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Current International Trends in Formal Socialization to the Principalship: An Exploratory Multiple Case Study

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Current International Trends in Formal Socialization to the Principalship:

An Exploratory Multiple Case Study

by

David Elmer Kun

A THESIS

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Abstract

This qualitative multiple case study explored current international trends in the socialization of those aspiring to the school principalship in Canada, Australia, England, Finland, and the United States. The focus was on the formal socialization of principals through preparation programs and addressed the questions of why and how formal socialization is sought, its importance to those programs as well as the governmentally-espoused purposes and structures of those programs.

The study provided insight into the formal socialization process in organizations derived from publically accessible on-line documents dealing with principal preparation programs in the above jurisdictions. Findings indicated a trend towards formal, as opposed to informal, socialization into the role of school principal through the provision of preparation programs, which have a formal structure consisting of both internal and external elements. An integrated structural framework representing formal principal preparation programs across the five jurisdictions was presented. Nine recommendations are given for principal preparation programs.

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Lastly, I wish to thank my family – my wife Monika, our daughters Sarah and Alyssa – for their unwavering support of my endeavour to pursue doctoral studies and the research undertaken for this dissertation. Their love and understanding has made this possible.

Dedication

This research study and dissertation is dedicated to my father,
Elmer Kun (1926-2010),
and to my mother,
Elizabeth Kun,
who saw the value of a good education, stressed its importance, and
provided support and encouragement in this pursuit of higher learning.

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CHAPTER ONE: INTRODUCTION

The purpose of this dissertation is to examine current international trends in the formal socialization of those aspiring to the leadership role of school principal in Canada, the United States, England, Australia, and Finland. In that respect, this dissertation provides a definition for formal socialization and a subcategory thereof, organizational socialization, as well as for other key terms related to the principalship, preparation, and socialization. The study utilizes a multiple-case study approach, with principal preparation programs as the unit of analysis, in its examination of the formal socialization of those in school principalship programs in the countries listed above. Documentation has been collected for data. The analytic approach provides theoretical propositions with the constant comparative method in grounded theory (Yin, 2009). This Chapter provides a statement of the genesis of the study, a statement of its significance, the study's research questions, the propositions, limitations and delimitations, definitions, and a brief outline of the dissertation.

Genesis of the Study

I chose to study the formal socialization of those aspiring to be school principals. I applied and was accepted for participation in the Principal Preparation Program offered by my school district. During and after that program, I became curious with respect to the theory and structure that lay behind principal preparation programs and, more particularly, what the process of socialization was – both formal and informal – into the principalship.

Given the above, I decided to examine the current international trends with respect to the formal socialization of those enrolled in principal preparation programs in Canada, the United States, England, Australia, and Finland.

Significance of the Study

Successful school leadership positively affects student learning, second only to classroom teaching (Leithwood, Seashore Louis, Anderson, & Wahlstrom, 2004; BCPVPA Standards Committee, 2007). Core practices associated with successful school leadership are often taught in principal preparation programs and may be codified variously into standards which are then used to provide a framework for professional learning, as well as to serve as professional outcomes to which principals aspire to attain. Therefore, an examination of those programs and practices within several jurisdictions will be useful.

A study of formal socialization and principal preparation programs is significant because there are no studies within the Canadian context related to the formal socialization of principals and principal preparation programs, yet jurisdictions have invested a great deal of time and money into those programs which are to provide the building blocks to individuals wishing to become school principals.

Research Questions

This study's research questions were designed to discern the structures of various principalship preparation programs, as well as to examine the form, structures, and impact – both intended and unintended – of the formal socialization processes that occur as a result of those programs, in Canada, the United States, England, Australia, and

Finland. Those countries were chosen because they had addressed the issue of principal preparation.

The research questions were as follows:

1. What are the governmentally espoused purposes and the structure of principalship (school administrator) preparation programs in Canada, the United States, England, Australia, and Finland (the "jurisdictions")?
2. Why and how is formal socialization into the school principalship sought in the various jurisdictions?
3. Of what importance is formal socialization to principal preparation programs in the five jurisdictions?
4. How important is context to the content of principal preparation programs in the five jurisdictions?

Propositions

The following Propositions served as the hypotheses that informed the study and provided guidance to the description and analysis of the case study:

1. Socialization to the leadership role of principal is primarily formal and, thus, organizational in its conception.
2. Formal socialization to the leadership role of principal is sought in jurisdictions in preference to informal socialization.
3. Formal preparation programs are designed to convey the knowledge, skills, and attributes required to perform the leadership role of principal.
4. Jurisdictions endeavor to identify or codify the knowledge, skills, and attributes associated with the leadership role of principal.

5. Individuals who aspire to the principalship enrol and participate in a principal preparation program in order to be socialized formally to the leadership role of principal.

Limitations

This research study was limited in that not all jurisdictions provided similar information on their websites.

Delimitations

1. The study was delimited to five jurisdictions: Australia, Canada, England, Finland, and the United States;
2. The study was exploratory in nature. The study dealt with formal socialization and organizational socialization;
3. Generalizability was not possible as this was a qualitative study;
4. Data collected was analyzed using the constant comparison method in grounded theory.

Definitions

Definition of terms.

Academy Principal: a term used in the jurisdiction of England to denote the school leader of an Academy School.

Aspiring Principal: teachers who aspire to the principalship and who have been selected to participate in a principal preparation program regardless of school-based level (elementary, junior high, or high school).

Case Study: “the study of an issue explored through one or more cases within a bounded system” (Creswell, 2007, p. 73).

Certification: a license to practice as a teacher, principal, or administrator, granted by a governing authority; also referred to as ‘Licensure’ within some jurisdictions.

Designation: Designation or designated refers to a leadership position, such as principal, given to an individual who holds a teacher contract.

Document: “any symbolic representation that can be recorded and retrieved for description and analysis” (Altheide, Coyle, deVriese, & Schneider, 2008, p. 127).

Exploratory case study: a case study which explores the phenomenon of study by using research questions that focus primarily on “what” questions, which are exploratory (Yin, 2009, p. 9).

Formal Socialization: Socialization associated with a cluster of six processes termed “tactics”, formulated by Van Maanen and Schein (1979), identified as collective, formal, sequential, fixed, serial, and divestiture.

Head Teacher: a term used in the jurisdiction of England in place of the term ‘Principal’ to denote the school leader of government sector schools.

Leadership: “an act of influence involving reciprocal relationships through which members of an organization or community construct common meanings, build capacity and enhance their ability to achieve shared goals” (BCPVPA, 2007, p. 27).

Multiple Case Study: a type of case study in which the design of the study contains more than a single case (Yin, 2009).

Organizational socialization: “is context-bound and includes the knowledge, skills, and dispositions necessary to conduct the role in a particular setting” (Crow, 2006, p. 311).

Principal: (in the context of the Province of Alberta, Canada) a senior administrator in a school district, usually assigned to oversee school operations, but may be assigned to a commensurate position in central office to oversee an element of district operations.

Principal Preparation Program: a formal administrative training program to develop individuals who aspire to become school principals.

Professional socialization: “the initial preparation to take on an occupational role such as school principal and includes the knowledge, skills, and dispositions necessary to enact the role regardless of the setting” (Crow, 2006, p. 311).

Role: “a function assumed by someone” (*Webster’s New World Dictionary and Thesaurus*, 1996, p. 539).

Socialization: “the processes through which the individual acquires the knowledge, skills, and values needed to perform an organizational role effectively” (Heck, 1995, p. 32).

Standards: “criterion; an established or accepted level of achievement” (*Webster’s English Dictionary – Concise Edition*, 1997, p. 279).

The Study's Organization

This dissertation is organized in the following manner: Chapter One provides a statement of the genesis of the study, its significance, research questions, propositions, limitations, delimitations, definitions, and a brief outline of the dissertation. Chapter Two

reviews the relevant literature. Chapter Three provides an explanation of, and the reason for, choosing the methodology for the dissertation: an exploratory multiple case study, and an explanation of the specific method utilized in the research. Chapter Four presents examples and a synthesis of the collected data organized into themes which emerged from the data and are organized around the formal research questions. Chapter Five offers an analysis of the data in response to each of the research questions. Chapter Six proposes areas for further research which have emerged as a result of the study.

CHAPTER TWO: LITERATURE REVIEW

This literature review is divided into six parts, all of which are relevant to the concept of leadership and the principalship: (1) Leadership, (2) the Evolving Role of the Principal, (3) Principal Standards, (4) Principal Preparation Programs, (5) Socialization of Principals, and (6) Transformational Learning Theory.

Part One: Leadership

This part of the Literature Review describes leadership with particular reference to forms of leadership, three dominant conceptual models, dimensions, and practice.

Leadership in General.

Leadership may be considered to be both a noun and a verb. In consideration of the former, it signifies the act or instance of leading (*Merriam-Webster's Collegiate Dictionary*, 2009); in the latter, it is equated with the verb 'lead', such as to direct or guide on a course (*Merriam-Webster's Collegiate Dictionary*, 2009), and is concerned with action. As a noun, it is usually prefaced with an adjective to signify the type of leadership described. The literature on educational leadership provides a range of adjectival descriptors: transactional (Hallinger, 2003), transformational (Hallinger, 2003; Leithwood, Leonard, & Sharratt, 1998), instructional (Blase & Blase, 2002; Hallinger, 2003; Lambert, 2002; Mulford, 2008) accountable (Elmore, 2005), constructivist (Lambert, 2000), distributive – also termed shared, collaborative, democratic, or participative (Harris, 2008; Lambert, 2002; Leithwood, Seashore Louis, Anderson, & Wahlstrom, 2004; Mulford, 2008; Zmuda, Kuklis, & Kline, 2004), sustainable or lasting (Fullan, 2006; Lambert, 2000; Mulford, 2008), situational (Hallinger, 2003), even courageous (Hammonds, 2008), as well as others. Leithwood and Riehl (2003) observe

that research indicates principals “exert leadership through constellations of actions that coalesce around ‘models’ of leadership, such as transformational, instructional, moral, or participative leadership” (p. 3).

Mulford (2008) observed that sentiment pre-dominantly supports the view that finding the ‘right’ leadership style will make all the difference for a leader. Consequently, what constitutes the most suitable form of leadership for principals has been examined and debated, and practitioners “have been unable to translate one model into practice before a new model emerged” (Roberts & Pruitt, 2003, p. 25). Hence, principals suffer from, what Hammonds (2008) refers to as, a ‘Corrosion of Character’ from having to constantly guess what others expect of them (p. 23). Hallinger (2003) has found that attention has been primarily given to instructional, transformational, and transactional forms of leadership. Mulford (2008) concluded that, rather than just one ‘right’ style, only a combination of elements of transformational, instructional, and distributive, together with sustainable leadership, will suffice in the educational context of the present.

Three Conceptual Models of Leadership.

Three conceptual models of educational leadership have dominated over the last thirty years: transformational, instructional, and distributive (Mulford, 2008). Transformational leadership is concerned with school and classroom conditions (Leithwood et al. 2004), as well as with the growth and commitment of staff towards goal attainment (Mulford, 2008). According to Hallinger (2003), it is focused on developing the organization and its capacity to select its purposes and develop changes in teaching and learning practices. Transformational forms of principal leadership have been found “to contribute significantly to school conditions fostering OL [Organizational Learning]

processes as well as to OL processes directly” (Leithwood, Leonard, & Sharratt, 1998, p. 267).

Instructional leadership is focused on the role of the principal relevant to curriculum and instruction. Elmore (2000) defines leadership as “the guidance and direction of instructional improvement” (p. 13). Hallinger (2003) concludes that instructional leadership attends to the management of the instructional program in connection with the school’s goals, contextually, within a positive school climate (p. 332).

Distributive leadership, according to Harris (2008), is an idea for which “there are competing and sometimes conflicting interpretations of the term” (p. 173). Distributive leadership refers to the leader sharing both the role and the responsibilities of a formal position of authority with others, whether formally through other hierarchical positions such as assistant principal or department head, or informally through teacher-leaders (Leithwood & Riehl, 2003). Tapping into the expertise of teachers is thought to garner benefits with respect to school leadership (Monk, 2008). Distributed leadership is conceptually spread out across the organization and team-oriented without diminishing the importance of the principal’s role (Hargreaves, 2005).

Leadership in these three conceptions is comprised of dimensions. Dimensional models for transformational leadership are suggested by Bass (1990), who offers four dimensions: 1) charisma, 2) inspiration, 3) intellectual stimulation, and 4) individualized consideration. Leithwood, Leonard, and Sharratt (1998) conceived of seven: 1) vision, 2) goals, 3) high performance expectations, 4) individual support, 5) intellectual stimulation, 6) school culture, and 7) structure. Concerning instructional leadership, Hallinger’s

(2003) model has three dimensions: 1) defining the school's mission, 2) managing the instructional program, and 3) promoting a positive school-learning climate. Elmore's (2000) distributive model identifies five principles that serve as its foundation: 1) the purpose of leadership is the improvement of instructional practice and performance, 2) regardless of role, instructional improvement requires continuous learning, 3) learning requires modeling, 4) the roles and activities of leadership flow from the expertise required for learning and improvement, not from the formal dictates of the institution, and 5) the exercise of authority requires reciprocity of accountability and capacity. For each of these conceptual models of leadership, the dimensions (or principles, in the terminology of Elmore) are thought to be associated with functions performed by the principal.

Leadership and Practice.

Leadership is often associated with 'practice', the exercise of a profession that requires proficiency in actions (Webster's New World Dictionary and Thesaurus, 1996). 'Practice' is defined as "the knowledge, skills, and values embodied in the behaviour of educational leaders" (Elmore, 2005, p. 134). Leaders are required to adapt their practice to adjust to changing needs or circumstances (Mulford, 2008, p. 48). These practices have been associated with dimensions. This would seem to align with the aforementioned conceptual models of leadership which are comprised of dimensions and functions. And yet, "the practice of school administration differs from that of leadership of learning organizations" (Adams, Jr. & Copland, 2007, p. 157).

Summary

Educational leadership, as it is pre-dominantly found in the literature, is conceptualized as the ‘act of leading’, and is performed by the individual who leads an organization. The three most common models of educational leadership are transformational, instructional, and distributive. Each of these models is thought, by some scholars, to be comprised of dimensions which entail the performance of functions by the leader. These dimensions have been associated with ‘practice’, which has been defined by Elmore (2005) as the knowledge, skills, and values that embody the behaviors of educational leaders.

Part Two: Evolving Role of the Principalship

This part of the Literature Review reviews the role of the principal and the ways that the role has evolved since the 1950s. A definition of the term ‘role’ is provided, together with the three dominant conceptions of the leadership role associated with the principalship.

During the last 25 years, factors such as the Effective Schools Movement, the Community of Learners and Leaders Movement (Lambert, 2000), and the Standards Movement (Roberts & Pruitt, 2003) have introduced complexity to the principalship.

The leadership role of the principal has been described metaphorically as ‘wearing many hats’ (Gardner, 2008), with many functions that have multiplied since the 1950s. A 1988 study of K-8 Principals conducted by the National Association of Elementary School Principals (NAESP) in the United States revealed that 1% of principals were principals who also taught compared to 1958’s report of 17% (Protheroe, 2008, p. 48). The decline in the function of the principal with respect to teaching duties

may have been due to the increase in administrative functions. Though the principal's functions were primarily managerial in the 1950s, the 1960s and 1970s saw the principal enacting policies and serving as a change agent. In the 1980s and 1990s, with the influence of the effective schools movement, the functions increased in the instructional area (Hallinger, 2003). The functions of the principalship were derived from its essential responsibilities and delineated the work of the principal into three general areas: managerial, organizational, and instructional.

The Manager.

Conceptually, the term 'manager' has been associated with that of 'role', but indicates the formal authority to lead (Hartley, 2004, p. 584) rather than "a function assumed by someone'. The conceptualization of the principal as a business manager has its roots in the early decades of the 20th century, influenced by the corporate sector of society with ideas such as 'management by objectives' and 'benchmarks' (Murphy, 2005, p. 156). In the managerial role, the principal is responsible for all the business facets of the school: financial management, establishing operational systems, and co-ordinating programs (Jones, 2007), as well as overseeing maintenance of the building and grounds. As a manager, the principal is responsible for the efficient running of the school and ensuring the physical environment is safe and conducive to teaching student learning, which entails a basic knowledge of relevant law.

The Organizational Leader.

Beyond the view of the school principal as manager, attention in academia turned to "cementing a science of administration into the profession" (Murphy, 2005, p. 157). Principals were seen as organizational leaders, required to be aware of organizational

theory, well versed “in group dynamics, the change process, and conflict management and resolution” (Areglado, 2005, p. 40). The principal was responsible for establishing policies and group (staff) processes for decision-making and problem-solving. Overall, the principal was responsible for developing and sustaining a positive school climate.

The Instructional Leader.

The principal as instructional leader, in part, is derived from the literature surrounding effective schools, school and program improvement, and change implementation (Hallinger, 2003; Fullan, 2002). The role of instructional leader is concerned with curriculum and instruction in the school. Responsibilities may include facilitating an environment conducive to student learning, and supporting the curricular work of teachers (Gardner, 2008), all of which, in part, is contingent upon factors such as school setting, resources, goals, motivations, and skills (Larsen & Malen, 1997). The instructional leadership role of the principal may be set out and identified formally in documents: legally, such as the School Act, or organizationally, such as in school district policy, regulation or responsibility documents.

Leading the Learning Community.

The leadership role of the principal is also considered pivotal to building a learning community (Roberts & Pruitt, 2003). The idea of the school has moved from being an organization to be managed to that of a learning organization or learning community (Roberts & Pruitt, 2003). In this idea, the role of the principal is to “build the capacity for shared leadership” (Roberts & Pruitt, 2003, p. 26) through constructing a shared vision of the school (Lambert, 2002). Murphy (2002) contends that the profession of school administration is being re-conceptualized from being based on business

management and social science research to that of its primary vocation: education.

Consequently, the leadership role of the principal is evolving from a conception of simply ‘leading’ to that of ‘leading the learning’.

Summary

The leadership role of the principal has evolved as the functions performed have grown in both number and complexity since the 1950s. The teaching function declined as administrative responsibilities has increased. Managerial functions were pre-dominant in the 1950s; in succession, organizational functions were added during the 1960s and 1970s, to be followed in the 1980s and 1990s with the instructional function. Today, principals serve as managerial, organizational, and instructional leaders in their schools.

Part Three: Standards

Part Three covers practice standards, and provides a definition of Standards, presents its connection to certification, its use as a policy tool, and its relationship to principal preparation.

Accountability and Standards.

The reform-based movement in education has one particular mindset: that schools, and school systems, should be held accountable for their contributions to student learning (Elmore, 2000). Accountability has brought attention to developing the capacities of teachers – their knowledge and skills – so that teachers have greater proficiency to teach a demanding curriculum to an increasingly diverse group of learners (Darling-Hammond, Wise, & Klein, 1999, p. 1). This has resulted in the establishment of standards for teachers, and, more recently, for principals. Standards are defined as “something established by authority, custom, or general consent as a model or example:

criterion” (Merriam-Webster’s Collegiate Dictionary, 2009, p. 1216). Standards, then, are related to certification. To certify is “to attest as being true or as represented or as meeting a standard” (Merriam-Webster’s Collegiate Dictionary, 2009, p. 203).

Standards and Certification.

Certification is a policy tool. To be able to teach in a public school system (and often in a private school too), teachers must be certified by a governing authority. Certification is usually awarded subsequent to post-secondary education, degree attainment, and a period of internship or probation. In some jurisdictions – Canada and the United States -- certification is also required of administrators such as principals; in other jurisdictions, certification as principal is not required because individuals are already certified as teachers (and the principal is the “principal teacher”). Certification, essentially, is a license to practice; it regulates who may practice the profession. Within some jurisdictions, certification is referred to as ‘Licensure’. In the United States, all 50 states certify (license) principals (Adams, Jr. & Copland, 2007); in Canada, only Ontario, Manitoba, New Brunswick, Northwest Territories, and Nunavut certify principals.

Standards and Policies.

Standards also may be viewed as a policy tool: they are a signal to the public and to practitioners that there are criteria to be met and maintained over and above certification. In an era of reform and accountability, standards are seen as an appropriate and powerful leverage point for reform, as well as a means to redefine the role of school leaders (Council of Chief State School Officers, 1996). They are devised to serve as a guide to the knowledge, skills, and qualities required of principals (BC Principals and Vice-Principals Association, 2007), as well as knowledge, dispositions, and performances

(Council of Chief State School Officers, 1996). They denote critical aspects of effective leadership. Although standards were developed to influence the leadership skills of current principals, they were also crafted to shape the prospective leaders in preparation programs (Murphy, 2005). Accordingly, they may provide a suitable framework for leadership succession and professional development, specifically as it applies to the preparation and development of aspiring principals.

In the United States, many states have chosen to base their principal preparation programs on the standards put forward by the *Interstate School Leaders Licensure Consortium: Standards for School Leaders (1996)*. In England, standards inform the content of preparation programs (Cowie & Crawford, 2008; Louden & Wildy, 1999). In Australia, standards are in the process of being developed at the national level, subsequent to a critical review which noted that a profession-wide set of standards was needed “to increase the effectiveness of professional preparation and development for school leaders” (Ingvarson, Anderson, Gronn, & Jackson, 2006, p. 7). In Canada, standards currently have application to principal preparation and leadership development programs in some provinces (Ontario, British Columbia, Nova Scotia) while in others they are in the process of being developed (Alberta, New Brunswick, Prince Edward Island, Newfoundland and Labrador).

Summary

Standards are an accepted level of achievement related to certification, which is linked to the granting of a license to practice, ensuring individuals develop and demonstrate required abilities. Standards, therefore, provide a framework for the

preparation and development of school principals, and the performance of their duties after graduation (Darling-Hammond, Wise, and Klein, 1999, p. 13).

Part Four: Principalship Preparation Programs

Part Four reviews the training of principals through principal preparation programs in the United States, England, Canada, and Australia.

During the period of 1975-1990, there was a dramatic increase in the expenditures on the training of principals nationally, intra-nationally, and internationally (Hallinger & Heck, 1996). Initiation into the leadership role of the principal often occurs in the context of a principal preparation program. The provision of such programs varies from location to location.

In the United States, principal preparation has traditionally been provided by colleges and universities in graduate programs that lead to certification, a state requirement (Eiseman & Militello, 2008; Nelson, de la Colina, & Boone, 2008). These programs are often undertaken prior to appointment to an administrative position due to the certification requirement. These principal preparation programs have drawn criticism as they are deemed to be inadequate for preparing principals for the reality of the position (Levine, 2005) because they traditionally emphasize school management (Eiseman & Militello, 2008). Some states have even moved to abandon or modify state certification or licensure. Hess and Kelly (2007), in a study which examined the content of 31 sets of syllabi from principal preparation programs, raised questions about the appropriateness of these programs to equip aspiring principals for the realities of the contemporary world of education. Nelson, de la Colina and Boone (2008) state that the literature pertaining to successful principals “is notably sparse in regard to what effective principal preparation

programs do to develop such leaders” (p. 690). Criticism of these programs has led some school districts to provide their own alternative preparation programs.

In the United Kingdom, formal preparation programs for principals are available in the country of England (Cowie & Crawford, 2008). The *National Professional Qualification for Headship* (NPQH) in England takes approximately six to 15 months to complete and has been a required qualification since 2004. The program is shaped by the ‘National Standards for Principals’ (Cowie & Crawford, 2008).

In Canada, education is a provincial responsibility and some provinces, notably Ontario and British Columbia, have professional associations that provide preparation and professional development for principals in the context of leadership standards. In the Province of Alberta, school jurisdictions have the responsibility for preparing their principals. The Alberta Government’s Commission on Learning (2003) stated that the role of school principal is so important that there is a need for specific training programs to be designed and implemented that lead to professional certification (p. 123). The current initiative of the Alberta Ministry of Education to develop practice standards for principals can be seen as a step in support of such programs.

In Australia, education is a state and territory responsibility. Principal preparation has traditionally been undertaken through an apprenticeship model in which aspiring principals begin initial training as teachers and move up through the ranks to the principalship, although formal preparation through pre-service training has become more common in recent years (Su, Gamage, & Mininberg, 2003).

Summary

Initiation to the leadership role of principal often occurs in the context of a principal preparation program. In the United States, graduate programs at the post-secondary level have been criticized for a perceived inadequacy of preparation, leading some school districts to provide their own principal preparation programs. In England, principal preparation is shaped by National Standards. In Canada, where education is a responsibility of provincial governments, preparation programs are provided by school jurisdictions and professional associations. The endeavor by the Ministry of Education in Alberta to develop practice standards for principals may be seen as a step in support of training programs specific to the role of principal.

Part Five: Socialization of Principals

This part of the Literature Review covers the socialization of principals. A definition of the term ‘socialization’ is provided, as well as descriptions of its two predominant forms: professional socialization and organizational socialization. Socialization tactics, as conceptualized by Van Maanen and Schein (1979), also are presented.

Socialization has been described as “the process of learning a new role” (Crow, 2007, p. 52). Two forms of socialization predominate in the literature: professional socialization and organizational socialization. Professional socialization entails learning the skills, knowledge, and dispositions required for membership in the profession, while organizational socialization involves learning the knowledge, values, and behaviors conducive to filling a role within the organization to which one belongs (Hart, 1991, p. 452). Though these forms of socialization differ in kind, they are thought to occur

simultaneously during early induction and, should they come into conflict with one another, organizational socialization will govern (Hart, 1991).

Professional socialization occurs in university preparation programs which prepares one to assume a role regardless of the work setting (context) in which the role occurs (Crow, 2006). Essentially, an individual is socialized to the profession – such as teaching – whereupon the role of teacher may be performed in any general work setting – such as this school or that school, within this school district or that school district. The emphasis is on learning what the individual does in the role and how it is done so as to facilitate identification with the profession (Heck, 1995; Hart, 1991).

Organizational socialization focuses its attention on processes which develop the effectiveness of its members relevant to the enactment of a role in a specific context, such as a particular school district and school setting (Heck, 1995; Hart, 1991). Role development is often accomplished through programs of preparation and induction, or through professional development provided by the organization. The organizational member learns to fill a role in accordance with organizational norms, beliefs, and practices.

With respect to principal preparation, socialization is primarily organizational as it is concerned with role adjustment to a particular work context. The process of socialization has been operationalized through socialization tactics or proactive behaviors (Ashforth, Sluss, & Saks, 2006). Organizational socialization tactics have been conceptualized by Van Maanen and Schein (1979) to be a set of bipolar processes which Jones (1986) clustered and termed as either *institutionalized* or *individualized* socialization. The institutionalized cluster of socialization tactics provides the basis for a

more or less formalized developmental program. *Institutionalized* socialization tactics include a collective grouping of participants for common learning experiences, a formal training class, a sequential approach to development, a fixed or set timetable for development, a practice of having veterans serve as role models, and an investiture or affirmation of the participant's incoming attributes and identity. With regard to the latter tactic, Hart (1991) saw investiture as a reaffirmation or reinforcement of the participant's existing professional identity and values (p. 454).

Summary

Socialization is the process of learning a new role. Professional socialization is focused on learning knowledge, skills, and dispositions conducive to attaining a professional role while organizational socialization is focused on learning the knowledge, values, and behaviors conducive to filling an organizational role. Organizational socialization uses 'socialization tactics' to form two polar groups: Institutionalized tactics and Individualized tactics. Institutionalized tactics are socialization processes that are associated with formal programs of professional development provided by an organization, such as a principal preparation program for individuals who aspire to the principalship. The content of socialization – what is learned about the new role – may influence adjustment to the role, whether as a professional role or an organizational role.

Part Six: Transformational Learning Theory

This part of the Literature Review reviews transformational learning theory, as Mesirow's (1996) definition of learning is provided, and the relationship of learning to change is presented.

Mezirow and Learning Theory.

Learning, according to Mezirow (1996), is “the process of using a prior interpretation to construe a new or a revised interpretation of the meaning of one’s experience in order to guide future action” (p. 162). Learning, therefore, is concerned with change: change to an individual’s frame of reference which Mezirow (1996) considers comprised of two dimensions: meaning perspectives (habits of mind) and meaning schemes (points of view). Meaning perspectives are general orienting predispositions that constitute a set of codes, which may be cultural, social, educational, political, economic, or psychological; meaning schemes are beliefs, attitudes, values, and feelings that articulate the meaning perspectives (Mezirow, 1997, pp. 5-6). An individual’s frame of reference is a structure of assumptions through which experience is understood; it incorporates both meaning perspectives and meaning schemes. A frame of reference may be changed or transformed through critical reflection of the structure of assumptions.

Mezirow and Transformational Learning.

Mezirow’s (1996) theory of transformational learning is concerned with the individual’s interpretation of life experience and the making of meaning relevant to those experiences. Merriam and Caffarella (1999) also see the process of transformation as firmly rooted in life experience, with meaning perspectives serving as a lens through which an individual interprets the world (p. 320). Understanding experiences, deriving meaning as a result of that understanding, provides the opportunity for change to take place. Change may also occur in one’s perspective, resulting in a complete transformation of previously held meaning schemes from one lens to another, or it may occur in only one

of the schemes. According to Mezirow (1996), “learning occurs by elaborating existing meaning schemes, learning new meaning schemes, transforming meaning schemes, or transforming meaning perspectives” (p. 163).

The individual, as learner, is understood to be engaging in the processes of critical reflection and rational reflective discourse (Merriam, 2004, p. 61). The accepted assumptions of oneself, as well as of others, as drawn from experience, are critically reflected upon to examine different perspectives. Learners re-evaluate the assumptions, upon which meaning perspectives (habits of mind) and meaning schemes (points of view) are grounded, that they hold about themselves and their world. Subsequent to critical reflection is the process of reflective discourse with others. Discourse, according to Mezirow (1996), “involves an informed, objective, rational and intuitive assessment of reasons, evidence and arguments and leads toward a tentative, consensual, best judgement” (p. 163). Individuals discuss and evaluate their meanings and new meanings with others in an effort to arrive at a consensus that validates the new perspective. The change must be enacted as lived experience for the transformation to have occurred. Taking action, Mezirow (1996) recognizes, often involves constraints – emotional, situational, and informational – and that a decision leading to action must be informed and reflective; the action may be immediate, delayed, or even reaffirmed in its existing form (pp. 163-164).

Growth and development are understood to be outcomes of transformational learning. Therefore, to effectively fulfill a role, an individual must have an adequate perception of it (Jones, 2007, p. 1). To prepare someone for a role entails addressing their current perception in an environment that subscribes to critical reflection and reflective

discourse, in order to facilitate a reaffirmation of meaning or a change to a new meaning. A change in perception – the expected growth and development – is at the heart of transformational learning.

Summary

Principal preparation involves learning. Learning is a process that involves an interpretation of meaning of one's own experiences, and is concerned with change. Change can be to an individual's frame of reference, which include meaning perspectives and meaning schemes. The process of transformation is rooted in life experience; meaning perspectives are a lens through which an individual interprets the world. Changes in perspective may lead to changes in meaning schemes, which include beliefs, attitudes, values, and feelings.

Summary of Chapter Two

The principalship has evolved, blending the positional role with leadership such that the individual assumes the functions of a formal position of authority by exercising direction and guidance that focuses on instruction, management, and organization in an effort to lead the learning of staff and students, according to criteria established by authority or general consent, which serve as a guide to required knowledge, skills, and qualities; such criteria have been termed 'Standards' and denote critical aspects of leadership. Programs of preparation, it is argued, should be guided by standards to which participants must aspire and demonstrate. Socialization to the principalship has been experienced by such participants in the context of formal preparation programs, which use organizational socialization tactics as the processes of learning. Socialization to the leadership role of principal entails learning that is developmental and growth oriented,

which are outcomes of transformational learning. To prepare someone for a new role entails addressing their current perception in an environment that subscribes to critical reflection and reflective discourse, thereby facilitating a reaffirmation of meaning or a change to a new meaning.

