appreciation** and **communication.** Of the 24 teachers, 18 referred to the importance of **appreciation** and **teamwork**. However, it is also notable that the senior teachers and teachers did not put as much emphasis on '**communication**'.

The literature and research related the importance of ***fostering unity, collaboration, and ownership*** and **appreciating** individual and **team** contributions. Ubban et al. (2001) stated that achievement should be **appreciated** not only for the faculty but also for students and the entire school family. Blasé and Kirly (1992) said that **appreciation** is an effective motivator. It can be written or verbal, public, or personal but it should always be sincere. Both Kouzes and Posner (2003) and Moss et al. (1994) identified **appreciation** of individuals and **teamworks** both publicly and privately as and effective leadership behaviour.

Table 9 presents a summary of the private secondary school principals' effective leadership behaviours in Hong Kong as indicated by the responses of the (a) principals, (b) senior teachers, (c) teachers to interview question two pertaining to unity, collaboration, ownership and recognizing individuals and team contributions (Moss et al., 1994). The responses of the participants have been grouped by themes using the terminology for the leadership practices identified by Kouzes and Posner (2003).

The responses summarised that recognizing individual teachers privately and recognizing students publicly is noted by (a) principals, (b) senior teachers, and (c) teachers. This indicated that these recognition behaviours are practised very often or almost always by these successful principals and is supported by the findings from the questionnaire on this key leadership practice.

Only a few teachers gave negative responses. Some of them did not like the "last minutes assemblies," and they expressed a desire for "more celebration of the retirement milestones." The teachers also noted "fostering unity is a struggler for the principal."

Table 9

Leadership Behaviours of the principals for Fostering Unity, Collaboration, and Ownership and Encouraging the Heart

	Positive Response Comparison		
Leadership Behaviour	**Principals**	**Senior teachers**	**Teachers**
Ownership	**Teamwork** will be established. They get satisfaction by themselves	The teachers also feel the recognition	He makes the teacher have sense of belonging.
Unity/Access	Staff meeting not only announces issues or policy but also **discussing issues** in depth.	She believes in each colleague. And there is a belief between colleagues too.	We are united in school.
Cooperative Relationships	Establish **teamwork** and give them room to develop depending on the principal's leadership.	Principal is affirming and appreciates the achievement and team spirit of teacher.	Cooperation is taken place between colleagues
Sets Positive Tone	I concern about and understand the teachers. Have lunch with colleagues individually.	The principal has established a positive culture.	He gives freedom to the teachers and trust in them.
Gives Recognition and Praise Recognises individual publicly	I give the **appreciation** to the teacher who has good performance in public.	He appreciates the teachers during the meeting.	The principal will give appreciation to the teacher who has good performance in public.
Recognises individual Privately	I **appreciate** to the teacher when they did a good job privately.	Appreciation to teachers is mostly taking place in private sharing	She will encourage us in personal aspect rather than in-group aspect.

To sum up, the interview responses for Encouraging the Heart produced some positive comments from the participants. The comments were a mixture of **appreciation** people **publicly** and **privately**, recognizing students' contributions. and even recognizing the contributions of the community. The principals made such as comments as:

> I think public **praise** is great for anyone. (StCP)
>
> He shows great **appreciation** for team effort. (TTP)

Senior teachers and teachers may feel more significant and believe they are an important part of the school community when their contributions are **appreciated** as important by the principal. They have a need to be respected, trusted, and **appreciated** as having individual and collective worth. When the students win at

student's competitions, or are **appreciated** in some way by public occasions. The principal who wants to be a good leader will make the **appreciation** of these achievements as important as the academic and other extra-curricular achievements.

5.4.3 Exercising Power Effectively and Empowering Others to Acts

The third interview question asked participants to explain how the principal "***exercises power effectively and empowers others to act. For example, facilitates change, shares authority, create trust culture, nurtures the skills of group members***" (Moss et al., 1994, p.41). This question correlated very closely to the effective leadership practices identified by Kouzes and Posner (2003) in the Leadership Practices Inventory as **Enabling Others to Act** (see the cross reference in Appendix S).

Principals. The principals referred to goal setting for the school as a method to ***empower others to act***. For example the highlighted words in the following reveal the key concepts:

> I will **delegate** my power to the middle managers. (StMP)
>
> I will **delegate** my power to the others. The teachers have their own ideas but different from me. I also respect them. (StCP)

The principal were also ***nurturing the skills of group members*** by **cooperating** each other, he believed this was one of his strength.

> Two-class teachers system is an example of ***cooperation teaching***. I will pay attention to the teachers in preparing the lesson. (CHP)

Although a principal was praised for his ability to foster **collaboration** by using committees to solve issues and ***share decisions***, he believed this was one of his strengths because "when they have the successful experience, they will tell the others. Our teachers are good at **collaboration**." (DP) "Encourage the teachers to cooperate each other, and make the teachers more **collaboration**." (CHP)

The principals expressed that ***building trust culture*** with the departments is something that takes time, and until **cooperation** is established your effectiveness as

a principal is diminished. This was reflected in their comment that "I trust them and we **cooperate** each other… I respect my colleagues." (SY P)

Of the 12 principals, 9 referred to the importance of **delegation** to the middle managers or subjects' panels. 7 out of 12 principals referred to the importance of **cooperation** to the colleagues. 5 out of 12 principals also referred to the importance of **collaboration**.

The key words include: **delegation, cooperation** and **collaboration.**

Senior Teachers. Senior teachers cited several comment regarding ***empowerment other to act*** to **delegate** power to make decision.

> **Delegate** power to teachers step by step and **delegate** appropriately. (Q P)
>
> The principal is a good leader who **delegates** power to the committee heads and subject panels well. He respects the teachers and **delegates** power to make decision. (YLST1)

He ***trusts and respects the teachers*** to make decision.

> The principal **trusts** the subject panel very much. Between the principal and the teachers, they **trust** each other. (CSKST)
>
> He **trusts** the colleagues a lot. He respects the feelings of the colleagues and he is a man-oriented superior. (YLST1)

Senior teacher said the principal ***nurtured the skills of the group*** members by telling them. He encouraged teachers to **cooperate** with each other. It also enhances the transparencies of the **cooperation** between principal and teachers (CSKT2)

> He trusts the colleagues a lot. He seldom intervene the **cooperation** of different subjects or groups. (TTST1)

Therefore, there is overlap between the keywords used by the principals and by senior teachers. Both groups refer to: **delegation** and **trust** of teachers. Of the 24 senior teachers, 17 referred to the importance of **delegation** and **trust**. 15 out of 24 senior teachers referred to the importance of **cooperation.** It is notable however that the senior teachers did not put as much emphasis on '**collaboration**'.

Teachers. Teachers referred to the principals' abilities to ***empower others and to nurture their skills.***

> The principal **delegates** the middle managers to discuss about the measures to help the teachers and students to surpass the "3-3-4" (New Senior Secondary school) system. (CHT1)
>
> Principal **delegates** his power to different teachers to do different job such as the arrangement of assembly. The teachers also have their freedom to choose the theme. (TTT1)

The teachers stated "the principal give freedom to work together. There is no restricting to let the teacher **cooperate** together. But he carry the main point is forgiving. But the **cooperation** of the teachers is quite good." (TTT1)

Teachers also talked about how principals' ***trust others.*** "The principal informs and listens to the staff. He **trusts** and respects the staffs too." (SYT1)

Teachers mentioned that principals had some challenges with **share decision**. "The teachers have the **collaboration** to others such as the cooperation of subjects. In Mathematics meeting also cultivate the culture of **collaboration**." (DT1)

Therefore, there is overlap between the keywords used by the principals, by the senior teachers and by the teachers. The four keywords refer to: **delegation, trust, cooperation** and **collaboration**. Of the 24 teachers, 15 referred to the importance of **delegation** and **trust**. 13 out of 24 teachers also referred to the importance of '**cooperation**'. However, it is notable that the senior teachers and teachers did not also put as much emphasis on '**collaboration**'.

Conley and Goldman (1994) stated that principals could foster unity, **collaboration**, and ownership by enlisting a common vision and providing teachers with opportunities to **collaborate**, interact socially, and serve as leaders. Sergiovanni (2001) described this as a bonding relationship that is characterised by a mutual caring. Kouzes and Posner (2003) found that effective leaders involve others in planning and allow people to make decisions. Bennis (1989) said that an effective leader would motivate the staff and exercise power effectively while **empowering**

others. Other authors discussed effective leadership as **delegating others** (Covey, 1990; Drucker, 1993; Peter & Waterman, 1982).

Table 10 presents a summary of the leadership behaviours of the private secondary schools principals as indicated by the responses of the (a) principals, (b) senior teachers, and (c) teachers to interview question three pertaining to effective use of power, facilitating change, sharing authority, nurturing skills (Moss et al., 1994) and Enabling Others to Act (Kouzes & Posner, 2003). The responses of the participants have been grouped by the themes using the terminology for the leadership practices identified by Kouzes and Posner.

All the respondents groups (a) principals, (b) senior teachers, and (c) teachers commented about the principals empowering others and facilitating change. Therefore, the strength of the data suggests that these are behaviours these principals practice very often or almost always. The teachers also made several comments about the autonomy they were granted by the principals. Senior teachers and teachers according to their interview responses, appear to feel enabled by the principals to run their projects or programmes.

Table 10

Leadership Behaviours of the principals for Effective Use of Power and Enabling Other to Acts

	Positive Response Comparison		
Leadership Behaviour	**Principals**	**Senior teachers**	**Teachers**
Empowers	I will delegate power to the middle level	He respects the teachers and delegates power to make decision	He is willing to give authorization to the teachers.
Autonomy	I allow the teachers to do things with a high autonomy	Principal gives us freedom to do the work and encourages us to use different methods for teaching better.	Principal transfers his power to different teachers to do different jobs.
Shared Decision Making	I will delegate my power to the others and respect them.	The principal is a good leader who delegates power to the committee heads and subject panels well	No matter what decision is, he also let the teachers to make the decision.
Ensures Values Are Adhered To	Our teachers are good collaboration	They try to cultivate believe each others	Principal can also cultivate the culture of collaboration.
Facilities Change	We emphasise the sense of risk or crisis and develop the risk management.	He supports us to create new ideas.	He gives a high flexibility to us, we participate without hesitate because of his acceptability.
Creates Atmosphere of Trust	I trust them and we trust each other	He trusts the colleagues a lot.	He respects and trusts the staffs too.
Nurtures Skills of Group Members	Two-class teachers system is an example of cooperation teaching.	He encourages teachers to cooperate with each other	The teachers have the collaboration to each other such as the cooperation of subjects.

On the Leader Effectiveness Index (Moss et al., 1994) the practices of Enabling Others to Act used different terminology but had the same characteristic or theme. The Leader Effectiveness Index question used the terms "Exercises power effectively and empowers others to act. For example, facilitates change, shares authority, nurture the skills of group members" (ibid, p.41). Some behaviours are associated with Enabling Others to Act appeared within another question and used the terms "respect, **trust**, and has confidence in members" (ibid, p.41). The responses of the key informants to the questions in the Leader Effectiveness Index also supported the strength of the Leadership practice **Enabling Others to Act** (Kouzes & Posner, 2003).

The principals said of themselves:

> A few of the remarks made by the senior teachers and teachers illustrated their perspective on the sharing of power and the effective use the power (Enabling Others to Act) by the principal. (YLLP)

The findings of Peyer's (1995) study were supported by the findings of this study. Peyer found no statistical differences in the behaviours of the high extreme principals and the low extreme principals on the leadership effectiveness indicators or attributes in regard to the effective leader characteristics in the Leader Effectiveness Index (Moss et al., 1994). However, in high-ranking secondary schools there was a team approach countered on shared leadership. This shared leadership empowered team members' leadership roles and activities and had the full support of the principal. This was lacking in the low extreme schools. Peyer referred to this as isolated leadership and defined it as "the practices of having an individual in charge of an initiatives within a school or a district, and expecting that person to run the programme or programmes with little or no assistance from other administrators" (p.80).

Literature supports the importance of power and empowerment or Enabling Others to Act (Kouzes & Posner, 2003). McCauley (1990) said that an effective principal would work to build productive and **trust** relationships. Bullard and Taylor (1998) explained that one way for a school leader to become effective is to develop and used a shared decision-making process. Tracy (1990) outlined 10 components of **empowerment**. Konnert and Augenstein (1990) said, "Excellent schools are led by excellent principals. Excellent principals are leaders by **empowerment**" (p.104). Schneider and Cairns (1996) listed "know how to encourage involvement by all parties in the educational community" (p.xvi) as one of the top ten skills needed by principals. Involvement of members of the school community, **trusting** people and their judgements, and involving stakeholders in the management processes are part of the dispositions in the Standards for Administrators (Ubben & Hughes, 2001). Practising **cooperative** relationships is also part of the standards. Standards 6 list the dispositions of "importance of a continuing dialogue with other decision makers affecting education," "recognizing a variety of ideas, values and cultures," actively participating in the political and policy-making contexts in the service of education" (Ubben & Hughes, 2001, pp392-393). Some of the other authors who addressed the

importance of empowerment are Bennis (1989, 1993), Convey (1990), Drucker (1993), and Short and Greer (1995).

Sergiovanni (2001) spoke about how **empowerment** also implies an obligation and duty to "make sensible decisions in light of shared values" (p.151). The principal who shares decision-making powers cannot be successful with a laissez-faire attitude. Sergiovanni (2001) also indicated that **empowerment** is the giving of power more than power over. The leader principal must be involved, and senior teachers must perceive the principal as a partner not just an authoritarian figure. Involvement can be simple things such as frequent visits to the classroom, attending advisory committees or at least visiting with the teacher to learn what the advisory committee recommended. It means: (a) providing the resources needed for programmes to stay up-to-date, (b) providing adequate facilities, (c) providing opportunities for teachers to consistently improve themselves, and (d) involving the senior teachers in decision-making activities of the school community. They must perceive that they are as important to the school curriculum and valued as much by the school organisation.

5.4.4 Influence Outside the Organisation and Modelling the Way

The fourth question asked participants to explain how the principal "exerts ***influence outside of the organisation*** in order to set the right context for the organisation. For example, ***serves as a symbol for the group, secures resources, build coalitions, act as an advocate*** (Moss at al., 1994). This question correlated most closely, but not exactly, with the effective leadership practices identified in the Leadership Practices Inventory by Kouzes and Posner (2003) as **Modelling the Way** (see the cross reference in Appendix S).

Principals. The principals talked about ***building connection outside of the school*** organisation. For example the highlighted words in the following reveal the key concepts:

> Deal with community, we actively **cooperate** with District Councillors and Non Government Organisation (because we are new to the district) within these three years. **Establish relationship**, by let the community uses our school facility and space. (QP)

The other principals said that they thought the way you ***build up coalition*** such as:

> We have a **link-up** with the universities in foreign countries and Hong Kong. I think I have **a clear image** of being a principal. I **communicate** with partner schools well." (YYP)

Some principals said that they ***secure resources*** especially for private secondary schools. We will focus on building relation and human **resources connection** with the outsider rather than applying QEF (Quality Education Fund). Because of the successful rate in applying for the fund is very high. (StMP)

Of the 12 principals, 10 referred to the importance of **connection** outside the school. 9 out of 12 principals referred to the importance of **linkage** (secures resources) to the school. 7 out of 12 principals also stated less importance of **reputation** (as a symbol). The key words include: **connection, linkage, reputation**

Senior Teachers. Some senior teachers said that the principals exerted ***influence outside the school*** by securing resources through connection, grants and acting as an advocate.

> The **connection** between the organisation and the foreign and Mainland organisation play an important role in establish outside help. We will try to hold seminar. (QST1)

The senior teachers talked about several ways that the principal ***builds coalition or acts as an advocate outside the school.*** The principal establishes a large **network** including the education sector. (StST1)

Senior teachers also talked about **reputation** of the principals ***as a symbol for the school***. Principal have a good **reputation**, who is always invited by the media. (YLLST1)

Therefore, there is overlap between the keywords used by the principals and by the senior teachers. Both groups refer to: **connection, linking** and **reputation**. Of the 24

number of senior teachers, 16 referred to the importance of **connection** and **linking**. It is notable that the senior teachers did not put as much emphasis on `**reputation**`.

Teachers. The teachers' comment indicated they talked about the **influence** of the principal ***outside the organisation,*** and they included the influence of the community. They are actively involved in organisations, churches, and universities, going to every activity at the school. **Connection** with other Universities and schools benefit our student. (QT1)

The teachers expressed that the principal tried to ***secure resources through the coalitions*** they build in the community.

> Joint school cooperation, example: **linking** with some principals of primary schools. The above measure will facilitate the development. (SYT1)

The teachers talked about the principal's ability to be ***a symbol*** of the school.

> Chinese History is the famous subject, in this field; we gain a lot of **reputation** outside the school. (CHT2)

Therefore, there is a similar keywords used by the principals, by the senior teachers and by the teachers. The three groups refer to: **connection, linking** and **reputation** of teachers. Of the 24 number of senior teachers, 17 referred to the importance number referred to the importance of **connection** and **linking**. However, it is also notable that the senior teachers and teachers did not put as much emphasis on '**reputation**'.

Table 12 presents a summary of the leadership behaviours of the effective private secondary school principals as indicated by the responses of the (a) principals, (b) senior teachers, and (c) teachers to interview question four which asked the respondents if the principal "exerts influence outside of the organisation in order to set the right context for organisation. For example: serves as a symbol for the group, secures resources, build coalitions, acts as an advocate" (Moss et al., 1994). This behaviour is correlated with ***Modelling the Way*** (Kouzes & Posner, 2003). The responses of the participants have been grouped by the themes using the terminology for the leadership practices identified by Kouzes and Posner (2003). (See Appendix S for cross-reference between the questionnaire and the interview instruments).

