# Excellence in leadership: demands on the professional school principal

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A professional school principal is the educational leader and manager of a school, and is therefore responsible for the work performance of all the people in the school (i.e. both staff and learners). People are the human resources of schools. They use material resources (such as finances, information equipment, and facilities) to produce a "product", namely, the educated learner. One of the principal's jobs (the so-called principalship) is to help the school achieve a high level of performance through the utilisation of all its human and material resources. This is done through effective, and ultimately excellence in, leadership. More simply stated: a principal's job is to get things done by working with and through other people. Studies of effective and excellent principals reveal that the major reason for principals' failure is an inability to deal with people. If the people perform well, the school performs well; if the people do not perform well, the school does not. In this sense, the leadership task of school principals is of the utmost importance and is probably the most important element of the principal's role and/or task. School principals are essential to the success of schools of all types and sizes. This philosophical review of the literature, which draws its conclusions from recent "best practices" with regard to excellence in school leadership and the so-called "new" principalship, is an attempt to raise and answer some questions concerning new demands on the professional principalship in a changing South Africa where educational reform is the norm rather than the exception.

#### Introduction

The dramatic and relentless reform initiatives that characterise education, and specifically the school sector, are placing a range of new demands on education systems around the globe. Global trends such as the devolution of decision-making powers from the central to the school level, the devolution of authority and responsibility to schools, increased stakeholder participation, a change in stakeholder values, a general shortage of funds, and disciplinary problems and violence in many schools can be mentioned as examples in this regard. In addition to this, unpredictable global changes, such as the HIV/Aids pandemic and poverty in many developing countries, are currently posing huge and complex international questions for education (Portin, Schen & Williams, 1998:4; Pretorius, 1998:109; Van Huysteen, 1999:13).

The legacy of apartheid has left South Africa with an education system that is characterised by fragmentation, inequity in provision, a questionable legitimacy, the lack of a culture of teaching and learning in many schools, and a resistance to changing the way things have been done in the past (Department of Education, 1996; South African Schools Act, 1996). Many education systems, including the South African system, are consequently implementing radical reforms in order to adapt to a changing world. Local reform initiatives such as Curriculum 2005 with its "outcomes-based" approach, the "Tirisano project" (which translates to Let's work together) (Department of Education, 2000a) as well as the "Whole-school-evaluation" (Department of Education, 2000b) initiative (which stresses the importance of school development in a holistic manner) can be highlighted in this regard. These initiatives rest on the assumption that participation of all stakeholders can enhance the achievement of transformation in education (Mosoge & Van der Westhuizen, 1998:73; Steyn, 2002:251; Squelch, 1999:128).

Bradshaw and Buckner (1994:79) believe that these significant changes and the reforms demanded of schools can only be attained through a devolution of power and through shared decision making that encourages people to change and to address educational problems. Factors such as the devolution of power and shared decision-making are all related to a move toward institutional autonomy, the so-called school-based management (or self-management) of schools (Hart, 1995:11; Mosoge & Van der Westhuizen, 1998:73). School-based management implies *inter alia* "an increase and change in the responsibilities of the school principal and therefore suggests new demands on the principalship" (Caldwell & Spinks, 1998:23).

In a study conducted in the United States, it was found that principals were of the opinion that decentralisation through school-based management or SBM brought additional job responsibilities without removing any other responsibilities (Kilmann, 1991:107). The concept of SBM has spread globally, making the role of the school principal

more pivotal in providing excellence and the professional leadership required to provide positive learning environments.

Legislation and policy documents all point the South African education system firmly toward a school-based system of education management (Department of Education, 2000:iii; Department of Education, 2001:iv). Mosoge and Van der Westhuizen (1998:84) say the following in this regard:

School-based management is therefore not a fad or a cosmetic change, but an enduring phenomenon whereby each school in South Africa may renew its management and its members in a responsible way.

In such a system of school-based management, the principalship is of the utmost importance and principals often have to play a key role in the effective and efficient functioning of the school. School-based management demands a "new professionalism" from principals since it totally changes and challenges the traditional concept of principalship. As a result of this, the role of the school principal becomes even more pivotal and important as these new changes come into effect. Everyone knows what makes a "good" and "effective" principal, and there is much to read on this subject (Bennis, 1989; Gurr, 1996; Steyn, 2002). But what challenges should the school leader address effectively in order to be a "good" and "effective" professional principal, and therefore assure excellence in school leadership in a changing environment?