CHAPTER THREE: METHODOLOGY AND METHOD

This chapter (a) describes and explains the study's methodology, (b) provides the specific research method employed in the study, (c) states the design which integrated the methodology with the method, (d) explains the method of analysis, (e) gives the researcher's rationale for choosing the methodology used, and (f) offers a brief summary.

Part One: Methodology

The methodology chosen for this study is case study. Case study is a methodology or a type of design in qualitative research (Creswell, 2007). Yin (2009) sees it as a separate research design, capable of including qualitative, quantitative, or mixed methods evidence, that is comprised of five components – research questions, propositions, unit of analysis, logic linking data to the propositions, and criteria for interpreting the findings – which embody a theory of what is being studied, a blueprint to the study. He states, “you would use the case study method because you wanted to understand a real-life phenomenon in depth, but such understanding encompassed important contextual conditions – because they were highly pertinent to your phenomenon of study” (p. 18).

A case study is undertaken to examine an issue or problem through a case – or cases – within a bounded system. The bounded system for this case study is delimited by the following elements: a) geographic area – five countries, including Canada, the United States, England, Australia, and Finland; b) organizational group – those seeking to become school principals; c) time – present; d) type of evidence to be collected - documents of ministries of education, professional associations of teachers and principals, school districts and post-secondary institutions.

Qualitative case studies are of three types: instrumental, multiple-case, or intrinsic; they are distinguished by the size of the bounded case and by the intent of the case analysis (Creswell, 2007). Size is characterized by involvement in the case of a single individual, several individuals, a group, a program, or even an activity. Intent is determined by the focus: a single issue or concern illustrated by one bounded case comprises an instrumental case study, a single issue or concern illustrated by multiple cases comprises a collective or multiple-case study, and the case itself, by virtue of an unusual or unique situation, yields an intrinsic case study.

For the purposes of this study, the multiple-case study type (Yin, 2009) was most suitable given the number of jurisdictions. The intent of the case analysis was not to explain the issue of organizational socialization to the leadership role of principal in one bounded case, but to discern any international trends with respect to formal socialization. The multiple-case study provided the opportunity to select multiple cases for comparison and analyses and, thus, afforded the researcher greater ability to discern trends, amongst jurisdictions.

The jurisdictions chosen for this study were selected because they undertake to prepare and socialize individuals to become school principals through preparation programs, and because of the following contextual reasons:

1. Canada is a country with a federal system within which K-12 education is the responsibility of provincial and territorial governments, and the Province of Alberta is where I work as a school principal;

2. The United States, like Canada, is a country with a federal system within which K-12 education is the responsibility of state governments;
3. Australia, like Canada, is a country with a federal system within which K-12 education is the responsibility of state and territorial governments;
4. England, unlike Canada, has a unitary system of governance within which K-12 education is the responsibility of a central government;
5. Finland, unlike Canada, has a unitary system of governance within which K-12 education is the responsibility of a central government, and is often compared with the Province of Alberta, Canada due to high levels of student achievement.

Regarding jurisdictions with a federal system, the 10 provinces and three territories of Canada were examined for the study. For the United States, 10 states of the possible 50 were examined, to correspond to the 10 provinces of Canada, and were selected alphabetically and randomly. If a selected state did not provide easily accessible public documents relevant to the study's topic, it was discarded for another. For Australia, six states and two territories were examined.

This multiple-case study explored current international trends in the formal socialization of those seeking to become school principals. The study explored formal socialization to the principalship through preparation programs in five jurisdictions.

Part Two: Method of Data Collection

Data collection in case study research is “typically extensive, drawing on multiple sources of information” (Creswell, 2007, p. 75), which can be drawn from six possible sources: “documentation, archival records, interviews, direct observation, participant-

observation, and physical artifacts” (Yin, 2009, p. 99). Multiple data sources enable the researcher to ensure an extensive, in-depth collection of data which then are drawn upon to form multiple perspectives for interpretation. However, as is relevant to this study, Corbin and Strauss (2008) contend that a researcher, in any study, “can use one or several of these sources alone or in combination, depending upon the problem to be investigated” (p. 27). Yin (2009) agrees, noting that any of the sources “can and have been the sole basis for entire studies” (p.114). For this study, the source of data collection consisted of publically accessible government documents, as well as relevant association and educational institution documents. Other sources of data collection, such as interviews and direct observation, were not used because of (a) the scope of the study – international, involving five jurisdictions, which limits access, (b) the unit of analysis – principal preparation programs in the various jurisdictions, and (c) the research design – the questions queried the structure and espoused purposes of the preparation programs.

As defined by Altheide, Coyle, deVriese, and Schneider (2008), a document may be “any symbolic representation that can be recorded and retrieved for description and analysis” (p. 127). More simply, documents, generally, are readable matter (Prior, 2008). Altheide et al. (2008) consider documents as “more stable, more reflective of social organization, activities, meanings, and social rules than most other forms of data used by social scientists” (p. 132). Documents can be analysed for their relevance and significance, as well as, for meaning and impact. The content of documents can reveal concepts, meanings, and perspectives relevant to its subject matter. Documents themselves can reveal intended actions arising from the content. They are an

organization's means to conveying what, how, why, and when something occurs. They serve as a source of evidence and lend themselves well for comparative purposes.

Documents were collected from government, governmental bodies, associations, and educational institutions concerned with individuals who wish to become school principals.

Part Three: Research Design

A research design is a logical plan (Yin, 2009), or "a flexible set of guidelines" (Denzin & Lincoln, 2005), which link theoretical paradigms to "strategies of inquiry" and methods of data collection, such that the researcher is connected to "specific sites, persons, groups, institutions, and bodies of relevant interpretive material, including documents and archives" (p. 25). The strategy of inquiry chosen for this study was an exploratory multiple-case study, which has five components to its research design: "1. a study's questions; 2. its propositions, if any; 3. its unit(s) of analysis; 4. the logic linking the data to the propositions; and 5. the criteria for interpreting the findings" (Yin, 2009, p. 27).

Component One: The Study's Research Questions.

The research questions chosen for this exploratory case study were as follows:

1. What are the governmentally-espoused purposes and the structure of principalship (school administrator) preparation programs in Canada, the United States, England, Australia, and Finland (the "jurisdictions")?
2. Why and how is formal socialization into the school principalship sought in the various jurisdictions?

3. Of what importance is formal socialization to the various principal preparation programs in the five jurisdictions?
4. How important is context to the content of principal preparation programs in the five jurisdictions?

These questions related specifically to school principal preparation programs: their structure and governmentally espoused purposes, and the socialization of individuals into the principalship through those programs.

Component Two: The Study's Propositions.

Following Yin's (2009) directions, propositions were provided for this study to frame and guide the inquiry. He says that "each proposition directs attention to something that should be examined within the scope of the study" (p. 28), and to help the case study to "stay within feasible limits" (p. 29).

Component Three: The Study's Unit of Analysis.

The unit of analysis for this study was the school principal preparation program in the various jurisdictions chosen because of its structure and espoused purposes.

With respect to component four of the research design, logic linking the data to the propositions, and component five, criteria for interpreting the findings, Yin (2009) recognizes that "the current state of the art does not provide detailed guidance" (p. 34). However, both components provide an indication of the data analysis technique constant comparison analysis, and steps undertaken.

Component Four: The Study's Logic Linking the Data to the Propositions.

Data were linked to the propositions by virtue of the analytic technique selected and applied. Yin (2009) states that for this part of the research design, all of the analytic techniques for case study “represent ways of *linking data to propositions*: pattern-matching, explanation building, time-series analysis, logic models, and cross-case synthesis” (p. 34). He cites explanation building as a special type of pattern-matching and explains that, “A parallel procedure, for exploratory case studies, has been commonly cited as part of a hypothesis-generating process ..., but its goal is not to conclude a study but to develop ideas for further study” (Yin, 2009, p. 141). Accordingly, for this exploratory case study, the analysis techniques found in Corbin's and Strauss's (2008) book, *Basics of Qualitative Research 3e: Techniques and Procedures for Developing Grounded Theory*, have been applied. Concepts developed were grouped according to the proposition for which they had relevance.

Component Five: The Study's Criteria for Interpreting the Findings.

The final component of the research design, criteria for interpreting the study's findings, was addressed by comparing the results of the data, collected and analyzed, to the case study's propositions, which served to frame and guide the study. The criteria for interpreting the findings were how closely the generated concepts, and categories, matched the initial propositions.

Part Four: Method of Analysis

The analytic approach followed in this study was proposed and preferred by Yin (2009): that is, “to follow the theoretical propositions that led to your study” (p.130). The

propositions provided the researcher with some guidance relevant to both data collection and the case study analysis by focusing attention on certain data while ignoring other data. They also provided organization to the findings of the multiple-case study and a basis for the research design.

Data collected was analyzed by comparative analysis, which is a “parallel procedure, for exploratory case studies” involving pattern matching (Yin, 2009, p. 141). Comparative analysis is a part of a hypothesis-generating process associated with grounded theory, which generates, develops, and verifies concepts which are drawn from codes derived from the data (Corbin & Strauss, 2008). Applied to this dissertation, the method of analysis began with open coding, a stage in analysis which focuses on conceptualizing words or incidents derived from observation. Questions were asked of the data that are initially exploratory in nature; possible answers were provisional and suggested ideas that form the basis of codes. In the second stage, the codes were grouped together into concepts; concepts were compared for similarities and differences (Corbin & Strauss, 2008). The same concepts were then compared to another set of data. For the third stage, groups of similar concepts were organized into categories. In the fourth stage, the categories which emerged from the data were compared to the propositions.

The method of analysis was an iterative one, consisting of data collection, analysis of the data at a conceptual level, comparison to other data, re-examination and adjustments at the conceptual level, development of categories, a comparison to theoretical propositions, and a subsequent application of the method to a new case.

A concern with this method of analysis is that it has the potential to allow the researcher to draw away from the topic of interest as the iterative process proceeds. To

compensate for this possibility, I continually re-visited the purpose of the study and created a case study database to store the data of each case.

Comparative analysis was appropriate to the exploratory multiple-case study as it yielded themes commensurate with the exploratory nature of the study, and generated concepts and categories connected to the propositions which guided the study.

Part Five: The Rationale

I chose the exploratory multiple-case study, and comparative analysis, as the former has the potential to be more compelling in its linking of data to propositions because the context is not singular and, furthermore, multiple contexts are conducive for replication of process to be part of the design. A significant finding uncovered in a single-case study will be strengthened if it is replicated in additional cases.

Summary

The methodology chosen for this study was a multiple case study with the method of analysis being comparative analysis (Corbin & Strauss, 2008). The intent of the case study was not to explore the issue of socialization to the leadership role of principal solely in one jurisdiction, but to discern any trends currently extant amongst multiple jurisdictions.

CHAPTER FOUR: RESULTS

The purpose of this research study was to explore current international trends in the formal socialization of those aspiring to the school principalship in Canada, the United States, England, Australia, and Finland. In that respect, this dissertation was to provide a definition for organizational socialization and a subcategory thereof, formal socialization, as well as for other key terms. It utilized an exploratory multiple-case study approach to examine the phenomenon of formal socialization as it applies to school principalship preparation programs in the countries listed above. The study had the principal preparation program as the chosen unit of analysis. Documents were collected for data. I reviewed public documents obtained from websites of government Departments of Education, non-governmental public bodies, professional associations, and educational institutions. The analytic approach was to provide theoretical propositions, and the method of analysis was the constant comparative method in grounded theory (Yin, 2009).

This Chapter provides the findings of the study obtained from those public documents and offers a brief summary. The organization of this chapter is in four parts: Part One provides the context of education in the jurisdictions under study, Part Two provides information regarding the data collected, and Part Three provides information derived from the data in a format which mirrors the order of the propositions of the study presented in Chapter One. Consequently, the findings revealed in Part Three are presented in five sections conforming to the five propositions which served to guide the study. The chapter concludes with the fourth part: a brief summary.

Part One: Context of Education in the Jurisdictions of the Study

United States.

The United States is a federation composed of 50 states. It does not operate a national education system (excepting Military Academies and Native American schools). Education is primarily a state responsibility and, thus, each state enacts laws and sets policies and regulations pertaining to Pre-Kindergarten to grade 12 education. Each state has a Department of Education which oversees locally elected Boards of Education. The state also oversees post-secondary institutions, which are divided into two groups: non-degree granting, such as vocational education and training, and degree granting, such as colleges and universities. Post-secondary education consists of publically and privately supported institutions. Although education is a state responsibility, there is a national level United States Department of Education which does not function as a governing body. Its mission is “to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access” (U.S. Department of Education, 2011, Mission section, para. 1). Created in 1979, the Department has seven purposes of which number two expresses its relationship with individual states:

Purpose 2. to supplement and complement the efforts of States, the local school systems and other instrumentalities of the States, the private sector, public and private educational institutions, public and private nonprofit educational research institutions, community-based organizations, parents, and students to

improve the quality of education; (U.S. Department of Education, 2009, “What is the U.S. Department of Education,” para. 3)

The U.S. Department of Education also has four major types of activities, the third one being to make recommendations for education reform (U.S. Department of Education website, “How does the Department of Education serve America’s students?”, section 3, para. 1).

Canada.

Canada is a federation composed of 10 provinces and three territories. Like the United States, it does not operate a national education system. Education in Canada is a provincial and/or territorial responsibility and, thus, lies within the jurisdiction of each provincial or territorial government. A Ministry of Education exists in each of the 10 provinces of Canada to make laws and to set educational policy and regulations for Pre-Kindergarten to grade 12. A system of locally elected public and separate school boards exists under the auspices of the provincial government. The provincial government also creates and regulates post-secondary institutions such as universities, colleges, and technical institutes, as well as charter schools and private schools. However, the federal government, under treaties and the federal *Indian Act*, has “the fiduciary responsibility to provide educational services for status First Nations members living on reserves” (Ontario College of Teachers, 2009, p. 2).

Australia.

The Commonwealth of Australia is a country consisting of six states and two territories. The states include New South Wales, Queensland, South Australia, Tasmania,

Victoria, and Western Australia; the territories include the Australian Capital Territory and the Northern Territory. Each state and territory has both government and non-government sectors involved in the delivery of education to students in kindergarten to grade 12. The government sector is represented by a Department of Education which oversees public schools. The non-government sector is represented by Catholic Systemic Schools, which oversees Catholic schools, and the Association for Independent Schools, which oversees independent schools. In addition, there is a federal Commonwealth Minister of Education.

England.

England is one of three countries that make up the United Kingdom of Great Britain and Northern Ireland. Policies and legislation pertaining to education are under the authority of the UK government. Education in England is decentralized to an extent. At the national level, there is a Department for Children, Schools and Families (DCSF) which “has overall responsibility for the central administration of all aspects of education and related services” (Higginson, 2009, p. 8); and the Department for Business, Innovation and Skills (BIS) which has responsibility for further and higher education. The DCSF is assisted by a non-ministerial government department called the Office for Standards in Education, Children’s Services and Skills (Ofsted) (Higginson, 2009). Non-departmental public bodies (NDPB) may be established by statute for the purposes of exercising functions that are executive, administrative, regulatory or commercial in nature; they are not government departments, nor are they a part of such departments (Higginson, 2009, p. 8). One NDPB is the National College for Leadership of Schools and Children’s Services. It “offers headteachers, school leaders and senior leaders of

children's services opportunities for professional leadership development” (Higginson, 2009, p. 9). At a regional level, there are nine government offices for the Regions which act as a liaison between the national and local levels. At the local level, there are Local Authorities (LAs) that have responsibility to administer and manage education, including staffing and staff development. Under the Education Reform Act of 1988, much of its authority was devolved to school governing bodies which “are responsible and accountable for all major decisions about a school” (Higgeson, 2009, p. 10).

Finland.

Finland is a country with a central government that has 12 ministries. The Ministry of Education and Culture, newly named on May 1st, 2010, is the oldest of these, and “is responsible for the competence and creativity foundations for the future: education, science, cultural, sport and youth policies” (Finland Ministry of Education and Culture, 2010, History of the Ministry section, para. 5). There are two ministers: the Minister of Education and Science, and the Minister of Culture and Sports. The Department of Education and Science Policy is comprised of the General Education Division, the Vocational Division, the Division for Higher Education and Science, and the Department Office (Finland Ministry of Education and Culture, 2010, Departments and units, para. 2.) There is a national core curriculum. The Ministry of Education and Culture is responsible for implementing the objectives set by the Central Government. The Finnish National Board of Education is the central administrative agency which functions under the Ministry. “It is a development body responsible for primary and secondary education as well as for adult education and training (not for institutions of higher education, however)” (Eurybase, 2010, p. 24).

Part Two: The Documents Collected and Reviewed for the Study

The documents collected for this study were retrieved online from publically accessible websites in the five countries included in this study, such as Departments of Education, non-governmental public bodies, professional associations, and educational institutions. Documents reviewed included website webpages, downloadable PDF and Word version copies of government reform initiative blueprints, reports, and discussion papers, government policies and legislation, government resource and guide documents, department of education strategic plans, implementation plans, annual reports, green papers, background papers, draft proposals, planning frameworks, professional development and leadership development frameworks, standards, programs, program flyers, program application forms, association draft documents, FAQs, Fast Facts, and response letters.

Part Three: The Study's Research Propositions and Findings

Proposition #1: Socialization to the leadership role of principal is primarily formal and, thus, organizational in its conception.

As described by Hall (1987), socialization is “the process by which a person enters a social structure” (p. 302). The social structure may be an educational organization, such as a school district, and the socialization process enables an individual to become a member. An individual may also become a member of any sub-set group of the social structure, such as those differentiated by work-roles. Leadership socialization is the process or processes of socializing individuals to a sub-set group of the social

structure, such as school leaders of a school district. Leadership socialization is seen as a composite of two types of socialization: 1) professional and 2) organizational (Orr, 2006).

Professional socialization refers to the “processes through which one becomes a member of a profession and over time identifies with the profession” (Heck, 1995, p. 32). It is preparation for a professional role, an occupation, and entails learning “the skills, knowledge, and dispositions needed to be a member of the profession” (Hart, 1991, p. 452). Organizational socialization, by contrast, is the process through which a newcomer adapts from outsider to insider, crossing organizational boundaries which may be external or internal (Cooper-Thomas & Anderson, 2006). It is context specific and teaches individuals “the knowledge, values, and behaviors required of those filling a particular role within a particular organization” (Hart, 1991, p. 452).

The process of socialization has been operationalized as either organizational socialization tactics or newcomer proactive behavior, also termed pro-active socialization tactics (Ashforth, Sluss, & Saks, 2007). The former are organizationally driven and are formal in their application; the latter are individually oriented and informal in application.

Finding # 1: Socialization of principals is primarily formal in four of the countries studied.

The socialization of principals is primarily formal, sustained by the following: government policies and legislation (state approval and certification), the design and structure of principal preparation programs, and by levels of accountability. The overall intent is to secure a particular outcome associated with the role of principal, by means of preparation, through specified actions and activities organized into a definite form.

United States (10 states studied).

In the United States of America, for the ten states examined, as indicated in the Methodology chapter (p. 30), the socialization of principals is shaped by policies developed and enacted by government and the legislative body to which it belongs. The impetus for such enactments is found in reform initiatives sponsored by the state governor or legislative body. In the State of Alabama, the Governor established a *Congress on School Leadership* in 2004 to “ensure that Alabama’s K-12 public school principals are instructional leaders, not just school administrators” (Alabama Department of Education, 2010, para. 2). The *Congress* reconvened in 2005 and produced a final report and action plan for implementation. In a press release dated June 3, 2010, the Governor’s *Congress* initiative released its findings, which included recommendations for the redesign of principal preparation programs and the drafting of a set of Leadership Standards in order to re-conceptualize the role of principal. In Louisiana, the Governor established a *Blue Ribbon Commission for Educational Excellence* in 1999 to make recommendations for a redesign of leadership preparation programs to be attained by the year 2004, while in Tennessee, a Commission was established to operate between 2005 and 2008 with the intent of redesigning its leadership preparation programs. Kentucky’s General Assembly established a Task Force in 2006 to do the same. In the states of Arkansas (Act 44: Senate Bill 46), Minnesota (SF 1806), Pennsylvania (Act 45 of 2007 and Act 48), South Carolina (Code of Regulations – Article 13), and Virginia (State Board Regulations – Chapter 542, amended 2011) review and/or redesign efforts were undertaken. In particular cases, state programs were established by legislation, such as

the Minnesota Principals' Academy and The Master School Principal Program in Arkansas.

Through policies and legislation, state departments of education seek to ensure the formal socialization of aspiring principals by requiring principal preparation programs to be state-approved. The responsibility for approving preparation programs lies with each state's Department of Education, which also has power over entities that may deliver such programs by either granting or denying approval as a provider. State approval provides a means to achieving the outcomes of policies, such as reform initiatives leading to program conformity with legislation and the policies behind them. As well, it provides a measure of accountability for the program provider towards the state. Consequently, the state can set criteria or parameters and establish guidelines or a framework which apply to prospective programs.

The State of Louisiana, through its Board of Regents, approved a policy that required all educational leadership programs to be redesigned and approved by July 1, 2006 (Burns, 2006). To provide direction, the state created a document in 2003, entitled *Guidelines for the Redesign of Post-Baccalaureate Education Programs*, which provided guidelines for the redesign process and expectations to be met. To ensure compliance, external evaluators were brought in to review programs. Of the 15 programs submitted for approval, 10 were recommended for approval and five were not; subsequent to a resubmission following adjustments, four were granted approval with stipulations for further changes (Burns, 2006). The Pennsylvania Department of Education, in 2008, created *The Framework for Principal Preparation Program Guidelines*, which was “designed to establish highly effective preparation programs within the Commonwealth of

Pennsylvania to meet the increasing need for highly qualified instructional leaders in our schools and educational systems” (Pennsylvania Department of Education, 2008, p. 2).

In Alabama, the Department of Education identified six components of preparation programs that had to be in place before approval would be granted to operate and accept participants (Schmidt-Davis, J., Busey, L. H., O’Neill, K., & Bottoms, G., 2010). Similar policies regarding state approval of preparation programs were revealed in the states explored in this study: Arkansas, Kentucky, Minnesota, South Carolina, Virginia, and Washington State.

Through policies and legislation, state departments of education seek to ensure the formal socialization of aspiring principals by requiring principals to attain state-level certification. Certification is a policy tool which sets a condition for practicing as a principal: an individual must possess a valid and current license to serve in the capacity of principal in a school. Certification becomes a means to securing a desired or intended outcome, such as preparing aspiring or serving principals to be instructional leaders, as well as administrators and managers. Certification can reorient the content of preparation programs towards the desired outcome when it is part of the structure of the program itself. Socializing to achieve role innovation is possible through certification requirements. Individuals are socialized to a particular conception of the leadership role of principal that is consistent throughout the state. Thus, a redesign of principal preparation programs may be accompanied by a redesign of certification processes and requirements.

In all of the states examined in this study, certification (defined as a license to practice and also referred to as licensure) is required to serve as a principal; in each of

these states, a redesign of certification/ licensure was considered. In Alabama, the Governor's *Congress on School Leadership*, initiated in 2004, recommended a redesign of certification towards a three-tiered licensing system for principals which also would recognize "Master" Principals (Alabama Department of Education, 2005). The recommendation is under consideration and the state government "is exploring options for using National Board Certification for principals, once developed, to meet these needs" (Alabama Department of Education, 2006, p. 270). Alabama does require a Principal to have an Instructional Leaders Certificate, which is renewable based on professional development and the completion of required professional learning units (PLU) (Alabama State Board of Education Administrative Code, 2009). Louisiana approved a new certification structure in 2003 that relinquished separate certification for different leadership roles, such as supervisor, administrator, and principal, to one comprised of a three-tiered licensure system for educational leaders (Burns, J. M., 2006). A Level 1: Educational Leader Certificate is granted to candidates who complete a state approved competency based graduate program for educational leaders. As well, the candidate must pass a School Leaders Licensure Exam. To obtain a Level 2: Educational Leader Certificate, an individual must have level one, work as an educational leader, and attend a two-year Educational Leaders Induction Program. In addition, 150 hours of professional development must be accumulated through the Louisiana Principals' Academy over a five year time frame (Burns, J. M. 2006). The Level 2 certificate is a five-year renewable professional certificate. A level 3 certificate pertains to the superintendency.

Other states with a tiered structure to certification, for the purposes of licensing principals, include Arkansas: two-tiered with an initial “Building Level Administrator License” (principal, assistant principal or vice-principal) which enables an individual to seek and to serve as an administrator in a school for up to three years, and a “Standard Administrator License” which is granted to serving building administrators and is renewable for five years (Arkansas Department of Education, 2010, Beginning administrator induction program); Kentucky: two-tiered with a Level 1 “Statement of Eligibility” certificate to serve as a principal, and Level 2 issued after two-years experience as a principal and is renewable for five years (Kentucky Education Professional Standards Board, 2011, School principal certification website); Virginia: two-tiered with Level 1 “Building Administrator Endorsement”, and Level 2 Endorsement in administration and supervision after five-years experience and completion of an induction program (Virginia Department of Education, 2008); and Washington: two-tiered with Level 1 “Residency Administrator Certificate” and Level 2 “Professional Certificate” for experienced principals who hold the residency certificate and complete a professional certification program (State of Washington, Office of Superintendent of Public Instruction, 2011, *Certification* [Website]).

Pennsylvania issues an “Administrator Certificate for Principal K – 12” (Pennsylvania Department of Education, 2011, *Administrative Certificates K-12* [Website]). To be eligible, a candidate must have completed an approved preparation program of graduate study and be recommended by the certification officer of the institution providing the program, completed five-years of satisfactory professional school experience, and have passed assessments required by the Department of Education

(Pennsylvania Department of Education website: Administrative Certificates K-12, 2011). Delaware issues a “Standard Certificate” for Principal or Assistant Principal (Office of the Registrar of Regulation, Legislative Council, State of Delaware, 2004, Title 14 Education: Delaware Administrative Code: 1500 Professional standards board) (see Appendix A, Table A1 for certification identified in the 10 states examined in the United States).

The formal orientation of socialization to the principalship in the United States is suggested by the design and structure of principal preparation programs. Government policies and legislation present a formal orientation by envisioning programs to be a component of a broad approach to leadership development. This approach is intended to improve or raise the quality of educational leadership as reflected in the principalship, but not as a “stand alone” enterprise; it is part of a design to improve educational leadership within a framework that encompasses teacher leadership and district leadership too. This is evident in the State of South Carolina which established a statewide framework for professional growth entitled *The Leadership Continuum* which provided a range of programs for aspiring to retiring leaders (South Carolina Department of Education Office of School Leadership Programs, 2009, p. 3). In all, there are 10 programs of which three pertain to the principalship: 1) Developing Aspiring Principals Program (DAPP), 2) Principal Induction Program (PIP) Year 1 and Year 2, as well as 3) School Leaders Executive Institute (SLEI). Kentucky, as well, developed the *Kentucky Cohesive Leadership System (KyCLS) Continuum* which is comprised of four initiatives: “development of a statewide principal leadership continuum from aspiring to retiring, statewide pilot of a principal preparation academy, School Administration Manager

project, and instructional leadership team/teacher leadership development” (Kentucky Department of Education, 2008, p. 1). The expressed purpose of the System is to address standards, training, and issues common to educational leadership across the state.

Alabama brought forth the *Alabama Continuum for Instructional Leader Development*, a framework that provides “a shared vision and common language to guide an instructional leader’s professional development across his or her career” (Alabama Department of Education, 2010, p. 5). The *Continuum* is comprised of six components, including preparation, residency, induction, mentoring, evaluation, and ongoing professional study. It consists of five levels of development which build upon the one before it; they include the following: Pre-Service Leadership, Developing Leadership, Collaborative Leadership, Accomplished Leadership, and Distinguished Leadership (Alabama Department of Education, 2010). Delaware, in the document entitled, *Delaware Education Plan Overview* (October 2010), presents a framework consisting of model career ladder tracks, including a teaching track, a leadership track, and a specialist track (Delaware Department of Education, 2010, p. 29). Within each track is a sequential and hierarchical positioning of career roles; the leadership track is comprised of the following roles: subject head (teacher-leader), then followed by department head, upwards to assistant principal, and ultimately to principal. Programs exist for each track and are part of a coherent approach to professional development requirements and offerings. State offerings of principal preparation programs are designed to fit within an encompassing structure of leadership development (see Appendix B, Table B1 for leadership frameworks identified in the 10 states examined in the United States).

Within a formal structure of leadership development, the socialization of principals is designed to occur within the confines of a preparation program sanctioned by the state government and provided statewide. Hence, in Arkansas, the state government created The Master School Principal Program within the Arkansas Leadership Academy in 2004 (State of Arkansas, 2004); in Delaware, there is The Delaware Leadership Project (DLP) which follows the preparation program of the New York City Leadership Academy (Innovative Schools: The Center for School Innovation, 2011); Kentucky brought forth the Commonwealth Principal Academy and the Kentucky Principal Induction Program, which is provided in four geographic locations around the state (Education Leadership Redesign Task Force, 2007); South Carolina created the Developing Aspiring Principals Program (DAPP), the Principal Induction Program (PIP) Year 1 and 2, and the School Leaders Executive Institute (SLEI). The Washington State Legislature, in 2007, created the Washington State Leadership Academy whose goal is “to provide state-of-the-art programs and services across the state” (Second Substitute Senate Bill 5955, 2007, p. 1). Minnesota established the Minnesota Principals’ Academy in 2006 whose goal is “To create a statewide network of district and charter school leaders...” (University of Minnesota, The Minnesota Principals Academy, 2007, About section), while Pennsylvania provides the Principals’ Induction Program that was offered by the Department of Education (Pennsylvania Department of Education, 2008). Both Minnesota’s and Pennsylvania’s programs follow the Executive Development Program of the National Institute for School Leadership. The Executive Development Program also is available statewide in Connecticut, as well as in selected school districts in the states of California, Colorado, Connecticut, Florida, Georgia, Illinois, Maryland, Mississippi,

Missouri, New Hampshire, and Texas (National Institute for School Leadership, 2011, *NISL Executive Development Program Implementation Sites* [Website] (see Appendix C, Table C1 for preparation programs identified in the 10 states examined in the United States).

Through statewide application, preparation programs can be more organization driven in order to achieve state outcomes, such as a redesign of such programs, as well as to provide accountability in the fulfillment of redesigned programs. As well, they can be aligned with other facets of leadership development such as certification and standards of performance.

For the states explored in the jurisdiction of the United States, there are similarities of design and structure in principal preparation programs. Firstly, they are all designed around a central purpose pertaining to educational leadership, whether in a general sense, as expressed in Alabama: “to improve the quality of educational leaders”, or in a more specific sense, as expressed in South Carolina: “to provide essential knowledge and skills”. The central purpose is conveyed through a reference to action by utilizing terms such as “to build”, “to improve”, “to expand”, “to create”, “to develop”, “to update”, “to prepare”, “to ensure”, and “to arm”. The concepts derived from the purposes expressed by state governments include the following:

1. Leaders (educational; transformational; visionary and effective)
2. Knowledge and skills; knowledge and tools
3. Managing (school; budget)
4. Leadership (capacity; instructional)

5. Role and responsibilities

6. Student Achievement; student learning

7. Requirements (certification or endorsement as an administrator or principal).

For these expressed purposes, there is an underlying theme associated with the improvement of student learning and achievement and, thus, with instructional leadership. For the 10 states included in this exploratory study, all of them reference this theme. For those states involved in a redesign of principal preparation programs, the improvement of instructional leadership is explicitly remarked upon.