Table 12: Leadership Behaviours for principals for Influence Outside the Organisation and Modelling the Way

	Positive Response Comparison		
Leadership Behaviour	**Principals**	**Senior teachers**	**Teachers**
Influence Outside School	I will set a model to encourage the teachers to work as voluntary worker or job, and I do service outside the school.	The figure of the principal in linking the outsiders is bright.	She establishes a good network herself.
Symbol for the Group	I think I have a clear image of being a principal. I communicate with partner schools well.	The principal were often invited to talk with other schools, he also writes a lot of readings, and good connection is established	We gain a lot of reputation outside the school
Communication With External stakeholders	I have connected to the business providers too.	The parents and teachers' association give large support to us.	He joins Parent-teacher association and also grants an interview with parents.
Secures Resources	We also organise to cooperate with Education and Manpower Bureau (EMB) or universities. Support from parents and alumni	She posses many resources to get resources from the outsiders.	The principal has got extra resources to back up the programme of tipping-top student and aiding to the insufficient student

The researcher cross-referenced with "Exerts influence outside of the organisation in order to set the right context for the organisation. For example: serves as a symbol for the group, secures resources, build coalitions, acts as an advocate" (Moss et al., 1994, p.41). The challenge that the researcher had with this cross reference was that Modelling the Way, as a leadership practice for a private secondary school principal, is necessarily good **connection** outside the organisation. It also definitely has relevance for the external school community and builds up coalitions.

5.4.5 Environment Conducive to Learning

The fifth interview question asked participants to explain how the principal "establish an environment conducive to learning. For example, ***provides intellectual stimulation, creates a supportive climate for learners, facilitates the professional development of***

staff" (Moss et al., 1994). This question corresponded most closely, but not exactly, with the effective leadership practices identified in the Leadership Practices Inventory by Kouzes and Posner (2003) as **Challenging the Process** (see the cross reference In Appendix S).

Principals. The principals talked about ***a positive attitude.*** For example the highlighted words in the following reveal the key concepts:

> We organised a team, which is called 'Teaching and Learning Support Team'. The function of this team is to **support teachers' teaching** and learning. (DP)
>
> There are some new teachers and they will be **supported** by the experienced teacher. I only play a role of care about the performance of the teachers. (QP)

The principal stated that they worked as a team and **supported** each other. The school team is to **support** teaching more effectively.

Challenging the status quo and taking risks are leadership behaviours associated with ***Challenging the Process***. This leadership behaviour may contribute to an environment conducive to learning by keeping the curriculum and practices up-to-date. Therefore, this Kouzes and Posner (2003) leadership practice was cross-referenced with Moss et al. (1994) leadership characteristics that contributed to a climate conducive to learning.

The principal's comment suggested that one way he assisted teachers in ***staying up-to-date*** was providing the professional **training** for them with information.

> Intranet is good for providing useful information that comes from Education and Manpower Bureau. And the teachers can know the **training** through the intranet. (StCP)
>
> Our school encourages teachers to have **staff training**; we have a department to deliver information of those courses (e.g.: courses held by EMB). (StMP)

The principal appreciated and encouraged the teachers to **staff training** by providing information through intranet which could help teachers stay up-to-date.

The principals also talked about providing ***Intellectual stimulation***. "**Sharing** specific topic and problem solving, we invite experts to deliver lecture that concerning about

study obstruct." (CSKP) "We train the middle level by launching seminar and **sharing** among the teachers." (QP)

Of the 12 principals, 9 referred to the importance of **training** to the teachers. 7 out of 12 principals referred to the importance of **support** to the colleagues. 5 out of 12 principals also referred to the importance of **sharing**.

The key words include: **training, support, sharing.**

Senior Teachers. The principals' promotion of ***intellectual stimulation through professional development*** was commented on by the senior teachers. "The principal encourages us to **attend some workshop and seminar**. Sometimes she will attend a seminar for us and wants all of us to participate. **Staff development** day will be held each year." (StST1)

According to some senior teachers, the principals' support for professional **training** was demonstrated by the supplying of resources such as regular professional development in meeting, information, time and funds.

The senior teachers also talked about intellectual stimulation as part of a **positive school climate**.

> **Funding support** for the teachers is given when the teacher passed the standard exam. And she encourages us to have advanced study by allowing them to leave school on time. (StMST)
>
> There is a partnership scheme; buddy system will be **supported** by the members of the scheme. (QST)

Senior teachers also talked about ***school climate*** in terms of relationship, responsibility and expectations. It does not only the principal expect an orderly and disciplined school.

Some senior teachers also spoke about the ***intellectual stimulation*** through professional development.

> We have to maintain the development of the school, and will seek a series of change by encourage us to **share** with each other freely. (YLST)

> **Sharing** good education tools are highly encouraged. There are series of activities launched in order to let the teachers **shared with each other** and the outsiders. (QST)

According the senior teachers, the principals encouraged the professional development through **sharing** each other. It would be helpful to maintain the school development.

Therefore, there is overlap between the keywords used by the principals and by the senior teachers. Both groups refer to: **support, training** and **sharing**. Of the 24 number of senior teachers, 14 referred to the importance of **support** and **training**. It is notable that the senior teachers did not put as much emphasis on '**sharing**'.

Teachers. The teachers mentioned the facilitation of the ***professional development*** of staff.

> He encourages us to **attend seminars and courses**. He gives us room to have advance study. The **staff development** department will send letter to teachers to describe the information of the courses. (YLT)

According to some teachers, the principals' support for professional **training** was demonstrated by the supplying of resources such as regular meeting, information, time and funds.

According to the teachers, the principals talked about a ***positive climate.***

> He has given some opinion to us for building up our **positive culture**. (YLT1)
>
> He is quite **care and cheer** on what the teachers are studying, and he should arrange the teaching load of these teachers to have time to study. (TTCT)

Some teachers stated that the principals encouraged the teachers' relationship and support each other which could help them building up a positive culture.

The teachers talked about ***intellectual stimulation*** as part of a positive school climate.

> He often **shares** with us about his benefits in books. He promotes reading habit of every teacher. (YLT)
>
> He encourages us to overcome challenges and assigns some teachers to **share** with us about their teaching. (StMT)

Therefore, there are similar keywords used by the principals, by the senior teachers and by the teachers. The three groups refer to: **support, training** and **sharing**. Of the 24 teachers, 16 referred to the importance of **support** and **training**. However, it is also notable that the senior teachers and teachers did not put as much emphasis on '**sharing**'.

The findings of Interview Question Five support the literature on an environment conducive to learning. Ubben et al. (2001) and Gorton & McIntyre (1978) said that schools with an effective learning environment are safe, orderly, and are closely associated with the actions of the principals themselves. They talked about the importance of the principal's own behaviour setting the tone. An effective principal helps in the development of effective disciplinary practices, maintains direct contact with students, and is very visible. Achilles and Smith (1994) said that the principal must ensure a safe environment. In order to have an environment conducive to learning, both students and teachers must feel safe. Teachers must feel that they are free to teach rather than just keep order. Others authors who examine school according to the climate and the importance of the professional development of the staff are Konnert and Augenstein (1990); Caperton (2001); Sergiovanni (2001). The challenge for schools to stay up-to-date in an ever-changing technological world was addressed by Barth (1990); Drucker (1989); Willower (1982).

Table 13 presents a summary of the principals' leadership behaviours for an Environment Conducive to learning and Challenging the Process as indicated by the responses of the (a) principals, (b) senior teachers, and (c) teachers to interview question four. The terminology used by the participants was grouped by themes using the terminology of the leadership Practices identified by Kouzes and Posner (2003).

Table 13

Leadership Behaviours of the principals for Environment Conducive to Learning and Challenging the Process

	Positive Response Comparison		
Leadership Behaviour	**Principals**	**Senior teachers**	**Teachers**
Support the climate	I think the climate in our school is more positive now.	I think that she is always quite innovative and looking forward to things that could be done.	As a school climate issues, he is really concerned about how students are doing both socially and academically.
Facilitate the professional development	The function of this team is to support teachers' teaching and learning.	She encourages us to have advanced study by allowing them to leave school on time.	He encourages us and has some money as a fund for teachers to have advanced study.
Provide Intellectual Stimulation	Our school encourages teachers to have staff training	The principal encourages us to attend some workshop and seminar.	There are series of activities launched in order to let the teachers shared with each other and the outsiders.
Students	Encourage teachers to be positive, to work with students, to treat all students like they would want their own children to be treated.	He wants students to be busy all the time while they are in the classroom, not just sitting around.	He has more expectations of the students. A standard is set and he encourages them to meet that.

The fifth interview question asked participants to explain how the principal "establish an environment conducive to learning. For example, provides intellectual stimulation, creates a supportive climate for learners, facilitates the professional development of staff" (Moss et al., 1994). This question corresponded most closely, but not exactly, with the effective leadership practices identified in the Leadership Practices Inventory by Kouzes and Posner (2003) as **Challenging the Process.**

The principals talked about ***a positive attitude.*** For example the highlighted words in the following reveal the key concepts: The principal stated that they worked as a team and **supported** each other. The school team is to **support** teaching more effectively.

Challenging the status quo and taking risks are leadership behaviours associated with ***Challenging the Process***. This leadership behaviour may contribute to an environment conducive to learning by keeping the curriculum and practices up-to-

date. Therefore, this Kouzes and Posner (2003) leadership practice was cross-referenced with Moss et al. (1994) leadership characteristics that contributed to a climate conducive to learning.

The principal's comment suggested that one way he assisted teachers in ***staying up-to-date*** was providing the professional **training** for them with information. The principal appreciated and encouraged the teachers to **staff training** by providing information through intranet which could help teachers stay up-to-date.

The principals also talked about providing ***Intellectual stimulation***. "**Sharing** specific topic and problem solving, we invite experts to deliver lecture that concerning about study obstruct." (CSKP)

Therefore, there are similar keywords used by the principals, by the senior teachers and by the teachers. The three groups refer to: **support, training** and **sharing**. Of the 24 teachers, 16 referred to the importance of **support** and **training**. However, it is also notable that the senior teachers and teachers did not put as much emphasis on '**sharing**'.

5.4.6 Satisfies Job-Related Needs of Members and Enabling Others to Act

The sixth interview question asked participants to explain how the principal "satisfies the job-related needs of members of the organisation as individuals. For example, ***respect, trust, and has confidence in members; adapts leadership style to the situation; creates a satisfying work environment*** (Moss et al., 1994). This question corresponded most closely, but not exactly, with the effective leadership practice identified in the Leadership Practices Inventory by Kouzes and Posner (2003) as **Enabling Others to Act** (see the cross reference in Appendix S).

Principals. To satisfy the job-related needs of the teachers as individuals, the principals mentioned ***trust and respect individually.*** For example the highlighted words in the following reveal the key concepts:

> I show my trust, **respect** and concern through the attitude. (CSKP)

Recognizing the helpful suggestions of the teachers shows confidence in them. Principals provide the ***adapt leadership style*** to the situation.

> Make them to accept, recognise and appreciate to colleagues. (StCP)
>
> It seldom have gap between teachers and principal because appreciation is enhanced. (QP)

Principal commented on ***create a satisfying work environment.*** "The teachers can **satisfy** in their work environment." (YLLP) "There are some colleagues' performance are **outstanding** and I will tell them to share with other teachers." (CSKP)

Of the 12 principals, 10 referred to the importance of ***respect.*** 12 principals 7 referred to the importance of ***appreciation***. 5 out of 12 principals referred to the importance of ***satisfaction***.

The keywords include: **respect, appreciation, satisfaction**

Senior Teachers. Some senior teachers discussed the ***Satisfy work environment***. "When the teachers **satisfy** the needs, these can push them to develop of school or students well." (DST1)

> So when the event that is made by teacher and recognised by principal and success at the end, they of course get the **satisfaction**. (DST2)

Some senior teachers mentioned that the principals ***respect the teacher individually***. The senior teachers were having respect individually in them as well as being aware of their personal needs and their differences viewed the principals.

> I think the principal **respects** and trusts us. (YLST1)
>
> She **respects** and trusts teachers. (StMST1)

The principals were having **adapted the leadership style** in the teachers as well as appreciation of their good work.

> Through letter to the teachers and staff meeting, he will give **appreciation** to specific teacher. In personal chatting, he also **appreciates** the colleague. (QST1)
>
> She would **appreciate** the teachers and let the colleagues to do their job freely. (SYST1)

> She will support us by indirect ways such as delegate power to us rather than **appreciate** us directly. She respects and trusts teachers. (StMST1)

Therefore, there is overlap between the keyword used by the principals and by senior teachers. Both groups refer to: **Respect** and **satisfaction** to the teachers. Of the 24 of senior teachers, 18 referred to the importance of **respect.** 21 out of 24 senior teachers referred to the importance of **satisfaction.** However, it is notable that the senior teachers did not put as much emphasis on '**appreciation**'.

Teachers. The teachers' viewpoint seemed to be that the principals met the job-related needs of members of the organisation as individuals in various ways. They said that satisfying the job related needs of members of the organisation as ***individuals also involved trust and respect.***

> He **respects** and trusts the teachers, and he provides a mutual-trust culture between us. (YLT1)
>
> The principal trusts, cares and **respects** the teachers individually. (QT1)

Some teacher discussed the ***satisfying work environment.*** The teachers as having respected and trust in them viewed the principals as well as being aware of their personal needs and differences.

> The event is made by teacher and recognised by the principal and success at the end, they of course get the **satisfaction**. (DT1)
>
> When he teachers **satisfy** the own needs, these can push them to develop of school or students well. (QT1)

The teachers mentioned that the principals practice behaviours in the key leadership practice of Enabling Others to Act. The behaviours they comment on are ***adapting the leadership style.***

> I **appreciate** the principal's behaviour of caring the new teachers. (CSKT1)
>
> He will **appreciate** the performance of certain teachers after reviewing with the colleagues. (StCT1)

Therefore, there is overlap between the keyword used by the principals, by senior teachers, and by teachers. Both groups refer to: **respect** and **satisfaction** to the teachers. Of the 24 of teachers, 21 referred to the importance of **respect.** 19 out of 24 senior teachers referred to the importance of **satisfaction.** However, it is notable that the senior teachers did not put as much emphasis on '**appreciation**'.

Authors on leadership have discussed satisfying the needs of the individuals in the organisation through ***respect, trust and adapting the leadership style*** to create a satisfying work environment (Konnert & Augenstein, 1990; Kouzes & Posner, 2003; Moss et al., 1994). Bennis (1993) stated that people needs to feel significant, need to feel they are part of a community, and need to feel that work is exciting. Ubben and Hughes (1987) said that a principal who takes into consideration about the individual needs of the teachers will obtain the most productivity.

Table 14 presents the leadership behaviours of the private secondary schools principals in Hong Kong as indicated by the responses of the (a) principals, (b) senior teachers, and (c) teachers to interview question six which asked the respondents to talk about how the principal "satisfies the job-related needs of members of the organisation as individuals. For example, respects, trusts, and has confidence in members; adapt leadership style to the situation; create a satisfying work environment" (Moss et al., 1994) and **Enabling Others to Act** (Kouzes & Posner, 2003). The responses of the participants have been grouped by the themes consistent with the terminology for the practices identified by Kouzes and Posner (2003).

Table 14: Leadership Behaviours of principals for Satisfying job-related needs of individuals and Enabling Others to Acts

	Positive Response Comparison		
Leadership Behaviour	**Principals**	**Senior teachers**	**Teachers**
Creates Atmosphere Of Trust	I quite trust my colleagues	The principal care and respect the teachers	He provides a mutual-trust culture between us
Treats Others with Respect	I show my respect, concern and faith through the attitude	She respects teachers	I can see he is quite respects the teachers
Communicate caring About Individual	Relationship between colleagues and me are good	In personal chatting, he also appreciates the colleague	He will send email or card to support or encourage to each other.

To sum up, the sixth interview question asked participants to explain how the principal "satisfies the job-related needs of members of the organisation as individuals. For example, **respect**, trust, and has confidence in members; adapts leadership style to the situation; creates a **satisfying** work environment (Moss et al., 1994). This question correlated most closely, but not exactly, with the effective

leadership practice identified in the Leadership Practices Inventory by Kouzes and Posner (2003) as **Enabling Others to Act**.

Therefore, there is overlap between the keyword used by the principals, by senior teachers, and by teachers. Both groups refer to: **respect** and **satisfaction** to the teachers. Of the 24 of teachers, 21 referred to the importance of **respect.** 19 out of 24 senior teachers referred to the importance of **satisfaction**. However it is notable that the senior teachers did not put as much emphasis on '**appreciation**'.

5.4.7 Principals' Overall Leadership Performance

Interview question seven was: Overall, how effective would you say the principal's leadership performance is and why? This question elicited responses from the principals, senior teachers, and teachers that related to the Kouzes and Posner (2003) key leadership practices and behaviours. Some of the responses were integrated into the key leadership practices that most closely match the theme suggested by the responses. However, some responses to this question are appropriate to the findings of this study regarding the descriptive profile of the twelve private secondary school principals that did not match the other questions. They are now presented.

Principals. In responses to the question about overall leadership performance, comment from the principals indicated that they ***shared the vision*** by enlisting the common goal. For example the highlighted reveal the keywords:

> I think **sharing the vision**, encouraging to the teamwork. (YLP)
>
> I think **sharing the vision** is the best, and my vision is very clear. (TTP)

The importance of ***modelling the way*** was indicated by the principals' remarks.