# The changing role of the professional principal

How has the role of the school principal changed over the last few decades? The workload of school principals is becoming more and more unmanageable, and many principals (especially in secondary schools) lack the time for and an understanding of their leadership task (Caldwell, 2002:9; Edwards, 2002:4; Budhal, 2000:45). This seems to be the case for the South African secondary school principal (Van Huysteen, 1999:12; Steyn, 2002:251).

The role of the school principal in the traditional school model was viewed as that of a manager or administrator (Pretorius, 1998: 105). Traditionally, school principals had more managerial and administrative tasks, and less teaching duties. The description of the principal's role includes that of head educator (as used in England) and instructional leader (as widely used in North America). Both descriptions suggest a person that is knowledgeable in learning and teaching, and therefore position principals as learning experts (Terry, 1999:28; Parker & Day, 1997:83).

During the 1980s, principals were specifically encouraged to be instructional leaders who had to be involved in direct supervision of the instructional process and had to ensure that their schools remained focused on learning and teaching. This role of a "learning expert"

(Johnson, 1997:79) remains important today, although principals are now expected to be not only learning experts but also experts in knowledge areas (a point which was not emphasised in the past) (Johnson, 1997:80).

Terry (1999:28-32) believes that nowadays principals should be leaders in learning and not merely leaders of learning. Principals should understand contemporary theories of learning, should have an explicit personal theory of learning and should be able to utilise this knowledge. This does not mean that principals will become "all knowing" demigods, but that they will have to understand key educational ideas and will be able to initiate or promote those ideas that are appropriate to their school community (and reject those that are inappropriate). Conceptual and theoretical knowledge are as important as tacit and experiential knowledge. This issue refers to and highlights the importance of principals as life-long learners in the modern school.

For Hill (1996a:4), the central role of principals in the previous decade was the improvement of teaching and learning. Today, principals should spend more time establishing the appropriate preconditions and following through with interventions aimed at improving teaching and learning. In order for principals to be able to do this, they should be experts (or at least knowledgeable) in a variety of areas.

Principals should also be less administrative and more orientated toward being educational leaders in the sense of being experts in teaching and learning, and in establishing an environment that facilitates this. These areas of knowledge, according to Hill (1996b:7), include the following:

- Detailed knowledge about the individual and collective progress made by learners;
- Detailed understanding of the local context and background characteristics of learners;
- Detailed understanding of the preferred learning styles of learners; and
- Knowledge about different kinds of interventions and their effects on learner learning.

In essence, the principal's role in the new educational dispensation represents a balance between instructional leadership and management (Portin *et al.*, 1998:5). According to these authors, leadership deals with areas such as supervising the curriculum, improving the instructional programme of the school, working with staff to identify a vision and mission for the school, and building a close relationship with the community. Management, on the other hand, includes factors such as supervising the budget, maintaining the school buildings and grounds, and complying with educational policies and acts.

When considering the changing role of the principal with regard to factors such as school-based management, it is often assumed that the principal is only a "figurehead" (Terry, 1999:30). This is not true for principals who take advantage of reform opportunities. New conditions and expectations in education can create new challenges and perspectives for the role of the professional principal. For effective principals in the ever changing educational dispensation, the challenge is to redefine the functions of leadership, since this is crucial for change to occur and to build democratic schools (Gultig & Butler, 1999:119). This means creating schools where more people participate in decision-making. In order to ensure success, it is important to develop the necessary democratic knowledge and skills to manage and lead democratically.

With the trend toward school self-management as described in the previous section, principals are also expected to be more accountable and more responsive to community expectations, and to be able to lead a complex and substantial organisation (Senge, 1990:239). In this view, the management role of principals is undoubtedly important, but it is the principal as the educational leader that is dominant. With the increasing autonomy of schools, it is crucial not only that principals are experts in learning and teaching, but also that they have the leadership skills to utilise this knowledge to facilitate improved learning.

Black (1998:34) distinguishes between three broad areas of leadership for the modern school principal, namely instructional,

transformational, and facilitative leadership. Instructional leadership expects educational leaders to set clear expectations, and maintain discipline and implement high standards, with the aim of improving teaching and learning at school. This role describes the principal as a visionary, leading the school community in its development to use more effective teaching and curricular strategies, and supporting educators' efforts to implement new programmes and processes. Instructional leaders perform, according to Parker and Day (1997:87), the following functions:

- Defining and communicating a clear mission, goals, and objectives. Formulating, with the collaboration of staff members, a mission, goals, and objectives to realise effective teaching and learning. A clear sense of mission is particularly important when schools are undergoing a number of changes.
- Managing the curriculum and instruction. Managing and coordinating the curriculum in such a way that teaching time can be used optimally.
- Supervising teaching. Ensuring that educators receive guidance and support to enable them to teach as effectively as possible.
- Monitoring learning programmes. Monitoring and evaluating the learners' progress by means of tests and examinations. The results are used to provide support to both learners and educators to improve, and to help parents understand where and why improvement is needed.
- Promoting an instructional climate. Creating a positive school climate in which teaching and learning can take place. In a situation where learning is made exciting, where educators and learners are supported and where there is a shared sense of purpose, learning will not be difficult.