The expressed purposes and the underlying theme of principal preparation programs pertain to role. The program is designed to prepare an individual for the role of principal. A review of the literature revealed that the role of principal is multi-faceted in the functions performed. The functions are derived from the essential responsibilities of the principalship and are delineated into three general areas: managerial, organizational, and instructional. The content of preparation programs addresses these general areas while emphasizing which among them takes precedence. Consider Kentucky's efforts to prepare school and district leaders for 'learning-centered leadership'. Kentucky's

Education Leadership Redesign Task Force (2007) stated the following:

Granted, effective management of buses, budgets, and buildings is still necessary, but twenty-first century principals must focus on preparing children to live in a global society in a knowledge-based economy. In other words, the next generation principal must be able to increase student achievement by guiding and supporting teachers while capably managing the school organization. (Education Leadership Redesign Task Force, 2007, p. 7)

Pennsylvania's Department of Education, in its *Framework and Guidelines for Principal Preparation Programs* (2008), provides the following information: "The need

for ‘instructional leadership’ in addition to effective management practice is essential for student success at both the school and district levels” (p. 2). This sentiment is echoed in the document *School Leadership Change Emerging in Alabama: Results of the Governor’s Congress on School Leadership* (2010), which observes that “a long-standing critique of educational leadership programs is that they have offered a watered-down curriculum that gives preference to school management and administration over instructional leadership...” (Schmidt-Davis, Busey, O’Neill, & Bottoms, 2010, p. 8). South Carolina states a preference succinctly: “The skills and knowledge that matter in leadership ... are those that can be connected to, or lead directly to, the improvement of instruction and student performance” (Brown & Harris-Madison, 2009, p. 7).

The State of Louisiana, in its effort to redesign leadership programs, addresses the traditional content of preparation programs by declaring the following:

It is now known that it is not enough for educational leadership preparation programs to provide courses in the areas of school law, school finances, and organizational management. Instead, university programs must provide real life problem-based learning experiences that directly impact improvement in schools and districts. (Burns, J.M., 2006, p. 1)

In each of these examples, managerial, organizational, and instructional leadership are acknowledged as areas of responsibility within the role of principal, but the emphasis in preparation programs is clearly to be on the latter. The expressed need to redesign programs to reflect this preference for a re-orientation of the leadership role suggests an intended outcome of organizational socialization pertaining to role innovation rather than custodial response. Van Maanen and Schein (1979) contended that role innovation is sought when the mission or goal associated with the role is redesigned and there is a redefinition of the premises concerning the mission or goal.

It is important to note that program design favors an orientation towards professional socialization because the primary instrument of program provision, post-secondary institutions such as colleges and universities, prepare individuals for the professional role of principal, regardless of placement throughout the state. Government legislation, and education reform initiatives, denotes institutions of higher learning – especially universities – as the provider of principal or administrator preparation programs. Universities provide state-approved programs in Alabama, Arkansas, Kentucky, Louisiana, Minnesota, Pennsylvania, South Carolina, Virginia, and Washington State. While institutions of higher learning are a primary provider of preparation programs, other entities may seek state-approval of its programs and to act as a provider. Pennsylvania’s *Invitation to Qualify* document identifies such entities as professional associations, school districts, non-profit organizations, and intermediate units identified (Pennsylvania Department of Education, 2009). In Delaware, the Delaware Leadership Project is provided by a local, non-profit public school support organization called Innovative Schools.

Program delivery, in most states, is sought as a formal partnership and collaborative effort between universities and school districts (see Appendix D, Table D1 for program providers and partnerships in the United States). This is intended to provide program content as a blend of theory and practice, an endeavor to link coursework to practical experience. This can be seen in Kentucky’s *Learning-Centered Leadership: The preparation and support of the next generation of Kentucky’s school leaders and district leaders* document, which is expressed succinctly:

The partnership between the district and university should also customize the leadership program in ways that prepare school leaders who can meet the needs of the district for improving student learning outcomes. Every course should be designed and delivered in such a way that it relates to the real world of the district's classroom. (Education Leadership Redesign Task Force, 2007, p. 16)

Washington State legislates all educator preparation programs to “establish and maintain field placement agreements with all Washington school districts in which candidates are placed” (Washington Administrative Code 181-78A-264 Approval Standard – Program Design, 2006).

The incorporation of university – school district partnerships as an element of program design is important given the governmentally espoused purpose of focusing principal preparation on instructional leadership. As the State of Louisiana acknowledges, innovative site-based learning activities are an opportunity for candidates to demonstrate knowledge (Burns, J. M., 2006).

The involvement of school districts recognizes the importance of preparing prospective principals through field experiences and clinical practice. In doing so, preparation programs are impacted with regards to their orientation towards professional socialization. Preparation for the role of principal is no longer entirely generic, but, also, is specific to a particular school district and, depending on the arrangement, a particular school. While coursework lends itself well to professional socialization, practical application within an organization, such as a school and its encompassing district, lends itself well to organizational socialization. The involvement of school districts in the preparation of principals underscores another design element: residency. States have incorporated a residency requirement to its preparation programs. Variouslly termed as “residency”, “job-embedded” or “internship assignment”, the

requirement prescribes when it should occur and of what duration. The State of Virginia has an internship consisting of “a minimum of 320 clock hours” (Virginia Department of Education, 2011, p. 88), while Pennsylvania has a well- guided internship with a minimum of 180 hours while school is in session (Pennsylvania Department of Education, 2008, p. 3). Delaware has a residency of 10-month duration which “exposes aspiring principals to all aspects of leading a school – from organizing instructional improvement efforts, to managing school operational issues, to navigating interpersonal and organizational politics” (Innovative Schools- The Center for School Innovation, 2011, Delaware leadership project program overview section, para. 6).

In Louisiana, The University of Louisiana at Lafayette, one of three university-school district partnerships to begin redesigned programs in 2005, has, in addition to the requirement to have 36 hours of classes, an internship of two-years duration to be fulfilled at various locations within the district, as determined by the school district (University of Louisiana at Lafayette – College of Education, nd). Alabama has a 10-consecutive-day residency (Schmidt-Davis, Busey, O’Neill, & Bottoms, 2010), while Arkansas has an internship as a required component of a one- to three-year induction program (Arkansas Department of Education, 2010); the duration of the internship is not stipulated. As a state approved program provider, Arkansas State University requires 36 hours for an internship that must be taken during a fall or spring term and must be subsequent to course completion (Arkansas State University, 2011, *Educational Leadership Licensure Program – Principal licensure* [Website], para. 7). Washington requires 540 hours, half of which must be during school hours (Washington Administrative Code 181-78A-264 Approval Standard – Program Design, 2006).

Residency is a means to providing practical field-based experiences to complement theoretically-based courses.

Canada.

In the Dominion of Canada, the socialization of principals is promulgated by policies developed and enacted upon by the provincial or territorial government and the legislative body to which it belongs. The position of principal is explicitly denoted in legislation, such as the *School Act* for the Province of Alberta or the *Education Act* of the territory of Nunavut, and the duties and responsibilities of the principal are stated therein. The necessity of preparation for the position of principal is not universally acknowledged across Canada in the policies or legislation of governments responsible for K – 12 education, or by professional associations relevant to teachers or school administrators. In some cases, as in the United States, the impetus for the development and enactment of policies can be found in reform initiatives sponsored by the provincial or territorial government.

In the Province of Alberta, for example, the *Alberta Commission on Learning* (2003) recognized the important role of the principal by stating that it “has gone beyond organizing and managing a school to leading a diverse and challenging education enterprise” (p. 122). Furthermore, that “while the primary role of principal continues to be one of learning leader, it’s clear that, in the challenging environment of today’s schools, their role extends well beyond those responsibilities” (p. 123). Current programs of preparation were deemed inadequate by the Commission because they “are not specifically targeted at the knowledge, skills, and attributes principals need to be effective. They tend to be research-based and focused on educational theory and

knowledge” (p. 123). Consequently, the Commission recommended that “a specific training program should be designed and implemented” (p. 123). To that end, the government prepared a document pertaining to educational leadership as a foundation to principal preparation, noting the following:

School leader workforce challenges and the introduction of new Competencies require significant changes to the content, design and delivery of school leader preparation programs. Preparation programs for aspiring and beginning school leaders should be informed by current research, be closely linked with the field, promote shared leadership models, be accessible and address the Competencies and school leaders’ responsibilities related to their professional growth, supervision and evaluation. (Alberta Education, 18 June 2010, p. 8)

In Saskatchewan, the Saskatchewan Teachers’ Federation sponsored a report on the principalship in the year 2001. In the report, it recognized the distinctiveness of the role of principal from other roles assumed by teachers, and it also acknowledged that educational opportunities pertaining to the principalship “appear to be inadequate and are criticized by principals...” (Saskatchewan Teachers’ Federation, 2001, p. 39). In particular, pre-service education was criticized as being “not particularly helpful in developing the many practical abilities that principals need to do their job” (p. 39). The Federation set out four guiding principles for the development of principals, which included “access to educational experiences and programs that familiarize them with the work of the principals and prepare them for appointment to a principalship” (p. 39). Other guiding principles made reference to access to mentoring from experienced principals, a variety of delivery models, as well as the involvement of teachers and principals in the development of programs for principals. In response, Saskatchewan Learning – the ministry responsible for education in the province – acknowledged that many organizations contribute to the development of individuals for the principalship; they

produced a resource document – *A Significant Journey: A Saskatchewan Resource for the Principals* – in 2003 pertaining to the principalship which provided a descriptive statement regarding the role of principal and also provided standards, in the form of “The Dimensions of the Principal’s Role”. In 2006, a companion resource – *The Principals in Saskatchewan: A Resource for School Boards* – was produced which saw a need to create “a school leadership professional development framework that begins early in a teacher’s career and continues on long after that teacher has assumed the principalship” (Lorraine Thompson Information Services Limited, 2006, p. 31).

The Province of Ontario, through an Act of legislation, established the Ontario College of Teachers as the self-regulatory body for the teaching profession in the province. The College provides the Principal Qualification Program to “provide a foundation for candidates for assuming the role of principal or vice-principal in Ontario schools” (Ontario College of Teachers, 2009, p. 1). In the year 2008, the Ministry of Education, in partnership with the principals’ associations, supervisory officers’ associations, and the Council of Ontario Directors of Education, developed the Ontario Leadership Framework which was designed to achieve the following:

- Inspire a shared vision of leadership in schools and boards
- Promote a common language that fosters an understanding of leadership and what it means to be a school and system leader
- Identify the practices and competencies that describe effective leadership
- Guide the design and implementation of professional learning and development for school and system leaders.

(Ontario The Institute for Education Leadership, 2008, p. 6)

Subsequently, the Ontario Ministry of Education (2010) brought forth a document entitled, *Board Leadership Development Strategy: Requirements Manual*, that obligated school boards to “examine their leadership development and succession practices, to

make sure they adopt the best possible practices to recruit and retain the strong, effective leaders our students and our communities deserve” (p. 3). As intended, the board leadership development strategy is to focus on the development of school leaders – principal and vice-principal – as well as system leaders – supervisory officers or directors of education, and is to follow the Ontario Leadership Framework.

In the Province of Quebec, the government produced a report which made recommendations for its English language schools. In particular, it recommended that school administrators enroll in courses pertaining to leadership and management and that “a province wide mentoring program be implemented for principals” (Government of Quebec, 2009, p. 29). It also suggested that time in-school be made available to principals in order to engage in networking and professional development.

In the year 2006, the New Brunswick Department of Education sought to clarify the provisions of its *Teacher Certification Regulation* by developing a policy regarding principal certification. *Policy 610 Principal Certification Requirements* stated the Ministry’s goals/principles as follows: “The Department of Education believes in supporting school leadership, through a comprehensive principal’s certification program that combines academic theory and practical application” (p. 2). It also made provision, through District Education Councils, for the development of school sponsored modules and assignments (p. 3). In 2008, the Department of Education established the New Brunswick Educational Leadership Academy.

In the Northwest Territories, the Department of Education, Culture, and Employment (2005) produced a document pertaining to strengthening educational leadership. Entitled, *Building on Our Success: Strategic Plan 2005-2015*, it called for a

review of the structure of the current Educational Leadership Program delivery model in order to ensure a better prepared school principal. Subsequently, the Department of Education, Culture, and Employment (2009), in concert with the Northwest Territories Teachers' Association, the Divisional Education Councils, the Tlicho Community Services Agency, the Yellowknife Education Districts, and the Commission scolaire francophone, brought forward a document entitled, *A Guide to Principal Practice: Principal Growth and Evaluation in Northwest Territories (2009)*, which provides a description of the role of a Northwest Territories principal, as well as “a more systematic view towards supporting professional growth for principals” (p. i).

In the Territory of Nunavut, the territorial government initiative pertaining to principal preparation led to the development of a professional improvement resource book which outlined, in section 4, Policy STA 3: the establishment of a principal preparation program centred on principal certification. As stated, the program “teaches essential educational leadership knowledge and skills through the lens of Inuit Qaujimajatuqangit principles, bringing light and vision to the future of education in Nunavut” (Nunavut Professional Development Committee, 2010, p. 4-1).

The Government of Yukon Territory initiated an “Education Reform Project” in 2008 which culminated in a final report. Recommendations arising from the reform effort include a call for the Department of Education to “develop and implement a program to train First Nations educational leaders to fill the positions of principals and vice-principals”, as well as “to collaborate in the development of an accredited program to train YNTEP graduates to advance to positions of vice-principals and principals” (Government of Yukon, 2008, p. 2.16). The report also recommends that participants in

leadership programs should have access to “an experienced academic and social counselor who is familiar with First Nations traditions” (p. 2.16). An In-school Administrator Mentorship Program is advocated to “identify, recruit and offer training to teachers and identify principals who can be mentors” (p. 4.1).

Through its Ministries or Departments of Education, provincial and territorial governments enable socialization to the principalship through their approval of preparation programs. Saskatchewan, Manitoba, New Brunswick, Ontario, Northwest Territories, and Nunavut provide province-wide or territory-wide programs to prepare individuals for the principalship through leadership or certification programs. Quebec has proposed a formal program of mentoring for its English language school administrators, and Alberta has proposed a province-wide principal preparation program.

Through policies and legislation, provincial and territorial departments of education endeavor to ensure the formal socialization of aspiring principals by requiring them to attain provincial certification. In British Columbia and Ontario, the responsibility for granting certification is delegated, by legislation, to a professional governing body in the form of a College of Teachers. In all provinces and territories, as a pre-condition to attaining a principalship, an individual must secure a teaching certificate: a valid and current license to serve as a teacher. In some provinces and territories, an additional condition for becoming, and practicing as, a principal is the requirement to attain further certification. In Manitoba, New Brunswick, Ontario, Northwest Territories, and Nunavut, certification as a principal is required.

In the Province of Ontario, the *Ontario College of Teachers Act, 1996*, Ontario Regulation 176/10 Teachers' Qualifications, stipulates the following with regard to principal qualifications:

The Registrar shall record on a candidate's general certificate of qualification and registration an entry for the part 1 principal's qualification if the Registrar has satisfactory evidence that the candidate has successfully completed an accredited program leading to the qualification, or a program the Registrar considers to be equivalent, and that at the time he or she was admitted to the program... (Ontario College of Teachers' Act, 1996, Ontario Regulation 176/10 Teachers' Qualifications, section 32 (1))

A similar stipulation, under section 33 (1) addresses an additional "part 2" principal qualification. In addition, an individual who aspires to become a principal must also complete a practicum as part of certification. Through the Principal Qualification Program, an individual is able to meet the requirements for Part 1, Part 2, and the practicum; "successful completion of the PQP is recorded on the member's Certificate of Qualification" (Ontario College of Teachers, 2009, p. 2).

In Manitoba, Regulation 515/88 of The Education Administration Act denotes two levels of certification: "Level 1 School Administrator's Certificate", and "Level 2 Principal's Certificate" (Manitoba Education, Professional Certification Unit, 2009). Having first obtained a teaching certificate, an aspiring principal must complete academic requirements in order to qualify for either level of certification; academic requirements include attaining a Master's or Doctoral degree in Educational Administration. One must have a valid Level 1 certificate and two years experience as a vice-principal or principal to be able to acquire Level 2.

Other provinces with a tiered or leveled structure to certification include New Brunswick: two-tiered, with an "Interim Principal's Certificate" given to an individual

who has completed the required course work and training, but not the practicum component, and a “Principal’s Certificate” given to the holder of an interim certificate who has completed the practicum and has been duly recommended by the superintendent (New Brunswick Department of Education, 2006).

Both the Northwest Territories and Nunavut issue a “Certificate of Eligibility as a Principal”, subsequent to a teaching certificate, and upon successful completion of each territory’s Educational Leadership Program. In the case of the Northwest Territories, all principals are required to be certified within two years of an appointment (Northwest Territories Department of Education, Culture, and Employment, 2007).

In the provinces of British Columbia, Alberta, Saskatchewan, Quebec, Nova Scotia, Prince Edward Island, as well as Newfoundland and Labrador, and the territory of the Yukon, only a teaching certificate (and a four-year baccalaureate degree) is required to become a principal (see Appendix A, Table A2 for certification identified in the provinces and territories examined).

The formal orientation of socialization to the principalship in Canada is suggested by the design and structure of principal preparation programs. Government policies and legislation suggest a formal orientation in some provinces and one territory by presenting a design that prepares principals within a broader framework of leadership development. In Ontario, the government developed the *Ontario Leadership Framework (2008)*, which is “tailored to the roles and responsibilities of school leaders - principals and vice-principals.... and describes the practices that research has shown to have a positive impact on student achievement, and the skills, knowledge and attitudes associated with each” (Ontario The Institute for Education Leadership, 2008, p. 9). The framework is

organized into two parts: 1) Leader Practices and Competencies, and 2) System Practices and Procedures (Ontario The Institute for Education Leadership, 2008, p. 6). In Alberta, the Ministry of Education has proposed a *School Leadership Framework (2010)* “to attract, prepare, retain and engage leaders within the education sector workforce” (Alberta Education, 2010, Revised March 3, p. 17). Ostensibly, the framework supports school authorities and professional development organizations in planning comprehensive professional development. It also incorporates a “School Leader Growth, Supervision and Evaluation Policy”. The *School Leadership Framework* is a means to securing requirements for principal preparation, including program content, program modes of delivery, and program accessibility for prospective participants. In the Northwest Territories, the Educational Leadership Program is seen to be a component of “a more systematic view towards supporting professional growth for principals” (Northwest Territories Department of Education, Culture, and Employment, 2009, p. i). While not expressed within a formal framework of leadership development, the preparation program does fall under an informal design that includes a model of “Principal Growth and Evaluation”, which is intended to “assist in the selection of new principals; and be used as a guide for leadership development and training” (p. iii). The Province of Saskatchewan looks to its school divisions to build capacity for educational leadership by “creating a school leadership professional development framework that begins early in a teacher’s career and continues on long after that teacher has assumed the principalship” (Loraine Thompson Information Services Limited, 2006, p. 31). Citing the work of Mulford (2003), which conceives the building of leadership capacity as a

continuum of professional growth occurring in stages, the school division framework consists of five stages: intending, induction, early career, mid-career, and late career.

In Canada, for five provinces and two territories, the socialization of principals is designed to occur within the confines of a preparation program sanctioned by the provincial or territorial government and offered province-wide or territorial-wide. In Saskatchewan, the provincial government has created the Saskatchewan School-based Administrators Professional Development Program. The Program consists of a series of six modules that are offered by the Saskatchewan Professional Development Unit in the form of short courses offered in the summer (Loraine Thompson Information Services Limited, 2006). Two province-wide programs are the Saskatchewan Principals' Short Course – offered annually as a five-day event that is open to teachers and prospective or current principals and vice-principals – as well as a workshop entitled, *Is the Principalship for You?* – offered annually by the University of Saskatchewan and the Saskatchewan School Boards Association for teachers and prospective principals. The Province of Manitoba provides the School Administration Certificate Program, a combination of accredited professional development and approved university course work in educational administration at the post-baccalaureate level leading to certification (p. 4). The Manitoba Council for Leadership In Education provides aspiring and newly appointed principals with the Peer Assisted Leadership Program, a five session program offered in a workshop format (sessions one to two) and in a practicum placement in the participant's home community (sessions three to five) (Manitoba Council for Leadership in Education, 2009). Ontario has the Principal Qualification Program, designed and presented by the Ontario Teachers' College; it "provides a foundation for candidates for

assuming the role of principal or vice-principal in Ontario schools” (Ontario College of Teachers, 2009, p. 1). The Program consists of two parts, comprised of 125 hours of instruction each, and a practicum, comprised of a 60-hour leadership experience. The Province of New Brunswick established the Educational Leadership Academy in the year 2008 to provide the Anglophone school system with the STAR Program (Skills Training: Action Research), a two-year course of intense training, coaching, and research (New Brunswick Department of Education, 2008). The Department envisions STAR alumni to serve in a training capacity for future program participants. The Department also offers a comprehensive Principal’s Certification Program consisting of graduate-level university courses and a one-year practicum to be completed in conjunction with an administrative appointment as a vice-principal or principal (New Brunswick Department of Education, 2006). In addition, six modules of university instruction must be approved by the school district to which a participant belongs. Similarly, the Province of Nova Scotia has just established the Nova Scotia Leadership Academy in 2011 to implement the Instructional Leadership Program in September of 2011. The goal of the program “is to improve the capacity for school-based instructional leadership, aimed at increasing student learning and achievement in Nova Scotia public schools” (Nova Scotia Educational Leadership Consortium, 2012, [Website], Welcome section, para. 1). A three-year program, it will lead to a Diploma in Instructional Leadership granted by the Department of Education. With regard to territorial-wide programs of principal preparation, both Northwest Territories and Nunavut offer the Educational Leadership Program to ensure that its school principals are well prepared for their tasks. A design feature of each program is that it consists of two parts that are offered in alternating years during the summer, as

well as a practicum that involves a research project undertaken over the course of a school year. The Northwest Territories program is designed and delivered by the Ontario Institute for Studies in Education while the Nunavut program is through the University of Prince Edward Island.

Through a province-wide or territorial-wide application, preparation programs can be coordinated and potentially aligned with other facets of leadership development such as certification or supervision and evaluation (see Appendix C, Table C2 for identified preparation programs in the provinces and territories examined).

In Canada, the design and structure of principal preparation programs in the provinces and territories share some similarities. The design includes a central purpose to the program that pertains to some facet of educational leadership. The central purpose is conveyed through a reference to action in terms such as the following: “to prepare”, “to handle”, “to understand”, “to develop”, “to provide”, “to grow”, “to fulfill”, “to support”, “to educate”, and “with emphasis”. The central purpose is expressed by provincial and territorial governments and, collectively, pertains to the following concepts:

1. Leaders (learning; school)
2. Knowledge and skills; and qualities; and attitudes
3. Growth
4. Leadership (essential functions of; instructional)
5. Role
6. Responsibilities
7. Qualifications / Requirements (for certification or the principalship).

For these purposes, an underlying theme is conveyed that is associated with improving student learning and achievement, and with instructional leadership. With respect to the territories, this underlying theme is accompanied by a supporting theme: improving school principals' cultural awareness of indigenous peoples as a further means to securing an improvement in student learning.

The expressed purposes and the underlying theme of principal preparation programs pertain to the role of principal. The complexity and multi-faceted functions of the role are commented upon in documents associated with the programs. In Saskatchewan, the role of principal is central to the document entitled, *A Significant Journey: A Saskatchewan Resource for the Principalship (2003)*. It addresses role as follows:

...it is misleading to refer to "the role of the principal" as if a single purpose and a resulting set of responsibilities have been assigned to this position within the school. In reality, principalships are flexible and responsive to variations in context, and there are marked differences in the specific functions, obligations and duties that Saskatchewan principals undertake to serve students and support others within the education system. (Brooks & Piot, 2003, p. 4)

In Ontario, the *Principal Qualification Program Guideline 2009* states the following:

The Principal's Qualification Program provides a foundation for candidates for assuming the role of principal or vice-principal in Ontario schools. The program is one component of ongoing professional learning focused on the development of personal and professional knowledge, skills and practices that lead to exemplary practice in the role of principal. (Ontario College of Teachers, 2009, p. 1)

The Province of Alberta commented on role in its Commission on Learning report, noting that:

In addition to their role as leaders in a professional learning community, principals are expected to handle public relations, communicate with parents and community members, contribute to school board policy direction and initiatives, manage

substantial budgets often in the millions of dollars, evaluate staff, ensure their schools are safe and secure ... and on top of all that, get to know their students, manage discipline, and motivate them to achieve their best. They are expected to align key strategies for improving students' achievement, supervising and evaluating teachers, developing professional learning communities, involving parents and communities, and allocating resources wisely, with an effective and efficient school organization, a clear vision and set of goals, and remarkable skills in motivating, communicating, and encouraging innovation. (Alberta's Commission on Learning, 2003, pp. 122-123)

In a Brief to the Quebec Ministry of Education, Recreation, and Sport, the role of principal was recognized as being multi-faceted, through the following observation:

“Administrators express the wish to spend more time on pedagogy, but daily demands on them also have them acting as plant manager, local director of human resources, nurse, parent, social worker and security manager” (Government of Quebec, 2009, p. 28).

In the examples provided, the provincial governments identify and acknowledge areas of responsibility within the role of principal in general terms – personal and professional knowledge, skills, and practices – to the more specific, which include instructional leadership (improving student achievement, time spent on pedagogy), managerial (budget and physical plant), and organizational (initiating Board initiatives, supervising and evaluating teachers, developing a learning community). To these three areas of responsibility within the role of principal, there is the appearance of a fourth area, that of cultural leadership. Pre-dominantly expressed in the territories of Canada, where there are sizeable populations of indigenous peoples, governments have identified the need for aspiring principals to be culturally knowledgeable about the students they serve so as to better be able to improve student achievement. This is evident in the Educational Leadership Program of Nunavut, in which the Nunavut Professional

Improvement Committee comments upon the purpose of the program in the following words: “ELP teaches essential educational leadership knowledge and skills through the lens of Inuit Qaujimajatuqangit principles, bringing light and vision to the future of education in Nunavut” (Nunavut Professional Improvement Committee, 2010, p. 4-1).

Similarly, in the Northwest Territories, the identification of the dimensions of school leadership includes the following standard: “3. *Culturally Responsive School* - The principal understands a firm grounding in tradition and culture is important to the development of a healthy school community and is a key to student success” (Northwest Territories Department of Education, Culture, and Employment, 2009, p. 4). In the Yukon, the government recognizes the importance of cultural leadership by recognizing the characteristics of effective administrators to include “strong respect for all members of the school community and their beliefs and cultures; strong respect for and promotion of First Nations culture, languages and traditions and knowledge of self government agreements” (Government of Yukon, 2008, p. 4.3). Consequently, the following recommendation is made: “The Department of Education, in collaboration with Yukon College, CYFN, and the Association of Yukon School Administrators, should develop and implement a program to train First Nations educational leaders to fill the positions of principals and vice-principals” (Yukon Department of Education, 2011, p. 5). In its *Education Act (O.I.C.1993/046)*: Yukon Regulations, the government of Yukon not only provides for a professional certificate for teachers, but also the provision of a cultural certificate to persons who speak a First Nations’ language or have “a knowledge of the history and culture of Yukon First Nations and First Nations in general” (Commissioner

of the Yukon, 2010, p. 6). The expressed need to incorporate cultural leadership learning into preparation for the role of principal is evident in the territories.

Program delivery in provinces and territories is provided by a variety of delivery entities (see Appendix D, Table D2 for program providers and partnerships in Canada). Orientation towards one particular instrument of delivery varies from province to province or territory to territory depending upon the government's approach to principal preparation. For provinces and territories, which do not require an additional level of certification to attain a principalship over and above an initial teaching certificate, such as Alberta, British Columbia, Newfoundland and Labrador, Nova Scotia, Saskatchewan, and Yukon, the initial instrument of program delivery is a post-secondary institution such as a college or university for they prepare individuals for the professional role of teacher. Actual preparation for the principalship is through a combination of program delivery instruments: university for graduate-level coursework in educational administration, school districts for locally developed professional development courses, workshops, or programs, and professional associations, such as principal associations, or non-profit organizations. In Alberta, the Alberta Teachers Association- with its Council of School Administrators – provides some preparatory sessions while school districts are the primary instrument of principal preparation as they provide programs suited to their needs and district cultures. The university provides graduate-level coursework, but not a specific principal preparation program approved by the government. However, the provincial government has deemed the current approach to the preparation of principals to be too disparate and inadequate and has proposed, and is moving towards, a province-wide principal preparation program. In British Columbia, the preparation of principals is

primarily through district leadership development programs. The British Columbia Principals and Vice-Principals Association (2007) prepared a document containing leadership standards to frame individual aspiring principals' personal growth plans, as well as to "provide direction for the design of district and provincial leadership development programs" (p. 4). In Saskatchewan, the school district is the primary instrument of program delivery as the government views the school division as the means to "developing leadership skills among teachers in the school division so they are prepared to become principals" (Loraine Thompson Information Services Limited, 2006, p. 31). School districts are encouraged to create a school leadership professional development framework in order to build leadership capacity. Yet, the government recognizes that preparation for the principalship includes "formal academic studies, as well as workshops and short courses that focus specifically on the principalship" (p. 33). Accordingly, program deliverers include the universities for graduate studies and short courses, and professional associations, such as the Saskatchewan School-Based Administrators (SSBA) and the Saskatchewan Council on Educational Administration (SCEA) which is a specialist council of the Saskatchewan Teachers' Federation. In Nova Scotia, the primary instrument of program delivery is the university in partnership with school boards so as "to explore ways that a cluster of courses can be offered within a particular school board to meet particular needs of school systems for focused and situated learning" (Nova Scotia Education, 2009, p. 18). The Nova Scotia Leadership Academy – the provincially designed leadership program – is delivered in co-operation with the universities, the Nova Scotia Educational Leadership Consortium (NSEL), and the Nova Scotia Teachers' Union (NSTU).

For provinces and territories which do require an additional level of certification for the principalship, there is some variation in the primary instrument of program provision. In Ontario, the Ontario College of Teachers is the primary provider of the Principal Qualification Program. In Northwest Territories, the Educational Leadership Program is offered by the Ministry in partnership with the Ontario Institute for Studies in Education (OISE) which designed and provides the program (Northwest Territories Department of Education, Culture, and Employment, 2007). In Nunavut, the Educational Leadership Program is offered by the Department of Education in association with the University of Prince Edward Island (Nunavut Professional Development Committee, 2010). For Manitoba, the university is a primary provider of the Principal Certification Program as academic requirements include a graduate degree in educational administration (Legislative Assembly of Manitoba, 1988). In addition, professional development activities other than university courses also are required. The Council of School Leaders, an organization of the Manitoba Teachers' Society, promotes, organizes, and conducts activities for aspiring and current principals (Council of School Leaders of the Manitoba Teachers' Society, 2011, [Website] Home section). As well, a non-profit organization called the Manitoba Council for Leadership in Education collaborates with the universities, school divisions, organizations representing principals, and the Education Ministry "to fill gaps in leadership development that might occur when those organizations work separately" (Manitoba Council for Leadership in Education, 2011, para. 3). An example is the Peer Assisted Leadership Program for aspiring and newly appointed administrators which contributes credit towards principal certification.

While there are collaborative efforts and some expressions of partnerships in the provision of principal preparation programs, there is not a clearly stated intent to establish “formal” partnerships. There is an intention to design programs as a blend of theory and practice, with the provision of the former by post-secondary institutions and governing bodies, and the latter in association with school districts.

The involvement of school districts in providing field experiences in the form of a practicum suggests another design element: residency. Principal Preparation Programs in Canada incorporate a residency requirement as a practicum or internship. The Province of Alberta is proposing an induction program as it is “an essential component of school leadership development that bridges initial preparation and career-long practice” (Alberta Education, 18 June 2010, p.9). Manitoba has a practicum in its Peer Assisted Leadership Program that occurs during a three to six month period (Manitoba Council for Leadership in Education, 2009).

Australia.