> I am good at **linking up with the outsiders**. (CSKP)
>
> Being a school principal, I can **link up with the outsiders** to my school well. (PKP)

The principals' indicated the creation of an atmosphere of trust was ***encouraging the heart.***

> I think I am good at leading the **team spirit** and sharing authority. (StCP)

> I think my staff feels comfortable enough to come and tell me their ideas because I listen to them and I **trust** them. (ASP)

The principals also indicated the importance of ***enabling other to acts***. "I always **delegate** my power to teachings staff."

Of the 12 principals, 5 referred to the importance of **linkage**. 4 out of 12 principals referred to the importance of **sharing the vision**. It is notable that the principal has only a few refer to the importance of **teamwork, delegation** and **training**.

The keywords include: **linkage, sharing the vision, teamwork, delegation, and training**

Senior Teachers. There were senior teachers who felt principals were a fairly effective leader who had ***a clear vision***.

> The principal have many fortes; especially have a **clear vision**… Sharing the **vision** and education incentive are the most important qualities of being a principal. (QST1&2)
>
> She is good at **shares her vision**. (StMST1)

Some senior teachers saw a very strong leader in their principals. Their comments reflected his ***modelling behaviour***, which is influencing to outside organisations.

> The strongest forte of the principal is **linking to the outsiders**. (CSKST1)
>
> The principal's ability to **link** other parties **outside the school** is high, e.g.: arrange guests to have sharing. (ASST1)

Senior teachers mentioned about the effective principal including ***encourage the hearts behaviour***.

> I think she believes on her colleagues and give them the spaces are the best. **Teamwork** is also good. She lets the environment more harmonious and full of **team spirit**… Principal can give authorization to the teachers. And communication with outside school is also great. But it seems the **team work** is weaker. (SYST1)
>
> I think he also did very well on sharing the **teamwork** and enable the others to act the work. And he can play the good role on principal and can have good

> communication with the students… The team and care to the colleague are quite good. He also transfers his power to the teachers. The **teamwork** is the best. (TTST1)

Therefore, there is overlap between the keywords used by the principals and by senior teachers. Both groups refer to: **Linkage, Sharing the vision, teamwork, delegation** and **training**. Of the 24 senior teachers, 20 referred to the importance of **linkage** and **sharing the vision**. 19 out of 24 senior teachers referred to the importance of **teamwork and delegation**. However it is notable that the senior teachers did not put as much emphasis on '**training**'.

Teachers. Some teachers mentioned that the principal is a very strong leader including ***model the way.***

> The principal is good at **establish linkage** to the outsiders. (StMT2)
>
> The **establishment linking** outside the school is the first priority for the principal's role. (AST2)

Some teachers saw a very strong leader in their principal. Their comments reflected his ability to ***enlist the common vision***.

> His strength is the **clear vision** to the colleagues. (QST2)
>
> He has shared his vision to us. Sometimes the principal **shares his vision** to us. (YLST1)

Some teachers also saw the principals as working hard and having the ability to ***encourage the heart*** to their staffs.

> The principal encourages the staff to study much, so his forte is encouraging the **professional development** of the staff. (SYT2)
>
> He is good at approving the participation of the team, **delegate** power to the teachers and also establish teachers' **professional development**. (StCT1)

Some teachers mentioned that the principal also indicated the importance of ***enabling other to acts***. "I always **delegate** my power to teachings staff." (StMT2)

> He **delegates** power to the teachers. (AST2)

Therefore, there is overlap between the keywords used by the principals, by senior teachers and teachers. Both groups refer to: **Linkage**, **Sharing the vision, teamwork, delegation** and **training**. Of the 24 teachers, 21 referred to the importance of **linkage** and **sharing the vision**. 20 out of 24 teachers referred to the importance of **teamwork and delegation**. However it is notable that the senior teachers and teachers did not put as much emphasis on '**training**'.

Literature is replete with studies of various authors on leadership. Some of the major authors who provide information on effective leadership are: Bass (1985); Bennis (1993); Bennis and Nannus (1985); Druker (1993); Hersey and Blanchard (1988); Kouzes and Posner (2003); Moss et al., (1994); Peter and Waterman (1982); Sergiovanni (2001); Ubben and Hughs (2001).

Table 15 gives a summary of the overall leadership performance of the principals perceived by the (a) principals, (b) senior teachers, and (c) teachers as indicated by their responses to interview question seven. The terminology used by the respondents has been grouped with the leadership practice by similarity of properties or themes.

Table 15

Leadership Behaviours of principals: Overall Effective Leadership Performance

	Positive Response Comparison		
Leadership Behaviour	**Principals**	**Senior teachers**	**Teachers**
Inspires a shared Vision	I think sharing the vision is the best, and my vision is very clear	He has shared the education vision	His vision is stronger
Models the Way	I am good at linking up with the outsiders	She is good at linking with outsiders	The principal is good at establish linkage to the outsiders
Encourages the Heart	I think I am good at leading the team spirit and sharing authority.	I think he also did very well on sharing the teamwork	He is good at establish the teamwork
Enables Others to Act	I always delegate my power to teachings staff.	I think he also did very well on enabling the others to act the work.	He delegates power to the teachers
Challenge the Process	I am good at the teachers' professional	She also good at teachers' professional	He is encouraging the professional development of the staff.

To sum up, this question elicited responses from the principals, senior teachers. and teachers that related to the Kouzes and Posner (2003) key leadership practices and behaviours. Some of the responses were integrated into the key leadership practices that most closely match the theme suggested by the responses. However, some responses to this question are appropriate to the findings of this study regarding the descriptive profile of the twelve private secondary school principals that did not match the other questions.

5.4.8 Summary of findings for Research Question Two

Findings and analysis from the views of participants' responses to the open-ended interview questions using the modified Leader Effectiveness Index (Moss et al., 1994) were presented in Chapter 5, research question two. Findings for research question two provided a profile of the twelve private secondary school principals by using the interview responses of the (a) principals, (b) senior teachers, and (c) teachers. These findings were reported using thematic analysis of interviews from the responses of the participants and supported by research literature. All participants for each leadership practice gave positive responses and negative responses were sparse. Therefore, the results of the interviews indicated that these private secondary school principals were perceived most of the effective leadership behaviours by senior teachers and teachers.

A clearer picture of the practices and behaviours that may be stronger is set out in the Tables above. These tables are used to summarise similar themes or behaviours found in the responses of the participants during the open-ended questions used for the interview. They provide a descriptive profile of the principals including the leadership practices **Modelling the Way** and the behaviours: ***Influence Outside, School Communication with external stakeholders, Symbol for the group, and Secures resources.*** **Linkage** is a keyword used by the principals, by senior teachers and teachers. All the behaviours were the strongest facet of the principal's descriptive profile according to the interviews.

The profile of the principals including terms of the leadership practices **Inspiring a shared vision** and the behaviours: ***Communicates positive outlook, Describe future to create, Shares future dreams, enlists a common vision***. **Sharing the vision** are

keywords used by the principals, by senior teachers and teachers. The behaviours all were a very strong facet of the principal's descriptive profile according to the interviews.

Leadership practices ***Unity, Collaboration, and Ownership*** (Moss et al., 1994) and **Encouraging the Heart** (Kouzes & Posner, 2003) were strong in a profile. ***Ownership***, was somewhat weak as not as much was said on this leadership practice by the teachers. **Teamwork** is a keyword only used by principals, senior teachers and teachers. ***Recognizing individual and team contributions*** or **Encouraging the Heart** were a strong facets of the profile of the private secondary school principals.

The profile of the twelve private secondary school principals included the leadership practice ***Effective Use of Power*** (Moss et al., 1994) or **Enabling Others to Act** (Kouzes & Posner, 2003). ***Empowering, autonomy, shared decision making, ensure values are adhered to; facilities change*** were strong behaviour of the profile. **Delegation** is a keyword only used by senior teachers and teachers. There was congruency and frequency of responses on these leadership behaviours from both the principals and the senior teachers. Behaviours ***Creates Atmosphere of Trust and Nurtures skills of Group Members*** were somewhat weak and, therefore, were not a part of the principals' profile.

According to the table on ***Environment Conducive to Learning*** and **Challenging the Process** senior teachers' and teachers' responses indicated these practices and behaviours were a part of a profile of the principals. **Training** is a keyword rarely used by the principals, by senior teachers and teachers. The principals, senior teachers', and the teachers' responses were all weak in this area. It was determined that these practices were a facet of the principals' profile but were weaker behaviours in the leadership profile.

5.5 Findings of the study for Research Question Three

Research question three asked:

Is, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' ability to (a) challenge the process,

(b) inspire a shared vision, (c) enable others to act, (d) model the way, and (e) encourage the heart?

To answer research question three the researcher took two steps in the process. Firstly, an interview was developed from a modified Leader Effectiveness Index (Moss, et al., 1994,) (p.39) open-end question. Secondly, the frequency-count of positive responses found in the remarks contributed by (a) the teachers and (b) senior teachers during an open-ended and semi-structured interview using the Moss et al. (1994) Leader Effectiveness Index as instrument to answer research question three. These responses were matched by characteristic or theme to the leadership behaviours defined by Kouzes and Posner (2003).

Counting the number of times a certain observation was made is method of analysis labelled by Gall et al. (1996) as frequency-count recording. It was defined as "measurement of the number of times that each observational variable occurs during an event (e.g., a classroom lesson)" (p.760). For this study, the frequency-count event was the interview.

In order to answer research question 3, the researcher concentrated on the beliefs of the participants (i.e. teachers and senior teachers) about the effect of leadership on student enrollment, and on the frequency with which participants talked about the effect of principals' behaviours on student enrollment. There are some examples through interviews from the specific behaviour which were related to student enrollment. Senior teachers viewed that the principal referred to ***Clear on doing leadership philosophy*** who acts as a symbol of the group or school. One senior teacher said, "He has an ***attractive figure***; the ***reputation*** is a factor of student enrollment rate." The principal becomes famous as a symbol outside of the school, which enhances the student enrollment. One teacher also said, "He has ***an attractive figure***; his ***image*** is also a factor of high enrollment rate."

Table 16 lists the five leadership practices identified by Kouzes and Posner (2003) and the 30 behaviours associated with those practices by the frequency of positive responses (Gall et al., 1996) identified in the interview transcript. It should be noted that although there are 30 behaviours or strategies, the ranking only goes from the

highest ranking of one to lowest ranking of 20 because some of the behaviours were identical in ranking. The researcher mentions all of these examples as below. The participants perceive there is a relationship between the leadership behaviour and students' enrollment. They are not only simple count the number of times that the senior teachers and the teachers identify the behaviours, but the lists show the teachers and senior teachers mention the different behaviours in the general context of discussion of students' enrollment.

Table 16 Frequency-Count of Positive Responses Found in LEI Interview and Identified with LPI Leadership Practices and Behaviours

Leadership Practices	Identified Behaviour	Senior teachers **(Rank)**	Teachers **(Rank)**	Total	Rank
Modelling the way	Clear on doing leadership philosophy	41(1)	43(1)	84	1
Modelling the way	Practices what is espoused	39(2)	38(2)	77	2
Modelling the way	Shares own beliefs and values	37(3)	38(2)	75	3
Modelling the way	Ensures values are adhered to	36(4)	36(3)	72	4
Encouraging the Heart	Gives teams appreciation/support	34(5)	32(5)	66	5
Inspiring a Shared Vision	Links others to vision	27(6)	34(4)	61	6
Challenging the Process	Looks for ways to improve	21(9)	36(3)	57	7
Encouraging the Heart	Gives Praise for job well done	24(7)	32(5)	56	8
Challenging the Process	Stays up-to-date	20(10)	35(4)	55	9
Encouraging the Heart	Tells others about the group work	27(6)	28(8)	55	9
Encouraging the Heart	Recognises people's contributions	27(6)	27(9)	54	10
Inspiring a Shared Vision	Describe future we can create	24(7)	30(7)	54	10
Inspiring a Shared Vision	Forecasts the future	22(8)	28(8)	50	11
Challenging the Process	Asks what we can learn	18(12)	31(6)	49	12
Inspiring a Shared Vision	Shares future dreams	21(9)	27(9)	48	13
Inspiring a Shared Vision	Communicates positive outlook	21(9)	27(9)	48	13
Inspiring a Shared Vision	Excited about possibilities	21(9)	27(9)	48	13
Enabling Others to Act	Creates atmosphere of trust	14(14)	30(7)	44	14
Enabling Others to Act	Gets other own projects	19(11)	24(11)	43	15
Encouraging the Heart	Celebrates milestones	20(10)	22(13)	42	16
Encouraging the Heart	Finds way to celebrate	20(10)	22(13)	42	16
Enabling Others to Act	Involves others in planning	18(12)	23(12)	41	17
Enabling Others to Act	Treats others with respect	15(13)	25(10)	40	18
Enabling Others to Act	Develops cooperative relationships	14(14)	22(13)	36	19
Challenging the Process	Challenge the status quo	13(15)	20(15)	33	20
Challenging the Process	Seeks to challenge	13(15)	20(15)	33	20
Enabling Others to Act	Trust others to make decisions	11(16)	21(14)	32	21
Challenging the Process	Experiments and takes risks	9(18)	16(16)	25	22
Modelling the way	Breaks projects into steps	11(16)	13(17)	24	23
Modelling the way	Sets clear goals and milestones	10(17)	13(17)	23	24

The data in Table 16 indicates that we are analysing different participants' views about effects on student enrollment. These leadership practices and behaviours are identified with one frequency-count of positive responses in the interview. **Modelling the Way** with the leadership behaviours or strategies of ***Clear on doing leadership philosophy*** ranked as first, ***Practice what is espoused*** and ***Share own beliefs and values*** ranked as second and third, and ***Ensure values are adhered to*** ranked as fourth.

Encouraging the Heart with the leadership behaviour practices ***Gives teams appreciation/support, Tells others about group's work*** and ***Gives praise for job well done*** which ranked as fifth, eighth and ninth respectively. **Inspiring a Shared Vision** with leadership behaviours or strategies of ***Links others to vision*** and ***Describes future when we create*** was ranked as sixth and tenth.

Table 16A <u>Frequency-Count of Positive Responses Found in LEI Interview with Modelling the Way</u>

Leadership Practices	Identified Behaviour	Senior teachers **(Rank)**	Teachers **(Rank)**	Total	Rank
Modelling the way	Clear on doing leadership philosophy	41(1)	43(1)	84	1
	Practices what is espoused	39(2)	38(2)	77	2
	Shares own beliefs and values	37(3)	38(2)	75	3
	Ensures values are adhered to	36(4)	36(3)	72	4
	Breaks projects into steps	11(16)	13(17)	24	23
	Sets clear goals and milestones	10(17)	13(17)	23	24

5.5.1 Finding for Modelling the Way

Was, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' leadership and ability to model the way? Data indicated that the respondents gave more positive comments on the leadership practice of ***Modelling the Way*** during the interviews using the Leader Effectiveness Index (Moss et al., 1994) than other key leadership practices. Of the behaviours within this key leadership practice, the behaviours or strategies within this were ***Clear on doing leadership philosophy*** which total ranked as first. The frequency count of was 84; ***Practices what is espoused*** and ***Shares own beliefs and Values,*** which total ranked second and third; the frequency count were 77 and 75

respectively. ***Ensures values are adhered*** total ranked as fourth and the frequency count was 72. ***Breaks projects into steps*** and ***Set clear goals and milestones*** ranked as 23rd and 24th, and the total frequency counted 24 and 23 respectively. (Refer to Table 16A)

Table 17: Senior Teachers' and Teachers' Comparative Ratings and Rankings for Modelling the Way

		Senior Teachers		Teachers	
Q	**Behaviour**	**M2**	**Rank**	**M3**	**Rank**
4	**Is clear about doing one's best**	**3.9**	**1**	**4.0**	**1**
24	**Practices espoused values**	**3.8**	**2**	**4.0**	**1**
19	**Shares own beliefs and values**	**3.9**	**1**	**3.8**	**2**
29	**Ensures goals are set**	**3.8**	**2**	**3.6**	**3**
14	**Ensures values are adhered to**	**3.7**	**3**	**3.6**	**3**
9	**Breaks work into steps**	**3.4**	**4**	**3.3**	**4**

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.

Rank order is 1 = highest to 5 = lowest.

Secondary school senior teachers n = 24 teachers n = 24

It is difficult to find clear quotes for all the different kinds of behaviours (and the table at the beginning of this section is NOT actually a list of when the direct link is made). The lists only show the teachers and senior teachers mention the different behaviours in the general context of discussion of students' enrollment, and the link is not made explicitly.

Senior Teachers. Senior teachers viewed that the principal referred to ***Clear on doing leadership philosophy*** who acts as a symbol of the group or school. This behaviour ranked as first and the frequency count was 41. The principals probably serve as a symbol outside of the school. For example, the principal is very famous in the community. The highlighted words in the following reveal the key concepts.

"Principal has a ***good reputation***, who is always invited by the media." (YLLST1)

"He has an ***attractive figure***; the ***reputation*** is also a factor of student enrollment rate." (QST1)

Senior teachers recognised the principal ***Practices what is espoused.*** This behaviour was ranked as second and the frequency count was 39. The principal is being important in forming links with the community and being actively involved community and parents. The principal's involvement and activities outside the scope of the secondary school environment are many.

"***Link of connecting parties*** outside the school is adequate." (ASST1)

"The principal would have ***more connective*** with outside or community." (ASST1)

Senior teachers also viewed the principal to ***Share own beliefs and values*** which ranked as third and frequency count was 37. The principals stressed on promoting their strengths such as "…having a ***clear direction*** of curriculum."

"He ***promotes the educational vision*** in order to enhance the enrollment rate." (QST1)

"Principal can ***change the mind*** of teachers." (DST1)

Senior teachers said the principals ***Ensure Values are Adhered to*** school culture and characteristics. This behaviour ranked as fourth and the frequency count was 36. The senior teachers view that principals promote the school characteristics and culture, which can attract the parents to select the school.