More recently, however, as a result of the changes and reforms highlighted in the previous section, principals have been encouraged to act as transformational leaders — people who are not only focused on a culture of learning and teaching, but who are also future orientated, responsive to the changing educational climate, and able to utilise the symbolic and cultural aspects of schools to promote, above all, a culture of excellence (Johnson, 1997:81). These leaders motivate, inspire and unite educators on common goals. They have the ability to persuade their followers to join their vision and share their ideals. They also have the ability to achieve productivity through other people. The actions of transformational leaders convey the beliefs and commitments that they speak about.

Facilitative leaders, on the other hand, are at the centre of school management. They involve educators, learners, parents and others in adapting to new challenges, solving problems and improving learners' performance (Black, 1998:35). This means that principals have to accommodate team meetings where they participate as members of a small group. Unfortunately, principals who have been trained under power-centred role expectations often lack the skills and knowledge necessary to practise facilitative leadership (Portin et al., 1998:6). Furthermore, facilitative leadership requires considerable time and energy, and may create confusion and ambiguity because educators and others get accustomed to their new roles and responsibilities.

Caldwell's (1997:3) image of the future school leader is that of the educational strategist in which he or she continues to be an expert in the areas traditionally associated with instructional and transformational leadership, but in which special emphasis is given to the leader being able to formulate strategic intentions. This is a deliberate change in terminology from the more usual "strategic planning" type of leadership: "... strategic intentions better reflect leadership in a turbulent environment in which the future is not known with any certainty" (Dimmock & Hattie, 1994:41).

The articulation of strategic intentions necessitates a high level of knowledge and understanding. Caldwell (in Greenfield & Ribbins, 1993:78) emphasises that future school leaders will have to be knowledgeable about classroom and school effectiveness, and improvement research. They will have to understand the resource implications of adopting various teaching and learning strategies.

In researching principal leadership, Gurr (1996:16) found that principals had an important role to play in connecting schools with the external world and bringing into schools a variety of knowledge. Principals are the persons in schools who have the greatest capacity to network with the wider community and ensure that schools keep abreast of current initiatives and anticipate future trends. This role takes up more of the principals' time and principals are away from school more often.

Implicit in these comments (particularly in relation to such ideas as empowerment, vision, planning, evaluation and improvement) is the concept of shared leadership, from which synergy might result through the genuine use of everyone's abilities. Perhaps the ultimate in shared leadership is best portrayed by Kilmann (1991:132) who talks about "schools without principals". Quoting Thomas Sergiovanni during his speech at the annual NASSP (National Association of Secondary School Principals) Convention in Atlanta during April 2002, a principal stated: "... the first and most important (quality) is that of being a servant of the staff ... encouraging, enabling, supporting and empowering".

This school principal clearly saw servant leadership as a means of managing today's pressures on schools. But if the shift in the modern principalship in South African schools moves more and more toward leadership, as indicated above, what then are some of the major qualities of principal leadership?

## The qualities of principal leadership

Principal leaders have an understanding of the "real issues" or values of life (i.e. power, justice, responsibilities, influence, the nature of the future, etc.), and are not only clear in their personal views but are also open to the views of others (Steyn, 2002:260). They are prepared to 'stand up' and do 'what is right'. Greenfield and Ribbins (1993:16) put it this way: "It is important how a leader values values. To be humane, to escape the fact-driven calculable world, he must be human". Apart from these values, effective school principals in the modern age should also possess certain qualities of leadership that distinguish them from their peers. Qualities such as reflection, vision, commitment, courage, power, and empowerment come immediately to mind when one thinks about excellence in principalship (Steyn, 2002:264).