In the Commonwealth of Australia, the socialization of principals is enabled by policies developed and enacted upon by the commonwealth (federal), state, or territorial government and the legislative body to which it belongs. The impetus for the development and enactment of policies is found in a recent national reform agenda sponsored by the commonwealth government and supported by state and territorial governments, to be accomplished over a five-year period from 2008-09 to 2012-13. The Australian Government entered into partnerships with its six state and two territorial governments (Australian Government Department of Education, Employment, and Workplace Relations, 2011, [Website]). Entitled, *Smarter Schools National Partnerships*,

the reform initiative is focused on three areas: “addressing disadvantage, supporting teachers and school leaders, and improving literacy and numeracy” (Australian Government Department of Education, Employment, and Workplace Relations, 2011, [Website], para.1). Within each state and territory, the federal government has engaged three partners: the Department of Education representing the state education sector and two representing the non-state sector: the Association of Independent Schools, and the Catholic Schools system. In each state and territory, the three partners developed implementation plans in 2009 to support the reform initiative. Subsequently, in each state and territory, two annual reports have been published to convey the progress being made during 2009 and 2010.

With regard to the focus on ‘supporting teachers and school leaders’, the goal of the reform initiative is to improve teacher and leader quality in six areas, including developing national standards, and developing and enhancing the knowledge and skills of teachers and school leaders throughout their careers. A reform strategy relevant to principals is as follows:

Professional Development and Support for Principals - empower school leaders and principals to better manage their schools to achieve improved student results. The commitment to a national curriculum has increased the focus on achieving national consistency around teacher quality and the importance of more targeted and effective interventions around leadership development. (Australian Government, 2011, p. 2)

Of particular note is the intent to have “professional learning programs to develop the leadership capacity of current Aboriginal principals and teachers who are in, and are aspiring to, school leadership positions” (New South Wales Government, 2009, p. 6).

In New South Wales, the reform initiative involves three state partners: the New South Wales Department of Education and Training – the government sector which oversees public schools, the Association of Independent Schools of NSW – the non-government sector overseeing independent schools, and the Catholic Education Commission of NSW – the non-government sector overseeing catholic schools. In the *New South Wales Annual Report for 2009 (April 2010)*, the Association of Independent Schools aimed to “deliver professional development to support the strategic capacity of newly appointed principals and those preparing for principalship in the six months prior to the start of the 2010 school year” (New South Wales Department of Education and Training, 2010, p. 22); in the same report, the Catholic Education Commission is working with the Catholic University to support leadership development and with dioceses to promote “the Professional Accomplishment and Professional Leadership Standards of New South Wales Institute of Teachers (NSWIT) as a means of encouraging and supporting leaders to recognise and address their own professional development needs” (p. 26). New South Wales Department of Education and Training aimed to provide “a comprehensive suite of school leadership professional learning programs and resources that target the specific needs of aspiring, newly appointed and current school leaders” (p. 26); the suite of programs includes Principal Preparation, Online Leadership, Teaching Principal, and Leadership Matters.

In the State of Queensland, the reform initiative involves Education Queensland, the Queensland Catholic Education Commission, and Independent Schools Queensland. As expressed in the state’s implementation plan, reform is directed at strengthening teacher quality. Explicitly stated as the second of six key reform initiatives, the initiative

seeks to “more effectively preparing teachers, school leaders and principals for their roles and the school environment” (Australian Government, 2009, Queensland Implementation Plan, p. 4). The implementation plan addresses principal preparation through the following specific reform initiatives:

24. Support Queensland school leaders to participate in the national leadership programs through:
 - building capacity to take part in national programs
 - advertising national programs
 - aligning state leadership programs to national programs. (State, Independent) (Queensland Government, 2009, p. 7)
26. Implement the Pathway to Principalship program, providing aspiring principals with a supported career pathway including experience in small schools in rural and remote locations. This program will include annual professional development events, extended induction processes and an online support community. (State) (Queensland Government, 2009, p. 8)

In the State of South Australia, the reform initiative involves three state partners: the South Australia Department of Education and Children’s Services –representing the government sector, the Association of Independent Schools of South Australia (AISSA) and the Catholic Education South Australia (CESA) – representing the non-government sector. The state’s reforms regarding school leaders include the following:

Another key priority is ongoing support and development for school leaders, including those already in leadership positions and those commencing or aspiring to leadership roles. Initiatives include principal mentoring, support and training to increase performance management skills, opportunities for further study and support to build whole school approaches to improve literacy and numeracy performance. (Government of South Australia, 2009, p. 2)

The Association of Independent Schools identified its key initiatives to include the following:

- A leadership program will be established and offered for experienced, recently appointed and aspiring principals. The programs will be supplemented by

seminars and discussion forums led by expert presenters. This coordinated approach will prepare and build principals' skills for continued and future leadership.

- Support will be provided for recently appointed principals to access post-graduate study. (Government of South Australia, 2009, p. 7)

In the State of Tasmania, the three education sector partners are the Department of Education, the Tasmanian Catholic Education Office, and the Association of Independent Schools Tasmania. The three partners committed to work collectively and individually to provide “ongoing professional learning for teachers and school leaders” (Government of Tasmania, 2010, p. 9). To that end, professional learning experiences were to be made available “to aspiring and substantive school leaders” in three forms, under the following headings: “Generic leadership learning experiences; Pre-principal and Beginning Principals’ programs; and Principals’ Inquiry Networks...” (Government of Tasmania, 2010, p. 17). These programs are intended to be guided by national leadership frameworks and standards. The Shadowing Program for Aspiring Principals is one such program and it is provided state-wide by the Department of Education. In the Catholic sector, a program entitled, Re:th!nk Aspiring to Principalship is offered that “specifically targets senior leaders within primary & secondary schools who see principalship as the next step in their leadership journey” (Catholic Education Office Melbourne, 2011, *Leadership Continuum* [Website], Re:th!nk Aspiring to Principalship Program 2011 - Rationale section, para. 1). As part of Tasmania’s implementation plan for the reform initiative, the state sector, as represented by the Department of Education, also embarked upon a formal partnership with the University of Tasmania to provide post-graduate support to allow all staff to engage in further study at no direct cost to participants; the

partnership was extended to the Catholic and Independent school sectors in 2010 (Government of Tasmania, 2010).

In the Australian Capital Territory, the Department of Education and Training cooperates and collaborates with the Catholic Education Office and the Association of Independent Schools of ACT (Australian Capital Territory Government, 2010). The territory's reform initiatives include a commitment to a comprehensive leadership development system in the form of a "structured orientation program for School Leaders and continuing professional learning for current School Leaders" (Australian Capital Territory Government, 2009, p. 10). The program will have elements that will be applicable in both government and non-government sectors. As well, existing leadership frameworks that are sector-based "will be enhanced to incorporate targeted mentor programs and networks" (p. 10). Of particular interest is the intent of the state, in its implementation plan, to develop cross-sector learning modules for School leaders which pertain to cultural awareness and specific leadership strategies related to Indigenous students; the modules will link orientation and induction programs for school leaders (Australian Capital Territory Government, 2009).

In the remaining states of Victoria and West Australia, and the Northern Territory, similar reform initiatives are being undertaken through cross-sector cooperation, with a focus on improving the quality of teachers and leaders by addressing professional learning needs.

Through the reform initiative focused on improving the quality of teachers and school leaders, commonwealth, state, and territorial governments seek improvement through professional learning that entails leadership development. The formal orientation

of socialization to the principalship in Australia is suggested by the design of principal preparation as a function within an over-encompassing approach to leadership development; as such, it is one component of a design framework that seeks to improve educational leadership of all staff by addressing a range of roles within the education enterprise, such as teacher leadership, school leadership, and district leadership. The goal is to provide professional learning over the course of an individual's career and to have it available at each step or level of role or position attainment. In doing so, an individual may be socialized to the new position as one seeks to, or one does, attain a role or position. Consider the State of New South Wales which established a state-wide *Professional Learning continuum* to provide "a framework for planning, delivering and evaluating professional learning for school based staff and staff who directly support the work of schools" (NSW Department of Education and Training, 2006, p. 2). A capability framework pertaining to professional leadership roles/positions denotes specific programs that are available for school leaders. The Professional Leadership strand of the framework consists of six levels, presented here in ascending order: Newly Appointed Executive → Executive Leadership Learning → Aspiring Principal → Principal Designate → Newly Appointed Principal → Experienced Principal Learning (NSW Department of Education and Training, 2006, p. 4). Programs are available at each level of the strand. For aspiring principals in state schools, the Principal Preparation Program is offered by the Bastow Institute of Educational Leadership (BIEL).

In Queensland, a new framework to guide all leadership development for state school principals arose from a review of the Department of Education and Training's *Standards Framework for Leaders (1998)*. The new framework, entitled *Leadership*

Matters – Capabilities for Education Queensland Principals, is intended for use by school leaders “at all stages of employment with the Department - from their recruitment and selection into a Principal’s role and throughout their career” (Queensland Department of Education and Training, 2006, *Leadership matters* [Speaking notes], p. 3). There are a total of five capabilities which are deemed aspirational in nature.

The State of Victoria, in the document entitled, *The Developmental Learning Framework for School Leaders*, presents a framework for building leadership capacity across the government sector. The framework is directed at both teachers and school leaders and is intended to guide individual professional learning, as well as, to assist the Department of Education to tailor its preparation programs (Department of Education Victoria, 2007). The Framework is based on the Dreyfus Model of skill acquisition (1986) which envisions skill development to occur in five stages: novice, advanced beginner, professional, proficient professional, and expert (Department of Education Victoria, 2007, p. 10).

The Department of Education and Training in the Australian Capital Territory provides a *School Leadership Framework (2008)* to inform the provision of its leadership development programs, such as the Principals’ Development Program (Australian Capital Territory Department of Education and Training, 2011, *Teaching and learning: Professional Learning* [Website]). The Framework exists within a government policy which identifies requirements and principles for professional learning. The *Professional Learning Policy (2009)* acknowledges the value of professional learning for all staff, and describes the obligations of school districts and individual schools to develop and maintain professional learning programs and practices. In particular, the policy

document, in its definition section, makes reference to professional learning as “purposeful, planned training and development activities that enhance the effectiveness and performance of staff members” (Australian Capital Territory Department of Education and Training, 2009, p. 2).

The South Australia Department of Education and Children’s Services provides professional development through its Workforce Development Quality Leadership Team. The Team facilitates a range of training and professional development opportunities for classroom support personnel, teachers, and leaders. In particular, leadership development is provided through programs targeted to aspiring and current principals. A framework document, entitled, *DECS Improvement and Accountability Framework (DIAf)*, informs the provision of such leadership development programs (Government of South Australia Department of Education and Training, 2011, *QSchools for aspiring school leaders* [Website], para. 6) (see Appendix B, Table B3 for identified leadership frameworks in the states and territories examined).

Through the national reform initiative, an approach to leadership development within a broader approach to professional learning, commonwealth, state, and territorial departments of education, together with the non-governmental sector organizations, seek to formally socialize aspiring principals through the provision of authorized programs of preparation. In the Australian Capital Territory, there are the Emerging Leaders Program and the Principals’ Development Program. In New South Wales, a number of programs have been provided by the government sector, including the Principal Preparation Program, Teaching Principal Preparation Program, Leadership Matters Program, Principal Designate Program, and a Principal Induction Program (NSW Department of

Education and Training, 2006, p. 4). In addition, an Online Leadership Program has been available for aspiring principals. Within the non-government sector, the Catholic schools system has provided the Aspiring to Principalship Program (Government of Victoria, 2010, p. 6). In Queensland, the State sector established the Pathways to the Principalship Program in 2010 to provide “aspiring principals with a supported career pathway including experience in small schools in rural and remote locations” (Queensland Government, 2009, p. 8); the Independent Schools sector created the Future Principals Program (2010) as a pilot program to target current school leaders who have been identified as future principals, as well as the New Principals Program for individuals in their initial three to five years of principalship (Independent Schools Queensland, 2011, p. 7). South Australia has a state sector QSchool for Aspiring School Leaders Program which is provided to aspiring principals “to build on existing skills, knowledge and experience and to make connections from their current practice to the role of Principal” (Government of South Australia Department of Education and Children’s Services, 2011, p. 1); the non-state independent sector provides the AISSA Leadership Program for aspiring, recently appointed, and experienced principals (Association of Independent Schools of South Australia, 2010). The State of Tasmania offers the newly developed Aspiring Leaders Program (ALP) – Leadership Starts from Within (2011) modeled on two previous programs: Emergent Leadership Program (2006-2009) and the Aspiring Leaders Program (2010) (Government of Tasmania Department of Education, 2011, *Aspiring Leaders Program (ALP) Leadership starts from within*). The program is offered state-wide and, in part, is intended

- to cultivate a personal sense of being a leader;

- to grow leadership across the school system;
 - to build capacity in leadership in the local context;
 - to raise awareness of the responsibilities of school management; and
 - to support responsibility for personal learning in leadership.
- (Government of Tasmania Department of Education, 2011, *Aspiring Leaders Program (ALP) Leadership starts from within*, p. 1)

Also available state-wide is the Shadowing Program for Aspiring Principals which endeavors to develop an individual's "capability to become a school principal"

(Government of Tasmania Department of Education, 2011, *Shadowing program for aspiring principals*, p. 1). The Catholic sector (non-government) has a two-year program entitled, *Re:th!nk Aspiring to Principalship Program*. Its identified goals are to "Assist with participants' current leadership roles in addition to preparing them for future principalship roles" (Catholic Education Office Melbourne, 2011, *Learning continuum - Aspiring to principalship* [Website, goal section] (see Appendix C, Table C3 for identified preparation programs in the states and territories examined).

The formal orientation or socialization to the principalship in Australia is underlined by a central purpose. As found in other jurisdictions, the central purpose is conveyed through a reference to action, as indicated by the use of terms such as "to enhance", "prepares", "to build", "prepare and build", "to develop", "to raise", "to cultivate", "to grow", "improving", "establish", "will empower". In general terms in regards to purpose, there often is a reference to "capacity" as it pertains to principal preparation. More specifically, there are concepts derived from the expressed purposes of principal preparation which include the following:

1. Role (Principal)
2. School Leadership (Capabilities; capacity)

3. Knowledge and Skills (leading educational change; continued leadership; school improvement)
4. Leaders (aspiring).

For the expressed purposes, the concepts derived thereof, and the actions to be taken, there is an underlying theme that links high quality leadership with improved student learning.

For the states and territories of Australia, principal preparation is a means to achieving a desired end pertaining to student outcomes. In this regard, the design of preparation programs includes a component that entails a residency requirement geared towards school improvement.

England.

In England, the school leader is referred to as head teacher, or as principal in the case of academy schools. Socialization of head teachers and academy principals is enabled by government policies and legislation. Legislation passed in the year 2003 by the Government of the United Kingdom set forth a qualification requirement for head teachers and academy principals in England. The *Education (Head Teachers' Qualifications) (England) Regulations 2003* stipulated that qualification as a head teacher was to be obtained by a person who had "successfully completed a course of training for the National Professional Qualification for Headship" (Education (Head Teachers' Qualifications) (England) Regulations 2003, (2003 No. 3111), p. 1). As of 2004, all who wish to become head teachers were required to attend the NPQH Program to get the qualification in order to attain a headship. Qualification, thus, is a policy tool used to determine and control who may serve as a head teacher.

Through policies and legislation, the Department of Education seeks to enable the formal socialization of individuals who aspire to become head teachers and principals by requiring them to attain national-level certification in the form of a qualification.

Successful completion of the NPQH program and successful learning, as adjudicated by a Graduation Board accredited by the National College, results in a certificate being issued to the aspiring head teacher or principal. Certification is the means to achieving a desired or intended outcome, which is to attain a headship within 12 to 18 months of entering the NPQH program (National College for Leadership of Schools and Children's Services, 2010, p. 10) (see Appendix A, Table A4 for identified certification in England).

Government policies and legislation present a formal orientation by envisioning programs to be a component of a broad approach to leadership development.

Consequently, a Leadership Development Framework (2001) was created by the National College for School Leadership. The NCSL is a professional body created by the national government in 2000 to oversee the training and development of head teachers and principals in England (Swaffield, 2008). The framework is designed to guide the development of school leaders throughout the course of their careers. It views leadership development as life-long learning such that "all leaders require support and development opportunities throughout their careers. The idea of leadership careers is reflected in NCSL's Leadership Development Framework (Collarbone & Southworth, 2008, p. 21).

The Framework consists of five key stages: 1) emergent leadership for teachers with aspirations to be head teacher, 2) established leadership for Assistant and Deputy Heads who have chosen not to pursue headship, 3) entry to headship for the preparation and induction of school leaders to headship, 4) advanced leadership for school leaders mature

in their role and update their skills, and 5) consultant leadership for experienced leaders who may serve as trainers and mentors (Collarbone & Southworth, 2008). Consequently, leadership development provides a route through which an individual can progress towards headship or principalship, and through which the organization can develop and prepare its leaders (see Appendix B, Table B4 for leadership frameworks identified in England).

Formal socialization of head teachers and principals is attained through the provision of state programs of preparation. In England, the predominant state program for aspiring head teachers and principals is the National Professional Qualification for Headship. Programs are provided by the National College for School Leadership. Other preparation programs include Leadership Pathways, which develops skills to assume the headship; Accelerate to Headship, an intensive leadership development program leading to headship; Associate Academy Principal Preparation Programme, which provides an in-depth understanding of the role of principal; and Head Start Programme, which provides support to head teachers in their first or second year of appointment (see Appendix C, Table C4 for preparation programs identified in England).

In the document, *The Importance of Teaching*, the United Kingdom Department for Education (2010) set forth its intent to review the National Professional Qualification for Headship (NPQH) Programme with a view to “make sure that it meets the highest standards for leadership development set in other countries and in other sectors of the economy” (p. 27). The review was prompted by the Department’s stated concern that the program was “overly focused on how to implement government policy rather than on the

key skills required for headship” (p. 27). The key skills are to pertain to the occupational requirements of a head teacher.

However, reform is also envisioned with regard to the provider of the program. Currently, the National College is responsible for strengthening school leadership in England, however, the Department of Education makes the suggestion that the College lessen that responsibility such that a range of providers be enabled, including universities, to offer qualifications, commencing in September 2011 (United Kingdom Department for Education, 2010, p. 27). In a March 2011 National College Remit-letter, the Secretary of State for Education makes the point that schools should take increasing responsibility for leadership development, stressing that “Over time, I would expect your role in providing direct support to diminish. I expect to see increasing evidence of schools leading improvement and the College accrediting or licensing other providers” (Gove, Rt. Hon. Michael, M.P., Secretary of State, 2011, p. 3). Consequently, the Department of Education seeks to alter the design of the preparation program by expanding delivery of the program to a range of providers approved and accredited by the College. As of September 2011, there are 100 designated teaching schools duly approved and accredited, *First 100 designated teaching schools* organized by region (National College for School Leadership, 2011, [Website]) (see Appendix D, Table D4 for program provider and partnerships in England).

For the jurisdiction of England, the preparation program for headship – the National Professional Qualification for Headship – has a central purpose: to prepare aspiring head teachers “for the 21st century strategic leadership and management challenges...” (National College for Leadership of Schools and Children’s Services,

2010, p. 3). The central purpose is conveyed through a reference to action, using the terms “to harness... and support”, “to delegate”, “teaches you”, and “enable you” (National College for Leadership of Schools and Children’s Services, 2010). Concepts derived from the actions include the following:

1. Leadership
2. Management
3. Skills, knowledge, understanding.

For the expressed central purpose, there is a theme associated with improving the quality of head teachers as leaders. In a National College Remit-Letter of March 2011, the Minister of Education stipulated the following:

NPQH should be a qualification that, over time, is widely recognised by school leaders as both excellent preparation for headship and for continued development in post, it should be acknowledged by the profession as key to ensuring the quality of head teachers. (Gove, Rt. Hon. Michael, M.P., Secretary of State, 2011, p. 2)

‘Quality of leaders’ is one of three elements of the Minister’s program of school reform, along with the supply and deployment of head teachers (Gove, Rt. Hon. Michael, M.P., Secretary of State, 2011). The approach to ensuring quality headship and expertise lies in developing aspiring head teachers to meet the National Standards for Head teachers. In *The Importance of Teaching*, the Department of Education (2010) conveys to the College its expectations in this regard, stating that “We will continue to make high quality the priority, and will expect the College to de-accredit any head teachers not meeting the standards” (p. 28).

Finland.

In the jurisdiction of Finland, the socialization of principals arises from the policies of the national government and their enactment through reform initiatives. The impetus for reform arises from the ongoing social changes that Finland is experiencing, brought on by “pressures bearing on the attractiveness of education and culture; changes in the industrial structure and work; regional differentiation; new communality and activities eschewing institutions; growing immigration and multiculturalism; and differentiation and inequality in society” (Finland Ministry of Education and Culture, 2010, p. 3). Government reform initiatives have included greater decentralization through the distribution of power and responsibilities from the central government to local municipalities. As indicated by the Ministry of Education, Finland (2007) in its document, *Improving School Leadership, Finland*, “in the process of the distribution of responsibilities, education providers and the state and its agencies (central educational administration) have transferred a great deal of executive power to the local levels” (p. 19). Consequently, local municipalities have the responsibility to provide public education and to provide continuing education for its educational staff, including professional development / learning for teachers, including training leading to the principalship.

Government reform initiatives also have included greater attention towards teacher education and development. In 2001, the *Teacher Education Development Programme 2001-2005* was initiated in response to “the findings and recommendations of an evaluation of teacher training in universities and polytechnics and a foresight of teachers’ initial and further training” (Committee monitoring the follow-up to the teacher

training development programme, Chair: Armi Mikkola, 2006, p. 5). Recommendations addressed continuing education for principals, as well as for teachers and teacher-educators.

The Finnish National Board of Education (2011), in a document entitled *Learning and Competence 2020*, conveys its strategic objectives for education and training to the year 2020. Generally, the National Board seeks to strengthen the competence of teaching personnel by improving professional development and, furthermore, seeks to focus specifically “on the development of administrative and management skills as well as pedagogical leadership skills of educational leaders” (Finnish National Board of Education, 2011, p. 10). This strategic objective of strengthening teachers’ and leaders’ competence through professional development is a means to a desired end: it “will support the implementation of key education policy objectives” (Finnish National Board of Education, 2011, p. 10). The Ministry of Education and Culture notes in its *Ministry of Education and Culture Strategy 2020* document that strategic goals were drafted in response to general changes happening in society that are impacting the education, science, culture, sport and youth sectors (Finland Ministry of Education and Culture, 2010). The Ministry endeavors, not only to identify, but also to anticipate changes in sectoral and industrial structures and, in response, the Ministry “sees to competence-building and access to competent work force” (Finland Ministry of Education and Culture, 2010, p. 5). An expressed objective of the National Board of Education is for the “provision of high-quality education and training and a comprehensive network of educational institutions” (Finnish National Board of Education, 2011, p. 7). High-quality education, in support of competence-building, requires a strengthening of the educators’

competence, hence the attention given to the education and training of teachers and leaders. Furthermore, the government recognizes that, as the public's awareness grows with regard to the significance of schooling for an individual and for society, the public's awareness also grows with regard to the need for developing the quality of education delivered by teachers and leaders (Ministry of Education, Finland, 2007). Reform initiatives attend to the professional development of teachers and school leaders, with a range of development activities that seek to further develop an individual's competence.

Through reform initiatives, supportive policies, and legislation, the Ministry of Education and Culture seeks to ensure the socialization of individuals who aspire to the principalship by requiring principals to attain certification over and above qualification as a teacher. In Finland, teaching is a regulated profession, governed under the *Teaching Qualifications Decree (986/1998)* (Finnish National Board of Education, 2011, [Website] Mobility – Teaching qualifications section, para. 1). The Decree sets forth the requirements necessary to qualify for school leader positions, including “being a qualified teacher for the particular school form, ... a master's degree, adequate teaching experience and a certificate in educational administration, university training equal to no less than 25 ECTS units (15 credit points) or adequate familiarity with educational administration attained otherwise” (Ministry of Education, Finland, 2007, pp. 39-40). To become a principal in Finland, one must first be an experienced teacher holding a master's degree and, subsequently, meet the condition of attaining the Certificate in Educational Administration. Certification studies provide participants with competencies that enable them to perform school-based administrative tasks. The National Board of Education approves the requirements for the certificate, which are expressed as credit units;

however, the content of the studies leading to certification are varied according to the courses offered by an education provider. This has resulted in a variance in the competencies of those who attain the Certificate, leading the Ministry of Education, in its document, *Improving School Leadership, Finland*, to comment that “it is clear that the qualification issue must remain on the agenda of educational policy discussions.... In the future, attention shall be paid to the unification of principal training standards” (Ministry of Education, Finland, 2007, p. 38).

The formal orientation towards socialization to the principalship in Finland is suggested by the structure established for principal preparation. Government policies and legislation present a formal orientation by setting the qualifications for principalship: initial teaching qualifications with a master’s degree, and additional study leading to certification as an educational leader. Eligibility for the principalship was first outlined in 1992 and only required certification through a special examination on educational administration, which focused on administrative and managerial leadership rather than educational leadership (Alava, 2008). The impact of Finland joining the European Union in 1995 prompted further change in educational administration as decentralization further strengthened local authorities’ oversight of education and, with it, oversight of the positions of teachers and principals, and greater ability to decide the principal’s tasks (Alva, 2008). The principalship acquired greater status as the role and tasks of principals expanded to meet the changes undertaking education to the point where it became viewed as a profession unto itself (Alva, 2008). Consequently, there was a recognized need by the government to better prepare principals and, in 1999, it brought forth the Teaching Qualifications Decree which stipulated certification through additional training in

educational administration. A formalized structure of preparation was recognized as necessary for becoming a principal. Preparation could be provided by local municipalities through professional learning opportunities, and by universities through course work and/or specific preparation programs; both avenues to be consistent with requirements set out by the National Board of Education.

Orientation towards formal socialization of principals as it pertains to a formal structure of leadership development is not evident in the documents examined for this exploratory study; government policies and legislation in support of an overall leadership development framework would appear to be non-existent and, thus, one could conclude that principal preparation is not viewed as a component within a broader structure of leadership or professional development. However, although a leadership development framework is not evident, the development of a qualifications framework, which is national in scope and relates to the European Qualifications Framework (EQF), is presented in documentation. In a report entitled, *National Framework for Qualifications and Other Learning*, the Ministry of Education (2009) set out a framework composed of eight levels that identified Finnish qualifications in terms of knowledge, skills, and competencies. As a regulated profession, “the Teaching Qualifications Act (Asetus opetustoimen henkilöstön kelpoisuusvaatimuksista 986/1998) lays down provisions on the qualification requirements for personnel in education” (Finland Ministry of Education, 2009, p. 94). Through an act of parliament, the qualifications stipulated in various statutes are to be compiled and placed in the National Framework; furthermore, “the statutes, decrees and instructions concerning qualifications and other certificates will also be revised” (Finland Ministry of Education, 2009, p. 3).

The Ministry of Education also proposes that the National Framework be extended, expressing the following:

The qualifications framework should be extended to cover all knowledge skills and competences. The primary focus should be on the broad courses of various administrative sectors that are not included in the qualifications system, but are often completed and have learning outcomes defined by a competent authority. These courses include, for example, those related to professional eligibility and competence and those aiming at developing and improving professional expertise. (Finland Ministry of Education, 2009, p. 4)

Within the formal structure of qualification, the socialization of principals is designed to occur within professional development offered by local municipalities, as well as by a recognized preparation program provided nation-wide. A formal Principal Preparation Programme is offered by the University of Jyväskylä through its Institute of Educational Leadership; the Programme first commenced in 1996. According to the University, this initial work towards Principal preparation prompted the legislature in 1998 to amend the qualifications for principal to include a reference to studies in educational administration through the university (University of Jyväskylä, 2011, *Developing principals' education since 1999* [Website]). In 1999, the Institute for Educational Administration was established to administer the Principal Preparation Programme. The preparation and training of future principals is deemed, by the university, to be the core work of the Institute, and, subsequently, that work has been extended to include an Advanced Leadership Programme aimed at graduates of the Principal Preparation Programme who also have three to five years of educational administrative experience (University of Jyväskylä Institute of Educational Leadership, 2011, *Developing principals' education since 1999* [Website]). Of particular interest is

that, in 2004, the University initiated and signed an agreement with the University of Kentucky in the United States to collaborate on the work of the Institute of Educational Leadership (University of Jyväskylä Institute of Educational Leadership, 2011, *Principles and educational philosophy of the Institute* [Website]) (see Appendix C, Table C5 for preparation programs identified in Finland).

The Principal Preparation Programme is designed around a central purpose pertaining to educational leadership and is expressed generally as the following: “to prepare participants for positions in educational administration”, as well as expressed more specifically: “provides eligibility for a principalship as stated in the eligibility qualifications of teaching personnel (Law 986/1998, §2), which refers to the studies of educational administration organized by the University (University of Jyväskylä Institute of Educational Leadership, 2011, *The Principal Preparation Programme (25 ECTS)* [Website, para. 1]).

The concepts derived from the purpose include the following:

1. Requirements (qualifications as a principal)
2. Positions (educational administration, principalship)
3. Leaders
4. Leadership

For these expressed purposes, there is an underlying theme pertaining to role: an individual is prepared for a position associated with the role of principal. As presented by the Institute, management and leadership are conveyed as the two areas that comprise the principal’s role and, thus, they form the basis of preparation in the Institute’s Programme

(University of Jyväskylä Institute of Educational Leadership, 2011, *Principles and educational philosophy* [Website]). Furthermore, there is an expressed philosophy of the Programme to develop a participant's professional orientation, which suggests a program design directed towards professional socialization.

The socialization of principals occurs within a formal preparation program provided by a post-secondary institution: the University of Jyväskylä. However, the program is designed to be a combination of theory and practice and, accordingly, the university partners with cooperative schools to offer a practicum component. The University of Jyväskylä Institute of Educational Leadership (2011), states the following:

The field practicum is one of the pedagogical innovations in the program. Its role is to guarantee the combination of theory and practice. During the practicum, the students visit the principals in the cooperative schools and familiarize with the practical tasks of a school leader. The system is possible due to the institute's extensive network of principals and cooperative schools.
(*The Principal Preparation Program – dialogue between theory and practice* [Website, Strong links to practice section, para. 3])

The field practicum affords the program participant with a socialization experience that is context specific and informs the participant of how the role is performed within a particular organization, lending it towards organizational socialization.

The formal orientation of socialization to the principalship is suggested by the structure and design of principal preparation programs, as revealed in the documents examined.

Proposition #2: Formal socialization to the leadership role of principal is sought in jurisdictions in preference to informal socialization.

Ashforth, Sluss, and Saks (2007) state that “the process of socialization has often been operationalized as either socialization tactics or newcomer proactive behavior” (p. 448). The former are formally oriented and are organizationally driven while the latter are individually oriented and informal in application. Formal socialization processes are associated with organizational socialization tactics, identified by Van Maanen and Schein (1979) as a bipolar set of six tactics. They are as follows:

- 1) collective vs. individual socialization processes;
- 2) formal vs. informal socialization processes;
- 3) sequential vs. random steps in the socialization process;
- 4) fixed vs. variable socialization processes;
- 5) serial vs. disjunctive socialization processes;
- 6) investiture vs. divestiture socialization processes.

Jones (1986) deemed these processes to be clustered into two opposing forms: 1) institutionalized socialization, comprised of the first tactic listed in the bipolar taxonomy, and 2) individualized socialization, comprised of the second tactic listed (p. 263).

Institutionalized tactics were structured, formal, and contributed to a developmental program; individualized tactics were unstructured, informal, and constituted less a program than an active personal approach to ‘sink or swim’ (Ashforth, Sluss, & Saks, 2007, p. 450). Proactive behaviors, also termed proactive socialization tactics, include feedback-seeking, information-seeking, socializing, networking, building relationships

with co-workers and members of the organization, and finding a mentor (Johns & Saks, 2008, Proactive Socialization section, para. 1).

Finding #2: Formal socialization is sought in preference to informal socialization.

United States (10 states studied).

In the United States, state governments and their respective departments of education appear to subscribe more to formal socialization than to informal when endeavoring to socialize individuals who aspire to the leadership role of principal. Institutionalized tactics are evident in the design and structure of principal preparation programs in the states explored. Collective socialization processes are indicated through the choice of a cohort structure in nine of ten states. Described as “the gold standard for leadership preparation in Alabama” (Schmidt-Davis, Busey, O’Neill, & Bottoms, 2010, p. 11), preparation programs within that state employ a cohort structure; however, for some programs, universities “continue to allow students to work toward their degrees outside of a cohort structure” (Schmidt-Davis et al., 2010, p. 11). Virginia’s programs may be of either design, as well. Washington State documents do not indicate the use of collective processes in the form of a cohort structure.