"He emphasises on the ***promotion of school characteristic***." (YLST)

"He stresses on ***team work*** and provide a supportive teaching environment." (StCST)

From Table 17, within the leadership practice of **Modelling the Way**, the behaviours of ***Clear about doing one's best*** and ***Shares own beliefs and values*** viewed by senior teachers were both ranked as first; ***Practices espoused values*** was ranked second; and ***Ensures goals are set*** was ranked third. The means were 3.9, 3.9, 3.8 and 3.7 respectively. The highest ranking on the interview responses for the leadership behaviour ***Clear on doing leadership philosophy*** agreed with the rankings of this result on the questionnaire. Senior teachers ranked this behaviour the first. The interview responses for the ***Practices what is espoused, Shares own beliefs and values*** and ***Ensures the values are adhered to*** were similarly result to those in the questionnaire. Therefore, the finding was that these four leadership behaviours of ***Clear on doing leadership philosophy, Shares own beliefs and values, Practices what is espoused*** and ***Ensures values are adhered to*** were viewed by the senior

teacher with high ranking and interview responses, and these behaviours were perceived to influence the student enrollment while the other behaviours within the key leadership practice of **Modelling the way** did not. **Modelling the Way** was strong as an influence as the other leadership behaviours.

Teachers. Teachers viewed that the effective principal behaviour is to ***Clear on doing leadership philosophy*** which acts as a symbol of the group or school. This behaviour ranked as first and the frequency count was 43. The principal becomes famous as a symbol outside of the school, which enhances the student enrollment.

"He has ***an attractive figure***; his ***image*** is also a factor of high enrollment rate." (QT1)

"His ***encouragement and supports*** give the teachers a ***great performance***." (QT2)

"He should do ***more supervision*** with different style for different teachers." (DT1)

Teachers indicated that the principal ***Practices what is espoused values,*** which ranked as second and the frequency count was 38. The principals made efforts in connecting parties outside the school. The involvements of different stakeholders are very important to attract student enrollment.

"***Linkage to the outsiders*** is the factor to attract student enrollment." (YLT)

Teacher also viewed as important the behaviour ***Shares own beliefs and values*** which ranked as second and the frequency count was 38. The principals stress on promoting the school beliefs and values. "The principal ***shares his vision***." Teachers have the feeling of ascription on school. "The ***goal*** should be ***showed clearly***." The principal shares his beliefs and values, and establishes direction of school.

Teachers indicated that the principals ***Ensure Values are adhered to*** school culture and characteristics. This behaviour ranked as third and the frequency count was 36. The teachers think that principals promote the school characteristics and culture, which could attract the parents to select the school.

"He ***promotes*** our ***school characteristic*** to the primary schools." (DCST)

"He concerns our ***team work*** and provides a good teaching environment." (CHST)

From Table 17, within the leadership practice of **Modelling the Way**, the behaviours of ***Clear about doing one's best*** and ***Practices espoused values*** viewed by teachers

were both ranked as first; ***Shares own beliefs and values*** was ranked second; and ***Ensures values are adhered*** was ranked third. The means are 4.0, 4.0, 3.8 and 3.6 respectively. The highest ranking on the interview responses for the leadership behaviour ***Clear on doing leadership philosophy*** agreed with the rankings of this result on the questionnaire. Teachers ranked this behaviour the first. The second ranking of the interview response for the ***Practices espoused values*** and ***Shares own beliefs and values*** were similarly results as leadership behaviour on the questionnaire. The behaviour ***Ensures values are adhered*** ranked as third and the frequency count was 36. Therefore, the finding was that these leadership behaviours of ***Clear on doing leadership philosophy, Practices what is espoused, Shares own beliefs and values,*** were viewed by the teachers with high ranking in questionnaires and interview responses, and these four behaviours may be perceived to affect the student enrollment while the other behaviours within the key leadership practice of **Modelling the way** did not.

To sum up, the behaviours within this key leadership practices were ***Clear on doing leadership philosophy.*** The teachers and senior teachers perceived the principals become famous and act as a clear symbol of the school which may affect the students' enrollment; ***Practices what is espoused*** by the principal is important in forming links with the community and being actively involved community and parents. Most of the teachers and senior teachers viewed that the principals showed a clear vision and ***Shared own beliefs and Values***, which may affect the school development and direction. The teachers and senior teachers also refer to the behaviour ***Ensure Values are Adhered to*** school culture and characteristics, which may attract the parents to select the school. **Modelling the Way** is strong as an influence as the other leadership behaviours.

Table 16B Frequency-Count of Positive Responses Found in LEI Interview with Encouraging the Heart

Leadership Practices	Identified Behaviour	Senior teachers **(Rank)**	Teachers **(Rank)**	Total	Rank
Encouraging the Heart	Gives teams appreciation/support	34(5)	32(5)	66	5
	Gives Praise for job well done	24(7)	32(5)	56	8
	Tells others about the group work	27(6)	28(8)	55	9
	Recognises people's contributions	27(6)	27(9)	54	10
	Celebrates milestones	20(10)	22(13)	42	15
	Finds way to celebrate	20(10)	22(13)	42	15

It is difficult to find clear quotes like for all the different kinds of behaviours (and the table at the beginning of this section is NOT actually a list of when the direct link is made). The lists only show the teachers and senior teachers mention the different behaviours in the general context of discussion of students' enrollment, and the link is not made explicitly.

5.5.2 Finding for Encouraging the Heart

Was, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' leadership and ability to encourage the heart? **Encouraging the Heart** ranked fifth, seventh and ninth in total frequency of positive responses from the interviews. Of the behaviours within this key leadership practice, the behaviours or strategies within this were ***Give Teams Appreciation and Support,*** which was ranked as fifth. The total frequency count was 66; ***Give Praise for Job Well Done*** and ***Tells others about the Group Work*** ranked as eighth and ninth; and the total frequency counts were 56 and 55 respectively. ***Recognises People's Contributions*** ranked tenth and the total frequency count was 54. ***Celebrates milestones*** and ***finds way to celebrate*** both ranked as 15th and the total frequency counts were 42. (Refer to Table 16B)

Table 18: Senior Teachers' and Teachers' Comparative Ratings and Rankings for Encouraging the Heart

		Senior Teachers		Teachers	
Q	**Behaviour**	**M2**	**Rank**	**M3**	**Rank**
15	**Praises for job well done**	**3.9**	**1**	**4.0**	**1**
30	**Tells others about group's work**	**3.9**	**1**	**4.0**	**1**
20	**Gives group appreciation/support**	**3.9**	**1**	**3.8**	**2**
10	**Recognises people's contributions**	**3.8**	**2**	**3.7**	**3**
25	**Finds ways to celebrate**	**3.6**	**3**	**3.6**	**4**
5	**Celebrate milestones**	**3.5**	**4**	**3.5**	**5**

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.
Rank order is 1 = highest to 5 = lowest.
Secondary school senior teachers n = 24 teachers n = 24

Senior Teachers. Senior teachers viewed that the principals referred to ***Give Teams Appreciation and Support.*** The principals showed appreciation of team privately and publicly. This behaviour ranked as fifth and the frequency count was 34. It is important that the principals frequently appreciate their colleagues.

"He gives some ***praise*** to the teachers during the staff meeting." (StCST)

"We have ***team spirit*** and the students will ***talk to others*** so that we have high enrollment." (QST1)

"He ***encourages*** the teachers to take part in different work and challenges. The ***teamwork*** is good." (TTST2)

Senior teachers recognised the principals ***Tell others about the group work*** and ***Recognise people's contributions*** in their schools. These behaviours both ranked as sixth and the frequency counts were 27. The principal's encouragement of group work and recognition of colleagues' contributions are very important.

"He shares the importance of the ***team spirit*** in staff meeting." (QSST2)

"He sometimes ***recognises*** the staff contributions." (YLST)

Senior teachers also viewed the behaviour of ***Gives Praise for Job Well Done*** ranked as seventh and frequency count was 24. The principals stressed on appreciation of

their colleagues for job well done such as "He ***appreciates*** the teachers during the meeting." (TTST2)

On the questionnaire from Table 18, ***Gives team appreciation or support, Tells others about group's work*** and ***Praises for job well done*** were all ranked as first by the senior teachers, and mean scores were 3.9. ***Recognises people's contribution*** was ranked as second and mean score was 3.8. There was congruence between the ratings and ranking of the behaviours shown by the results of the questionnaires and the strength of the positive frequency responses rankings from the interviews. Therefore, the finding was that the leadership behaviours of ***Gives team appreciation/support, Tells others about group's work, Praises for job well done*** and ***Recognises People's Contributions*** are viewed by the senior teachers as important for the student enrollment. The key leadership practice of ***Encouraging the Heart*** had the strong effect on the student enrollment.

Teachers. Teachers viewed that the principal referred to ***Give Teams Appreciation and Support*** and ***Gives Praise for Job Well Done***. These two behaviours both ranked as fifth and the frequency counts were 32. It is important that principals frequently appreciate and support their colleagues.

"He ***encourages*** us to participate in the ***team***." (QT1)

"He always ***appreciates*** to our effort and hard work." (StCT)

Teachers recognised that the principals referred to ***Tell others about the group work*** in their schools. This behaviour ranked as eighth and the frequency count was 28. The principal's encouragement of group work is important. "She stresses on ***teaching*** and build up the ***relationship with the students***." (StCT1)

Teachers also indicated that the principals referred to ***Recognises people's contribution*** which ranked as ninth and frequency count was 27. The principals stressed on recognition and contribution of their colleagues. "Principal should be more ***affirm the teachers' performance*** and more ***understand what their needs*** are." (CSKT1)

On the questionnaire From Table 18, ***Tells others about group's work*** and ***Praises for job well done*** were ranked as first by the teachers, and mean scores were 4.0. ***Gives group appreciation/support*** and ***Recognises people's contribution*** ranked as second and third, and mean score were 3.8 and 3.7 respectively. There was also congruence between the ratings and ranking of the behaviours shown by the results of the questionnaires and the strength of the positive frequency responses rankings from the interviews. From Table 16B, ***Gives team appreciation or support*** and ***Praises for job well done*** both ranked as fifth and total frequency counts were 32. ***Tells others about the group work*** and ***Recognises people's contribution*** ranked as sixth and seventh through interviews. Therefore, the finding was that the key leadership practice of ***Encouraging the Heart*** was the strong effect on the student enrollment.

To sum up, the data indicated that related to the leadership practices of **Encouraging the Heart** ranked by the principal as second of the key leadership practices from Table 1. Through the interviews responses, these key leadership behaviours of ***Gives team appreciation or support*** and ***Gives praise for job well done*** were ranked as fifth and eighth and the total frequency counts were 66 and 56 respectively. From Table 16B, ***Tells others about the group work*** ranked as ninth and the total frequency was 55. ***Recognises people contribution*** ranked as tenth and the total frequency counted 54. On the Kouzes and Posner (2003) questionnaire from Table 1, the principal ranked **Encouraging the Hearts** as second while the senior teachers ranked as third and the teachers ranked as first. The ratings between the three groups of internal stakeholders were similar. Even though the principal ranked this practice as second, the mean score of 4.1 indicated the principals perceived themselves as engaging in this practice ***fairly often*** while the mean of the senior teachers (3.7) and the mean of the teachers (4.0) indicated they perceived the principals as engaging in this practice ***fairly often***. Therefore, the finding was that the key leadership practice of **Encouraging the Hearts** was a strong influence, following the number one ranked practice of **Modelling the Way,** on the student enrollment.

Table 16C Frequency-Count of Positive Responses Found in LEI Interview with Inspiring a Shared Vision

Leadership Practices	Identified Behaviour	Senior teachers **(Rank)**	Teachers **(Rank)**	Total	Rank
Inspiring a Shared Vision	Links others to vision	27(6)	34(4)	61	6
	Describe future we can create	24(7)	30(7)	54	10
	Forecasts the future	22(8)	28(8)	50	11
	Shares future dreams	21(9)	27(9)	48	13
	Communicates positive outlook	21(9)	27(9)	48	13
	Excited about possibilities	21(9)	27(9)	48	13

5.5.3 Finding for Inspiring a Shared Vision

Was, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' leadership and ability to inspire a shared vision? Data indicated that the respondents gave positive comments on the leadership practice of ***Inspiring a Shared Vision*** during the interviews using the Leader Effectiveness Index. Of the behaviours within this key leadership practice, the behaviours or strategies within this effective were ***Links other to vision*** which ranked as sixth. The total frequency count was 61. ***Describes future we can create*** ranked as tenth and total frequency count was 54. ***Forecasts the future*** ranked as eleventh and the total frequency count was 50. ***Shares future dreams, Communicate positive outlook*** and ***Excited about possibilities*** ranked as 13th and the total frequency counts were 48. (Refer to Table 16C)

Table 19: Senior Teachers' and Teachers' Comparative Ratings and Rankings for Inspiring a Shared Vision

		Senior Teachers		Teachers	
Q	**Behaviour**	**M2**	**Rank**	**M3**	**Rank**
12	**Communicates positive outlook**	**4.0**	**1**	**3.9**	**1**
22	**Forecasts future**	**4.0**	**1**	**3.8**	**2**
2	**Talks about future to create**	**4.0**	**1**	**3.8**	**2**
27	**Is excited about possibilities**	**3.8**	**2**	**3.6**	**3**
17	**Links others to vision**	**3.6**	**4**	**3.5**	**4**
7	**Appeals to share in dreams**	**3.7**	**3**	**3.5**	**4**

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.
Rank order is 1 = highest to 5 = lowest.
Secondary school senior teachers n = 24 teachers n = 24

It is difficult to find clear quotes for all the different kinds of behaviours. The lists only show if the teachers and senior teachers mention the different behaviours in the general context of discussion of students' enrollment, and the link is not made clearly.

Senior Teachers. Senior teachers viewed the principals ***Link other to vision.*** This behaviour ranked as sixth and the frequency count was 27. The principals shared their vision in term of purpose and goals through staff meeting.
"He promotes the ***educational vision*** in order to enhance the enrollment rate." (YLST)
"He has ***a clear vision*** to concern their students." (QST)

Senior teachers recognised the principals ***Describe about future to create***. This behaviour was ranked as seventh and the frequency count was 24. The principals described the future direction in the meeting. "We should be having ***clear future direction*** and use this as selling point to increase the enrollment." (YLST)

Senior teachers indicated that the principal referred to ***Forecast the future.*** This behaviour ranked as eighth and the frequency count was 22. The principals predicted the future direction of the school. "When the principal ***shares the direction***, the school becomes more attractive to students." (EST)

Senior teacher also stated the principals ***Share future dreams, Communicate positive outlook*** and ***Excite about possibilities*** all ranked as ninth and the frequency counts were 21 respectively. The principals shared the future dreams, outlook, development and possibilities. The principal's vision was clear to the teachers. "He strengthens in his ***education beliefs*** and ***knows what our goal is***." (DST)

From Table 19, the senior teachers ranked these three behaviours ***Forecasts the future, Talks about future to create*** and ***Communicates positive outlook*** as first, and mean scores were respectively 4.0 within the leadership practice of **Inspiring a**

\Shared Vision. ***Excite about possibilities*** and ***Links other to Vision*** ranked as second and fourth by the senior teachers, and mean scores were 3.8 and 3.6 respectively. Through the interview, ***Links other to vision, Describes future we can create*** and ***Forecasts the future*** ranked as sixth, seventh and eighth, and the frequency counts were 27, 24 and 22 respectively. ***Shares future dreams, Communicates positive outlook*** and ***Excited about possibilities*** all ranked as ninth and the frequency counts were 21 respectively. Therefore, the finding was that the leadership behaviours of ***Links other to Vision, Forecasts the future, Describes future we can create, Shares future dreams, Communicates positive outlook*** and ***Excited about possibilities*** are viewed by the senior teachers as effective behaviours of the principal for the student enrollment. The key leadership practice of **Inspiring a Shared Vision** was a strong effect on the student enrollment.

Teachers. Teachers viewed the principals ***Link other to Vision*** which ranked as fourth and the frequency count was 34. The principals shared their vision in term of goals with their colleagues. Many teachers talked about how their principals are shared the vision. "When the principal ***shares his vision*** to us and the enrollment rate will be influenced." (QT)

Teachers indicated that the principal referred to ***Describe future we can create***. This behaviour was ranked as seventh and the frequency count was 30. The principals talked about their school development and described their future direction. "The principal has a ***clear description*** of the ***development of the school***." (StCT)

Teacher also recognised the principals ***Forecast the future*** and ***Share the future dreams*** which ranked as eighth and ninth, and the frequency count were 28 and 27 respectively. The principals shared and forecasted their future development. "He has a ***clear direction*** picture." (CSKT1)

"She puts ***English*** as medium of instruction ***in the first priority,*** has made the enrollment rate in a high level." (StMT)

Within the leadership practice of ***Inspiring a Shared the Vision***, the teachers ranked the behaviour ***Communicate positive outlook*** as first and mean scores was 3.9. From Table 19, ***Forecasts the future*** and ***Talks about future to create*** both ranked as

second and mean scores were 3.8. ***Links other to future*** ranked as fourth by the teachers, and mean score was 3.5. Through the interview, ***Links other to Vision*** which ranked as fourth and the frequency count was 34. ***Describes future we can create*** ranked as sixth and the frequency count was 30. ***Forecasts the future*** ranked as eighth and the frequency count were 28. ***Shares the future dreams, Communicates positive outlook*** and ***Excited about possibilities*** all ranked as ninth and the frequency count were 27 respectively. Therefore, the finding was that the key leadership practice of ***Links other to Vision, Describes future we can create, Forecasts the future*** and ***Shares the future dreams*** are viewed by the teacher as effective behaviour of principal for the student enrollment. **Inspiring a Shared Vision** is a third strong effect on the student enrollment.