With the South African scenario in mind, the following five values and/or qualities of principal leadership are derived from prior research on the principalship (Senge, 1990; Kilmann, 1991; Lunenburg, 1995; Portin *et al.*, 1998; Black, 1998; Terry, 1999; Edwards, 2002) and can be described as the cornerstones of principal leadership. These values and/or qualities can be grouped and summarised as follows:

- Reflection: Good principals value reflection. Reflection can be regarded as "reminiscent thinking" or "focused review". It is looking back over the shoulder and asking the following three questions: Where have we been? What did it mean? How will it help us to get where we are going? In reflection, principals seek to identify causes and effects, new learning and implications from what has been experienced. Reflection is important not simply for learning from the past, but also for thinking about the future. As principals think about their actions and experiences in their own contexts, they produce new pictures of what might be attainable new visions, so to speak.
- Vision: Good principals value vision. A vision is a blend of our experience from the past and our hopes and aspirations for the future: a statement of possibilities; a broad picture of where a school might be going. It is a statement of what a group of people want to achieve. According to Bennis (1989:63), "vision is a waking dream" which becomes the basis for day-to-day decisions and actions. Its important quality is that it results from discussion and is understood (and owned) by everyone involved.
- Commitment and courage: Good principals value commitment and courage. These two values go hand-in-hand. Their importance, for principals, lies in the willingness and resolve to "stand"

- up" for the things that are truly important in education. Therefore, what is important is what principals think about the big issues that are crucial to provide better teaching and learning opportunities perhaps more than the daily activities in which it is so easy to become embroiled in their schools. Standing firm in one's well-founded beliefs (perhaps against doubters or higher authorities) is not an easy thing to do. Kilmann (1991:36) sums up this task as follows: "Commitment to act, to put oneself on the line and to risk failure and humiliation, is a very difficult proposition". Most of us, Kilmann suggests, are uncomfortable with the idea of fully committing to anything (i.e. other people, ideas, solutions to problems, etc.). But, today, it is more important than ever that principals commit firmly to what good schools should be like and have the courage to stand by that commitment.
- Power and empowerment: The good principal values empowerment and the best use of power. Empowerment is the collective effect of leadership, where people feel valued and part of the action, where they know their ability is important, where sharing is a real underlying value and where choice is a possibility for everyone. Empowerment is not just soft "touchy-feeling"-stuff, but a means for better school performance. Empowerment has less to do with coercion and more to do with synergy, which involves capitalising on abilities, "exploding" the power of the group and casting off quite a degree of accumulated power. Black (1998:32) is of the opinion that empowerment involves educators as knowledgeable professionals in activities beyond their classrooms. He points to the benefits of better educator morale and satisfaction, commitment to goals, better school decisions and improved learner achievement. He suggests that principals should help to create different structures for consultation and decision making, and that they should become less involved in direct leadership activities and more involved in indirect supportive roles for educators. According to this view, power is used "to do things" rather than being held "in charge over" other people.
- The head learner: The good principal values the role of the head learner. The "learning organisation" emphasises organisational participants who leam about the organisation in order to share in its better performance. Whilst Senge (1990:187) promotes this view, Hart (1995:21), a former educator and principal, puts the point very well when he states:

In a community of learners, the principal occupies a central place, not as the headmaster or head teacher suffering under the burden of ascribed omniscience, but as thinker and philosopher about the important issues which face the school.

This issue requires rigorously thinking and creativity with regard to the big concerns in education; seeking to find ways of evaluating responsibility for one's own professional growth and development. The task involves, too, the sharing of one's knowledge with other colleagues in the role of mentor, in which the outcome of that guidance and knowledge might be that one's own career is overtaken by one's colleagues (or one-time "mentees") who proceed beyond one.

The role of the school principal has changed over the past years and the emphasis is more on leadership. The qualities of principal leadership that reflect the principal's values have changed. This has a major effect on the new principalship and makes way for what can be described as a "new professionalism" for school principals.

# The "new professionalism" for principals

The school principal of today is more a professional leader than a head educator. Various authors, such as Caldwell *et al.* (1998), Caldwell (2002), and Hart (1995), refer to this paradigm shift as a "new professionalism" in the principalship. According to Caldwell *et al.* (1998) and Caldwell (2002:10) the following ten characteristics are typical of the "gestalt" or vision of the "new professionalism" for leaders in schools:

• There will be planned and purposeful efforts to reach higher le-

- vels of professionalism in data-driven, outcomes-oriented, teambased approaches to raising levels of achievement for all learners.
- Substantial blocks of time will be scheduled for teams of educators and other professionals to reflect on data, devise and adapt approaches to learning and teaching, and set standards and targets that are relevant to their learners.
- Educators and other professionals will read widely and contentiously in local, national and international literature in their fields.
- Educators and other professionals will become skilful in the use
  of a range of communications and information technology, employing them to support learning and teaching, and to gain access
  to current information that will inform their professional practice.
- Schools will join networks of schools and other providers of professional services in the public and private sectors to ensure that the needs of all leamers are diagnosed and met, especially among the disabled and disadvantaged, employing the techniques of case management to ensure success for every individual in need.
- Professionals will work within curriculum and standards frameworks, as well as other protocols and standards of professional practice, with the same level of commitment and rigour as expected in medicine.
- Schools will advocate, support and participate in programmes of unions and professional associations that are consistent with the new professionalism in education.
- Working within frameworks established for the profession, incentives, recognition and reward schemes will be developed at the school level that are consistent with the strategic needs of the workplace, with components that are skill-based and contain provision for collective rewards, gain sharing and team-based performance awards where these are possible and appropriate.
- Staff will seek recognition of their work that meets or exceeds standards of professional practice, and will support and participate in the programmes of professional bodies established for this purpose.
- Schools will work with universities and other providers in a range of programmes in teaching, research and development that support and reflect the new professionalism in education.