Segregation to a formal program occurs in all ten states, thereby providing a context employing formal socialization processes. Segregation occurs in concert with the cohort structure indicated for nine states. Informal processes in the form of individual networking are indicated as present in the states of Alabama, Kentucky, and South Carolina.

Eight of 10 states developed programs which have activities and experiences that are to be undertaken in a sequential order. Alabama has a three-part program which entails an observation phase, which is followed by participation, and, subsequently, by a leading phase (Schmidt-Davis, Busey, O'Neill, & Bottoms, 2010). Delaware's Leadership Project Program consists of a four phase process: a five-week Summer Intensive, followed by a 10-month Residency, which leads to a Planning Summer, culminating in a two-years phase of Coaching (Innovative Schools – The Center for School Innovation. (2011). Kentucky Principals Academy offers three modules that are completed in one-year (University of Louisville, 2011), while the Minnesota Principals' Academy has a curriculum that is presented in two phases (University of Minnesota, 2007). In South Carolina, program content builds on previous experience and other leadership programs (Brown, D. M. & Harris-Madison, R., 2009).

Fixed socialization processes coincide with sequential processes by incorporating a timeline in the program. Alabama has a two-year program with structured timelines (Alabama Department of Education, 2010). Delaware's Leadership Project Program has a 15-month duration (Innovative Schools – The Center for School Innovation, 2011), while the Kentucky Leadership Academy lasts one year (Kentucky Association of School Administrators, 2011). Arkansas (Arkansas Department of Education, 2010) and Pennsylvania (Pennsylvania Department of Education, 2008, [Website], Principal's induction program section) have two-year Principal Induction Programs. Virginia (Virginia Department of Education, 2008) and Washington State (Washington State Legislature, 2006) stipulate fixed timelines of 320 hours and 450 hours, respectively, for Principal Internships.

Eight of 10 states indicate that experienced principals serve in preparation programs as mentors. The use of experienced veteran principals supports serial socialization processes. Alabama's New Principal Mentoring Program (ANPM) provides an assigned mentor for "modeling, guidance, coaching, and encouragement in a one-on-one relationship" (Alabama Department of Education, 2010, Program Guide, p. 4). The program enables new principals to achieve "status as a new principal" and to "become more comfortable in the role of school principal" (Alabama Department of Education, 2010, Program Guide, p. 4). The mentor serves to "help the new principal speed his or her orientation to the job" (Program Guide, p. 5).

Documentary evidence for investiture socialization processes are not identified overtly. The presence of induction programs suggests that the new identity of principal is confirmed during the course of the induction period or phase, especially when it culminates in licensure, as in Louisiana (see Appendix E, Table E1 for identified use of organizational socialization tactics in the United States).

Canada.

In Canada, provincial and territorial governments, through their ministries or departments of education, appear to have a blend of formal and informal socialization when endeavoring to socialize aspiring principals to the leadership role of principal. In the design and structure of principal preparation programs, socialization experiences include the use of processes associated with institutionalized organizational socialization tactics.

Segregation to a formal program (Formal processes) is in place in five provinces (Manitoba, New Brunswick, Nova Scotia, Ontario, Saskatchewan) and is proposed in

Alberta, as well as in place in the three territories (Northwest Territories, Nunavut, and Yukon). Segregation occurs in concert with the use of cohorts to organize participants (Collective processes) in Manitoba, New Brunswick and Nova Scotia and has been suggested in British Columbia. University-school board cohorts in graduate learning have been remarked upon by the Education Professional Development Committee of Nova Scotia Education as having “enabled a blending of school-based needs with more theoretical knowledge from various disciplines” (Nova Scotia Education, 2009, p. 18).

Four of 10 provinces (Manitoba, New Brunswick, Ontario, and Saskatchewan) and one territory (Northwest Territories) have programs with program components taken in a sequential order (Sequential processes). The Peer Assisted Leadership Program in Manitoba consists of five sessions progressing from an orientation to the PAL General Framework – with introduction and expectations – through to a final report using the Framework (Manitoba Council for Leadership in Education, 2009). New Brunswick’s Principal Certification Program progresses from training, consisting of courses and modules, to qualify for an Interim principal certificate to a subsequent one-year practicum leading to a principal’s certificate (New Brunswick Department of Education, 2006). Ontario’s Principal Qualification Program has Part 1, Part 2, and culminates in a Practicum (Ontario College of Teachers, 2009). Northwest Territories Educational Leadership Program consists of two parts which are offered in alternating years (Northwest Territories Department of Education, Culture, and Employment, 2007). Saskatchewan has an annual workshop for teachers and prospective principals that provides information on the role of principal entitled, “Is the Principalship for You?”. For prospective principals, vice-principals, and teachers, there follows the Saskatchewan

Principals' Short Course. Saskatchewan school divisions are encouraged to create their own formal leadership development programs in which participants "move through a predetermined series of structured workshops..." (Loraine Thompson Information Services Limited, 2006, p. 37).

Programs with a set timeline (Fixed processes) can be found in three provinces. Manitoba's summer Leadership Institute is a week-long program consisting of 40 hours duration organized into four sections of 10 hours each: Organizational Leadership, Educational Leadership, Personnel (Building Capacity), and Instructional Leadership (Council of School Leaders of the Manitoba Teachers' Society, 2011). As well, the Peer Assisted Leadership Program has a set duration of three to six months to accommodate the practicum component in the participant's home community (Manitoba Council for Leadership in Education, 2009). The New Brunswick Educational Leadership Academy is a two-year course of training, coaching, and research (New Brunswick Department of Education, 2008), while the *Nova Scotia Instructional Leadership Academy* has a three-year Instructional Leadership Program leading to a diploma granted by the Department of Education (Nova Scotia Educational Leadership Consortium, 2009). Nunavut participants to the Educational Leadership Program include principals and vice-principals who "are expected to complete the on-site portions of the ELP during their first two years" (Nunavut Professional Development Committee, 2010, p. 4-2). A similar timeline exists in Northwest Territories for its Educational Leadership Program (Northwest Territories Department of Education, Culture, and Employment, 2007).

The use of mentors (Serial processes) to guide aspiring principals occurs in Alberta, British Columbia, Manitoba, New Brunswick, Ontario, and Saskatchewan. In

Ontario, school boards are required to provide mentors for newly appointed principals and vice-principals (Ontario Ministry of Education, 2010). Saskatchewan principals have acknowledged that an important way to learn about their work is through interaction with experienced colleagues (Saskatchewan Teachers' Federation, 2001). New Brunswick, as an element of its Principal Certification Program, has a mentor assigned to the candidate for the duration of its practicum component (New Brunswick Department of Education, 2006). The Government of Quebec, in a report regarding the preparation, induction, and support for high quality administrators in its English language schools made the recommendation (#62) that a province-wide mentoring program be implemented (Government of Quebec, 2009). Four of 10 provinces (Manitoba, New Brunswick, Nova Scotia, and Saskatchewan) make use of experienced school administrators to lead courses (Serial processes).

The presence of induction programs (investiture processes) as separate programs unto themselves are not evident in Canada. The need or preference for induction as a process is evident, however. Alberta Education, as part of its proposed *School Leadership Framework*, advocates education stakeholder organizations and institutions to include elements pertaining to “proposed requirements for effective school leader preparation, induction and professional development...” (Alberta Education, 2010, *Education Sector workforce planning*, p. 17). It sees school leader induction as “an essential element of school leadership development that bridges initial preparation and career-long practice” (Alberta: Education, 18 June 2010, *The Alberta School Leadership Framework*, p. 9). Manitoba's Peer Assisted Leadership Program requires superintendents of program participants to “coordinate arrangements with the participant for the shadowing and

mentoring release time” (Manitoba Council for Leadership in Education, 2009, p. 1) (see Appendix E, Table E2 for identified use of organizational socialization tactics in Canada).

Australia.

For the Commonwealth of Australia, state and territorial educational sectors, whether governmental or non-governmental, tend towards seeking a more formal socialization to the leadership role of principal. Socialization tactics of an institutional nature are evident in the design of principal preparation programs. Although descriptions of preparation programs in the various states and territories lack the use of the term, “cohort” in its reference to the organization of participants, collective processes are evident in the limited number of participants permitted in some programs, and the design of the program itself. In Queensland, collective processes were used in a state Principal induction program for newly appointed principals as there were two groups consisting of 26 and 20 principals; as well, the Catholic sector had a group of 16 principals complete its Leadership Foundations Program (Queensland Government, 2011, *Queensland annual report for 2010 (due 30 April 2011)*, p. 6), while 18 participated in the Future Principals Program of Independent Schools Queensland (Queensland Government, 2011, *Queensland annual report for 2010 (due 30 April 2011)*, p. 15). Tasmania’s state provided Aspiring Leaders Program (ALP): Leadership starts from within is organized to accommodate only 36 participants (Government of Tasmania Department of Education, 2011, *Aspiring Leaders Program (ALP) Leadership starts from within*), while the Shadowing Program for Aspiring Principals is organized for 20 (Government of Tasmania Department of Education, 2010, Shadowing program for aspiring principals);

the Principal Internship Program in Victoria accommodates five interns who collaborate in online tutorials (Bastow Institute of Educational Leadership, 2011), while the Principal Preparation Program has a cohort of 19 principal aspirants scheduled for 2011 (Government of Victoria, 2011, p. 6). For the Northern Territories proposed Leadership Program for remote aspiring, beginning, and accomplished principals, the expectation is for 20 participants (Northern Territory Government, 2010, *Northern Territory annual report for period ending 31 March 2010*, p. 10). In the State of Western Australia, the Department of Education's License to Leadership Program indicates the organization of participants into "executive teams based on your existing role or next career stage" (Western Australia Department of Education, 2011, *Institute for professional learning: License to leadership* [Website], license to leadership section). In New South Wales, the Principal Capabilities Program is designed to have principals participate in small teams (New South Wales Department of Education and Training, 2006, *Professional learning and leadership development directorate – School leader programs: Principal Capabilities Program* [Website], About the process section). For some preparation programs, such as the Association of Independent Schools of South Australia's Leadership Program, collective processes are not in evidence as participants are able to individually select and attend any of the nine offered workshops or eight presentations (Government of South Australia Department of Education and Children's Services, 2010, p. 12). However, the program does recommend particular workshops for aspiring principals (Workshops 1, 2, 3, & 9) and others for experienced principals (workshops 3-8 inclusive), thereby attempting some semblance of collective grouping of participants (Association of Independent Schools of South Australia, 2010, p. 5).

Formal processes are evident in the presence of specific programs offered by the state and non-state sectors such that segregation to the program occurs. Rather than offering informal leadership sessions on a stand-alone basis, workshops, presentations, and in-school projects are organized into formal programs specifically targeted to aspiring leaders, aspiring principals, newly appointed, or experienced principals. These programs have been identified previously in the Findings of Proposition #1 of this exploratory study.

In providing formal preparation programs for individuals aspiring to the principalship, additional processes associated with the content dimension of institutionalized tactics are employed. Fixed processes, in which a timeline is given, are found in South Australia in the AISSA Leadership Program (10 set days over the course of one year) and the state offered QSchool for Aspiring School Leaders Program (one year, with specific days for professional learning, and online and follow-up support); in the Tasmanian state programs ALP Leadership Starts from Within (four specific days in April, May, and August) and the Shadowing Program for Aspiring Principals (one year), as well as the Catholic sector's re:th!nk Aspiring to Principalship Program (two years); in the state of Queensland Independent Schools sector, the Future Principals Program (two-years); in Victoria, the Mentoring for first time principals (one year); in New South Wales, there are the Principal Preparation Program (two years) and the Principal Induction Program (18 months). Sequential processes also coincide with fixed processes by including content presented in an order. These programs include the following in South Australia: the AISSA Leadership Program with nine workshops and eight complementary presentations, commencing with the role and expectations of an

independent school principal, followed with developing participant's leadership style, on through human resource leadership to other topics, and culminating in the Media and Schools (Association of Independent Schools of South Australia, 2010, p. 5); in Tasmania: The Shadowing Program for Aspiring Principals with selection, establishment, enacting, and concluding phases (Government of Tasmania Department of Education, 2010, *Shadowing program for aspiring principals*, p. 2), and the re:th!nk Aspiring to Principalship Program with four terms covering data collection, action plan development, further data collection, and review, and another four terms covering action plan development, principal shadowing, and review (Catholic Education Office Melbourne, 2011, *Leadership continuum – Aspiring to principal program* [Website], Commitment sections); the “License to Leadership Program” which follows an approach to professional learning that progresses from knowledge to modeling, then practicing and peer coaching (Western Australia Department of Education, 2011, *Institute for professional learning: License to leadership* [Website]). The Principal Internship Program consists of three phases: Preparation, Field Work, and Debrief and Career Planning (Bastow Institute of Educational Leadership, 2011).

Formal socialization to the role of principal also is sought through processes associated with the social aspects dimension of institutionalized tactics. Serial processes are used to support socialization through the use of veterans as role models to engage with aspiring and beginning principals. All states and in one of the two territories, experienced principals, either currently working or recently retired, act as mentors and coaches and are assigned to a program participant. Documentary evidence for investiture or divestiture socialization processes is not identified overtly. However, in the Australian

Capital Territory, the Department of Education and Training does note, in its Professional Learning Policy (2009), that the Department will arrange for the induction of all teaching and administrative staff, clarifying in its definition section that ‘induction’ refers to the “process which facilitates effective transition of new staff members into new employment” (ACT Department of Education and Training, 2009, p. 2) (see Appendix E, Table E3 for identified use of organizational socialization tactics in Australia).

It should be noted that informal socialization is present as well in the form of proactive behaviors. Most notably, there is a propensity to incorporate the opportunity for aspiring principals to network with others in order to enhance their leadership skills. Networking is mentioned in programs in New South Wales, Queensland, Tasmania, Western Australia, Independent Schools Queensland indicates that its principal programs have a strong emphasis on networking. An opportunity for feedback seeking is a feature of the Principal Internship Program of Victoria: “Self-assessment and the provision of feedback from peers and other program personnel also feature strongly” (Bastow Institute of Educational Leadership, 2011, p. 3).

England.

In England, through programs offered by the National College for School Leadership and Children’s Services, formal socialization is sought. Institutionalized tactics are evident in the design of leadership development which entails a range of programs that incrementally prepare individuals on a pathway to headship or principalship. Formal programs exist which segregate individuals according to their current position along the pathway. Hence, teachers who are ready to prepare as outstanding subject or middle leaders may participate in the Teaching Leaders

Programme while those ready to progress to leadership positions in challenging schools may participate in the Future Leaders Programme (United Kingdom Department of Education, 2010). For deputy or assistant head teachers who aspire to headship within one to two years, there is the Leadership Pathways Programme which helps to fulfill participants' leadership potential relative to their current role, as well as to develop skills needed to assume the role of head teacher (National College for School Leadership, 2011, Who is leadership pathways for? section). The programs are presented as a sequential process of preparation leading towards participation in the National Professional Qualification for Headship (NPQH) Programme, a state requirement for attaining headship or principalship. Subsequent to the NPQH, there is the Head Start Programme which provides induction support for newly appointed head teachers and principals. Though leadership development is sequential in its design through the provision of programs, completion of a program does not guarantee automatic access to other programs as application procedures are in place to adjudicate readiness to participate.

Socialization tactics are evident in programs of preparation in England. The National Professional Qualification for Headship (NPQH) Programme utilizes formal processes, by segregating participants to a designated program, and collective processes, by using a loose cohort structure such that peer learning occurs with other trainees in a regional context; yet opportunities do exist for making contact with others through online avenues of communication (National College for Leadership of Schools and Children's Services, 2010). The Program engages sequential processes with stages associated with entry, development, and graduation. Fixed processes, too, are a component of the Program through the requirement of participants to graduate within 12 months of their

Regional Introductory Day (National College for Leadership of Schools and Children's Services, 2010). The NPQH employs veterans as role models through the provision of work placements whereby the participant works closely with a school head teacher to "receive structured support and guidance from them, helping you to learn real, relevant skills on the job" (National College for Leadership of Schools and Children's Services, 2010, p. 7). This use of serial processes also entails the provision of a specialist National College verified coach who is often an experienced head teacher as well. The process of investiture is clearly indicated due to the entry requirement of applicants providing evidence of "current expertise and experience across the six key areas of the National Standards for Headteachers" (National College for Leadership of Schools and Children's Services, 2010, p. 5), as well as the graduation requirement of providing a portfolio of evidence of developed "levels of knowledge, understanding and confidence" assessed by a Graduation Board (p. 9).

The Associate Academy Principal Programme (AAPP) indicates the use of formal and collective processes as program participants are segregated and are organized into a cohort structure (National College for School Leadership, 2011, *Professional development-Associate Academy Principal Programme*). Sequential and fixed processes are evident: six face-to-face development sessions are given over a timeline of 10 months. Experienced principals serve as mentors to aspiring principals through the latter's placement in a local academy for practicum requirements, thereby using serial processes. Placement is tailored to be similar to the participant's current context and situation.

Both Future Leaders and Tomorrow's Heads Programmes use formal and collective processes, as well as sequential and fixed processes. Serial processes are present in Future Leaders as the participant apprentices under an experienced head teacher. Disjunctive processes are suggested with regards to the Tomorrow's Head Programme as a College advisor is assigned to each participant, but no indication is given as to whether or not the advisor is an experienced head teacher.

Informal socialization tactics are indicated for the Leadership Pathways Programme which has individual processes in place of collective as participants have the opportunity to plan their own pathway through the program. As well, proactive behaviors are required on the part of the participant who must identify an in-school coach prepared to work with the candidate throughout the course of the program (National College for School Leadership, 2011, *Professional development: leadership pathways – Who is leadership pathways for?*). If no coach is found, the individual is unable to participate in the program. Leadership Pathways does not require its participants to have qualified teacher status, though it is preferred, nor does it serve as a pre-requisite for the National Professional Qualification for Headship Programme (National College for School Leadership, 2011, *Professional development: frequently asked questions for leadership pathways*) (see Appendix E, Table E4 for identified use of organizational socialization tactics in England).

Finland.

In Finland, the National government, through its Ministry of Education and the National Board of Education, provides no clear indication that formal socialization to the leadership role of principal is sought in preference to informal socialization. The

provision of education is decentralized and, with it, responsibility for the provision of professional development. Yet, the qualification for becoming a principal is designated through legislation and requires education providers to arrange additional preparation through formal training. As the Ministry of Education reports, “education providers offer leadership and administration training to principals or those intending to become principals” (Ministry of Education, 2007, p. 30). This requirement of formal training lends the appearance of a preference for formal socialization.

The Qualification Decree, as it applies to the principalship, does indicate an exception to the requirement of training, namely, for the individual to have “adequate familiarity with educational administration” (Ministry of Education, 2007, p. 38); however, the Decree suggests, by preferential order of options, that formal training is required. It states the following:

A certificate in educational administration complying with the requirements approved by the National Board of Education, studies in educational administration provided by a university, equalling to no less than 25 ECTS credits or 15 credit points, or adequate familiarity with educational administration attained otherwise. (Ministry of Education, Finland, 2007, p. 40)

In Finland, formal training in educational administration is available through a country-wide principal preparation program that is provided through the Institute of Educational Leadership at the University of Jyväskylä. As indicated by the University, their work on developing and offering the program resulted in the government amending its qualification legislation in 1998 to include the reference to university studies (University of Jyväskylä Institute of Educational Leadership, 2011); this too suggests that formal socialization is sought in preference to informal. Documents pertaining to this principal preparation program indicate the use of socialization processes associated with

Jones' (1986) institutionalized form of Van Maanen's and Schein's (1979) organizational socialization tactics.

Context processes are evident in the use of formal and collective processes: aspiring principals are segregated to a 25 ECTS credit program in which “the cohort of students grows and learns together” (University of Jyväskylä Institute of Educational Leadership, 2011, [Webpage], Strong links to practice section).

Content processes are employed through a fixed timeline of one and a half years (fixed processes), during which theory and practice are combined. A practicum component is included which entails program participants, organized into groups of four to six students, visiting an assigned collaborative school five times over the course of a year to become familiar with the work of the principal (University of Jyväskylä, 2011).

Experienced principals, who are engaged in doctoral studies, serve as tutors, effectively acting as role models (serial processes) for the program's participants. Experienced principals, who are shadowed through the practicum component, also act as role models. Together, tutors and collaborative principals may serve investiture or divestiture processes, depending on the background of program participants as current teachers or assistant or deputy principals.

In regards to informal socialization, one proactive behavior that is prevalent in Finland is networking, which is considered an important element of principal preparation because of the support provided by professional networks (Ministry of Finland, 2007). A second proactive behavior is the use of personal initiative to pursue additional studies. (see Appendix E, Table E5 for identified use of organizational socialization tactics in Finland).

Proposition #3: Formal preparation programs are designed to convey the knowledge, skills, and attributes required to perform the leadership role of principal.

Professional socialization is concerned with learning the knowledge, skills, and dispositions required to become a member of a profession (Hart, 1991). For Crow (2007), it entails learning the knowledge, skills, and values that are necessary to carry out the role of principal, regardless of context. Organizational socialization, according to Hart (1993), involves learning the knowledge, values, and behaviors required for a particular role within a particular organizational context. Orr (2006) sees the socialization of educational leaders conceptualized as a composite of both professional and organizational socialization.

Finding # 3: Formal preparation programs are designed to convey knowledge, skills, and attributes, as well as behaviors.

United States (10 states studied).

The question arises as to whether socialization to the role of principal in preparation programs is either professional or organizational in its intent. This study found that in the United States a dual orientation is present. This is conveyed in the design of preparation programs through elements of program content. Professional socialization is intended to help individuals become members of a profession. Content is concerned with learning the knowledge, skills, and dispositions necessary to fulfill the professional role (Heck, 1995). Organizational socialization is intended to help individuals become members of an organization. Content is concerned with knowledge, values, and behaviors conducive to fulfilling an organizational role (Hart, 1991).

Predominantly, preparation programs in the United States, for the 10 states studied, tend to content concerning knowledge, skills, and dispositions, hence an orientation towards professional socialization. Yet, for half of the states, the trait of behaviors is cited, an acknowledged element of organizational socialization. Alabama, alone amongst the 10 states explored, openly identifies values and norms, elements also identified with organizational socialization, as program content (see Appendix F, Table F1 for identified program content pertaining to role in the United States).

Canada.

In Canada, the principalship is identified in provincial and territorial legislation such as a *School Act* or *Education Act*. In such legislation, the duties and responsibilities of the principal are stated while it is rare for the qualifications of the principal to be so stated other than to indicate whether or not certification as a principal is required over and above certification as a teacher. Yet, as it is noted in Saskatchewan, the principalship “is a vital element in the effective functioning of our education system, and consequently, it is important that the role of the principal be consistent, transparent, well understood, and well supported across the province” (Brooks & Piot, 2003, p. 4). The means to attaining consistency, transparency, understanding, and support is through education and training which addresses the role of principal to individuals who aspire to the position. However, the role of principal is not singular in its conception, as if there is a singular purpose with corollary responsibilities. This point is recognized in the document, *A Significant Journey: A Saskatchewan Resource for the Principalship (2003)*, which states the following: “In reality, principalships are flexible and responsive to variations in context, and there are marked differences in the specific functions, obligations and duties

that Saskatchewan principals undertake to serve students and support others within the education system” (p. 4). Consequently, the education and training received in principal preparation programs may be varied as they respond to context. What prospective principals may be required to learn in order to effectively perform the leadership role or roles of principal may be similar in some respects, but different in others. Formal principal preparation programs are designed accordingly.

In Canada, preparation programs in five of the ten provinces – Alberta, British Columbia, Manitoba, Nova Scotia, and Ontario – and in two of the three territories – Northwest Territories and Nunavut – are designed to convey the knowledge and skills required to perform the leadership role of principal. For the remaining provinces, with the exception of Quebec, documentation indicating whether or not knowledge, skills, and attributes are taught has not been found by this researcher. With regard to Quebec, the Ministry of Education’s (2008) document, *Training in the Administration of an Educational Institution*, refers to the development of practical knowledge. In addition to knowledge and skills, each province and territory provides an additional content area – or, indeed areas – deemed important to performing the role of principal in their respective environments.

Dispositions – the third element, along with knowledge and skills, in the learning content associated with professional socialization – is mentioned only in the provincial documents pertaining to principal preparation in Nova Scotia where the following is stated: “The department lead the development of a comprehensive instructional leadership program to be ... focussed on developing principals’ deep knowledge about teaching and learning, with the skills and dispositions to facilitate situated leadership for

instructional improvement in schools” (Nova Scotia Education, 2009, p. 42). Values and behaviors – the two elements, along with knowledge, in the content associated with organizational socialization – are mentioned only in the Northwest Territories; norms and behaviors are identified in Ontario.

Competencies is an area identified in five provinces: Alberta, Manitoba, Nova Scotia, Ontario, and Quebec, as well as in Northwest Territories. Quebec sees a reference framework of competencies based on the “functions and powers conferred on school principals and vice-principals by the legal framework” (Government of Quebec, 2008, p. 27). Alberta identifies attributes along with knowledge and skills, while British Columbia mentions qualities together with knowledge and skills.

The three territories are unique and distinguish their principal preparation programs with the inclusion of culture as an area required in the education and training of its aspiring and practicing principals. In the “Background Papers” section of the Yukon Government’s (2008) *Education Reform Project Final Report*, information is provided that is relevant to the inclusion of culture:

The central, sustaining feature of Yukon First Nations’ culture and society is their relationship to the land and its resources. Their entire belief system centres on this physical and spiritual connection. Knowledge of the land and its resources was essential to survival. This knowledge of the land is an important feature of the Yukon First Nations’ cognitive perception. Traditional knowledge, according to Cruikshank (1990) requires meticulous and detailed retention of information about the land, animal behaviour and patterns, and the use of trails without maps. (Government of Yukon, 2008, p. B.3)

Western schools generally have a different, more rigid approach to teaching. Textbooks and other resources deliver homogenous information to students. The ideology and values that schools perpetuate are often not congruent with those espoused in First Nations communities. (Government of Yukon, 2008, p. B.4)

In response, the *Education Reform Project* recommends that school administrators be given courses to promote cultural learning.

Both Nunavut and the Northwest Territories have the “Educational Leadership Program” which is jointly offered by the Nunavut Department of Education and the Northwest Territories Department of Education, Culture and Employment (Government of Northwest Territories, 2001). Each phase of the “Educational Leadership Program” has an on-the-land component that provides participants the opportunity to become immersed in a cultural, group-living experience (Nunavut Professional Improvement Committee, 2010). Furthermore, the program in Nunavut “teaches essential educational leadership knowledge and skills through the lens of Inuit Qaujimajatuqangit principles, bringing light and vision to the future of education in Nunavut” (Nunavut Professional Improvement Committee, 2010, p. 4-1).

In the Northwest Territories, the *Dimensions of School Leadership* specifically addresses culture in the third dimension by expressing the following: “3. *Culturally Responsive School* - The principal understands a firm grounding in tradition and culture is important to the development of a healthy school community and is a key to student success” (Northwest Territories Department of Education, Culture, and Employment, 2009, p. 4) (see Appendix F, Table F2 for identified program content pertaining to role in Canada).

Australia.

In the Commonwealth of Australia, formal preparation programs are designed to convey content which enables an individual to perform the leadership role of principal.

Such content is not uniform across Australia as programs within each state and territory reflect what is considered locally to be of relevance or importance to performing the principal role.

In New South Wales, the state Principal Preparation Program is designed to facilitate skill development in those individuals who aspire to the principalship (New South Wales Department of Education and Training, 2006, *Professional learning and leadership development: 2006 Principal Preparation Program* [Webpage]), while the Principal Induction Program is designed to facilitate increased capacity in beginning principals with regard to performing the leadership and management role, to leading change for improved student outcomes, and to using reflection as a tool to improve school leadership (New South Wales Department of Education and Training, 2006, *Professional learning and leadership development – Principal Induction* [Webpage]). In addition, induction includes the conveyance of knowledge pertaining to strategies and resources, as well as to leading change. The Principal Capabilities Program is concerned with ensuring that principals understand the capabilities that comprise the *School Leadership Capability Framework* which informs the leadership role of principal in New South Wales (New South Wales Department of Education and Training, 2006, *Professional learning and leadership development – Principal Capabilities* [Webpage]).

In Queensland, as it is in New South Wales, preparation programs convey what is deemed to be of importance by the educational institution that sponsors the program. Independent Schools Queensland, in its Future Principals Programme, seeks “to develop leadership and management skills to lead a 21st Century school”, but then also refers to

developing leadership and management capabilities (Queensland Government, 2011, pp. 15-16). The New Principals Programme supports new principals in their first three years of the appointment by focusing on the principal role relevant to developing positive collegial relationships (Queensland Government, 2011, p. 17). Independent Schools Queensland also identified knowledge, skills, and practices. For the state sector, the Pathway to the Principalship Programme (referred to as ‘Take the Lead’ internally) provides “structured professional learning opportunities to develop their skills and capabilities as a high-performing teaching principal” (Queensland Department of Education and Training, 2011, Professional development bulletin, Edition 4-2011, p. 5).

Victoria’s Principal Internship Programme conveys leadership knowledge and skills and the “Mentoring for first time principals” program addresses knowledge, skills, and dispositions. Western Australia’s License to Leadership Programme speaks to knowledge and skills, as well as developing “a deeper understanding of the practices and complexity of the leadership role” (Western Australia Department of Education, 2011, *Institute for professional learning: License to leadership* [Website]). Knowledge, skills, and competencies which enhance the role of principal are conveyed through the School Leader Induction Programme (Western Australia Department of Education, 2011, *Institute for professional learning: School leaders induction* [Website] Description section). It is interesting to note that competencies are considered to be generic and, thus, applicable to disparate contexts, which suggests learning content associated with professional socialization. The Leadership Framework, which serves to guide preparation programs, identifies professional values, knowledge, attributes, and skills as essential to all school leaders and, too, generic in application (Western Australia Department of

Education, 2011, *Institute for professional learning: The leadership framework* [Website] What is the leadership framework? section).

The Australian Capital Territory designs its professional development to “empower principals to better manage their schools to achieve improved student results” (Australian Capital Territory Government, 2009, p. 6). A *Professional Learning Policy* developed in 2009 informs professional development and states that “all staff members will undertake ongoing professional learning that develops their skills, knowledge and understandings” (Australian Capital Territory Department of Education and Training, 2009, *Professional learning policy*, p. 1). A reference to ensuring instructional leadership capacity across the state school system, by preparing school leaders, is found in the territory’s *Strategic Plan for 2010-2013: Everyone Matters* (Australian Capital Territory Department of Education and Training, 2010).

An endeavor in the Northern Territory with regard to state schools is to target aspiring and current school leaders through leadership programs which have “a particular emphasis on developing the skills and knowledge necessary to lead school improvement in remote and challenging contexts” (Northern Territory Government, 2011, p. 14). Regarding Catholic schools, they too seek to improve student outcomes: by building school leader capacity. As well, they raise an awareness pertaining to the Northern Territory principalship: “School leaders in remote contexts have a variety of roles and responsibilities – over and above those expected in other contexts” (Northern Territory Government, 2011, p. 14). Accordingly, indigenous cultural contexts are an element of leadership learning: aspiring principals must develop cultural awareness by learning about indigenous students.

Overall, principal preparation programs are designed to convey both a sense of the leadership role, especially as it relates to improving student outcomes, and the essential elements that contribute to the role, such as knowledge, skills, and understandings. For the Northern Territory, an essential element is cultural awareness. As indicated earlier, content is not uniform across the jurisdiction of Australia as programs within each state and territory reflect what is considered locally to be of relevance or importance to performing the principal role, such as cultural awareness of indigenous peoples in the Northern Territory. However, an effort to provide greater uniformity with regards to defining the essential elements of the principal's role has been undertaken and has resulted in a document identifying a principal standard. The document, *National Professional Standard for Principals (2011)*, is available to inform the content of principal preparation programs in all states and territories of Australia (see Appendix F, Table F3 for identified program content pertaining to role in Australia).