To sum up, the data indicated that the frequency of positive comments that related to the leadership practices of **Inspiring a Shared Vision** (Kouzes & Posner, 2003) ranked three of the key leadership practices. From table 19, ***Communicates positive outlook*** was ranked as first for senior teachers and teachers and the mean scores were 4.0 and 3.9 respectively. ***Forecasts the future*** ranked as first for the senior teachers and ranked as second for the teachers. The mean scores were 4.0 and 3.8 respectively. Through the interview, the other behaviours within the practice of ***Links others to vision*** which was ranked as sixth and the total frequency count was 61. ***Describes future we can create*** and ***Forecasts the future*** ranked as tenth and eleventh, and the total frequency counted 54 and 50 respectively. ***Shares future dreams, Communicate positive outlook*** and ***Excited about possibilities*** all ranked as 13th and the total frequency was 48. The finding was that the key leadership practice of **Inspiring a Shared Vision** was the third strong influence, following the number one ranked practice of **Modelling the Way,** which affect to the student enrollment.

Table 16 D Frequency-Count of Positive Responses Found in LEI Interview with Challenging the Process

Leadership Practices	Identified Behaviour	Senior teachers **(Rank)**	Teachers **(Rank)**	Total	Rank
Challenging the Process	Looks for ways to improve	21(9)	36(3)	57	7
	Stays up-to-date	20(10)	35(4)	55	9
	Asks what we can learn	18(12)	31(6)	49	12
	Challenge the status quo	13(15)	20(15)	33	20
	Seeks to challenge	13(15)	20(15)	33	20
	Experiments and takes risks	9(18)	16(16)	25	22

It is difficult to find clear quotes for all the different kinds of behaviours. The lists only show the teachers' and senior teachers' mentions of the different behaviours in the general context of discussion of students' enrollment, and the link is not made clearly.

5.5.4 Finding for Challenging the Process

Was, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' leadership and ability to challenge the process? Frequency of positive responses to the interview questions using the Leader Effectiveness Index (Moss et al., 1994) placed on a low ranking behaviour of the leadership practice **Challenging the Process**. ***Look for ways to improve*** ranked as fifth and frequency counted 57. The behaviour ***Stays up-to-date*** ranked ninth and frequency count was 55, ***Asks what we can learn*** ranked 12th and frequency count was 49, ***Challenge the Status Quo*** and ***Seeks challenge*** both ranked as 20th and frequency counts were 33 respectively, ***Experiments and takes risks*** ranked as 22nd and frequency count was 25.

Table 20: Senior Teachers' and Teachers' Comparative Ratings and Rankings for Challenging the Process

		Senior Teachers		Teachers	
Q	**Behaviour**	**M2**	**Rank**	**M3**	**Rank**
16	**Looks for ways to improve**	4.1	**1**	4.0	**2**
6	**Stays up-to-date**	3.8	**2**	4.1	**1**
1	**Seeks challenges**	3.6	**4**	3.8	**3**
26	**Experiments and takes risks**	3.7	**3**	3.8	**3**
21	**Asks "What can we learn?"**	3.2	**6**	3.5	**4**
11	**Challenges how things are done**	3.3	**5**	3.2	**5**

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.
Rank order is 1 = highest to 5 = lowest.
Secondary school senior teachers n = 24 teachers n = 24

Senior Teachers. Senior teachers indicated that the principals referred to ***Look for ways to improv*e**. This behaviour ranked as ninth and the frequency count was 21. The principals provided teacher intellectual stimulation through professional development. "Establishing the teachers' ***professional development*** will affect the enrollment rate." (DST)
"It is important that the principal ***encourages*** us to ***have advanced study*** by allowing them to leave school on time." (StMST)

Senior teachers recognised the principals ***Stay up-to-date***. This behaviour was ranked as tenth and the frequency count was 20. "The principal ***encourages*** us to attend some ***workshop and seminar.***" (DST)

Senior teacher also viewed the principal to ***Ask what we can learn,*** which ranked as 12th and frequency count was 18. "The principal is always quite ***innovative*** and looks forward to think what we could be done." (YLST)

From Table 20, the senior teachers ranked the behaviour of ***Looks for ways to improve*** as first, and mean score was 4.1. Of the six behaviours within the leadership practice of **Challenging the process, *Stays up-to-date*** ranked as second by the senior teachers, and mean score was 3.8. ***Asks what we can learns*** ranked as sixth and mean score was 3.2. Through the interview, ***Look for ways to improv*e** ranked as ninth and the frequency count was 21. ***Stay up-to-date*** ranked as tenth and the frequency count was 20. ***Ask what we can learn*** ranked as 12th and frequency count was 18. The leadership behaviours of ***Looks for ways to improve, Stays up-to-date*** and ***Ask what we can learn*** were viewed by the senior teachers as effective behaviours of principal for the student enrollment. The key leadership practice of **Challenging the process** has a little effect as the other leadership behaviours only.

Teachers. Teachers indicated that the principals referred to ***Look ways to improve***. This behaviour ranked as third and the frequency count was 36. The principals provided teacher intellectual stimulation through professional development. The teachers perceived this behaviour as very important.

"The principal's encouraging ***teaching quality*** is a factor to affect the student enrollment." (StCT)

"The principal establishes the ***teachers' professional development***; the enrollment rate will lie in a good standard." (YLCT)

Teachers indicated that the principal referred to ***Stay up-to-date***. This behaviour was ranked as fourth and the frequency count was 35. The principals assisted their teachers in staying up-to-date by providing teacher professional training.

"The principal launches ***a series of activities*** in order to let the ***teachers shared with each other*** and the ***outsiders.*** Their schools become famous, and it enhances the rate of enrollment." (CHT)

Teachers also viewed that the principals referred to ***Ask what we can learns*** which ranked as sixth and frequency count was 31. Many principals talked about the teacher professional training.

"The principal concerns about how ***efficacy of teaching*** make the enrollment rate higher." (QCT)

Of the six behaviours within the leadership practice of **Challenging the process,** ***Stays up-to-date*** ranked as first and mean score was 4.1. From Table 20, the teachers ranked the behaviour ***Looks ways to improve*** as second, and mean score was 4.0. ***Asks what we can learns*** ranked as fourth by the teachers and mean score was 3.5. Through teachers' interview responses, ***Looks ways to improve, Stays up-to-date*** and ***Asks what we can learns*** ranked as third, fourth and sixth, and frequency counted 36, 35 and 31 respectively. Therefore, the finding was that ***Looks ways to improve, Stays up-to-date*** and ***Asks what we can learns*** perceived by the teacher as effective behaviours of principal for the student enrollment. The key leadership practice of **Challenging the process** had some effect as the other leadership behaviours.

To sum up, ***Looks for way to improve*** was ranked first by the senior teachers, and the teachers ranked as second. The means score of the senior teachers and teachers were 4.1 and 4.0 respectively, which indicated they perceived this behaviour fairly often from Table 20. **Challenge the Process** was low mean scores to other four practices comparatively. The mean score of the senior teachers and teachers were 3.6 and 3.7 respectively. There was the lowest mean score respectively from Table 1. Their mean score indicated they perceived the principals as practising **Challenge the Process** only sometimes. Kouzes and Posner (2003) also indicated that the responses from the others are generally a better representation of how you actually behave than your own perception. Through the interview, the leadership behaviours ***Looks for ways to improve, Stays up-to-date*** and ***Asks what we can learn*** ranked as seventh, ninth and 12th, and the total frequency counts were 57, 55 and 49 respectively. The finding was that these three behaviours of the key leadership practices **Challenging the Process** had little effect to the student enrollment. ***Challenges the Status Quo*** and ***Seeks challenge*** both ranked as 20th and frequency count was 33, ***Experiments and takes risks*** ranked as 22nd and frequency count was 25. These three behaviours of the leadership practices were the last five ranking. **Challenging the Process** had nearly no effect on the student enrollment.

Table 16E: <u>Frequency-Count of Positive Responses Found in LEI Interview with Enabling the Others to Act</u>

Leadership Practices	Identified Behaviour	Senior teachers **(Rank)**	Teachers **(Rank)**	Total	Rank
Enabling Others to Act	Creates atmosphere of trust	14(14)	30(7)	44	14
	Gets other own projects	19(11)	24(11)	43	15
	Involves others in planning	18(12)	23(12)	41	17
	Treats others with respect	15(13)	25(10)	40	18
	Develops cooperative relationships	14(14)	22(13)	36	19
	Trust others to make decisions	11(16)	21(14)	32	21

5.5.5 Finding for Enabling Others to Act

Was, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' leadership and ability to enable others to act? Data indicated that the respondents gave **the least** positive comments on the leadership practice of **Enabling Others to Act** (Kouzes & Posner, 2003)

during the interviews using the Leader Effectiveness Index (Moss et al., 1994) than other key leadership practices. Of the behaviours within this key leadership practice, these behaviours of ***Create atmosphere to trust*** ranked as 14th and total frequency counted 44; ***Gets other own projects*** ranked as 15th and frequency count was 43; ***Involves others in planning*** ranked as 17th and frequency count was 41; ***Treat other with respect*** ranked 18th and frequency count was 40; ***Develops cooperative relationships*** ranked 19th and frequency count was 36. ***Trusts other to make decisions*** ranked as 21st and the total frequency count was 32. (Refer to Table 16E)

Table 21: ***Senior Teachers' and Teachers' Comparative Ratings and Rankings for Enabling Others to Acts***

		Senior Teachers		Teachers	
Q	Behaviour	M2	Rank	M3	Rank
8	Treats others with respect	4.0	1	4.0	2
18	Cooperates with co-workers	4.0	1	4.2	1
13	Trusts others to make decisions	3.7	4	4.0	2
3	Involves others in planning	3.9	2	3.8	3
23	Creates atmosphere of trust	3.8	3	4.0	2
28	Gets others to own projects	3.8	3	3.8	3

Note: Rating system to find the mean is (a) 1= rarely or very seldom, (b) 2 = once in a while, (c) 3 = sometimes, (d) 4 = fairly often, and (d) 5 = very frequently or almost always.
Rank order is 1 = highest to 5 = lowest.
Secondary school senior teachers n = 24 teachers n = 24

Senior Teachers. Senior teachers recognised the principals ***Involve others in planning*** in the school. This behaviour was both ranked as 12th and frequency count was 18. The principal's involvement of planning is important.

"He ***encourages*** teachers to ***cooperate with each other***." (QSST)

Senior teachers viewed the principals ***Treat others with respect*** the teachers. This behaviour ranked as 13th and the frequency count was 15. It is important that principal treats and respects the teachers.

"He ***trusts*** the colleagues a lot. He **respects** the feelings of the colleagues and he is a man-oriented superior." (CSKST)

Senior teacher also indicated that the principal referred to ***Trust others to make decisions*** which ranked as 16th and frequency count was 11. The principals stressed on trust the staff to make decision.

"The principal is a good leader who ***delegates power*** to the committee heads and subject panels well" (TTST2)

From the Table 21, ***Treats others with respect*** and ***Cooperates with co-workers*** were both ranked as first and mean score were 4.0. ***Involves others in Planning*** ranked as second and mean score was 3.9. ***Create atmosphere of trust*** and ***Gets other own project*** was ranked as third and fourth, mean scores were 4.1 and 4.0 respectively. Through interview responses, ***Gets other own projects, Involves others in planning, Treats others with respect*** and ***Creates atmosphere of trust*** were ranked 11th, 12th , 13th and 14th on the frequency count were 19, 18, 15 and 14. These ranking and frequency counts result are very similar from Table 16E. However, the rank after 14th was nearly the last five rankings and might have no influence on the student enrollment. The leadership behaviours of ***Creates atmosphere of trust, Develops cooperates with co-workers*** and ***Trusts others to make decisions*** are perceived by the senior teachers giving the least five frequency count. The finding was that the key leadership practice of **Enabling others to act** had no effect on the student enrollment.

Teachers. Teachers indicated that the principals referred to ***Create atmosphere of trusts.*** This behaviour ranked as seventh and frequency counted 30. The principals trusted and cooperated to each other.

"The principal **trusts** and **respects** our staffs." (DT)

Teachers recognised the principals ***Treat others with respects.*** This behaviour was ranked as tenth and the frequency count was 25. The principal respected and trusted teachers in the school.

"The principal ***respects and trusts*** staff is important." (YLT)

Teacher also viewed the principals to ***Get other own projects*** **which** ranked as eleventh and frequency count was 24. The principals stressed on collaboration to each other such as the cooperation of subjects.

Through interview responses, ***Involves others in planning*** and ***Cooperates with co-workers*** were both ranked as 12th and 13th on the frequency counts were 23 and 22 respectively.

From the Table 21, ***Cooperates with co-workers*** ranked as first by the teachers. and mean score was 4.2. ***Treats others with respect, Creates atmosphere of trust*** and ***Trusts others to make decisions*** both ranked as second, and mean score was 4.0. Through the interview, ***Create atmosphere of trusts*** ranked as seventh and frequency counted 30. ***Treat others with respects*** and ***Get other own projects*** both ranked as tenth and eleventh, and the frequency counts were 25 and 24 respectively. ***Involves others in planning*** and ***Develops cooperate relationship*** both ranked as 12th and 13th on the frequency count were 23 and 22 respectively from Table 16E. The leadership behaviours of ***Creates atmosphere of trust, Treats others with respect, Gets other own projects, Involves others in planning*** and ***Develops cooperate relationship*** are perceived by the teachers giving the least frequency count. The finding was that the key leadership practice of **Enabling others to act** had no effect on the student enrollment.

To sum up, the Leadership Practices Inventory questionnaire from Table 1 indicated that the principals, the senior teacher and the teachers ranked the key leadership practices **Enabling Others to Act** as the behaviour of the principals engaged in the first most often. There was complete congruence between the rankings of the principals, the senior teachers and the teachers on this leadership practice. All of them ranked it first. From Table 21, ***Treat other with respect*** ranked first on the questionnaire results by the senior teachers, ranked as second by the teachers, and the mean scores were 4.0 and 4.0 respectively. ***Cooperates with co-workers*** ranked as first by senior teachers and teachers, and mean scores were 4.0 and 4.2 respectively. Through the interview, the leadership practice of **Enabling Others to Act** with these behaviours of ***Create atmosphere to trust*** ranked as 14th and total frequency counted 44; ***Gets other own projects*** ranked as 15th and frequency count was 43; ***Involves others in planning*** ranked as 17th and frequency count was 41; ***Treat other with respect*** ranked 18th and frequency count was 40; ***Develops cooperative relationships*** ranked 19th and frequency count was 36. ***Trusts other to make decisions*** ranked as 21st and the total frequency counted was 32. Given strong congruence on the overall

ratings on the questionnaire from Table 21 and the weakest responses during the interview (refer to Table 16E), the finding was the leadership practice of **Enabling Others to Act** had no effect to the student enrollment.

5.5.6 Summary of Findings for Research Question Three

Research Question Three asked: Is, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' ability to (a) model the way, (b) encourage the heart, (c) inspire a shared vision, (d) challenge the process, and (e) enable others to act? To answer research question three the researcher used a frequency-count (Gall et al., 1996) of positive responses found in the remarks contributed by (a) principals, (b) the senior teachers, and (c) the teachers during the interview to answer question two. These were mean score and ranked by the characteristic or theme of the key leadership practices identified by Kouzes and Posner (2003). Kouzes and Posner suggested that in a ranking of the behaviours, the most engaged in are the first five and least engage in are the last five. Those behaviours that ranked high in the frequency count and were congruent with the findings for research questions one and two were asserted (Creswell, 1998) to be the leadership practices and behaviours of the principals that affect student enrollment. The purpose in checking congruency between research questions one and two and the frequency count used to answer research question three was to provide 48 participants (i.e. 24 senior teachers and 24 teachers) data sources to verify the qualitative study.

The leadership practices that were perceived to affect the student enrollment most were found to be **Modelling the Way**. These leadership practices and behaviours were identified with only one frequency-count of the positive responses through interview. The leadership behaviours or strategies within were ***Clear on doing leadership philosophy*** which was ranked as first, ***Shares own beliefs and values*** and ***Practices espoused values*** were ranked as second and third, and ***Ensures values are adhered to*** was ranked as fourth.

Encouraging the Heart was also perceived to be important practice. These behaviours ***Gives teams appreciation/support*** and ***Gives praise for job well done*** which were ranked as fifth and eighth.

The leadership practices **Inspiring a Shared Vision** with behaviour ***Links others to vision*** was ranked as sixth. These practices were also mentioned above as a possible contributor to affect the student enrollment.

CHAPTER SIX

CONCLUSION

6.1 Introduction

This study included both quantitative and qualitative analysis, and was designed to produce results that would contribute to theory, and could be applied to actual administrative operations. Much effort was made to formulate the Leadership Practices Inventory (LPI) and to modify the Leader Effectiveness Index (LEI) for qualitative study, and special attention had also been paid to explore the major findings of this study about how, in the perceptions of the teachers and senior teachers, students' enrollment and principal leadership behaviours are related in private secondary schools in Hong Kong. These findings might provide the basis for further studies in the realm of leadership and students' enrollment.

The remainder of this chapter is organised into three sections. These are:

1. A review of the general design of the study which presents the research questions, describes the sample population, and explains the data collection methods;
2. Analysis of the data;
3. A summary of the major findings of the study.