This new agenda does not, however, lead to the de-professionalisation of school leaders, nor is it re-professionalisation, because it is not a return to something that prevailed in the past. It is a "new professionalism" because it is a call to higher levels of "learning focused leadership" (Johnston, 1997:173) than has ever been achieved. This is an exciting prospect for South African schools, notwithstanding the problems and the pitfalls. The new professionalism in the principalship also demands that the professional principal be able to "manage the future" (Steyn, 2002:260).

Managing the future involves the development of the vision of the school's future, the nurturing and development of the school's culture and the management of the process of change. People with this orientation seek new ways of doing things and improved performance by everyone. They think about the kind of school in which people are working and living, while reflecting upon the true effects of the school (i.e. its central values and activities, and its special feeling). They picture the future and then move steadily toward it.

So how is the principal to respond to the new professionalism in the principalship with its new demands? To answer this question, the notion of "new demands" should be matched with the notion of "new professionalism". The notion of "strategic intention" is helpful here, for one cannot specify clearly the particular strategies and particular practices that should occur in any particular school. Strategic intentions describe a process of coping with turbulence through a direct, intuitive understanding of what is occurring in an effort to guide the work of a school. A turbulent environment cannot be tamed by rational analysis alone, so conventional strategic planning is of little use. Yet it does not follow that a school's response should be left to a random distribution of lone individuals acting opportunistically and often in isolation. Strategic intention relies on an intuitively formed pattern

(i.e. vision) to give it unity and coherence.

But where do principals turn to for advice and who do they talk to with regard to this new vision in the principalship? There is — in South Africa — a need for the existence of an outside agency charged with responsibility for reviewing school principal performance (Department of Education, 1996:16-18). Principals seldom know who to turn to for advice. In this regard the concept of a "critical friend" is important. Terry (1999:31) wrote: "Schools need critical friends who diagnose difficulties and their possible causes and set out recommendations requiring action". The "critical friend" concept, according to Terry (1999:31), says something about the developmental relationship between colleagues whose central concern is the provision of better and more effective teaching and learning. This could be an answer for the South African school principal.

### **Conclusions**

There are a few key messages that emerge from this article. Firstly, the vitally important role of the principal as a professional leader. Secondly, ownership and involvement in the process of evaluation and improvement (particularly of ownership at the school level where the real action and responsibility take place) is important. Thirdly, strategic thinking on the part of the school leaders and their staff is essential. This incorporates a rigorous approach to planning and implementing future teaching and learning activities with their basis in well-planned and systematic evaluation of achievement, growth and effectiveness.

The role of the South African school principal has changed dramatically and leadership is of the utmost importance in the new principalship. In meeting new challenges, school principals should accept the realities of these changes and demands in the principalship, but, even more importantly, should act in a way that takes account of the character of the world that is emerging.

Current pressures on schools mean that principals should be sophisticated users of knowledge. Increased use of management in the information systems in schools is forcing school principals to become also information managers. A greater emphasis is placed upon principals to be learning experts. This role is broader than earlier conceptions of principals as instructional leaders only. Principals have to seek out and keep abreast of current research and knowledge on learning and teaching, and they have to be able to create the conditions for their schools to take advantage of this. Through the efforts of principals, specifically as leaders of excellence, schools fulfill their service objective to educate. In this regard it is important to state that every principal's goal is to ensure high performance from all stakeholders in the school in achieving this important objective.

As the new millennium stretches before us, the principalship is more vital than ever. What is certain is that things will not get easier. Principals will continue to find themselves constantly struggling to make the best of funding mechanisms, to ensure that professional standards are enhanced and to manage their multifaceted jobs with increased work hours. This is indeed also the case for the South African school principal.

Leadership and strategy are vital for the principal who faces the challenges of the future. The task of professional principals as leaders and strategists in creating better and excellent schools never ends. The words of an Arabic poet are perhaps appropriate here: "I'm here to watch the new day dawn and not to see it end".

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