England.

In England, formal preparation programs are designed to convey content which enables an individual to perform the leadership role of head teacher or principal. In program documents, content is not clearly indicated to consist of knowledge, skills, and attributes – the capabilities associated with professional socialization (Hart, 1991) – nor the variant of knowledge, values, and behavior – the capabilities associated with organizational socialization (Hart, 1991). The capacities of aspiring head teachers and academy principals are referred to more often in general terms rather than specific. Leadership Pathways is described as a program to develop leadership potential and “to develop the skills you’ll need to take on the role of headteacher in the near future”

(National College for School Leadership, 2011, *Leadership pathways: Who is leadership pathways for?*, para. 1). The Associate Academy Principal Programme conveys “a more in depth understanding of the role, and the practical experience and skills they need to become a principal” (National College for School Leadership, 2011, *Key facts: Associate Academy Principal Programme*, p. 1). Tomorrow’s Heads Programme is “designed to develop the skills you need to become a headteacher” (National College for School Leadership, 2011, *Tomorrow’s heads programme details*, para. 1), while Future Leaders is designed “to develop the skills and vision to make a lasting difference...” (National College, 2011, *The Future Leaders Programme*, para. 5). The National Professional Qualification for Headship Programme enables its participants “to learn real, relevant, skills on the job” (National College for Leadership of Schools and Children’s Services, 2009, p. 7), and to develop “knowledge, understanding and confidence” (p. 9). Overall, the capability of ‘skill’ is cited most frequently in program information (see Appendix F, Table F4 for identified program content pertaining to role in England).

Finland.

In the jurisdiction of Finland, national legislation provides a general statement on the requirement of each school to have a principal and describes a principal’s tasks broadly (Ministry of Education, Finland, 2007). Content pertaining to principal preparation is not uniform across Finland due to the devolution of power and responsibilities for education to local authorities who serve as education providers. Education providers may determine what training or professional development they may provide to educational personnel – and to what extent.

A formal preparation program is provided by the Institute of Educational Leadership at the University of Jyväskylä; (exploration of other university websites found no indication that principal preparation programs are currently being provided, nor is there an indication that they have been in the past). A program outcome of the Principal Preparation Programme at the University of Jyväskylä is to develop a professional orientation through theoretical studies and practice (University of Jyväskylä Institute of Educational Leadership, 2011, *Principles and educational philosophy* [Webpage]). A professional orientation suggests a program design relevant to professional socialization and a focus on learning the knowledge, skills, and dispositions that Hart (1991) associated with membership in a profession, or additionally a focus on learning the knowledge, skills, and values Crow (2007) discerned necessary to carry out the principal role. Accordingly, the Institute of Educational Leadership denotes the content of its Principal Preparation Programme, as well as the Advanced Leadership Programme, to be focused on the areas of management and leadership. Area content includes a reference to knowledge, norms, and building a values-based foundation (University of Jyväskylä Institute of Educational Leadership, 2011, *Principles and educational philosophy* [Webpage]). This finding supports the proposition that the formal Principal Preparation Program offered country-wide in Finland is designed to convey knowledge, skills, and values and, thus, enables the professional socialization of aspiring principals to occur (see Appendix F, Table F5 for identified program content pertaining to role in Finland).

Proposition #4: Jurisdictions endeavor to identify or codify the knowledge, skills, and attributes associated with the leadership role of principal.

As the Literature Review on the evolving role of the principalship revealed, the term ‘role’ means “a function assumed by someone” (*Webster’s New World Dictionary and Thesaurus*, 1996). The role of principal is multi-faceted, addressing the managerial, organizational, and instructional components of leadership and, thus, is multi-faceted in the functions performed. Hallinger and Heck (1996) consider the enactment of the role, and by extension the functions associated with it, to be influenced by personal characteristics (traits or attributes) such as values, beliefs, gender, and prior teaching experience. Enactment, too, is influenced by the individual’s leadership capacity – the extent to which knowledge and skills have been learned – and conduct – the extent to which desired and expected behaviors have been learned. To ensure that preferred outcomes arise from the functions performed in the principal role, jurisdictions may choose to identify the knowledge, skills, attributes, behaviors, values, and beliefs associated with them, and set them as criteria (established and accepted levels of achievement) to be met. These criteria, then, are codified as ‘Standards’. This endeavor is exemplified in a presentation on the Arkansas Smart Leadership Initiative which stated that “Standards provide high-level guidance and insight about the **traits, functions of work, and responsibilities** expected of school and district leaders (Gunter, 2008, slide 12, *Arkansas Smart Leadership Initiative*, italics and bold print in original). Standards, thus, may serve as a framework for the design of preparation programs.

Finding # 4: Knowledge, skills, and attributes are codified into Standards by jurisdictions.

United States (10 states studied).

In the jurisdiction of the United States, the knowledge, skills, and attributes that are associated with the leadership role of principal have been identified at the national and state levels and are expressed as a set of standards. Commencing with the *Interstate School Leaders Licensure Consortium (ISLLC): Standards for School Leaders* (1996) document, the Council of Chief State School Officers sought to develop a framework at a national level that could be adopted at the state level. In the document Preface, the Council declares the following:

Formal leadership in schools and school districts is a complex, multi-faceted task. The ISLLC standards honor that reality. At the same time, they acknowledge that effective leaders often espouse different patterns of beliefs and act differently from the norm in the profession. (Council of Chief State School Officers, 1996, p. 5)

The Council recognized that it was necessary to develop “a redefined portfolio of leadership skills for school administrators” (p. 6). The ISLLC standards were to present a common core of knowledge, dispositions, and performances that could help link leadership with productive schools. The Council “believed that the standards approach provided the best avenue to allow diverse stakeholders to drive improvement efforts along a variety of fronts — licensure, program approval and candidate assessment” (Council of Chief State School Officers, 1996, p. 7).

In 2007, the standards were updated and renamed the *Educational Leadership Policy Standards: ISLLC 2008*. As before, the purpose of the standards was to provide “guidance to state policymakers as they work to improve education leadership

preparation, licensure, evaluation, and professional development” (Council of Chief State School Officers, 2008, p. 1). However, unlike the previous document which identified ‘knowledge, dispositions, and performances’, as the content of standards, the updated version presents ‘functions’ that are to be performed by an education leader. This would appear to bring the standards in closer alignment with the definition of role as a function assumed by someone (*Webster’s New World Dictionary and Thesaurus*, 1996). What the leader has knowledge of, believes in and values, and demonstrates through performance, changes to a focus on what the leader does.

At the state level, standards have been adopted for school leaders by all of the 10 state examined in this exploratory study. Some states (Alabama, Delaware, and Washington) adopted the ISLLC Standards (1996) or adopted them with some modifications (Kentucky, Pennsylvania), while others developed their own (Minnesota). Some states (Alabama, Arkansas, Louisiana, South Carolina, Virginia) have adopted standards that align with the Educational Leadership Policy Standards: ISLLC 2008. Of the 10 states examined in this exploratory study, six states – Arkansas, Kentucky, Louisiana, Minnesota, South Carolina, and Virginia – address functions in the content of their leadership standards; three of the other four continue to address knowledge, dispositions, and performances, while one – Pennsylvania – addresses knowledge, competencies, and performances.

Though there has been a trend towards identifying the functions associated with the role of educational leader, there is still an inclination to address performance. This tends to manifest itself within a preparation framework that includes candidate assessment for certification or licensure as a building administrator or principal, or

performance evaluations for existing principals. This is evident in the State of Virginia and is articulated in the document entitled, *Advancing Virginia's Leadership Agenda Guidance Document: Standards and indicators for school leaders and documentation for the principal of distinction (level II) administration and supervision endorsement*, which states the following: "They describe the functions of the position that can be used to judge the effectiveness of principals and focus assessment efforts on self-growth, instructional effectiveness, and improvement of overall performance" (Virginia Department of Education, 2008, p. 9). The Arkansas Department of Education expressed the same sentiment, stating that "The standards are used...for informing and evaluating programs of study leading to school administrator licensure, and they are also valuable for administrator induction programs, administrator performance evaluation and ongoing leadership development" (Arkansas Department of Education, 2008, p. 1).

The adoption of standards for educational leaders, in general, and principals, specifically, provides a basis on which to design or align principal preparation programs, as a basis for attaining certification, as well as for ongoing evaluation of principal performance (see Appendix G, Table G1 for identified Standards associated with the role of principal in the United States).

Canada.

In Canada, the approach taken by provinces and territories is towards a codification of knowledge and skills associated with the leadership role of principal. However, the approach appears not to be universal as the acceptance and use of standards have not been found in the provinces of Manitoba, New Brunswick, Newfoundland and Labrador, Prince Edward Island, and Quebec, or in the territories of Nunavut or Yukon.

The Atlantic provinces of New Brunswick, Newfoundland and Labrador and Prince Edward Island appear to be on the cusp of a change as the Council of Atlantic Ministers of Education and Training, in a press release dated January 24th, 2011, identified a forthcoming new resource pertaining to leadership standards. Entitled, *Standards of Practice for Educational Leaders: A Guide for Leadership Development, Growth and Professionalism (2011)*, the document's content is described in the press release and is given as follows:

This is a set of standards of practice and competencies for educational leaders that reflects the ideals for aspiring and practising school principals and vice-principals. These standards describe the knowledge, skills, competencies and values that reflect a continuous growth toward excellence in leadership. (Government of New Brunswick, 2011, [News Release 24 January, 2011], para. 11)

At the provincial level, standards have been adopted, or are in the process of being adopted, for school leaders by Alberta, British Columbia, Saskatchewan, Ontario, and Nova Scotia; at the territorial level, they have been adopted in the Northwest Territories.

Alberta developed the *Principal Quality Practice Guidelines (2009)* consisting of seven leadership dimensions with supporting descriptors. Recommendation 76 of the government's Alberta Commission on Learning (2003) called for a set of standards that identified the knowledge, skills, and attributes required of principals. The leadership dimensions and the descriptors are "to be used as a basis for many activities including: principal preparation and recruitment, principals' self-reflection and daily practice, principals' initial and ongoing professional growth and principal supervision, evaluation and practice review" (Alberta Education, 2009, p. 3).

In British Columbia, Leadership Standards for Principals and Vice-Principals in British Columbia (2007) were developed by the British Columbia Principals' and Vice-

Principals' Association standards committee. There are nine standards organized into four domains which describe actions to be undertaken. The standards are not mandated by the provincial government, but the document "provides a framework to assist in understanding the knowledge, skills, and qualities required to carry out the responsibilities of a school leader" (BC Principals' and Vice-Principals' Association, 2007, p. 2). According to the document, as a framework, it may be used for the planning of personal growth as a principal or for the design of leadership development programs.

Saskatchewan provides a listing of six Dimensions of the Principal's Role, but does not provide accompanying standards, descriptors, or practices.

Ontario has produced a *Leadership Framework for Principals and Vice-Principals (2008)* which identifies Leader Practices and Competencies. There are five practices, consisting of actions, behaviors, and functions, as well as five competencies consisting of knowledge, skills, and attitudes.

Nova Scotia has *Instructional Leadership Standards (2009)* which consists of seven standards and their accompanying knowledge, skills, and competencies.

In the Northwest Territories, the document, *A Guide to Principal Practice: Principal Growth and Evaluation in the Northwest Territories*, contains section 2, *Dimensions of School Leadership in the Northwest Territories*, which identifies 11 standards organized into four dimensions (Northwest Territories Department of Education, Culture, and Employment, 2009). The standards address knowledge, skills, values, and behaviors required of its principals. It also adds culture as an element of awareness and professional practice required of principals in a northern environment.

There is a trend towards identifying aspects of professional practice associated with the leadership role of principal and codifying them into standards (British Columbia, Nova Scotia, and Northwest Territories; proposed for New Brunswick, Newfoundland and Labrador, and Prince Edward Island) or into dimensions (Alberta and Saskatchewan) or as practices (Ontario) (see Appendix G, Table G2 for identified Standards associated with the role of principal in Canada).

Australia.

The Federal Government of the Commonwealth of Australia has recently embarked on a national reform initiative in education to address standards for principals. In January 2010, the Government created the Australian Institute for Teaching and School Leadership (AITSL) “to provide national leadership for the Commonwealth and state and territory governments in promoting excellence in the profession of teaching and school leadership” (Dinham, 2011, p. 2). The AITSL initiative arises from a recognition on the part of educators that school leadership is of major relevance to student learning and achievement and, thus, to school effectiveness. In the *Final Report (July 2011) of the Pilot study to test the exposure draft of the National Professional Standard for Principals*, the following viewpoint is expressed concerning this relevance:

Today, leadership is seen as central and essential to delivering the changes, improvement and performance that society increasingly expects of all organisations, including schools. What has become clear is that leadership, including educational leadership, is a more contentious, complex, situated and dynamic phenomenon than previously thought. (Dinham, 2011, p. 4)

Clarity in discerning the current state of educational leadership, and the recognition of its centrality and essentialness to performance and improvement in

schools, gives rise to an endeavor to clarify the leadership role of principal. As noted in the recently developed document, *National Professional Standard for Principals (July 2011)*, it is important that “principals understand the practice and theory of contemporary leadership and apply that knowledge in school improvement” (Australian Institute for Teaching and School Leadership, 2011, p. 6). To facilitate understanding of, and give expression to, the leadership role of principal, a standard was created to identify the requirements and practices of principals. In general, the Standard consists of three requirements and five professional practices. Specifically, as stated in the document, *National Professional Standard for Principals (July 2011)*, the requirements and practices consist of the following:

The Standard is based on three leadership requirements:

- vision and values
- knowledge and understanding
- personal qualities and social and interpersonal skills.³

These requirements are enacted through the following five key professional practices:

- leading teaching and learning
- developing self and others
- leading improvement, innovation and change
- leading the management of the school
- engaging and working with the community.

(Australian Institute for Teaching and School Leadership, 2011, p. 4)

The requirements are derived from the qualities and capabilities deemed common to good leaders and may be drawn upon in areas denoted by the practices. Leadership requirements identify values and ethical practices; behaviors such as acting with integrity; knowledge of government policies, legislation, and initiatives; understanding relevant to government policy and legislative requirements, as well as financial and

human resource management; personal qualities, and social skills as elements associated with the role of principal. Codification of these elements into standards – or, in the case of Australia, as a singular ‘Standard’ – is done for a number of stated purposes: “to define the role of the principal and unify the profession nationally, to describe the professional practice of principals in a common language and to make explicit the role of quality school leadership in improving learning outcomes” (Australian Institute for Teaching and School Leadership, 2011, p. 1). Still further, there is an acknowledgement, on the part of AITSL, that the standard document serves a policy purpose too as “a public statement which sets out what principals are expected to know, understand and do to achieve in their work” (Australian Institute for Teaching and School Leadership, 2011, p. 1).

The *National Professional Standard for Principals* was developed in consultation with a number of entities, including the government and non-government sectors, and the teaching profession (Australian Institute for Teaching and School Leadership, 2011). It is national in scope by design as it endeavored to draw upon a reported fifty sets of leadership standards and capability frameworks currently extant throughout the states and territories of Australia (Australian Institute for Teaching and School Leadership, 2011). In doing so, AITSL provides the jurisdiction of Australia with a common ‘Standard’ for use in all sectors and education systems, as well as single schools (see Appendix G, Table G3 for identified Standards associated with the role of principal in Australia).

England.

In England, the Government of the United Kingdom revised the standards for head teachers in the year 2004. The Department for Education and Skills (2004) published the document entitled, *National Standards for Headteachers* to convey the

evolving role of Headship in the 21st century. In the document, the Department comments upon standards by stating the following:

The Standards recognise the key role that headteachers play in engaging in the development and delivery of government policy and in raising and maintaining levels of attainment in schools in order to meet the needs of every child. (United Kingdom, Department for Education and Skills, 2004, p. 2)

The Standards are guided by three principles: the work of head teachers is learning centered, head teachers are focused on leadership, and head teachers must demonstrate the highest professional standards (United Kingdom, Department for Education and Skills, 2004). The role of the head teacher is represented by the content of the Standards which include the knowledge, skills, and dispositions required of headship and the actions to be undertaken to attain the core purpose of the position: to demonstrate leadership and management of the school. Consequently, the Standards “are intended to provide a framework for professional development and action and to inform, challenge and enthuse serving and aspiring headteachers” (United Kingdom, Department for Education and Skills, 2004, p. 5) (see Appendix G, Table G4 for identified Standards associated with the role of head teacher and principal in England).

Finland.

In the jurisdiction of Finland, the knowledge, skills, norms, and values that have been associated with the leadership role of principal have been identified at the national level through the country-wide provided Principal Preparation Programme offered by the Institute of Educational Leadership at the University of Jyväskylä; however, documentation has not been found to acknowledge the codification of knowledge, skills, norms, and values into a reference framework of standards. Within the jurisdiction, the

basis on which to measure how good a principal is rests, not on a specific reference framework of standards to which an individual must meet, but, on trust. As the Ministry of Education (2007) reported, “No external instrument has been developed for measuring a good principal; in Finland, trust is laid upon high-standard teacher education, principal training and continuing professional education taking place in the world of work” (Ministry of Education, Finland, 2007, p. 25).

Proposition #5: Individuals who aspire to the principalship enroll and participate in a principal preparation program in order to be socialized formally to the leadership role of principal.

Finding #5: Individuals who aspire to the principalship participate in a principal preparation program; in doing so, they are socialized formally to the leadership role of principal.

The development of school leaders is important because it prepares leaders for the significant role they play with respect to student learning, primarily by setting the conditions for improved student outcomes (Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007). The leadership role of principal is multi-faceted and draws upon different models of leadership, such as managerial, organizational, and instructional, as well as a common core of practices, which may be codified into a reference framework as standards or dimensions, that may be called upon to fulfill functions associated with the role. Leadership development is concerned with the individual’s ability or capacity to enact a role and be effective in doing so (Orr, 2006). Through development, which is essentially a process of learning, individuals develop the ability and capacity to take on

the leadership role; this is exemplified in the State of New South Wales by the Independent Schools Centre for Excellence (ISCE), which states as an aim to “deliver professional development to support the strategic capacity of newly appointed principals and those preparing for principalship” (New South Wales Government, 2010, p. 22). As well, the organization develops a group of individuals who can fill the position of school leader, whether as principal or head teacher, as indicated in the Canadian jurisdiction of the Province of Saskatchewan by the following statement: “building capacity in the school division refers to developing leadership skills among teachers in the school division so they are prepared to become principals” (Loraine Thompson Information Services Limited, 2006, p. 31). This perspective is presented, as well, in the Australian jurisdiction of the State of South Australia with regard to the QSchool for Aspiring School Leaders Programme, by stating that “the program, coordinated by Workforce Development Quality Leadership consultants, responds to the strategic need to develop a pool of aspiring leaders to meet current and future school leadership demands in DECS schools” (Government of South Australia DECS, 2011, [Flyer], p. 1). Consequently, developing capacity occurs at both the individual and organizational level, and it entails learning through the process of socialization.

Socialization has been described by Hall (1987) as enabling an individual to enter a social structure and become a member, often at a level differentiated by work-roles. Orr (2006) sees leadership socialization as comprised of two types: professional and organizational. For the former, the individual is socialized to membership in a group (the profession) while developing an understanding of the professional role (role conception); for the latter, the individual is socialized to membership in a sub-group (an organization)

while learning to fulfill the specific organizational role (role orientation). According to Hart (1991), professional socialization entails learning “the skills, knowledge, and dispositions needed to be a member of the profession” (p. 452); it is preparation for a role as an occupation. This may occur in two stages: 1) anticipatory, in which an individual acquires prior experience, and 2) preparation, through a program of qualification in order to attain the knowledge, skills, and values required of the role regardless of context (Crow, 2007). University preparation programs for principals, which are used extensively in the United States, as well as leadership academies offered by professional associations are examples of this form of socialization. In contrast, organizational socialization is the process through which an individual adapts from being an outsider to an insider, by crossing organizational boundaries associated with work-roles (Cooper-Thomas & Anderson, 2006). It is context specific and teaches “the knowledge, values, and behaviors required of those filling a particular role within a particular organization” (Hart, 1991, p. 452). Role is organizationally defined rather than professionally. It includes learning the perspectives that are customary, and what are not, in a given context. This leads sanctioning authorities to impart upon program providers a practicum or residency requirement to the design of preparation programs. This is demonstrated in the jurisdiction of the United States in the State of Virginia in regards to completing an approved program by stipulating that “the internship must be focused on instructional leadership and learning for all students and must occur in a public school or accredited nonpublic school” (Virginia Department of Education, 2008, p. 3). Similarly, in the jurisdiction of England, participants to the Associate Academy Principal Programme “have

the opportunity to carry out a placement at a local academy” (National College for School Leadership, 2011, *Key Facts: Associate Academy Principal Programme*, p. 1).

Organizational socialization may occur in three stages (Hart, 1991; Johns & Saks, 2008). Referencing Hart’s (1991) framework, the stages include: 1) encounter, anticipation, or confrontation; 2) adjustment, accommodation, or clarity; and 3) stabilization, role management, or location. While Orr (2006) sees leadership socialization as “an ongoing interplay between organizational and professional socialization” (p. 1397), Hart (1991) contends that organizational socialization is the more powerful because the immediacy of the work context takes precedence. Thus, a conception of the profession and occupational role gives way to a definition of the role and an orientation to it within the realities of the specific context.

Van Maanen and Schein’s (1979) theory of organizational socialization is predicated on role orientation wherein role is organizationally defined. From their perspective, an organization defines role in terms of three dimensions: 1) functional, which is concerned with the functions to be performed; 2) hierarchical distribution of rank, which is concerned with identified lines of authority and commensurate responsibility; and 3) social fabric of inclusion/exclusion, which involves acceptance by others, based on social rules, and norms of behavior. An organizationally-defined role can be conveyed explicitly and implicitly through preparation programs which address, in some manner, these three dimensions.

The material to be learned in principal preparation programs focuses on role and covers the various functions to be performed in the role, such as planning, staffing, and finance, as well as any tasks that may be associated with each one. The material also

consists of reference frameworks such as Standards of Practice which describe the essential elements of the role such as knowledge, skills, attitudes, values, beliefs, and understandings, or, as found in some recent frameworks, as competencies with associated functions. Learning to fulfill the organizational role entails attaining a level of task mastery in the application of competencies, which is a proximal outcome of organizational socialization (Johns & Saks, 2008). This is acknowledged in the jurisdiction of the United States in the State of Kentucky's document entitled, *Learning-centered leadership: The preparation and support for the next generation of Kentucky's school and district leaders*, which states that "It is crucial to put candidates to the test prior to credentialing by having them demonstrate mastery of essential competencies under the watchful eyes of practitioners who know and use effective practices" (Education Leadership Redesign Task Force, 2007, p. 18).

The material to be learned in a program also covers the responsibilities commensurate with rank and hierarchical lines of authority. This is alluded to in the description of a provincial leadership framework, as provided in the Ontario Institute for Educational Leadership's (2008) *Putting Ontario's Leadership Framework Into Action*, which states the following:

The Leadership framework has been tailored to the roles and responsibilities of school leaders – principals and vice-principals – and supervisory officers. This framework describes the practices that research has shown to have a positive impact on student achievement and the skills, knowledge and attitudes associated with each. (p. 9)

This descriptive statement acknowledges the hierarchical distribution of rank by noting the positions of vice-principal, principal, and supervisory officer and referencing their separate roles and responsibilities.

Program material, too, includes social rules and norms of behavior associated with the role that, through learning and adoption, gain one acceptance from others in the group. Such rules and norms can be conveyed through the use of experienced principals as program instructors or as mentors and coaches in school-based practicums. Shadowing a veteran principal, providing the opportunity for an aspiring principal to conduct a research project under the mentorship of a veteran, or being subjected to a period of induction under the influence of a veteran as a role model, enables the learning of social rules and norms of behavior that are acceptable within the group. Having defined the role of principal, the program is better able to orient its participants to it and, thus adequately prepare them to fill it effectively. Orientation endeavors to reduce ambiguity and increase clarity with regard to role definition. Reducing role ambiguity and increasing role clarity are proximal (immediate) outcomes of organizational socialization (Johns & Saks, 2008); together, they help to mediate the stage of adjustment. This, then, becomes a goal of preparation.

Leadership socialization may take place informally or formally. Orr (2006) indicates the mechanisms of leadership socialization, with regard to the superintendency, to consist of the following: formal and informal learning through professional and organizational relationships; formal training; and experiences prior to (anticipatory) and after (encounter) the role is assumed” (p. 1368). Although such mechanisms are conveyed in relation to the superintendency, they also find application with other leadership positions such as the principalship. These mechanisms of leadership socialization involve learning, training, and obtaining experiences; they contrast on the

basis of orientation as either formal or informal, as well as on the basis of time:

antecedent to, or commensurate with, the attainment of the work-role.

Greenfield, Marshall, and Reed (1986), see formal socialization occurring in the condition of a preparation program which specifies both the role and the nature of the material to be learned. Preparation programs, then serve as the vehicle to both conceptualize and to define the role of principal, which can take into account the context in which the role will be enacted. The preparation program also serves to convey what should or must be learned by its participants in order to effectively enact the principal role. Consequently, preparation programs, as a condition of formal socialization, can serve to reduce role ambiguity, increase role clarity, and, thereby, ease adjustment to the role. Preparation is provided prior to an assumption of the role (anticipatory) through experiences in initial leadership positions, as well as in various types of programs that are targeted to leadership roles other than principal, such as teacher-leader or assistant principal, but that lead ultimately to principal preparation. During initial leadership development, such the Leadership Pathways Programme in England, the Re:th!nk Aspiring to Principalship Program in Tasmania, Australia, or the Is the Principalship for You? Program in Saskatchewan, Canada, participants have the opportunity to consider if they fit the job and the organization given what they are learning. This corresponds to Hart's (1991) anticipation stage of organizational socialization and pertains to the proximal (immediate) outcomes of person-job fit and person-organization fit. During the anticipation stage, participants engage in cognitive learning that is focused on the interpretations and rationales associated with the role and the group to which they become a member (Hart, 1991).

Preparation also occurs once a principalship is assumed (encounter), most often in the form of induction. During an initial appointment, the beginning principal learns to manage the role while under the direction of a mentor who serves as a role model and coach. Under the influence of an experienced practitioner, the beginning principal is thought to gain acceptance to the group and demonstrate both greater organizational citizenship behavior and organizational commitment, both distal (long term) outcomes associated with organizational socialization. Organizational socialization is particularly important to remote locations within jurisdictions, such as the Australian Capital Territory and Northern Territory of Australia, as well as the Northwest Territories and Nunavut Territory, and Yukon Territory of Canada.

For those who aspire to the principalship in the jurisdictions of the United States, Canada, Australia, and England, participation in a principal (head teacher) preparation program enables the organization to socialize the participants to the leadership role to which they aspire. In doing so, participants may experience the three stages of organizational socialization, as expressed by Hart (1991), as the organization addresses both proximal and distal outcomes associated with organizational socialization. By enrolling and participating, aspirants are gradually socialized to the leadership role of principal, as both conceptualized by profession and defined by the organization.

Summary

This chapter provided information pertaining to the context of education in the jurisdictions under study, the documents that were collected and reviewed, and the findings pertaining to the Propositions identified in Chapter One.

CHAPTER FIVE: ANALYSIS AND DISCUSSION

Chapter Five is organized into sections according to the study's four research questions. Within each section, both an analysis and discussion of the findings are presented related to the research question.

The Study's Research Questions

The four Research Questions chosen for this study were exploratory and were the following:

1. What are the governmentally espoused purposes and the structure of principal (school administrator) preparation programs in Canada, the United States, England, Australia, and Finland (the "jurisdictions")?
2. Why and how is formal socialization into the school principalship sought in the various jurisdictions?
3. Of what importance is formal socialization to principal preparation programs in the five jurisdictions?
4. How important is context to the content of principal preparation programs in the five jurisdictions?

The substance of the questions pertains to principal preparation programs: their structure and governmentally espoused purposes, as well as to socialization into the principalship.

Answering the Research Questions

Question 1: What are the governmentally espoused purposes and the structure of principal (school administrator) preparation programs in Canada, the United States, England, Australia, and Finland (the "jurisdictions")?

Answer: Governmentally espoused purposes of principal preparation programs.

In the United States, the U.S. Department of Education has stated that its purpose is to “strengthen teacher and leader preparation and recruitment” (U.S. Department of Education, 2010, p. 5). Through the provision of funds, and federal-state cooperation, the federal government makes the following declaration in its document entitled, “*A Blueprint for Reform: The Reauthorization of the Elementary and Secondary Education Act*”:

states will work to improve the effectiveness of principals, through activities such as strengthening principal preparation programs and providing training and support to principals of high-need schools. (U.S. Department of Education, 2010, p. 15)

From a national perspective, the purpose of principal preparation programs is to address the effectiveness of principals. The use of the term “effective” reflects, perhaps, the influence of the effective schools movement of the 1990s which sought to improve teaching and learning so as to raise student achievement levels. The rationale for seeking “effective “ principals is due to a research-based tenet of education that the principal is second only to the classroom teacher in having an influence on student achievement. To have effective schools, there must be both effective teachers and an effective principal. It is of note that the national perspective also singles out high-needs schools for particular

attention because they are often characterized by low achievement, and an effective principal is seen as a necessary component to turning around achievement.

In Australia, the Commonwealth Government and state / territorial governments are endeavoring to improve the quality of the teaching workforce because, purportedly, a high quality workforce can overcome location and other disadvantages that students may have, thereby raising students' attainment of knowledge and skills to effectively participate in society (Council of Australian Governments, 2009). Through the provision of funds from the Commonwealth Government, and Commonwealth (federal) – state/territorial cooperation, a formal partnership is engaged to enact the improvement of the workforce and give attention to both teacher and leader quality. In the national agreement document pertaining to improving teacher quality, the governments state the following:

The Improving Teacher Quality National Partnership (NP) aims to deliver system-wide reforms targeting critical points in the teacher 'lifecycle' to attract, train, place, develop and retain quality teachers and leaders in our schools and classrooms. It also has a specific focus on professional development and support for principals. (Council of Australian Governments, 2009, p. 4)

From a federal/state perspective, the professional development and support of principals is a crucial element in the improvement of teacher quality and, thus, of student outcomes. While it is the intent of the Commonwealth and state/territorial governments to target 'critical points' in the life cycle of teachers, thereby addressing professional development through pre-service and in-service means, the specific focus is clearly centered on principals. The purpose of principal preparation, then, is to improve the quality of leadership in Australian schools in order to raise student outcomes. This is similar to the

United States' endeavor to improve effectiveness. An additional similarity is the United State's attention to high needs schools and Australia's attention to its indigenous high needs schools.

In England, the Government of the United Kingdom is endeavoring to put forth a whole-system reform of its schools. The Department of Education (2010) recently released a White Paper entitled, *The Importance of Teaching*, in which it outlined its intended reforms of England's schools and shared its vision of the teacher in a Forward by the Secretary of State for Education, who expressed it thusly:

At the heart of our plan is a vision of the teacher as our society's most valuable asset. We know that nothing matters more in improving education than giving every child access to the best possible teaching. There is no calling more noble, no profession more vital and no service more important than teaching. It is because we believe in the importance of teaching – as the means by which we liberate every child to become the adult they aspire to be – that this White Paper has been written. The importance of teaching cannot be over-stated. (United Kingdom Department of Education, 2010, p. 7)

The espoused purpose of the reform is to acknowledge the importance of the teaching profession and to act in support of teachers and leaders. The White Paper notes that “the most important factor in determining the effectiveness of a school system is the quality of its teachers” (p. 19). Furthermore, it notes that school systems “train their teachers rigorously” and that additional focused training and development occurs “at each stage of their career, and especially as they move into leadership positions” (p. 19). Accordingly, the United Kingdom Department of Education (2010) set forth its intent to review the National Professional Qualification for Headship (NPQH) program with a view to “make sure that it meets the highest standards for leadership development set in other countries and in other sectors of the economy” (p. 27). The review is prompted by the

Department's stated concern that the program was "overly focused on how to implement government policy rather than on the key skills required for headship" (p. 27). The program's new focus will be on key skills that pertain to the occupational requirements of a Head teacher.