6.2 General Design of the Study

The participants or key informants in this research study were: (a) 12 private secondary school principals, (b) 24 senior teachers, and (c) 24 teachers of private secondary schools in Hong Kong. To provide anonymity and confidentiality from the 12 different private secondary schools: (a) SKH All Saint Middle School, (b) Kowloon Sam Yuk Secondary School, (c) QaliEd College, (d) St. Margaret's Co-educational English Secondary School, (e) ECF Saint Too Cannan College, (f) Chan Shu Kui Memorial School, (g) Pak Kau College, (h) China Holiness College, (i) Delia Memorial School (Broadway), (j) Hong Kong Adventist College, (k) Yuen Long

Lutheran College, (l) Tsung Tsing Middle School, the responses were blended within the different groups.

The senior teachers (Appendix K) and the teachers (Appendix L) have different of teacher training qualifications. Some teachers have certifications or qualifications such as holding a master degree or professional certifications for being a senior teacher. The background information of the participants were provided to prove that the majority of the participating senior teachers and the teachers were mature and experienced staff, and were qualified to recognise and identify the effective leadership behaviours of the private secondary school principals. Peyer (1995) found no significant difference in demographic information of the principals. Therefore, there is no statistical and analytical study on the principals' demographic information such as gender, teaching experience or administrative experience, etc. in this study (see Appendix J for demographic data on principals).

6.3 Analysis of the Data

The leadership practices and behaviours that were identified by Kouzes and Posner (2003) and by Moss et al. (1994) have been validated as effective leaders' characteristics. These instruments have already been established to determine what the effective leader behaviours are. The purpose of this study was to examine the leadership practices and behaviours of the private secondary school principals and determine the potential effect of principal's leadership behaviours on students' enrollment in the perceptions of the teachers and the senior teachers.

The study was guided by the research questions, which were also used as a framework for the discussion in this chapter. Based on the purpose of this study, the following questions were used to determine the leadership behaviours that contributed to students' enrollment in the perceptions of the teachers and the senior teachers:

1. What the descriptive profiles of the private school principals are as **reported in** the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which are indicated by data collected using the Kouzes and Pozner (2003) Leadership Practices Inventory-Individual Contributor? (Appendix I and

Appendix II)

2. What the descriptive profiles of the private school principals are as **reported in** the perceptions of the (a) principals, (b) senior teachers, and (c) teachers which are indicated by data collected using the Moss, Lambrecht, Jensrud, and Finch (1994) Leader Effectiveness Index? (Appendix IV)

3. Is, in the perceptions of the teachers and senior teachers, the students' enrollment of the private schools influenced by the principals' leadership and ability to (a) challenge the process, (b) inspire a shared vision, (c) enable others to act, (d) model the way, and (e) encourage the heart?

In Chapter five an analysis was conducted by using the Leadership Practices Inventory-Individual contributor (Kouzes & Posner, 2003) as a questionnaire and the Leader Effectiveness Index (Moss et al., 1994) as an interview guide with open-ended questions. The questionnaire and the interview were used to guide the analysis. The analysis of the questionnaire and the interview questions provided a descriptive profile of the private secondary school principals through the perceptions of: (a) principals, (b) senior teachers, and (c) teachers.

Responses from the key informants: (a) principals, (b) senior teachers, and (c) teachers provided data source triangulation for the study. The responses to the research questions from each group of key informants were analysed separately. Findings generated by the responses of the key informants from each private secondary school in the twelve cases were synthesized to provide a cross-case analysis, and findings were reported as aggregate evidence (Yin, 1994) to show an overall descriptive profile of the private secondary school principals. Therefore, summaries were based on the data gathered from the responses to the three questions and findings provided by the key informants: (a) principals, (b) senior teachers, and (c) teachers.

Research question one used descriptive statistics gleaned from the Leadership Practices Inventory (Kouzes & Posner, 2003). Research question two used descriptive statistics gleaned from a focused semi-structured interview with open-ended

questions. An adaptation of the Leader Effectiveness Index (Moss et al., 1994) was used as the questionnaire for the interviews (see Appendix III). A frequency count (Gall et al., 1996) of the participants' positive responses, which contained the categories or themes of effective leadership behaviours from the Kouzes and Posner (2003), provided data for research question three. The congruence of the frequency of responses with the findings from the Leadership Practices Inventory-IC (Kouzes & Posner) questionnaire and the interviews using the adapted Leader Effectiveness Index (Moss et al.) answered research question three. Is the perceptions of the teachers and senior teachers about the students' enrollment of the private schools influenced by the principals' leadership and ability to (a) challenge the process, (b) inspire a shared vision, (c) enable others to act, (d) model the way, and (e) encourage the heart?

If effective leadership practices or behaviours which were rated or ranked high from both the frequency count (Gall et al., 1996) derived from the interview transcript using the Leader Effectiveness Index (Moss et al., 1994) and the Leadership Practices Inventory (Kouzes and Posner, 2003) questionnaire were considered by teachers and senior teachers to affect student enrollment, then it was argued that question three had been answered.

6.4. Significance of the Findings of the Study

This section highlights major findings. For clarity of presentation, these findings are reported in subsections as follows:

6.4.1 Five Practices found to be the foundation of an effective Principal

From the research question one, the profiles of the study were shown by the perceptions of the principals, senior teachers and teachers that consist of five key leadership practices: ***Enabling other to Act, Encouraging the Heart, Inspiring a shared the Vision, Modelling the Way*** and ***Challenging the Process***. The data from research question one indicated the conclusion from Table 1 that the key leadership practices (1) ***Enabling Others to Act***, (2) ***Encouraging the Heart***, (3) ***Inspiring a shared vision***, and (4) ***Modelling the Way***, (5) ***Challenging the Process*** ranked as

first to fifth respectively. The five keys of effective leadership practices of school principals were further investigated through the research question three in this study.

The more specific behaviours or strategies of these practices represented as following (refer to Table 7): ***Treats others with respect***, ***Cooperative with co-worker, Praises for job well done***, ***Tells others about group's work, Communicates positive outlook, Is clear about doing one's best*** and ***Looks for ways to improve.*** Kouzes and Posner (2003) suggested that in a ranking of the behaviours, the most practices are the first five and the least practices are the last five. Three leadership behaviours: ***Communicates positive outlook, Is clear about doing one's best*** and ***Looks for ways to improve*** had the same mean scores. The five key leadership practices thus included:

(i) ***Enabling other to Act*** with the behaviours of ***Treats others with respect*** and ***Cooperative with co-worker;***

(ii) ***Encouraging the Heart*** with the behaviours of ***Praises for job well done*** and ***Tells others about group's work;***

(iii) ***Inspiring a Shared Vision*** with the behaviour of ***Communicates positive outlook;***

(iv) ***Modelling the Way*** with the behaviour of ***Is clear about doing one's best;***

(v) ***Challenging the Process*** with the behaviour of ***Looks for ways to improve***.

These five leadership practices may be considered as a foundation for the effective leadership behaviours of the principals. The justification for including the behaviours of ***Treats others with respect***, ***Cooperative with co-worker, Praises for job well done, Tells others about group's work, Communicate positive outlook, Is clear about doing one's best, Look for ways to improve,*** were that three behaviours among seven behaviours had the same score. Therefore, they all should be considered in the study.

To sum up, the profiles of the principals were shown by the perceptions of the principals, senior teachers, and teachers which were indicated by the data collected from the Kouzes and Posner (2003) Leadership Practices Inventory (LPI). The data from research question one suggested the conclusion that the five key leadership practices ***Enabling Others to Act***, ***Encouraging the Heart***, ***Inspiring the Vision, Modelling the Way*** and ***Challenging the Process*** were the foundation for the effective leadership practices of the principals in this study. The specific behaviours or strategies of these practices were represented by: ***Treats others with respect***,

Cooperative with co-worker, Praises for job well done, Look for ways to improve, Communicate positive outlook, Tells others about group's work, Is clear about doing one's best. These behaviours will be further investigated in this study on research question three.

6.4.2 Five Key Practices found through interview questions

Findings and analysis of the views of participants' responses to the open-ended interview questions using the modified Leader Effectiveness Index (Moss et al., 1994) were presented in Chapter 5, from the research question two. These findings were reported by using thematic analysis of interviews from the responses of the participants and supported by research literature. All participants for each leadership practice gave positive responses while negative responses were sparse. Therefore, the results of the interviews indicated that these principals were perceived as showing effective behaviours by principals, senior teachers and teachers.

A clearer picture of the practices and behaviours that may be stronger is set out from the Table 6 to Table 15. These tables are used to summarise similar themes or behaviours found in the responses of the participants through the open-ended questions used in the interviews. They provided a descriptive profile of the principals, including the leadership practice **Modelling the Way** and the specific behaviours: ***Influence Outside, School Communication with External stakeholders, Symbol for the Group, and Secures Resources.*** **Linkage** is a keyword used by the principals, senior teachers and teachers. These behaviours all were the strongest facet of the principal's descriptive profile according to the results of the interviews.

The profile of the principals also included the leadership practice **Inspiring a shared vision** and the specific behaviours: ***Communicates positive outlook, Describes future to create, Shares future dreams, enlists a common vision***. **Sharing the vision** are keywords used by the principals, senior teachers and teachers. The behaviours were all very strong facet of the principal's descriptive profile according to the result of the interviews.

Leadership practices ***Unity, Collaboration, and Ownership*** (Moss et al., 1994) and **Encouraging the Heart** were also strong. ***Ownership***, was somewhat weak as not as much was said on this leadership practice by the teachers. **Teamwork** is a keyword used by principals, senior teachers and teachers. **Encouraging the Heart** was strong facet of the profile of the private secondary school principals.

The profile of the principals included the leadership practice ***Effective Use of Power*** (Moss et al., 1994) or **Enabling Others to Act**. ***Empowering, autonomy, shared decision making, ensure values are adhered to; facilities change*** were strong elements of the profile. **Delegation** is a keyword only used by senior teachers and teachers. However, **Enabling others to Act** was somewhat weak, and therefore, was not considered a part of the principals' profile.

Finally, according to the senior teachers' and teachers' responses on Table 13 regarding ***Environment Conducive to Learning*** and **Challenging the Process** indicated that these practices and behaviours were a part of principals' profile. **Training** is a keyword used by the principals, senior teachers and teachers. However, the responses of the principals, senior teachers and the teachers were all infrequent in this area. It was considered that these practices were a facet of the principals' profile but were weaker behaviours in the leadership profile.

6.4.3 Three Practices found to be important for research question three

The data considered for research question three thus indicated that the findings showing the key leadership practices (a) **Modelling the Way**, (b) **Encouraging the Heart**, and (c) **Inspiring the Vision** were perceived to be the important practices of a principal by the teachers and senior teachers for increasing students' enrollment in the private secondary schools in this study. The behaviours or strategies of these practices are as follows:

(a) ***Clear on doing leadership philosophy,***

(b) Practices what is espoused,

(c) Shares own beliefs and values,

(d) Ensures values are adhered to,

(e) Gives teams appreciation or support,

(f) Links others to vision,

(g) Look for ways to improve,

(h) Gives praise for job well done,

(i) Tells others about the group work, and

(j) Recognises people's contributions.

For research question three, it was above-mentioned the key leadership practice **Modelling the Way** which was perceived by the teachers and senior teachers to be important for increasing the students' enrollment. In the interview responses for the theme **Modelling the Way**, the behaviours ***Clear on doing leadership philosophy, Practices what is espoused, Shares own beliefs and values*** and ***Ensures values are adhered to*** ranked from first to fourth.

A theme matching with the Leader effectiveness Index (Moss et al., 1994) for the key leadership practice of **Modelling the Way** was more difficult for cross-reference. However, for the purposes of this study, the researcher cross-referenced with "Exerts influence outside of the organisation in order to set the right context for the organisation such as serving as a symbol for the group, secures resources, builds coalitions, acts as an advocate" (p.41). The researcher faced the challenge of this cross reference was whether **Modelling the Way**, as a leadership practice for a private secondary school principal, acts as a symbol for the school, and necessarily links up and builds up the connection of community. However, the evidence seems to be the teachers and senior teachers believe that **Modelling the Way** definitely also has relevance for the external school community and builds up coalitions.

According to the initial examination, it appeared that the key leadership practice **Modelling the Way** was a strong influence as the other leadership behaviours. However, the researcher concluded after a more thorough study that the behaviours ***Clear on doing leadership philosophy, Practices what is espoused, Shares own beliefs and values*** and ***Ensures values are adhered to,*** under the leadership practice of **Modelling the Way**, were perceived to influence the students' enrollment even though the other behaviours in this key practice were not. Interview responses indicated that the teachers and senior teachers perceived the principal as ***Practising***

espoused values by sharing with the community and being actively involved in community and with parents. For example, a senior teacher recognised the values of the principal in the community: "***Linkage to the outsiders*** is the factor to attract student enrollment." Teachers also indicated the principal engaged in behaviour ***Ensures Values are adhered to*** that illustrated his or her school culture and characteristics: "He emphasises on the ***promotion of school characteristic*** in order to enhance the enrollment rate."

Encouraging the Heart was also perceived to be an important practice. These behaviours ***Gives teams appreciation/support, Gives praise for job well done, Tells others about the group work*** and ***Recognises people's contributions*** were ranked as fifth, eighth, ninth and tenth respectively. The interview responses for **Encouraging the Heart** produced some positive comments from the participants. The comments were a mixture of recognizing people publicly and privately, recognizing students' contributions, and even recognizing the contributions of the community. The teachers made some comments as: "We have ***team spirit*** and the students will recommend our school to others so that we can have ***high enrollment.***" The senior teachers commented "The ***teamwork*** is good so the ***students' enrollment*** can be enhanced." Therefore, the finding was that the key leadership practice of **Encouraging the Hearts** was a strong influence, being ranked after the first practice of **Modelling the Way,** on the student enrollment.

Kouzes and Posner (2003) suggested that in a general ranking of the behaviours, the most practiced are the first five and the least practiced are the last five. In this study, not in the top five ranking, but being ranked as number six, was the key leadership practice of **Inspiring a Shared Vision** with the behaviour of ***Links others to vision***. This leadership practice and behaviour may also be important for the principals although it is not as strong as the behaviours ranked as the top five in their descriptive profile. Even though it was not the top five rankings, the practice of **Inspiring a Shared Vision** behaviour ***Links others to vision,*** the reason for including will be explained below. The behaviours ***Describes future we can create*** and ***Forecasts the future*** were ranked as tenth and eleventh respectively. ***Shares future dreams, Communicates positive outlook*** and ***Excited about possibilities*** are all ranked as 13th. The senior teachers remarked that the principal tried to communicate and link the

school to the vision. "He promotes the ***educational vision*** in order to enhance the ***enrollment rate***." Some of the comments by senior teachers and teachers indicated that they believed the principal could share his vision further. "When the principal ***shares the direction***, the school becomes more attractive to ***students enrollment***." The finding was that the key leadership practice of **Inspiring a Shared Vision** was the third strong influence on enrollment despite being less frequent in the rankings, following the first ranked practice of **Modelling the Way,** which also affected to the student enrollment.

Challenging the process was also perceived to be a key practice. The behaviours ***Looks for ways to improve*** and ***Stays up-to-date*** were ranked as seventh and ninth respectively. The finding was that the key leadership practices **Challenging the Process** had little effect on the student enrollment. Some teachers commented that the principals provided teachers with intellectual stimulation through professional development. "Establishing the teachers' ***professional development*** will affect the enrollment rate." However, ***Challenges the Status Quo*** and ***Seeks challenge*** were both ranked as 20th, ***Experiments and takes risks*** ranked as 22nd, and these three behaviours of the leadership practices were the last five ranking. **Challenging the Process** were nearly no effect to the student enrollment.

Through the interview, the leadership practice of **Enabling Others to Act** with these behaviours of ***Create atmosphere to trust, Gets other own projects, Involves others in planning, Treat other with respect, Develops cooperative relationships,*** and ***Trusts other to make decisions*** were ranked as the last five respectively. The weakest responses during the interview were shown in Table 16E and there was no indication of a link with enrollment. The finding of the leadership practice of **Enabling Others to Act** had no effect on the student enrollment.

To sum up, **Modelling the Way** was the highest ranked the leadership practice affecting the student enrollment. Through the interview, the specific leadership behaviours or strategies under this were ***Clear on doing leadership philosophy*** top rank, ***Shares own beliefs and values*** and ***Practices espoused values*** second and third ranked, and ***Ensures values are adhered to*** fourth rank. **Encouraging the Heart** was also perceived to be an important practice. The behaviours ***Gives teams***

appreciation/support and ***Gives praise for job well done*** were ranked as fifth and eighth. The leadership practices **Inspiring a Shared Vision** with behaviour ***Links others to vision*** was ranked as sixth. These practices mentioned above were also the possible contributors to affect the student enrollment.

CHAPTER SEVEN

IMPLICATIONS AND RECOMMENDATIONS

7.1 Overview

This chapter discusses the relevance of the study to research in the past and future, and the implications for principal leadership. The chapter consists of three sections. The first section considers an overview of the findings. The second section discusses some implications of the findings for the existing knowledge based on leadership practices, and the third section addresses the implications for future research.

Currently, school principals in Hong Kong are facing numerous challenges in school management and leadership in a changing educational environment, especially for those who are serving in private secondary schools. Educators consider the principal as one of the key persons at any level in any school system. The principal, therefore, is one with authority to make decisions and is accountable for the entire operation of the school (Kimbrough and Burkett, 1990). Literature is replete with studies by various authors on leadership, as we saw in Chapter Three.

This study developed five major categories which are common to leadership practices such as **Modelling the way, Encouraging the heart**, **Inspiring a shared vision**, **Enabling others to acts,** and **Challenging the Process.** Among these, three leadership practices are important for enrollment in the views of teachers and senior teachers. Firstly, the key leadership practice **Modelling the way** of the principals must be able to balance the interests of both the internal and external stakeholders of the school community, and to ensure effective and efficient communication with parents and students. In addition, an effective principal acts as a symbol of the school to link up different stakeholders and community. This ***linkage*** is significant in enhancing students' enrollment, especially in secondary schools in the private sector.