As noted earlier, Canada does not have a stated national purpose for education, nor does it have a national department of education since the federal government is only responsible for administering education to First Nations children through the Ministry of Indian and Northern Affairs. While partnerships are made with provincial and territorial governments responsible for education to support the learning of First Nations children, the attention and mention of principal quality or preparation is not to be found. A Governmentally-espoused purpose is only described at a provincial or territorial level. In this regard, there is a similarity with the United States and Australia, as their states also have responsibility for the provision of education and, thus, with principal preparation.

Governments have expressed their purposes regarding principal preparation using both similar and different terms, and, in common, give address to the following concepts:

- leaders (Australia, Canada, Finland, United States)
- leadership (Australia, Canada, Finland, United States)
- knowledge and skills (Australia, Canada, England, United States)
- requirements (United States), qualifications (Canada, England, Finland)
- role (Australia); role and responsibilities. (Canada, United States).

In all jurisdictions, the purposes associated with principal preparation are in support of improved student outcomes. Furthermore, in the United States and Australia, the purpose includes reference to low socio-economic status schools, and in Australia and Canada

there is a reference to aboriginal students and the development of cultural awareness on the part of school leaders. Ultimately, governmentally-espoused purposes are to prepare aspiring and beginning principals for the leadership role of principal, and the acknowledged means of doing so is through the provision of preparation programs. Socialization via preparation programs is not explicitly commented upon, but the structure of preparation programs implicitly points in this direction.

Answer: Structure of Principal Preparation Programs.

The structure and design of principal preparation programs in the countries studied indicates an orientation towards formal socialization of aspiring principals. Greenfield, Marshall, and Reed (1986) noted that there are essentially two types of settings in which socialization to the role of school administrator occurs: formal, in the condition of a preparation program which specifies both the role and the nature of the material to be learned, and informal, in the condition of no program which, consequently, does not specify the role or the learning objectives to be learned (p. 117). Principal preparation programs specify, as their focus, the leadership role of principal and convey what is to be learned: the essential elements required to effectively fulfill the role. The leadership role, according to Beairisto (n.d.), is comprised of three aspects: managerial / rational, leadership / relational, and learning / reflective. Managerial aspects pertain to the legal and technical duties to be performed and provide a foundation of order and efficiency; leadership aspects relate to the deeper meanings of the school rather than the duties associated with it and, thus, is concerned with community and an invitation to commitment; learning is both technical – associated with understandings and skill development – and adaptive – associated with reframing a mental model in order to

develop new understandings. The role is conveyed through a reference framework of competencies which are identified. The framework provides a reference for all practitioners and is a means to affirming a professional identity (Government of Quebec, 2008).

The formal orientation of the socialization setting of the preparation program is further communicated by the structure and design of the program itself. As the findings of Proposition #1 have revealed, principal preparation programs have an external and an internal structure.

United States (10 states studied).

In the United States, for the 10 states studied, principal preparation programs exist within an external structure provided by an over encompassing governing body – the state government responsible for education. The external structure consists of a government initiative with identified purposes: general (to reform education) and specific (to improve student outcomes), and the audience to whom the initiative is directed: school leaders (principals and assistant principals).

The external structure includes components such as government policies which provide support to the initiative in the form of an emphasis on Leadership Development and the development of frameworks to guide professional development in general or leadership development specifically. As such, principal preparation is one component of a broader framework. A reference framework consisting of competencies or standards related to performance – what the principal should know and be able to do – also contribute to the external structure.

The establishment of a government sanctioned state-wide leadership academy or leadership program directed at school principals is also part of this structure. Requiring academies or programs to be aligned to standards, such as principal practice standards, also is an element of the external structure in the United States. A requirement that programs of principal preparation be state-approved contributes to the external structure, as does a requirement that principals be state-approved through the policy provision of certification as a principal. Another element of the external structure is the requirement that teachers have a graduate degree over and above a baccalaureate degree to allow them to be certified as a principal.

The internal structure of principal preparation programs includes a program design consisting of a central purpose, such as preparing educational leaders or providing essential knowledge and skills in preparation for the professional and organizational role of principal. The internal structure also includes an underlying theme pertaining to the leadership role of principal, seeing the role as being primarily instructional, and secondarily as managerial and organizational. The content of these principal preparation programs is a combination of theory and practice. Theory is conveyed through coursework, workshops, seminars, and presentations, while practice is conveyed through a residency requirement involving a practicum taken within a school. The internal structure also often includes a timeline for theory-related content and the practicum.

Canada.

In Canada, to an extent, there is an external and an internal structure pertaining to principal preparation programs; however, preparation for the position of principal is not universally acknowledged in documentation, consequently, there is less of an emphasis

on a detailed identifiable external or internal structure. What is discernable is that the external structure includes an overarching governing body – the provincial or territorial government responsible for education. In some cases, the external structure consists of a government initiative with identified purposes: general (to reform education or to develop education capacity), and/or specific (to improve student outcomes or to address the principal role), and the audience to whom the initiative is directed: school leaders (principals and assistant principals).

In some provinces and territories, frameworks are created within which principal preparation programs are to exist. Professional development frameworks or even leadership development frameworks promulgated by the government are not prevalent in documents pertaining to principal preparation. Ontario has the *Ontario Leadership Framework (2008)* which seeks to develop leaders of high quality, while Saskatchewan has devolved the framework to the school level by requiring each school to develop a *School Leadership Professional Development Framework*, which is envisioned as a continuum consisting of five stages (Loraine Thompson Information Services Limited, 2006). Alberta, in a new draft proposal, foresees the need for such a framework by proposing a *School Leadership Framework (2010)* (Alberta Education, 2010, The Alberta School Leadership Framework). Consequently, in Canada, principal preparation programs are not posited within a provincial or territorial leadership development framework, or within a broader framework of professional development.

The external structure for principal preparation programs, in some cases, does include a reference framework consisting of competencies or standards of performance. Though the existence of such reference frameworks has been limited within Canada – as

only some provinces (British Columbia, Ontario) have had standards for principals, while others have not felt compelled to develop them – this has improved as the maritime provinces of Newfoundland and Labrador, Prince Edward Island, Nova Scotia, and New Brunswick introduced standards for principals, as of January 2011. In the case of Alberta, the newly instituted *Principal Quality Practice Guidelines* are not seen as a framework of standards, but rather as a framework of guidelines to which principals can aspire.

Requiring preparation programs to be aligned to standards is another component of the external structure. For those provinces that have such standards, the intent is to for the standards to help to shape the principal preparation program.

The external structure in some provinces and territories also may include a province-wide or territory-wide application of the principal preparation program. Consequently, aspiring principals are required to participate in, and complete, the program. A requirement that preparation programs be government-approved is not consistent across the jurisdiction of Canada, as school districts can establish them on their own volition, nor is it a requirement that principals be province or territory-approved through the policy provision of certification as a principal. Only some provinces (Manitoba, New Brunswick, Ontario) and territories (Nunavut, Northwest Territories) require certification as a principal, while certification as an instructional administrator (Prince Edward Island) or for leadership (Quebec) are required in others. The requirement of a graduate degree over and above a baccalaureate degree to serve as a principal is not required by most governments in the jurisdiction of Canada, with the exception of Manitoba and New Brunswick which expect a graduate degree to complete the academic requirements for principal certification.

The internal structure of principal preparation programs generally includes a program design consisting of one central purpose – to prepare aspiring principals for the leadership role of principal as manager, organizational leader, and instructional leader. In Saskatchewan, aspiring principals also are prepared for the role as an adaptive leader which entails “responding to challenges and issues that require new learning, new behaviors and new organizational structures” (Brooks & Piot, 2003, p. 17). In Nunavut, the leadership role also encompasses cultural leadership as aspiring principals learn to develop schools that are culturally reflective of and responsive to the realities of Nunavut’s indigenous cultural groups (Nunavut Professional Improvement Committee, 2010).

The principal preparation program design provides content consisting of the essential knowledge and skills associated with the professional and organizational role of principal, or actions, behaviors, and functions. In the case of the Territory of Nunavut, it includes knowledge and skills through an Inuit cultural lens. Thus, the internal structure also includes reference to an underlying theme pertaining to the leadership role of principal, seeing it as primarily instructional and secondarily as managerial and organizational. The content of these programs is a combination of theory and practice, with theory transmitted through course work and case studies, workshops, short courses, projects, and practice through a school-based practicum. The program design also includes a timeline and a preference for cohort groupings of participants. Aspects of adult learning theory, such as reflective practice and problem-based learning, also contribute to the design. The structure of principal preparation programs includes processes associated with organizational socialization tactics, and some proactive behaviors for principals, such as networking and self-assessment of practice.

Australia.

In Australia, the external structure of principal preparation programs consists of a government reform initiative with an identified purpose: general (to develop high quality teachers and leaders) and specific (to raise student performance). Through a formal agreement, the Commonwealth government established a partnership with each state and territorial government sector, as represented by their respective Departments of Education, together with each state or territorial non-government sector, as represented by the Independent Schools Association and the Catholic Schools system. The initiative provides policies which mandate the establishment of the principal preparation program, or a variation thereof, as the principal means to achieve reform purposes. Consequently, state and territory-wide programs are created and provided by both the government and non-government sectors.

The documents reviewed reveal government policy pertaining to a reform of education that promotes a national consistency in the registration (certification) of teachers in conjunction with state/territorial registration. However, national certification of principals is not mentioned (Australian Government, 2011, *Smarter schools national partnership for improving teacher quality fast facts*, p. 2).#However, reform strategies include the development of national standards for teachers to support the provision of consistent quality teaching on a national basis. National consistency, with regard to the development and support of principals, is promoted through the recent development – 2011 – of national standards for principals. Government policy, and the reform initiatives they inspire in support of national registration and national standards, provides a

reference framework which contributes to the external structure within which principal preparation programs are seen to exist.

The external structure within which preparation programs exist includes a professional or leadership development framework in the states of New South Wales, Queensland, Western Australia, and Tasmania, as well as in the Australian Capital Territory and Northern Territory. The *Professional Learning Continuum* (2006) in New South Wales “is the framework for planning, delivering and evaluating professional learning for school based staff and staff who directly support the work of schools” (NSW Department of Education and Training, 2006, *The Professional Learning Continuum*, p. 2). The Continuum is comprised of six levels that pertain to leadership roles in various stages of career development; in a hierarchical order, they include the following: Newly Appointed Executive, Executive Leadership Learning, Aspiring Principal, Principal Designate, Newly Appointed Principal, and Experienced Principal Learning (NSW Department of Education and Training, 2006, *The Professional Learning Continuum*). A program is available at each stage of career development. In Queensland, a framework entitled *Leadership Matters* guides all leadership development activities (Queensland Department of Education and Training, 2006, p. 2). The framework is intended to be embedded “in the procedures and practices of the Department and in the professional lives of current and future school leaders – at all stages of their career – aspiring, beginning, consolidating, high achieving, for transition and succession purposes” (Queensland Department of Education and Training, 2006, *Leadership Matters: Leadership capabilities for Education Queensland Principals*, p. 2). Western Australia has *The Leadership Framework* to support continual development and “to assist in

designing professional learning plans based on individual needs” (Department of Education Western Australia, 2011, *Institute for professional learning: The leadership framework* [Website], para. 1-2). The *ACEL Leadership Capability Framework* exists in Tasmania to “drive leadership development programs” and to “provide leadership skills, attributes, knowledge, understandings and capacity for undertaking whole-school and system-wide improvement processes” (Australian Council for Educational Leaders, 2011, *The ACEL Leadership Capability Framework* [Website], para. 1).

In the Australian Capital Territory, the *School Leadership Framework (2008)* informs the provision of leadership development programs, including the “Emerging Leaders' Program” and the “Principals’ Development Program” (Australian Capital Territory Department of Education and Training, 2011, *Teaching and learning: Professional Learning* [Website], Leadership development section, para. 1). The Northern Territory has the *Professional Learning Framework* which provides a set of six principles that are to underpin professional learning (Northern Territory Government Department of Education and Training, 2011, *Professional Learning Framework* [Website], Six principles section).

The internal structure of principal preparation programs consists of its central purposes, which are to develop high quality leaders and to prepare individuals for the leadership role of principal. The program purpose identified in the Australian Capital Territory is to develop instructional leadership capacity, while the Northern Territory identifies building capacity of aspiring principals and school leaders as their program purposes. In New South Wales, the purpose is to develop the capacity of those preparing for, as well as those newly appointed to, the principalship, and in Queensland, the

program's purpose is to develop knowledge and skills and to provide induction into small rural and remote schools. South Australia identifies its program purpose as building leadership depth and capacity, while Tasmania expresses its program purposes as the development of principal capabilities and preparation for the principalship role; Victoria notes readiness for the principal role and increased self-efficacy as its program focus, while Western Australia cites building leadership capacity and strengthening leadership capabilities.

The internal structure of the leader development programs consists of program content, which includes a guiding framework of standards, which consists of a focus on the knowledge, skills, dispositions, understandings, competencies, and practices associated with professional and organizational roles of the principal, as well as the themes of leadership and facets of leadership as educational, organizational, managerial, instructional, and – specifically for the Australian Capital Territory and the Northern Territory – cultural due to its indigenous population. The codification of the essential capabilities into a reference framework called the *National Professional Standard for Principals* (2011) serves to guide and structure the content of the programs for preparation purposes.

The internal structure also consists of the program design, through which content is transmitted, including modules, workshops, activities, presentations, conferences, and field work in a school-based placement that may involve shadowing a current principal, coaching sessions, observations, and/or action research in a local context. The field-based experience of a practicum figures prominently in Queensland, South Australia, Tasmania, Victoria, and Western Australia. With the advent of new technologies, delivery models

now also include on-line learning in the form of tutorials, web conferences, or teleconferences (New South Wales, Tasmania, and Victoria).

Requirements of principal preparation programs provide further structure and include previous teaching experience, the approval of current principal / supervisor, and ability to meet selection criteria.

England.

In the jurisdiction of England, the external structure of head teacher and Academy principal preparation programs consists of an over encompassing governing body which includes the Department of Education of the United Kingdom and, through delegation, a self-regulating National College for Leadership of Schools and Children's Services. The National College is a government-funded, non-departmental public body that was created and assigned the task of training and developing school leaders such as head teachers and principals. Programs are provided by the National College, as well as by other providers that have received approval from the College. The National College works at "strengthening school leadership in England" (United Kingdom Department of Education, 2010, p. 27). The external structure is further manifested in a government reform initiative with an identified purpose: to acknowledge the importance of the teaching profession and to act in support of teachers and leaders (United Kingdom Department of Education, 2010). Acting in support of leaders includes reforming head teacher and principal preparation to focus more on the key skills that pertain to the occupational requirements of a Head teacher. Consequently, a key reform in this regard is directed at the National Professional Qualification for Headship (NPQH) Programme, which is a required preparation program in England.

Contributing to the external structure is a framework of leadership development consisting of a range of preparation programs extending from training for initial positions of leadership through qualifying for headship or principalship and inducting new appointees to the headship or principalship. In the jurisdiction of England, the leadership development framework is the National College for School Leadership's (NCSL) *Leadership Development Framework (2001)* which is comprised of five stages: 1) emergent leadership, which is for aspiring teachers; 2) established leadership, which is for assistant and deputy heads; 3) entry to headship, which involves preparation and induction; 4) advanced leadership, which involves experienced head teachers and principals; and 5) consultant leadership, which develops head teachers and principals as trainers and mentors (Collarbone & Southworth, 2008, p. 22).

An additional component which provides structure to preparation programs is a framework of competencies. The National Standards for Headteachers (2004) underpins the programs of preparation to the extent that entry to and graduation from the NPQH Programme involves an assessment of knowledge, skills, and understanding relative to the Standards (National College for Leadership of Schools and Children's Services, 2010).

The external structure includes the requirement of certification, in the form of a Qualification, necessary for appointment to a headship or Academy principalship. Attainment is only possible through participation in the NPQH Programme which is available throughout the jurisdiction.

The internal structure of preparation programs in England consists of a program design with a central purpose – to prepare participants for the leadership role of head

teacher or Academy principal. The Leadership Pathways Programme seeks to “develop the skills you’ll need to take on the role of headteacher in the near future” (National College for School Leadership, 2011, *Professional development: Leadership pathways – Who is leadership pathways for?* [Webpage], para. 1). The Associate Academy Principal Programme provides aspiring principals “a more in depth understanding of the role” (National College for School Leadership, 2011, *Key facts: Associate Academy Principal Programme*, p. 1). The role of head teacher and of Academy principal is described in this document to be comprised of management and leadership, and includes the knowledge, skills, dispositions, values, beliefs, and qualities necessary for these leadership roles.

The internal structure also includes program requirements regarding participation: participants must have the support of their senior school leader (Leadership Pathways Programme) current head teacher or supervisor. As well, one requirement of the NPQH Programme is a culminating assessment of a participant’s portfolio of achievement by a Graduation Board (National College for Leadership of Schools and Children’s Services, 2010).

Program design contributes to the internal structure of preparation programs through which content is transmitted and includes the following means of transmission: modules (Leadership Pathways, Head Start), courses (Tomorrow’s Heads), sessions (Leadership Pathways, Associate Academy Principal Preparation), seminars, master classes, presentations, conferences (NPQH), workshops (Leadership Pathways, NPQH), and field work in a school-based placement that may comprise shadowing a current principal, coaching sessions, observations, and/or action research in a local context. The field-based experience of a practicum figures prominently in the Leadership Pathways,

Tomorrow's Heads, National Professional Qualification for Headship, and Associate Academy Principal Preparation Programmes in the form of a school-based, or academy-based, residency. Shadowing the school's head teacher and one-on-one coaching contribute to the residency experience. The design of the NPQH also includes the application of new technologies with the inclusion of on-line learning in the form of courses and materials (NPQH, Head Start), modules (Head Start), and seminars and activities (NPQH).

Finland.

In Finland, principal preparation exists within an external structure which includes an over encompassing governing body, the Finland Ministry of Education and Culture, and a National Board of Education. The external structure also includes a government reform initiative, in response to social changes occurring in Finland, which involved a devolution of power and responsibility for education and the preparation of principals to education providers to local municipalities and universities.

The external structure for these programs includes government policies and legislation in support of a qualification for the principalship. The government regulates all professions, and teaching is one of them. The Teaching Qualifications Decree (1998) sets out the requirements for individuals who serve as teachers and as principals, the latter requiring teaching qualifications with a Master's Degree, and certification as a principal. The Ministry delegates to the National Board of Education responsibilities for approving requirements for certification and program provision.

The structure also includes a developmental framework that is broad in its application. The *National Framework for Qualifications and Other Learning (2009)*

denotes a framework for addressing Finnish qualifications that includes reference to regulated professions. There is no reference framework of standards or competencies pertaining to principals in Finland, however, the *National Framework for Qualifications and Other Learning* is to be extended to address knowledge, skills, and competencies leading to professional expertise.

The internal structure of the principal preparation program offered by the University of Jyväskylä Institute of Educational Leadership includes a central purpose: to provide aspiring principals with the eligibility qualifications for a principalship, as well as to “prepare participants for positions in educational administration; covering management and leadership issues” (University of Jyväskylä Institute of Educational Leadership, 2011, *The Principal Preparation Programme (25 ECTS)* [Webpage], Principal preparation programme section).

The internal structure also includes reference to an underlying theme pertaining to leadership, particularly models of leadership such as shared leadership, and forms of leadership such as visionary, strategic, values, and change. (University of Jyväskylä Institute of Educational Leadership, 2011, *Developing principals’ education since 1999* [Website], Educational leadership section). The content of the program consists of theory provided through class-based learning involving seminars, assignments, readings, study visits, interviews with and shadowing of a school principal, and small group discussions, as well as practice provided through a school-based practicum placement. The internal structure also includes the use of processes associated with organizational socialization tactics and the proactive behavior of networking.

Discussion

As the findings of Proposition #1 reveal,

- socialization to the leadership role of principal in the countries studied is primarily formal, occurring within the setting or condition of a preparation program. Principal preparation programs arise out of an external structure of government initiative, with supportive policies. Consequently, they are organization driven. Government reform initiatives in the United States and Australia, at both the federal and state/territorial levels, and in Canada at the provincial/territorial level, provide the impetus for establishing preparation programs in which socialization of principals is to occur and set the context for these programs.
- The espoused purpose of improving the quality or effectiveness of school principals is supported by policies. Departments of Education in each state, province, or territory within a Jurisdiction, as well as other governing bodies such as the Independent Schools System and the Catholic Schools System of the non-government sector in Australia or the Ontario College of Teachers in Canada, propose and approve state-wide, province-wide, or territory-wide programs to achieve the purpose. As such, they are a manifestation of the government initiative. Furthermore, the initiative identifies the content to be conveyed in the program.
- Reform initiatives may emphasize the precedence of instructional leadership over traditional forms of leadership such as managerial and

organizational, in order to re-orient or re-conceptualize the role of principal. Such initiatives may include clarifying the essential skill set for school leadership, as found in the Northern Territory of Australia (Northern Territory Government, 2009, *Smarter schools national partnerships implementation plan*). This is a means to affirming professional identity, both individually and collectively (Government of Quebec, 2008). The intent is to make the experience common for those individuals who aspire to the principalship. Hence, preparation for the role of principal, as a preference, is done collectively through segregation to a particular program. While an individual approach to learning the role may be undertaken proactively through self-initiative, and not necessarily through a set program, the government seeks to provide a formal orientation to enable the reforms to be consistent. Thus, the formal socialization setting facilitates role-related learning and enables role clarity to occur on a broad basis.

Policies that link preparation programs with certification as a principal also contribute to the formal socialization setting of the preparation program. The external structure of this initiative and policy manifests the formal socialization setting of the preparation program as well as a formal recognition of having attained socialization outcomes associated with attaining a professional and organizational role. The issuance of a state / province/ territory principal's certificate is a policy tool which acknowledges the successful preparation of an individual for a principalship. On this point, however,

there is a divergence of viewpoint. In the jurisdiction of the United States, which involves all 50 states, and, in Canada, in three provinces (Manitoba, Ontario, New Brunswick) and two territories (Nunavut, Northwest Territories), there is a requirement that principals be certified. In two other provinces, there is a requirement for certification as an Instructional Administrator (Prince Edward Island), or, for Leadership (Quebec), while there is a *proposed* requirement for principal certification in another (Alberta). In the remaining four provinces and one territory, formal recognition of having met the socialization requirements associated with attaining a professional and organizational role is acknowledged through an individual's selection for the position of principal, not through certification, and the viewpoint held is that a principal is the principal-teacher and, thus, certification as a teacher is all that is required. The jurisdiction of Australia concurs with this viewpoint, as states and territories only require principals to be registered as teachers.

External structure also is present in the positioning of principal preparation programs as one component of a broad approach to leadership development. The trend in the United States and Australia is towards establishing state or territory-wide leadership frameworks which endeavor to train and prepare individuals to assume a range of leadership roles within a school or school district. Programs are developed to provide professional learning at each level of role or position attainment, such as preparing aspiring principals (pre-service), beginning principals (pre and in-service), and experienced principals (in-service), as part of a leadership development system or continuum. In Canada, leadership frameworks are not evident in the majority of provinces and territories, although Ontario has one and Alberta proposed one, which is in

draft form. The trend in Canada, however, is not demonstrably clear towards the positioning of principal preparation within a formal structure of leadership development on a province or territory wide basis.

Question 2: Why and how is formal socialization into the school principalship sought in the various jurisdictions?

Answer: Why is formal socialization sought in the various jurisdictions?

School principals play a significant role with respect to student learning. As Leithwood, Seashore Louis, Anderson, and Wahlstrom (2004) have noted, the principal is second only to the classroom teacher in the roles they play in improving student achievement. It is by setting the conditions for improved student outcomes and by aligning all aspects of a school to support teaching and learning that the principalship has role significance (Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007). The leadership role is multi-faceted and multi-functional. There are disparate models of leadership upon which to draw in order to fulfill the role, and there are practices that fulfill functions. The development of school leaders, such as principals, is important given the significance of the role, its functions, and its part in improving student outcomes. For this reason, it is vitally important to develop the capacity of individuals to assume leadership positions and to adequately prepare individuals to assume the principalship so as to be effective in the role.

Leadership development, overall, focuses on developing leadership capacity, and can be done at an individual level – to meet the needs of an individual school – or at a systemic level – to meet the needs of many schools within a district, or many districts within an over-encompassing department. The importance of paying attention to

developing leadership capacity at a school level is acknowledged in the *Australian Capital Territory Smarter School National Partnerships Implementation Plan (2009)* document which states the following:

A number of school leaders in these schools are young and relatively inexperienced with some having only a few years teaching experience before taking on a leadership role. Inexperience as a leader is also a factor with a number newly appointed at their current level. (Australian Capital Territory Government, 2009, p. 11)

At a systemic level, the importance and the significance of the leadership role of principal necessitates an approach to leadership development that is organization-driven rather than individual-driven, since improved student outcomes must occur in all schools. Therefore, all schools must have principals who can effectively enact the role. This significance is also the focus of the school leader improvement initiative launched in 2004 in the State of Alabama in the jurisdiction of the United States. In the *Governor's Congress on School Leadership – Final Report (2005)*, the following is given:

States must begin with the goal of every school having leadership that improves schools and increases student achievement. To reach this goal, they must create a seamless system of leadership recruitment and selection, preparation, certification, induction, professional development, and supportive working conditions that focuses on a vision of school leaders as instructional leaders. (Alabama Department of Education, 2005, p. 16)

With greater numbers of baby boomer principals expected to retire soon, and with fewer of those in subsequent generations willing to assume the role, an organization-driven approach to leadership development is also a necessity. Consequently, the issue of succession also impacts the extent to which all schools can be the recipient of an individual with the capacity to assume the leadership role of principal.

To develop leadership capacity and to prepare individuals for the principalship to improve student outcomes in all schools, as well as to meet succession needs on a broad basis, the organization, province, state, or country must drive the endeavor rather than leaving it to chance and to an individual's self-initiative. A formal orientation towards preparing those who aspire to the principalship is sought in response.

As noted by Browne-Ferrigno (2003), to become a principal entails relinquishing a current, known role to assume the new, unknown one through a process of learning. One such process is socialization. According to Hall (1987), socialization is "the process by which a person enters a social structure" (p. 302). Socialization enables an individual to enter a social structure and become a member, or to enter a sub-set group of the social structure. An educational organization is one such social structure; it has sub-set groups which are differentiated by work-roles such as classroom teacher or school administrator (assistant principal and principal). Van Maanen and Schein (1979) recognized that organizations give rise to cultural modes of thinking to the extent that they are "fragmented to some degree giving rise within large organizations to various 'subcultures' or organizational segments" (p. 2). Culture, then, is concerned with both group and individual outcomes, and may be manifested at both the level of the organization as a whole or at a level of fragmentation into segments. Socialization can be a means to entering a social structure, such as an educational organization (school district) or transitioning into a particular sub-set group (school leaders such as principals).

Answer: How is formal socialization for aspiring principals sought?

United States (10 states studied).

In the United States, formal socialization is provided by state-approved programs to prepare aspiring principals and by requiring their participation. These programs have been described in more detail under the findings of Proposition #1. Principal preparation programs exist within the broader structure of a state framework for professional development and/or leadership development. Such programs also employ processes associated with the typology of organizational socialization tactics elaborated by Van Maanen and Schein (1979) and that were operationalized by Jones (1986) as a set of two clusters: institutionalized and individualized. Institutionalized tactics are associated with formal socialization, and socialization to the leadership role of principal is developed in preparation programs through the employment of these tactics.

Documents reviewed for this study reveal the use of processes focused on the creation of a learning context as program participants are grouped into cohorts (collective processes) and are segregated to a specific preparation program (formal processes). Of the 10 states studied, only Washington State did not clearly indicate the use of a cohort process. Socialization processes with a content foci also are evident, and indicate that sequential activities and experiences (sequential processes) are present in preparation programs in the form of phases (as found in Arkansas, Delaware, and Minnesota), modules (Kentucky), a set order of courses (Alabama, Pennsylvania, and Washington), or scaffolding to build on previous knowledge and experience (Louisiana and South Carolina). Preparation programs in the United States also were found to use structured timelines (fixed processes). All programs indicated their duration: one year for Kentucky and South Carolina, two years for Alabama and Louisiana, three years for Pennsylvania, one to three years for Arkansas, 15 months for Delaware. Virginia and Washington

expressed their required timeline in hours: 320 and 540 hours respectively. Institutional tactics with social aspect foci were also present as current or recently retired principals are used as role models and serve as mentors or as instructors (serial processes). This was evident in nine of the 10 states explored. Only in Virginia did the documentation not provide evidence of principals acting in the capacity of mentors or instructors. The processes of investiture and divestiture were not clearly revealed in the documents observed in this study. Yet, three states (Delaware, Louisiana, and Pennsylvania) provide an identified induction phase with regard to the principalship, consisting of two-year's duration for Delaware and Louisiana, and three-year's duration for Pennsylvania. Induction has the potential to lend itself more to investiture as the new identity of principal is affirmed, while preparation would lend itself to either investiture or divestiture depending upon the position from which one entered the program – as a current administrator such as an assistant principal for the former, or a classroom teacher for the latter.

Principal preparation programs in the United States socialize aspiring principals through attention to both the professional and organizational roles of principal. The content of these programs addresses the principal role primarily in the form of the knowledge, skills, and dispositions required of the individual. As indicated, aspiring principals are prepared by addressing the activities associated with the professional role of principal. This was evident in nine of the 10 states explored. Alabama conveyed the elements of knowledge, values, and norms associated more with the organizational role of the principal. In addition, the importance of a principal's behavior was cited by five states. Socialization to the organizational role of principal is addressed through residency

requirements consisting of a practicum placement in a school and district context. The knowledge, skills, and dispositions attained through coursework, workshops, or presentations are applied through practice in a particular context; the professional role is enhanced by the organizational role. The requirement of accredited preparation programs partnering with school districts to provide practicums is also a notable component of state reform initiatives.

Canada.

In Canada, formal socialization is provided through the provision of preparation programs for aspiring principals. A province-wide program is offered in five provinces (Saskatchewan, Manitoba, Ontario, New Brunswick, and Nova Scotia) and two territories (Northwest and Nunavut), and one has been proposed for the Province of Alberta and also for the Yukon Territory. These programs exist outside of a formal provincial or territorial framework of professional development or leadership development, with the exception of the Province of Ontario which has the *Ontario Leadership Framework* (2008). Preparation programs in Canada do employ some processes associated with organizational socialization tactics elaborated by Van Maanen and Schein (1979) and, subsequently, operationalized by Jones (1986) as a set of two clusters.