Senior teachers perceived that the principal referred to ***clear on doing leadership philosophy*** who acts as a symbol of a group or school. The principal also has special representation in the community. "He has an ***attractive figure***; the ***reputation*** is also a factor to increase the student enrollment rate." Some senior teachers also talked about

reputation of the principal when they thought of those who always being invited by the media and ***acts as a symbol for the school***. Some teachers talked about the principal's ability to be ***a symbol*** reflection of the status of the school, and he/she gained a lot of reputation outside the school. A ***symbol*** or ***reputation*** of the principal is an important factor or behaviour to enhance the students' enrollment.

The behaviour ***Practices espoused values*** of a principal engaged in behaviour that illustrated the linkage with the community and actively involved community and parents: "***Linkage to the outsiders*** is the factor to attract student enrollment." The principals exerted ***influence outside the school*** by securing resources through connection and grants. The ***connection*** between the community, the foreign, Mainland and local universities played an important role in ***establishing outside linkage***. The principal would try to hold seminar to build up the ***linkage***. Some teachers talked about the principals' ***influence outside the school,*** and included the influence of the community. The principals were usually active in activities in school, community, church, and universities. Good ***Connection*** or liaison established with the universities and primary schools benefits secondary school which is another important factor to attract students' enrollment.

Senior teachers also viewed the principal to have demonstrated the practice of ***Share own beliefs and values.*** The principals stress on promoting their strengths such as "He ***promotes the educational vision*** in order to enhance the enrollment rate." Some teachers also talked about the principal to ***share own beliefs and values***, and to promote their school beliefs and strengths to enhance the student enrollment.

Senior teachers indicated that the principals ***Ensure Values are adhered to*** school culture and characteristics. The teachers thought that principals promote the culture and characteristics of school, which could attract the parents to select the school. "He ***promotes*** our ***school characteristic*** to the primary schools in order to enhance students' enrollment." The teachers also expressed that the principal tried to ***promote the school characteristic*** which might attract student enrollment.

Secondly, the key leadership practice **Encouraging the heart** of the principals must always inspire teachers who want to be respected and trusted. All the teachers want to

be recognised as an individual. Recognition and praise ***teamwork*** should be shared among all teachers in order to enhance the students' enrollment too.

The interview responses for **Encouraging the Heart** produced some positive comments from the participants. The comments were a mixture of recognizing people publicly and privately, recognizing students' contributions, and even recognizing the contributions of the community. The teacher made some comments as: "We have ***team spirit*** and the students will talk to others so that we have ***high enrollment.***" The senior teacher commented "The ***teamwork*** is good in order to enhance the ***students' enrollment***."

Thirdly, the leadership practice **Inspiring the shared vision** of the principals often seem to be a clear sense of purpose and vision of the school. Principals have ***a sharing vision*** and values, and then must be able to motivate the teaching staff to work as a group towards their vision and this has some effect on enrollment too.

The senior teachers remarked that the principal tried to communicate and link the school to the vision. "He promotes the ***educational vision*** in order to enhance the ***enrollment rate***." Some of the teachers indicated that they believed the principal could share his vision more. "When the principal ***shares the direction***, the school becomes more attractive to ***students enrollment***."

7.1 Implications of the study

The literature on school effectiveness research has grown quickly in Hong Kong over the last few years but the volume is still small, and there is seldom study in the practice of school effectiveness and improvement in private secondary school in Hong Kong.

Because of the decreasing birth rate, there is keen competition for students among schools in Hong Kong. The private schools compete with each other to attract students in order to ensure their finance and survival. The private schools which have more students can get more funding so that they are highly motivated to improve themselves.

Based on the findings of this, the different leadership practices **Modelling the way**, **Encouraging the Heart** and **Inspiring a shared vision,** are some factors of the private secondary schools for survival in Hong Kong. The principals who were perceived highly by their teachers and senior teachers devote themselves relentlessly by the running of private schools. These principals keep the fire of educational excellence burning. The principal leadership is not only to let the teachers to follow them but also to get the teachers to pursue a dream by which they could act as a symbol of the school, to link up a community or society, to ***promote school characteristic or culture*** and ***ensure to share the beliefs***. They should be stressed on the leadership practice **Modelling the way**. They also seem to understand that the real source of the principal's authority is not in the principal's position, but they also **encourage the heart** to their teaching staffs and **inspire a shared vision** to attract the commitment.

Literature indicated that the knowledge and skills to be an effective school principal could be learnt. Universities play the key role in preparing school principals or administrators and providing continual learning for practising principals or administrators. The universities should plan pre-service and in-service instructional programmes around comprehensive school improvement designs already adopted by school districts. To keep the administrative course up-to-date and relevant, they could involve district and school staff in the programme design and delivery, including those who administer professional development education.

Administrative courses on such topics as ***Change Strategies, Principalship, Personnel Administration,*** and ***Supervision and Instruction*** should have lessons which provide simulations that give practice in applying and practising effective leadership behaviours. Simulations could be developed by those who are successful practising administrators. Simulations might involve such topics as: (a) acting as a symbol for the school in the community, (b) practising positive public relations, (c) promoting the school culture and characteristics, (d) giving the authority to other administrators and teachers to make decisions, (e) trusting the teacher's judgement, (f) recognizing teacher, student, parents and other stakeholders' achievement, (g) resolving conflicts, (h) working with a variety of students and parents, (i) working

with staff to promote and facilitate change, (j) standing by staff members in difficult situations, and (k) promoting a safe and orderly school climate.

Principals and the literature state how demanding the job of principal is on the principal's time. University courses should prepare the future school administrator with ideas for coping with stress, the multitude of tasks and responsibilities and time constraints. A school administrator or principal who can cope with the demands of the job will have more time to devote to the core and elective curriculum and the instruction taking place in the school.

After 1997, the Hong Kong education system is challenged by the potentialities and dynamics of the 21st-century world. A large percentage of principals who are perceived by their teachers and staff as high in task, relationship, transformational and transactional leadership behaviours might help to initiate changes that would bring about a revitalized sense of meaning and clarified vision. The influence of principals can exercise in **Modelling the Way** practices and behaviours of others might better lead the school in facing the challenges ahead.

7.2 Recommendations for Further Research

Recommendations that build upon the conclusions from this study, Peyer's (1995) study, and the literature on effective leadership behaviours are proposed. There is significance for those responsible for the preparation of secondary school principals and for those who desire better students' enrollment particularly in private and subsidy secondary schools in Hong Kong.

Bottoms and O'Neill (2001) pointed out that research and literature indicate principals, and other experts have "considerable agreement about what present and future school leaders need to know and be able to do" (p.17). They found much less agreement on how to prepare for developing effective school leaders. This section offers recommendations for preparing and developing secondary school principals who are leaders in effective schools. The researcher is confident that principals who use effective leadership practices will lead schools successfully.

This qualitative study provided an exploration of self-perceptions of twelve principals only and the perceptions of a total of 48 teachers who work with the twelve principals individually. To establish certain consistency in how principals' leadership behaviours are being perceived, further studies with a larger sample and population are needed.

This study focused on one criteria— students' enrollment and how this relates to the private secondary school principals' leadership behaviours as perceived by the perceptions of the teachers and senior teachers. The links with other criterion such as public examination results of school, band of school, religion of school, and teaching experience of principal could also have significant effects on perception of principals' leadership behaviour and be further explored. After all, students' enrollment is one of the numerous factors that could affect the perception of effective principals' leadership behaviours only.

Consistent with the exploratory nature of this study, the findings identified a number of characteristics and behaviours, which are descriptive of the principals who participated in the study. The findings of this study, being one of the first of its among the effective leadership behaviours of private secondary school principals studies in Hong Kong, may also serve as the foundation for subsequent studies related to principals disparity.

I. Other than students' enrollment factor, more in-depth investigation on the influence of public examination results, staff morale of school, age of school, banding of school, religion of school, etc. on the principal's leadership behaviours can be conducted.

II. Further investigations can be made on the influence of the teachers' demographic variables such as gender, age, years of teaching experience, rank/position in school, level of education, etc. on their perception of the principal's leadership behaviours.

III. Any future study using either the Leader Effectiveness Index (Moss et al., 1994) or the Leadership Practices Inventory (Kouzes & Posner, 2003) or similar instruments for data collecting purposes should be expanded in number, and quantitative statistical procedures should be utilized to

examine whether there are statistically significant difference between the ratings of the participants on the leadership practices and behaviours. This would provide congruence or non-congruence with the findings of this qualitative study.

IV. To establish a pattern of consistency in the teachers' and principals' leadership behaviours, the same study can be conducted repeatedly for the longitudinal collection of data.

V. For the qualitative study, only four teachers (i.e. two senior teachers and two teachers) for each principal were interviewed. To understand more fully how principal's leadership behaviours are perceived in their performance of administrative roles, further studies inviting more participants that include supervisors, parents, students, clerical staff and menial staff can be conducted.

VI. Interviews might also be given as group interviews. This would allow participants to share ideas and perceptions. Group members would have the opportunity to respond to each other. Feelings, perceptions and beliefs might be shared better than that in an individual interview.

VII. A duplication of this study can be conducted in the private primary schools of Hong Kong to determine the perceptions of private primary school teachers of their head teachers on leadership behaviours and for comparison with those of this study.

VIII. A future study could seek to understand the impact of stakeholders, other than the principal, on the students' enrollment. For example: Do the behaviours of (a) teachers, (b) parents, (c) students or (d) supervisor, influence the students' enrollment of secondary school? Or a comparative study could be conducted to determine the influence of each stakeholder, including the principal, in relationship to the other stakeholders. This research would provide valuable information about those with the most influence is. Findings would also provide insight regarding actions that need to be taken by the most influential group of stakeholders if a secondary school desires to strengthen students' enrollment.

IX. Future research may also expand the number and categories of participants including parents and community leaders. This would greatly broaden the

measurement of the principal's leadership effectiveness behaviours and provide additional perspective.

X. The key leadership practice **Challenging the way** was not found to be a key component to students' enrollment for further study. The finding that leadership behaviours ***Challenge the Status Quo, Seeks challenge, Experiments and takes risks*** (Kouzes & Posner, 2003) are not leadership behaviours for students' enrollment present an option for more in depth study.

XI. This study only focuses on the perceptions of the teachers and senior teachers and their beliefs about enrollment. For further study, it is crucial to investigate the causal relationship between the management styles of principals and students' enrollment, public examination, staff satisfaction and staff morale.

This research provided an identification of the effective leadership behaviours of school principals in Hong Kong. School principals who desire to improve students' enrollment need to practice the leadership behaviours such as **Modelling the ways, Encouraging to the hearts** and **Inspiring a shared the vision**. The lessons learnt have the potential to enhance not only professional development for principals and teachers but to help in the future practising school principals to develop effective leadership practices and behaviours that will enable them to lead effective schools.

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Appendix A

Letter of Permission

Fri, 30 Sep 2005 18:50
Sender: "Linda Marley" <MARLEYLI@d25.k12.id.us>
Receiver: aogmms2000@yahoo.com.hk
Topic: Dissertation Permission

Dear Mr. Kwok Kai Ming:

I have received your letter asking permission to replicate my dissertation for your doctoral thesis. It is gratifying to know that someone besides the doctoral student and his/her advisors actually reads their dissertation, and I appreciate your complimentary comments. It was also nice to hear that you have seen the dissertation used by other researchers in their references.

It is my pleasure to grant you permission to replicate my 2005 dissertation study entitled Effective Leadership Behaviours of Two Selected High School Principals with Successful Professional-Technical Programmes: A Case Study.

This e-mail is being sent now so you may speedily continue your study. I will also send a letter that will provide you with a more formal copy for your use.

Sincerely,

Linda Marley

LINDA MARLEY, Ed.D.
Professional-Technical Coordinator
Gateway Academies Director
3115 Poleline Road
Pocatello, ID 83201
e-mail: marleyli@d25.k12.id.us
Phone: 208-235-3243

Appendix B

KOUZES POSNER INTERNATIONAL

15419 Banyan Lane
Monte Sereno, California 95030
FAX: (408) 354-9170

August 1, 2005

Mr. Kwok Kai Ming
Flat 3, Block C, 15/f Greenview Garden
1-3 Chui Tin Road, Tai Wai, N.T. Hong Kong
Email: aogmms2000@yahoo.com.hk

Dear Kwok Kai Ming:

Thank you for your request to use the Leadership Practices Inventory (LPI) in your dissertation. We are willing to allow you to reproduce the instrument as outlined in your request, at no charge, with the following understandings:

(1) That the LPI is used only for research purposes and is not sold or used in conjunction with any compensated management development activities;
(2) That copyright of the LPI, or any derivation of the instrument, is retained by Kouzes Posner International, and that the following copyright statement is included on all copies of the instrument: "Copyright © 2003 James M. Kouzes and Barry Z. Posner. All rights reserved. Used with permission";
(3) That one (1) **bound** copy of your dissertation and one (1) copy of **all** papers, reports, articles, and the like which make use of the LPI data be sent **promptly** to our attention; and,
(4) That you agree to allow us to include an abstract of your study and any other published papers utilizing the LPI on our various websites.

If the terms outlined above are acceptable, would you indicate so by signing one (1) copy of this letter and returning it to us. Best wishes for every success with your research project.

Cordially,

Barry Z. Posner, Ph.D.
Managing Partner

I understand and agree to abide by these conditions:

(Signed) _____ Date: _____

Appendix C

LEI Permission

Mon, 11 Jul 2005 11:30
Sender: "Judith J. Lambrecht" <jlambrec@umn.edu>
Receiver: "kai ming kwok" <aogmms2000@yahoo.com.hk>
Topic: Re: Kwok Kai Ming

Kwok Kai Ming,

Please consider this e-mail permission to us the Leader Effectiveness Index (LEI) developed in 1994 and contained in the Leader Effectiveness Index Manual authored by Jerome Moss, Jr., Judith J. Lambrecht, and Qetler Jensrud in your research. I'm pleased to hear that you find this instrument useful and wish you well in completing your thesis.

Judith J. Lambrecht

Professor and Coordinator

Business & Marketing Education

University of Minnesota

612-626-1256

jlambrec@umn.edu

Appendix D

LEI (Adapted Instrument) Permission

Tue, 27 Sep 2005 10:49

Sender: "Judith J. Lambrecht" <jlambrec@umn.edu>
Receiver: "kai ming kwok" <aogmms2000@yahoo.com.hk>
Topic: Re: Kwok Kai Ming

Kwok Kai Ming,

I received your letter attachment for adapting the LEI into an interview format.

I would be glad to have your use the LEI this way and would look forward to learning your results.

Judy Lambrecht

Judith J. Lambrecht

Professor, Business & Marketing Education

1954 Buford Avenue

420A VoTech Bldg

University of Minnesota

St. Paul, MN 55108-6197

612-626-1256

jlambrec@umn.edu

Appendix E

September 2005.

Dear Principal,

I would like to thank you for agreeing to help me accomplish my personal goal completing my doctorate degree at University of Durham in Great Britain. For my dissertation, I am seeking to investigate effective leadership behaviours of private secondary school principals in Hong Kong.

You have been selected for an interview because of your role as principal, and also invite two senior teachers and two junior teachers to fill the questionnaire. The Leadership Practices Inventory (LPI) has two forms: Self and Observer. The **principal completes the Self-form**, and **two senior teachers and two junior teachers** who directly observed the leadership behaviours of the principal **complete the Observer-form.** Your participation will involve (1) completing a 30 items survey and (2) an interview. The survey will take 10-15 minutes. The interview will take approximately 30 minutes. At the interview you will also be asked to complete a sheet of demographic information.

All information will be held in the **strictest confidential**. You will not be personally identified in any reporting and all records for the study will be destroyed upon completion.

If you have any questions, please feel free to contact me at 9257 6583 or e-mail at aogmms2000@yahoo.com.hk. I appreciate your time, your opinion, and your willingness to share. Thank you for your kind help.

Yours sincerely,

Kwok Kai Ming, Doctoral Candidate.

I agree to participate in the research study described in this letter. My participation includes the completion of a survey, a tape-recorded interview, and review of the draft research report to check for accuracy and completeness of my statements.

_____ _____

Signature Date

Appendix F

September 2005.

Dear Teacher,

I would like to thank you for agreeing to help me accomplish my personal goal completing my doctorate degree at University of Durham in Great Britain. For my dissertation, I am seeking to investigate the effective leadership behaviours of private secondary school principals in Hong Kong.

Your school was selected for the study because it is one of the effective private schools in Hong Kong. You have been selected for an interview because of your role as senior teacher or teacher. The Leadership Practices Inventory (LPI) has two forms: Self and Observer. The principal completes the Self-form, and **two senior teachers and two junior teachers** who directly observed the leadership behaviours of the principal **complete the Observer-form.** Your participation will involve (1) completing a 30 items survey and (2) an interview. The survey will take 10-15 minutes. The interview will take approximately 30 minutes. At the interview you will also be asked to complete a sheet of demographic information.

All information will be held in the **strictest confidential**. You will not be personally identified in any reporting and all records for the study will be destroyed upon completion.

If you have any questions, please feel free to contact me at 9257 6583 or e-mail at aogmms2000@yahoo.com.hk. I appreciate your time, your opinion, and your willingness to share. Thank you for your kind help.

Yours sincerely,

Kwok Kai Ming, Doctoral Candidate.

I agree to participate in the research study described in this letter. My participation includes the completion of a survey, a tape-recorded interview, and review of the draft research report to check for accuracy and completeness of my statements.

_____ _____

Signature Date

TITLE OF PROJECT: Effective Leadership Behaviours of Private Secondary School Principals in Hong Kong

(The participant should complete the whole of this sheet himself/herself)

Please cross out as necessary

Have you read the Participant Information Sheet? YES / NO

Have you had an opportunity to ask questions and to discuss the study? YES / NO

Have you received satisfactory answers to all of your questions? YES / NO

Have you received enough information about the study? YES / NO

Who have you spoken to? Mr. Stewart Martin /Prof. Michael Byram

Do you consent to participate in the study? YES/NO

Do you understand that you are free to withdraw from the study:

* at any time and
* without having to give a reason for withdrawing and
* without affecting your position in the University? YES / NO

Signed ..... **Date:**_____

(NAME IN BLOCK LETTERS): _____

NOTES:

1) **If you intend to make tape recordings or video recordings of participants, your consent form should also include a section indicating that participants are aware of, and consent to, any use you intend to make of the recordings after the end of the project.**
2) **The information sheet should contain the statement 'Approved by Durham University's Ethics Advisory Committee' when approval has been given.**

Appendix H

Teacher Demographic Information

Name:_____

Age: __ 20-24 years old; __ 25-29 years old; __ 30-34 years old; __ 35-39 years old;
__ 40-44 years old; __ 45-49 years old; __ 50-54 years old; __ 55-60 years old:
__ over 60 years old

Sex: Male / Female

School Name: _____

No. of years experiences as a Teacher: Totals Years: _____

Current Position: CM/ AM/ SAM/ PAM/ GM/ SGM/ PGM. Others:

Teacher Training: Nil/ Teacher Cert./ Cert. Ed./ Dip Ed.

Preferred method of contact: (i) ___Telephone:_____

(ii)___E-mail: _____

Please return to Mr. Kwok Kai Ming with the completed survey at the time of the interview.

This information is confidential and will only be used by the researcher for this study after which it will be destroyed.

Appendix J

Principal Demographic Information

Name:_____

Age: __ 20-24 years old; __ 25-29 years old; __ 30-34 years old;
__ 35-39 years old; __ 40-44 years old; __ 45-49 years old;
__ 50-54 years old; __ 55-60 years old; __ over 60 years old
Sex: Male / Female
School Name:
Secondary School Student Population:
Grade Configuration: __ S.1 to S.7; ___ S.4 to S.7; __ S.6 to S.7

No. of years experiences as a Principal: Totals Years: _____

Current Position: SGM/ PGM/ Principal I/ Principal II. Others:_____

No. of years experiences in school administration other than as a principal:_____

Position: GM/ SGM/ PGM

No. of years as a teacher (not administration): _____

Teaching Experience- Subject(s):_____ ; _____;
_____; _____;

Teacher Training: Nil/ Teacher Cert./ Cert. Ed./ Dip Ed.

Preferred method of contact: (i) ___ Telephone:_____

(ii) ___ E-mail:_____

Please return to Mr. Kwok Kai Ming with the completed survey at the time of the interview.

This information is confidential and will only be used by the researcher for this study after which it will be destroyed.

Appendix K

Principals Demographics

Age	Sex	Years Experience as Teacher (Not Admin)	Teaching Experience-Subjects	Years Admin. Other than Current Position	Years Current Position Principal
45-49	M	10	Chi, C.Hist	15	5
45-49	M	2	Eng, Hist	10	4
45-49	F	4	Eng, Music	8	9
45-49	M	6	Chi, C.Hist	12	5
55-60	M	5	Sci, C.S	10	20
35-39	M	2	Chi, C.Lit	9	2
50-54	F	2	Eng, Geog,	0	27
40-44	M	8	Bio, Chem	3	2
45-49	M	6	Math, .Math	6	8
45-49	M	13	Chi, C.Hist	20	4
55-60	M	20	Math, I.S.	4	9
>60yrs	M	3	Eng, Econ	2	36

Mean of years experience as teacher (no administration) = 6.25

Mean of years Administration other than current position = 8.25

Mean of years current position principal =10.9

Number of Male= 10; Number of Female= 2

Appendix L

Senior Teachers Demographics

Age	Sex	Years Experience As teacher	Years Current Position
50-54	F	15	5
40-45	F	12	5
50-54	M	23	10
40-44	M	27	17
35-39	M	14	7
30-34	F	12	5
40-44	M	22	10
35-39	F	10	3
45-49	F	20	10
30-34	F	11	4
40-44	M	18	10
30-34	M	6	2
50-54	F	21	10
45-49	F	23	11
50-54	M	21	10
45-49	F	8	2
30-34	M	10	4
35-39	F	8	2
40-44	M	14	4
25-29	M	6	2
40-44	F	17	5
35-39	F	11	5
35-39	M	12	4
30-34	M	10	3

No. of Male= 12; No. of Female= 12

Mean of years experience as teacher= 15.3

Mean of years as current post= 6.42

Appendix M

Teachers Demographics

Age	Sex	Years Experience As teacher	Years Current Position
25-29	M	5	3
40-44	M	5	2
25-29	F	4	3
25-29	M	6	2
30-34	F	8	3
25-29	M	5	5
30-34	F	8	3
25-29	M	5	5
30-34	F	8	3
20-24	M	2	2
30-34	M	5	3
25-29	F	4	4
25-29	F	4	4
25-29	F	2	2
25-29	M	4	4
25-29	M	3	3
25-29	M	4	4
25-29	M	3	3
25-29	F	4	4
20-24	M	1	1
20-24	M	3	3
25-29	F	4	4
25-29	M	3	2
20-24	M	1	1
20-24	M	3	3

No. of Male= 15; No. of Female= 9

Mean of years experience as teacher= 8.1

Mean of years as current post= 3.1

Appendix P

Date: Mon, 14 Apr 2008 14:21:16 +0100
Sender: "SMITH J.C." <sheena.smith@durham.ac.uk>
Receiver: ming92578563@yahoo.com.hk
cc: "WATKINSON J." <jane.watkinson@durham.ac.uk>, "BYRAM M.S." <m.s.byram@durham.ac.uk>

Dear Kwok Kai Ming

RE: Ethical approval: Kwok Kai Ming

I am pleased to inform you that your application for ethical approval has been granted by the School of Education Ethics Committee in respect of "Effective leadership behaviours of private secondary school principals in Hong Kong".

May we take this opportunity to wish you good luck with your research.

Sheena Smith

Durham University

School of Education

Tel: (0191) 334 8403

Fax: (0191) 334 8311

http://www.durham.ac.uk/education

Appendix S

CROSS REFERENCE

Leadership Practices Inventory (LPI) and the Leader Effectiveness Index (LEI)

NO.	Leader Effectiveness Index	Leadership Practices	Leadership Practices Inventory
1	Inspires a shared vision and establishes standards that help the organisation achieve its next stage of development. For example, creates a sense of purpose, defines reality in the larger context, instills shared values and beliefs.	**Inspiring a Shared Vision**	Talks about future to create Appeals to share in dreams Communicates positive outlook Links others to vision Forecasts future Is excited about possibilities
2	Fosters unity, collaboration and ownership, and recognises individuals and team contributions. For example, creates a climate of community, builds morale, sets a positive tone, resolves disagreement.	**Encouraging the Heart**	Celebrate milestones Recognises people's contributions Praises for job well done Gives group appreciation/ Support Finds ways to celebrate Tells others about group's work
3	Exercises power effectively and empowers others to act. For example, facilities change, share authority, nurtures the skills of group members.	**Enabling others to Act**	Involves others in planning Treats others with respect Trusts others to make decisions Cooperates with co-workers Creates atmosphere of trust Gets others to own projects
4	Exerts influence outside of the organisation in order to set the right context for the organisation. For example, serves as a symbol for the group, secures resources, builds coalitions, acts as an advocate	**Challenging the Process**	Seeks challenges Stays up-to-date Challenges how things are done Looks for ways to improve Asks "What can we learn?" Experiments and takes risks
5	Establishes an environment conducive to learning. For example, provides intellectual stimulation, creates a supportive climate for learners, facilitates the professional development of staff.	**Modelling the Way**	Is clear about doing one's best Ensures values are adhered to Shares own beliefs and values Practices espoused values Ensures goals are set Breaks work into steps
6	Satisfies the job-related needs of members of the organisation as individuals. For example, respects, trusts, and has confidence in members, adapts leadership style to the situation, creates a satisfying work environment.	**Enabling others to Act**	Involves others in planning Treats others with respect Trusts others to make decisions Cooperates with co-workers Creates atmosphere of trust Gets others to own projects
7	Overall, how effective would you say your (principal's) leadership performance is and why?		Not applicable

Appendix I

LEADERSHIP PRACITICES INVENTORY – SELF

How frequently do you typically engage in the following behaviours and action? (Circle the number that applies to each statement.)

1 SELDOM OR RARELY	2 ONCE IN A WHILE	3 SOMETIMES	4 FAIRLY OFTEN	5 VERY FREQUENTLY

1.	I look for opportunities that challenge my skills and abilities.	1	2	3	4	5
2.	I describe to others in our school what we should be capable of accomplishing.	1	2	3	4	5
3.	I include others in planning the activities and programmes of our school.	1	2	3	4	5
4.	I share my beliefs about how things can be run most effectively within our school.	1	2	3	4	5
5.	I encourage others as they work on activities and programmes in our school.	1	2	3	4	5
6.	I keep current on events and activities that might affect our school.	1	2	3	4	5
7.	I look ahead and communicate about what believe will affect us in the future.	1	2	3	4	5
8.	I treat others with dignity and respect.	1	2	3	4	5
9.	I break our school's projects down into mangeable steps.	1	2	3	4	5
10.	I make sure that people in our school are recognised for their contributions.	1	2	3	4	5
11.	I take initiative in experimenting with the way we do things in our school.	1	2	3	4	5
12.	I am upbeat and positive when taking about what our school is doing.	1	2	3	4	5
13.	I support the decisions that other people in our school make on their own.	1	2	3	4	5
14.	I set a personal example of what I expect from other people.	1	2	3	4	5
15.	I praise people for a job well done.	1	2	3	4	5

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1 SELDOM OR RARELY	2 ONCE IN A WHILE	3 SOMETIMES	4 FAIRLY OFTEN	5 VERY FREQUENTLY

16. I look for ways to improve whatever project or task I am involved in.	1	2	3	4	5
17. I talk with others about how their own interests can be met by working towards a common goal.	1	2	3	4	5
18. I foster cooperative rather than competitive relationship among people I work with.	1	2	3	4	5
19. I talk about the values and principles that guide my actions.	1	2	3	4	5
20. I give people in our school support and express appreciation for their contributions.	1	2	3	4	5
21. I ask, "What can we learn from this experience?" when things do not go as we expected.	1	2	3	4	5
22. I speak with conviction about the higher purpose and meaning of what we are doing.	1	2	3	4	5
23. I give others a great deal of freedom and choice in deciding how to do their work.	1	2	3	4	5
24. I follow through on the promises and commitments I make in this organisation	1	2	3	4	5
25. I finds ways for us to celebrate our accomplish-ments publicly.	1	2	3	4	5
26. I let others experiment an take risks even when outcomes are uncertain.	1	2	3	4	5
27. I show my enthusiasm and excitement about what our organisation is doing.	1	2	3	4	5
28. I provide opportunities for others to take on leadership responsibilities.	1	2	3	4	5
29. I make sure that we set goals and make specific plans for the projects we undertake.	1	2	3	4	5
30. I make it a point to tell others about the good work done by our school.	1	2	3	4	5

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Appendix II

LEADERSHIP PRACITICES INVENTORY – OBSERVER

How frequently do you typically engage in the following behaviours and action?
Circle the number that applies to each statement.

1	2	3	4	5
SELDOM RARELY	**ONCE IN A WHILE**	**SOMETIMES**	**FAIRLY OFTEN**	**VERY OFTEN OR FREQUENTLY**

He or She:

1.	looks for opportunities that challenge his or her skills and abilities.	1	2	3	4	5
2.	describes to others in our school what we should be capable of accomplishing.	1	2	3	4	5
3.	includes others in planning the activities and programmes of our school.	1	2	3	4	5
4.	shares his or her beliefs about how things can be run most effectively within our school.	1	2	3	4	5
5.	encourages others as they work on activities and programmes in our school.	1	2	3	4	5
6.	keeps current on events and activities that might affect our school.	1	2	3	4	5
7.	looks ahead and communicate about what he or she believes will affect us in the future.	1	2	3	4	5
8.	treats others with dignity and respect.	1	2	3	4	5
9.	breaks our school's projects down into mangeable steps.	1	2	3	4	5
10.	makes sure that people in our school are recognised for their contributions.	1	2	3	4	5
11.	takes initiative in experimenting with the way we do things in our school.	1	2	3	4	5
12.	is upbeat and positive when taking about what our school is doing.	1	2	3	4	5
13.	supports the decisions that other people in our school make on their own.	1	2	3	4	5
14.	sets a personal example of what he or she expects from other people.	1	2	3	4	5
15.	praises people for a job well done.	1	2	3	4	5

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1 SELDOM OR RARELY	2 ONCE IN A WHILE	3 SOMETIMES	4 FAIRLY OFTEN	5 VERY FREQUENTLY

He or She:

16.	looks for ways to improve whatever project or task he or she is involved in.	1	2	3	4	5
17.	talks with others about how their own interests can be met by working towards a common goal	1	2	3	4	5
18.	fosters cooperative rather than competitive relationship among people he or she work with.	1	2	3	4	5
19.	talks about the values and principles that guide his or her actions.	1	2	3	4	5
20.	gives people in our school support and express appreciation for their contributions.	1	2	3	4	5
21.	asks, "What can we learn from this experience?" when things do not go as we expected.	1	2	3	4	5
22.	speaks with conviction about the higher purpose and meaning of what we are doing.	1	2	3	4	5
23.	gives others a great deal of freedom and choice in deciding how to do their work.	1	2	3	4	5
24.	follows through on the promises and commitments he or she makes in this organisation.	1	2	3	4	5
25.	finds ways for us to celebrate our accomplish-ments publicly.	1	2	3	4	5
26.	lets others experiment an take risks even when outcomes are uncertain.	1	2	3	4	5
27.	shows his or her enthusiasm and excitement about what our organisation is doing.	1	2	3	4	5
28.	provides opportunities for others to take on leadership responsibilities.	1	2	3	4	5
29.	makes sure that we set goals and make specific plans for the projects we undertake.	1	2	3	4	5
30.	makes it a point to tell others about the good work done by our school.	1	2	3	4	5

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Appendix III

LEADER EFFECTIVENESS INDEX (LEI)

Section A

We are seeking your opinion about how effectively an individual is performing as a leader. You will return this form directly to the Coordinator of this assessment activity so the person (i.e. Principal) you are rating will not be able to identify your responses. Therefore, we argue you to reflect carefully about each statement and select the rating that best describes the person (Principal).

For each of the statements which follow, fill in the circle that best describes in the person (Principal) you are rating.

0	1	2	3	4	5	6
Not Applicable	**Not Effective**	**Slightly Effective**	**Somewhat Effective**	**Effective**	**Very Effective**	**Extremely Effective**

Section B

1. Inspires a shared vision and establishes standards that help the organisation achieve its next stage of development. For example, creates a sense of purpose, defines reality In the larger context, instills shared values and beliefs.....0 1 2 3 4 5 6
2. Fosters unity, collaboration and ownership, and recognises individuals and team contributions. For example, creates a climate of community, builds morale, sets a positive tone, resolves disagreement.....0 1 2 3 4 5 6
3. Exercises power effectively and empowers others to act. For example, facilities change, share authority, nurtures the skills of group members..... 0 1 2 3 4 5 6
4. Exerts influence outside of the organisation in order to set the right context for the organisation. For example, serves as a symbol for the group, secures resources, builds coalitions, acts as an advocate..... 0 1 2 3 4 5 6
5. Establishes an environment conducive to learning. For example, Provides intellectual stimulation, creates a supportive climate for learners, facilitates the professional development of staff. 0 1 2 3 4 5 6
6. Satisfies the job-related needs of members of the organisation as individuals. For example, respects, trusts, and has confidence in members, adapts leadership style to the situation, creates a satisfying work environment..... 0 1 2 3 4 5 6
7. Overall, how effective is the leadership performance of the person (i.e. Principal) you are rating.....0 1 2 3 4 5 6

Please Return the Completed Survey to:

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2150 Shattuck Ave., Suite 1250, Berkeley, CA 94704 @1989, 1993, University of Minnesota

Appendix IV

LEADER EFFECTIVENESS INDEX

1. Explain how you (your principal) Inspires a shared vision and establishes standards that help the organisation achieve its next stage of development. For example, creates a sense of purpose, defines reality in the larger context, instills shared values and beliefs.

2. How do you (does your principal) Fosters unity, collaboration and ownership, and recognises individuals and team contributions. For example, creates a climate of community, builds morale, sets a positive tone, resolves disagreement.

3. Explain how you (your principal) Exercises power effectively and empowers others to act. For example, facilities change, share authority, nurtures the skills of group members.

4. Explain how you (your principal) Exerts influence outside of the organisation in order to set the right context for the organisation. For example, serves as a symbol for the group, secures resources, builds coalitions, acts as an advocate.

5. Tell me more about the school climate and how you (your principal) Establishes an environment conducive to learning. For example, provides intellectual stimulation, creates a supportive climate for learners, facilitates the professional development of staff.

6. Explain how you (your principal) Satisfies the job-related needs of members of the organisation as individuals. For example, respects, trusts, and has confidence in members, adapts leadership style to the situation, creates a satisfying work environment.

7. Overall, how effective would you say your (principal's) leadership performance is and why?

Note. Questions adapted from the Leadership Effectiveness Index by Jerome Moss, Jr., Judith J. Lambrecht, and Qetler Jersrud @1989, 1993, University of Minnesopta.
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