Documents reveal socialization tactics having a context focus. Cohort groupings of participants are indicated in four provinces (British Columbia, Manitoba, New Brunswick, and Nova Scotia), and segregation within separate province-wide programs occurs in five provinces (Saskatchewan, Manitoba, Ontario, New Brunswick, and Nova Scotia) and two territories (Northwest, Nunavut). Segregation in a province-wide or territory-wide program may be forthcoming in Alberta and in the Yukon Territory as they

currently have proposed such programs and they are under consideration. Socialization tactics with a content focus are evident in some province and territory-wide preparation programs. Sequential activities and experiences (sequential processes) occur in Manitoba's "Peer Assisted Leadership Program" in the form of five sequential sessions, in New Brunswick's "Principal Certification Program" with university courses followed by a practicum, in Nova Scotia's "Instructional Leadership Program" which entails two courses provided in sequence in each of two years, and Ontario's "Principal Qualification Program" consisting of Part 1 followed by a leadership practicum and a subsequent Part 2 with a continuation of the leadership practicum. Quebec has proposed a sequence for preparing its principals and vice-principals consisting of compulsory training, followed with professional integration, and subsequently with continuing education and training. Both the Northwest Territories and the Territory of Nunavut offer the "Educational Leadership Program" which provides the program in two phases in alternating summers and a research project. A reference to timelines (fixed processes) is provided for these programs, ranging from three to six months (Manitoba's "Peer Assisted Leadership Program"), to two years (New Brunswick's "Educational Leadership Academy"; Northwest Territories' and Nunavut's "Educational Leadership Programs"), and to three years (Nova Scotia's "Instructional Leadership Program"). Some programs provide a timeline delineated in hours: Ontario's "Principal Qualification Program" and the "Educational Leadership Programs" of the two territories are presented this way. It is noteworthy, too, that content focused Individualized Socialization Tactics are evident in some programs, such as the "Principal Certification Program" offered in both Manitoba and New Brunswick which each have variable processes in conjunction with sequential

processes. This enables aspiring principals to attain certification at their own individual pace, while still allowing them to engage in sequential activities and experiences.

Institutionalized socialization tactics pertaining to a social aspect focus are also prevalent, as experienced principals serve as mentors and coaches in the programs offered. Indeed, veterans are used as role models (serial processes) in varying ways and activities in five provinces (Saskatchewan, Manitoba, Ontario, New Brunswick, Nova Scotia) and this involvement is proposed in both Alberta and Quebec. The use of veterans is not evident in the programs offered in the three territories of Canada. The processes of investiture and divestiture are not clearly evident in programs provided in the provinces and territories.

Australia.

In Australia, formal socialization to the principal role is done through the provision of preparation programs which are provided state and territory-wide, within both the government and non-government sectors (Catholic School and Independent School systems). Organizational socialization tactics are also evident in the programs provided. Institutionalized tactics with a context focus are present in most states. The grouping of participants into cohort groups (collective processes) is done in the states of New South Wales, Queensland, Tasmania, Victoria, and Western Australia, as is segregation within a specific program of preparation. Tactics with a content focus are presented through the use of sequential activities and experiences (sequential processes), and are evident in preparation programs in New South Wales, Queensland, South Australia, and Victoria; fixed timelines (fixed processes) are evident in New South

Wales, South Australia, Tasmania, Victoria, and Western Australia. Tactics with a social aspect focus (serial processes) are found in all states and territories.

England.

In England, formal socialization is done through the provision of preparation programs which are overseen by the National College for Leadership of Schools and Children's Services. The National College is a government-funded, non-departmental public body that was created and assigned the task of training and developing school leaders such as head masters and principals. Programs are provided by the National College, as well as by other providers who have received approval from the College. Preparation programs for aspiring and newly appointed head teachers or academy principals have been identified previously under the findings for Proposition #1 (p. 85).

Preparation programs employ both institutionalized and individualized socialization tactics in order to socialize participants to the leadership role of head teacher or academy principal.

Documents, associated with the various preparation programs, describe processes focused on context, though not exclusively. Collective processes, using a cohort structure, are present in the following programs: Tomorrow's Heads Programme, Future Leaders Programme, Associate Academy Principal Programme, and National Professional Qualification for Headship Programme. The first three programs are pre-cursors to the NPQH which, in turn, is a required pre-cursor to attaining headship or principalship. Individual processes are evident in the "Leadership Pathways Programme", which is an initial leadership development program for teachers interested in potential leadership roles. Individual processes also are evident in the "Head Start Programme",

which is an induction program provided to those who have completed NPQH requirements and who are waiting for, or have just recently received their, initial appointment to the headship or principalship. Formal processes of the context focus are employed, as participants are segregated to the program.

Preparation, entailing a content focus, is indicated through the use of sequential and fixed processes. The six aforementioned programs each have a sequential process, in the form of stages, phases, or sessions. A fixed timeline is found in all programs, varying in duration from 10 months (Associate Academy Principal Programme) to one year (Leadership Pathways, NPQH) and up to three years (Tomorrow's Heads, Future Leaders). However, there is some variability within the Future Leaders Programme because, while the first year is fixed, the remaining years are variable due to the uncertainty as to when acceptance into the NPQH will occur. However, the program duration is described as entailing three years of involvement (National College, 2011).

Socialization tactics focused on the social aspect are present as experienced head teachers and principals are used as coaches and mentors, thereby serving as role models (serial processes). The exception, as indicated in the program description documents, is the Tomorrow's Heads Programme which states only that each participant will have a "personal leadership development advisor" (National College for School Leadership, 2011, Professional development - Tomorrow's heads programme details, para. 2). The processes of investiture and divestiture were not clearly revealed in the documents reviewed for this study. However, divestiture processes would seem possible with the Leadership Pathways Programme, as it is offered to teachers who are exploring their potential to pursue leadership roles which may ultimately lead to headship or

principalship. Having attained an initial leadership role or position, subsequent programs would tend towards investiture processes as the National College socializes its aspirants for future leadership roles and positions.

Finland.

In the jurisdiction of Finland, formal socialization to the leadership role of principal is provided initially through high-standard teacher education, as principals are required to have a teaching responsibility, which is determined by the education provider for whom the principal serves (Ministry of Education, Finland, 2007). The education provider, such as a municipality, provides training in leadership and administration to aspiring principals, as well as continuing professional development. Individuals who aspire to the principalship must be qualified, and “required qualifications guarantee that a principal is formally qualified for the post” (Ministry of Education, Finland, 2007, p. 33). The Qualification Decree stipulates that a certificate in educational administration must be obtained. Accordingly, an individual can qualify for a principalship simply by passing an eight study week examination in educational administration (University of Jyväskylä Institute of Educational Leadership, 2011, *Developing principals’ education since 1999* [Website], Educational leadership section), “until 1996, there were no official Principal Preparation Programmes in Finland” (University of Jyväskylä Institute of Educational Leadership, 2011, *Developing principals’ education since 1999* [Website], Principal preparation programme section, para. 1). However, in 1996, the University of Jyväskylä commenced the first principal preparation program which continues to be offered by its Institute of Educational Leadership. The program functions within the broader structure of the Qualification Decree, which was amended in 1998 to reference “studies of

educational administration (at least 25 ECTS) organized by the university” (University of Jyväskylä Institute of Educational Leadership, 2011, *Developing principals’ education since 1999* [Website], Principal preparation programme section, para. 2). Although the document, *Improving School Leadership, Finland*, indicates that similar principal preparation programs were made available at the universities of Turku, Helsinki, Vaasa, Lapland, and Oulu (Ministry of Education, Finland, 2007, p. 40), current university websites do not mention the existence or availability of such programs.

The Principal Preparation Programme at the University of Jyväskylä Institute of Educational Leadership employs processes associated with the typology of organizational socialization tactics presented by Van Maanen and Schein (1979), and that conform to the institutionalized cluster of Jones (1986). Processes focused on context are present as program participants are grouped into cohorts (collective processes) and are segregated to the program (formal processes). As well, content processes are evident as the program is of 18 months duration (fixed processes). Through the use of principals or senior educational leaders as tutors, as well as an assigned collaborative principal for the Practicum component of the program (serial processes), a focus on social aspect processes is realized. Sequential processes, as well as processes of investiture or divestiture, were not clearly revealed in the documents observed in this study.

The Principal Preparation Programme socializes aspiring principals through attention to the professional and organizational roles of principal. The content of the program looks at the leadership role of principal by addressing knowledge and skills development, as well as values leadership, which conforms to Hart’s (1991) viewpoint that socialization to the profession involves learning knowledge, skills, and dispositions,

while socialization to the organization involves learning knowledge, values, and behaviors (Hart, 1991). The program speaks of developing a professional orientation centered on management and leadership (University of Jyväskylä Institute of Educational Leadership, 2011, *Principles and educational philosophy of the Institute of Educational Leadership* [Website], Cornerstone section). Formal studies include seminars, small group discussions, assignments, readings, a learning log, study visits, as well as school leader interviews and shadowing (University of Jyväskylä Institute of Educational Leadership, 2011, *The Principal Preparation Programme – dialogue between theory and practice* [Webpage], Strong links to practice section). Socialization to the organizational role of principal is addressed through a practicum placement, made possible by the university's "extensive network of principals and cooperative schools" (University of Jyväskylä Institute of Educational Leadership, 2011, *The Principal Preparation Programme – dialogue between theory and practice* [Webpage], Strong links to practice section). Program participants are immersed in the daily work of the school principal to provide an opportunity to link theory with practice, as well as to link the professional role with the organizational.

Question 3: Of what importance is formal socialization to principal preparation programs in the five jurisdictions?

Answer: Importance of Formal Socialization to Principal Preparation Programs

Formal socialization "refers to those processes in which a newcomer is more or less segregated from regular organizational members while being put through a set of experiences tailored explicitly for the newcomer" (Van Maanen & Schein, 1979, pp. 43-

44). According to Greenfield, Marshall, and Reed (1986), formal socialization occurs in the “condition” of a preparation program, which specifies both the role and the nature of the material to be learned. In contrast, informal socialization does not occur within the “condition” of a program, nor does it distinguish the newcomer’s role, or tailor the learning experiences; socialization, thus, presents as a more or less laissez-faire approach.

United States (10 states studied).

In the United States, formal socialization is seen as being very important. The condition in which it occurs is a state-government approved preparation program delivered by a state-government approved provider, universities, primarily. These programs were identified earlier in this exploratory study and are listed in Appendix C. The universities work in partnership with school districts to provide learning experiences that are theoretical, provided by the universities, and practical, provided by the school districts. The partnership is a reform initiative undertaken by state departments of education in response to criticisms of previous university preparation programs which were long on theory but short on, or devoid of, practice experience. The Southern Regional Education Board references such criticisms by stating the following:

A long-standing critique of educational leadership programs is that they have offered a watered-down curriculum that gives preference to school management and administration over instructional leadership, relies on dated texts, and gives graduates a heavy dose of organizational theory and educational philosophy with only a garnish of practical knowledge and experience. (Schmidt-Davis, Busey, O’Neill, & Bottoms, 2010, p. 8)

The requirement of a school-based practicum, termed a residency, for individuals who aspire to become principals ensures that more than a ‘garnish’ of practical knowledge and experience can be attained. The residency experience is tailored explicitly

for the newcomer, with respect to instructional leadership. As well, the individual is able to work under the guidance of a mentor principal that can serve as a role model, while also imparting organizational and district knowledge, values, beliefs, and norms.

Program participants are segregated from other organizational members, and are members of collective cohorts. Segregation and a cohort structure conform to the formal and collective processes of organizational socialization tactics, as conceptualized by Van Maanen and Schein (1979). These processes were evident in all the preparation programs, described in the documents examined.

The leadership role of principal is specified in the preparation program, with attention given to the professional role of principal (a conception of the role), as well as the organizational role (a definition of the role in a particular context). The program also specifies what material must be learned. The content of the role is transmitted through a knowledge base and the role is invested with a mandate or purpose (Van Maanen & Schein, 1979). Accordingly, principal preparation programs in the states have, as the material to be learned, a framework of competencies which have been codified into standards. The Interstate School Leaders Licensure Consortium (ISLLC) Standards for School Leaders were first developed in 1996 and were revised in 2008 as the Educational Leadership Policy Standards: ISLLC 2008. Kentucky's Education Leadership Redesign Task Force (2007) supports this emphasis by stating that "The curricula of Kentucky's principal preparation programs must be built upon the competencies that are identified as supporting student achievement" (Education Leadership Redesign Task Force, 2007, p. 8). The standards inform the program and also help to conceptualize the professional role of principal. However, they also serve to define the organizational role since they indicate

the functions to be performed, which conform to the functional dimension of an organizational role, as conceptualized by Van Maanen and Schein (1979). The mandate or purpose of preparation programs in the various states is to prepare aspiring and current principals for their managerial, organizational, and instructional leadership roles, with a particular emphasis on the latter. The program goals of the Alabama New Principal Mentoring (ANPM) Program are indicative of this purpose, stating, in part, to “produce highly-qualified instructional leaders equipped with the knowledge, abilities, and behaviors needed for effective instructional leadership, resulting in greater student achievement” (Alabama Department of Education, 2010, p. 4).

Formal socialization is evident in Principal preparation programs in their use of organizational socialization tactics. As revealed in the findings to research question #2: “Why and how is formal socialization sought in the various jurisdictions?”, organizational socialization tactics are employed in the states of Alabama, Arkansas, Delaware, Kentucky, Louisiana, Minnesota, Pennsylvania, South Carolina, Virginia, and Washington. Documentation reveals preparation programs in these states use the following institutionalized processes:

- a. Alabama – collective, formal, sequential, fixed, serial;
- b. Arkansas – collective, formal, sequential, fixed, serial;
- c. Delaware – collective, formal, sequential, fixed, serial, investiture;
- d. Kentucky – collective, formal, sequential, fixed, serial;
- e. Louisiana – collective, formal, sequential, fixed, serial, investiture;
- f. Minnesota – collective, formal, sequential, fixed, disjunctive;
- g. Pennsylvania – collective, formal, sequential, fixed, serial, investiture;
- h. South Carolina – collective, formal, sequential, fixed, serial;
- i. Virginia – collective, formal, sequential, fixed, disjunctive;
- j. Washington – collective, formal, sequential, fixed, serial.

Informal socialization is present, but to a much lesser degree, with Alabama, Kentucky, and South Carolina providing networking opportunities for their aspiring principals.

Thus, the importance of formal socialization is underscored by the application of pre-dominantly institutionalized socialization tactics.

Canada.

In Canada, formal socialization is deemed to be important, but the degree of importance varies according to the extent to which preparation programs exist and are developed in the various provinces and territories. Ontario has a province-wide principal preparation program, while Alberta does not, although the provincial government has proposed that one be created. The condition under which formal socialization appears is a preparation program, consistent with Greenfield, Marshall, and Reed's (1986) expressed viewpoint, although in some provinces, such as British Columbia and Saskatchewan, short courses are provided as programs. In the provinces of Manitoba, New Brunswick, Nova Scotia, Ontario, Saskatchewan, as well as the Northwest Territories and Nunavut Territory, programs are provided province- or territory-wide and are approved by the government, or by a government-sanctioned regulatory body, such as the Ontario College of Teachers. These programs have been identified previously in this study and are listed in Appendix C. The primary mandate or purpose of preparation programs in the various provinces and territories is to prepare aspiring and current principals for their roles as principals. This purpose, too, has been described previously. The following statement by the Ontario College of Teachers (2009) exemplifies this purpose: "The Principal's Qualification Program provides a foundation for candidates for assuming the role of

principal or vice-principal in Ontario schools” (p. 1). The principal role is commented upon in Alberta’s Principal Quality Practice Guideline (2009), stating that “school principals must have a deep and thorough knowledge of teaching and learning so that they are able to serve as instructional, educational and organizational leaders focused on the school’s core purpose” (Alberta Education, 2009, p. 3).

With respect to what material is to be learned, preparation programs in Alberta (proposed), British Columbia, Nova Scotia, Northwest Territories, Ontario, Quebec, and Saskatchewan indicate a framework of competencies, expressed as guidelines, standards, or dimensions.

Formal socialization is evident in some Principal Preparation programs through their use of organizational socialization tactics. As discussed in the description of the findings related to research question #2: “Why and how is formal socialization sought in the various jurisdictions?”, organizational socialization tactics are employed in most of the provinces and territories. Documentation reveals preparation programs to use the following processes:

- a. British Columbia – (Collective, formal, fixed, serial for Short Course);
- b. Alberta – none mentioned (but collective, formal, serial proposed);
- c. Saskatchewan – formal, fixed, serial;
- d. Manitoba – collective, formal, sequential, fixed (variable for one program), serial;
- e. Ontario – collective, formal, sequential, serial;
- f. Quebec – collective, formal, sequential, variable, (serial proposed as mentoring), investiture;
- g. New Brunswick – collective, formal, sequential, fixed (variable for one program), serial;
- h. Nova Scotia – collective, formal, sequential, fixed, serial;
- i. Prince Edward Island – none mentioned;
- j. Newfoundland and Labrador – none mentioned;
- k. Yukon Territory – none mentioned;
- l. Northwest Territory – formal, sequential, fixed;

m. Nunavut Territory – formal, sequential, fixed.

Informal socialization methods, in the form of Proactive Behaviors, are present in some provinces, as indicated in documentation, and include networking (Nova Scotia, Quebec, Saskatchewan), providing feedback (Northwest Territories), and self-selected or self-directed learning (Ontario, Saskatchewan). The greater use of socialization tactics in preparation programs reveals the importance of formal socialization within the Principal Preparation programs.

Australia.

In the jurisdiction of Australia, formal socialization is important to preparation programs. As discussed in the findings to research question #2: “Why and how is formal socialization sought in the various jurisdictions?”, organizational socialization tactics are evident in the programs described. Institutionalized tactics are employed in the states of New South Wales, Queensland, Tasmania, Victoria, and Western Australia. In particular, documentation indicates that preparation programs in individual states or territories use the following institutionalized processes:

- a. New South Wales – collective, formal, fixed, sequential, serial, and investiture;
- b. Queensland – collective, formal, sequential, and serial;
- c. South Australia – formal, fixed, sequential, serial;
- d. Tasmania – collective, formal, fixed, and serial
- e. Victoria – collective, formal, fixed, sequential, and serial;
- f. Western Australia – collective, fixed, and serial.

In contrast, informal proactive behaviors are present, but to a much lesser extent.

Documents indicate the following:

- a. New South Wales – individual pathways of professional learning and networking;

- b. Queensland – networking
- c. South Australia – individually directed participation
- d. Victoria – networking
- e. Western Australia - networking.

Thus, the importance of formal socialization is evident in the application of pre-dominantly institutionalized socialization tactics.

England.

In the jurisdiction of England, formal socialization is important to preparation programs. As discussed in the findings to research question #2: “Why and how is formal socialization sought in the various jurisdictions?”, organizational socialization tactics are evident in the programs provided. Institutionalized tactics employed in preparation programs include the following:

- a. Leadership Pathways – fixed, sequential, serial
- b. Tomorrow’s Heads – collective, fixed, sequential, serial
- c. Future Leaders – collective, formal, fixed, serial
- d. National Professional Qualification for Headship – collective, formal, fixed, sequential, serial
- e. Associate Academy Principal Program – collective, formal, fixed, serial
- f. Head Start Programme - formal, fixed, sequential, serial.

Individualized socialization tactics are present in the Leadership Pathways and National Professional Qualification for Headship Programme in the form of individual processes; in the former, the program is characterized as leadership learning that is personalized and entails access to on-line learning and self-identification of a mentor, while, in the latter, the development stage of the qualification program is portrayed as a personal journey which may vary in duration with regard to its completion. As well, proactive behavior in the form of networking occurs in the Tomorrow’s Heads, Future Leaders, and Head Start programs.

Finland.

In the jurisdiction of Finland, formal socialization has gained in importance with regard to the principalship. As the findings to research question #2 suggest, preparation for the leadership role of principal was initially limited, requiring only successful completion of eight weeks of study and a subsequent passing of an assessment. In this regard, the University of Jyväskylä Institute of Educational Leadership noted the following:

This examination has undergone a great deal of debate in regard to its sufficiency for the demanding profession of a principal, and the Ministry of Education has set up a committee to consider the qualifications requirements and education of principals. (University of Jyväskylä Institute of Educational Leadership, 2011, Developing principals' education since 1999 [Website], Educational leadership section)

It is acknowledged in Finland that the "principalship has become a profession based on a more profound and manysided knowledge and skills requirement than earlier" (University of Jyväskylä Institute of Educational Leadership, 2011, Developing principals' education since 1999 [Webpage], Educational leadership section). There is recognition that the principal must have comprehensive skills in leadership, in addition to the traditional financial and administrative management knowledge and skills. This is indicated by the Finnish National Board of Education's (2011) document, *Learning and competence 2020: Strategy of the Finnish National Board of Education (FNBE)*, which

states that “specific focus will be on the development of administrative and management skills as well as pedagogical leadership skills of educational leaders” (p. 10).

The creation of an official principal preparation program in 1996, and the subsequent amendment to the Qualification Decree to incorporate formal studies through the university, indicates a level of importance given to formal socialization. As indicated earlier, formal socialization occurs within preparation programs and specifies the role to be learned, as well. It is implemented within the program by processes that segregate its participants from other organizational members, and tailor their learning experiences for the role to be learned. These processes are identified as organizational socialization tactics. Their pre-dominance as a method of socialization indicates their importance in relation to formal socialization.

Institutionalized tactics are evident in the principal preparation program of the University of Jyväskylä. They include the following:

- a. Principal Preparation Programme – collective, formal, fixed, serial.

The informal socialization method of networking, associated with Proactive Behaviors, is also an element of the program, as revealed in the following stated outcome: “building of social networks and inter-organizational relationships” (University of Jyväskylä Institute of Educational Leadership, 2011, *Principles and educational philosophy of the Institute of Educational Leadership* [Website], Cornerstone section).

Discussion

The importance of formal socialization is underscored in documentation reviewed, which pertains to principal preparation programs. As described, formal

socialization occurs within preparation programs and specifies the role to be learned. It is also demonstrated within the program itself, through processes that segregate its participants from other organizational members, and that tailor their learning experiences to the role to be learned. These processes are also identified as organizational socialization tactics. Their pre-dominance as a method of socialization indicates their importance. However, the importance of formal socialization also is underpinned by its preference as a method of demonstrating an organization's intended program outcomes, as an approach to ameliorate high levels of risk, and as an approach to succession issues.

Formal socialization was also demonstrated to be important to the various jurisdictions of this study, although to varying degrees amongst them, because it is a means to secure intended program outcomes. Though the intended primary outcome may be simply to prepare prospective candidates for the leadership role of principal, entailing all principalships within the jurisdiction, or, in a more parsimonious manner, entailing principalships within the organizations that comprise the jurisdiction, it also indicates the complexity of achieving the myriad outcomes sought by, and within, the jurisdiction.

Preparation for the leadership role of principal also involves linking the individual to the organization in a manner that attains both general and specific outcomes.

Socialization provides an important link to securing the intended outcomes. The chosen form of socialization, whether formal or informal, is determined by the efficacy of the processes in achieving the outcomes. Consequently, identifying the myriad outcomes sought by and within the jurisdiction, in relation to the potential socialization processes, suggests the ideal socialization method, thereby indicating its preference and importance to the jurisdiction.

Orr (2006) sees leadership socialization as being “an ongoing interplay between organizational and professional socialization” (p. 1397). Professional and organizational forms of leadership socialization differ in kind and, consequently, so do their outcomes. For professional socialization, the outcome is to socialize individuals to a conception of the profession and the role to be assumed. The focus of this socialization is on becoming a member of a group (profession of teaching) while also developing an understanding of the role (role conception pertaining to teacher). Organizational socialization socializes individuals to a definition of the role and how it will be enacted within a given context. The outcome of this socialization is focused on a principal-to-be becoming part of a subgroup associated with a specific role (an organization’s principal-teachers or head teachers) and learning to fulfill it (orientation to how the principal / head teacher role is enacted within the organizational context). Hart (1991) would agree, contending that both forms contribute to socialization, but that organizational socialization is the more powerful of the two because the immediacy and power of the workplace enables it to take precedence. A conception of the profession gives way to the occupational role and how it is enacted due to the realities of the specific context.

Van Maanen and Schein (1979) concluded that formal socialization processes are preferred in situations where the nature of the work involves high levels of risk for the individual involved, the colleagues with which the individual is associated, and the organization to which one belongs. Through the enactment of formal processes, mistakes can be limited and their impact, thus, minimized by accepted ways of doing things. By contrast, if there are perceived low levels of risk, then a more informal socialization approach may be undertaken. Consequently, formal socialization becomes increasingly

important as levels of risk for the individual, the group, and the organization rise in step with the increased level of responsibility and accountability associated with the role performed; this coincides with the hierarchical structure inherent in educational organizations and conforms to the dimensional construct of hierarchical lines of authority associated with organizational role, as conceptualized by Van Maanen and Schein (1979). With positions of low responsibility and accountability, an approach using informal processes, such as proactive behaviors on an individual basis, may characterize professional and initial leadership development; with the position of principal or head teacher, and its higher levels of risk, an approach using formal processes such as organizational socialization tactics may tend to characterize leadership development. Hence, the initial phases or stages of leadership development may be marked by more informal, proactive behavior processes, while the latter phases targeted to the principalship may be more formal, marked by the presence of formal, socialization tactics in which participants are segregated within a collective cohort, provided with the guidance of an experienced practitioner as mentor, and subjected to timelines. Were such individual and informal processes sufficient to minimize risk, to prepare individuals for the principalship – indeed, regardless of organizational context - then one would expect to see jurisdictions pursuing a trend in this direction with regard to the preparation of principals and head teachers. Yet, the documentation pertaining to the preparation of principals indicates otherwise. The majority of programs in the jurisdictions explored was organizationally driven and, therefore, favored the use of tactics associated with formal socialization, thereby underscoring its importance.

Through leadership socialization processes, jurisdictions seek to prepare individuals to serve as leaders and to perform the functions of leadership (Orr, 2006). This is the simple, intended outcome. It could be attained through individual, informal means by way of professional socialization. However, the added outcome of a reduction in high levels of risk for the individual serving as leader, and for the organization, too, provides support for implementing formal processes in favor of informal, in accordance with the findings of Van Maanen and Schein (1979). Functions are a dimensional component of organizational role, as conceptualized by Van Maanen and Schein (1979), and may vary according to organizational context and levels of risk. As an outcome, an organization would strive to prepare its potential leaders to perform the functions of the role within the context of the high levels of risk the role has. Indeed, the organization would drive to attain such an outcome through deliberate formal processes because it minimizes risk and secures desired performance of functions. Furthermore, the development of individual and organizational capacity pertaining to leadership, too, becomes an intended outcome in order to maintain a sustainable pool of such individuals when the issue of leadership succession becomes an element characteristic of the prevailing context. With the advent of a generation of current school leaders commencing or approaching retirement, the contextual importance of succession planning leads jurisdictions to better prepare for succession by developing the capacity of the organization to fill positions associated with particular work-roles such as teaching or leadership, to adequately prepare individuals for the leadership role of principal or head teacher specifically, and to sustain and build on such preparation subsequent to an individual's appointment as principal or head teacher. Therefore, it is important for

organizations to socialize individuals using methods which support its central purpose, with regard to developing both individual and organizational capacity.

Socialization methods include employee orientation programs, organizational socialization tactics, and proactive behaviors (proactive socialization tactics). However, the chosen method or methods influence the intended outcomes and support either an individually-driven, informal approach to socialization and, thus preparation, or an organizationally-driven, formal approach. Since the intended outcomes include preparation for the leadership role of principal, a reduction in risk for the individual principal and the organization, and a need for the organization to address and plan for succession, an organizationally-driven, formal approach is preferable as preparation of principals is not left to chance. Consequently, the importance of formal socialization methods becomes evident. Thus, through the combination of organization-driven formal orientation or preparation programs and organizational socialization tactics, formal socialization is provided.

Through preparation programs, formal socialization processes associated with organizational socialization tactics enable the organization to convey accepted ways of doing things and frame both the professional and the organizational role of principal, within the chosen context of the general capabilities or functions to be performed in the role, or in the chosen context of more specific functions to be performed in a particular context. Formal socialization, thus, enables prospective principals or head teachers to more easily adjust to the leadership role, first by developing a conception of the role, then by orientation to a particular context (role adjustment). Orienting an individual to a new or prospective role will help to alleviate role ambiguity and role conflict and, thus, will

serve to minimize the potential for an individual to refrain from seeking a new role or from quitting the organization altogether. In addition to adjustment, orienting an individual to organizational roles also will enable an individual to anticipate if the prospective role will fit personally, according to values and beliefs, or even if the individual will fit the organization given the new role. Orientation, too, will help to develop an individual's knowledge and skills to attain task mastery relevant to the functions performed in the role. Through orientation, individuals are prepared to assume and perform roles in ways that are not contrary to those customary in the organization, or, by extension, the jurisdiction.

For any jurisdiction, the program and the processes provide the opportunity to check potential candidates for compatibility with the leadership role of principal (role adjustment), to see if they have the capacity to do the job (person-job fit), and to check for the candidates' commitment to the organization (organizational commitment) and, thus, their propensity to do more out of loyalty to the organization (Organizational citizenship behavior). Thus, commitment and the propensity to do more can be demonstrated by potential candidates' participation in the organization's leadership development programs.

Question 4: How important is context to the content of principal preparation programs in the five jurisdictions?

Answer: The Importance of Context

The content of principal preparation programs is influenced by the context in which the program exists. As revealed in the Findings to the Propositions of the Study, the context identified includes an espoused government purpose with a supporting

initiative, often in the form of a collective endeavor to reform elements of the education system so as to realize an improvement in student outcomes, or the effectiveness or quality of principals and head teachers, to which the program complies by providing content conducive to the purpose. Principal leadership has been seen to be second only to classroom teaching in potential effect on the improvement of student learning (Leithwood, Seashore Louis, Anderson, & Walhstrom, 2004). Principals do this by setting the conditions for improved student outcomes through alignment of school components in order to support teaching and learning (Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007). Therefore, the element of leadership is addressed in the content of programs, focusing on functional areas such as managerial, organizational, and, in particular, instructional as it is directly related to the purpose of improving student outcomes. In some contexts, such as in the territories of Canada and in Australia, the area of cultural leadership can be found in program content, since preparation requires an awareness and knowledge of the aboriginal students attending schools.

As revealed in the Findings related to the Propositions of this Study, the context also includes a supporting developmental framework which may be devised as a general approach to teacher professional learning, or more targeted to leadership learning. Such a framework may be expressed in the form of stages or as a continuum, addressing possible stages in a teacher's career, or leadership positions with their corresponding roles. The preparation program exists within the context of the developmental framework and the content of the program is duly influenced accordingly: preparation programs may exist for principals and focus on the leadership role by emphasizing models associated with responsibilities and functions. Hence, references to organizational and managerial

leadership, as well as to instructional. As well, principal preparation programs may be differentiated according to a continuum of stages such as teacher-leadership, assistant principals, aspiring principals, beginning principals, or even experienced principals, with each program focusing on the particular functions and models of leadership applicable to that stage, which may be drawn upon to fulfill the responsibilities.

The context too includes the professional and organizational roles to be assumed, and how they are conceptualized and defined. The content is designed to prepare the individual to fulfill each role and, thus, includes reference frameworks of elements – what the individual needs to know and be able to do – that are associated with each type of role, consolidated as standards or dimensions of the role. This was revealed in the Findings to the Propositions, as well.

The context also was found to include requirements placed upon the provider of the preparation program by the government with regard to the design of the program which, subsequently, impacts the program content. While course work, presentations, workshops, seminars, master classes, and other such formats convey theoretical content, a practicum in the form of a residency, an internship, or work-based learning, as found in the United States, Canada, Australia, and England, conveys the importance of the application of practice. The content of a practicum often involves conducting a project that pertains to instructional leadership that is aimed at improving student achievement.

Discussion

What the Findings of this Study reveal is that *the context* has importance to the content of principal preparation programs and, subsequently, to the socialization of principals. The extent to which context is important is discernable in the content of the

program. Context determines, first, whether principal preparation will take place in the setting or condition of a program, or not. Secondly, if preparation occurs in a program, then a purpose to the program is expressed and outcomes are sought, such as preparing individuals for the leadership role of principal – or head teacher in the terminology of England – as well as improving the quality or effectiveness of principals. Thirdly, context influences the design of the program with regard to the preparation program as a stand-alone entity, or as a component of a developmental framework targeting leadership or staff development. Fourthly, the design of the program presents content as a combination of theory and practice conveyed through course work and a residency or practicum. Fifthly, context determines content through the presence or imposition of a reference framework of standards or competencies, which serve to inform the content of the program. Lastly, participation in a formal program subjects the individual to formal socialization processes such as sequential and fixed processes which are shaped by the content. Ultimately, context may influence whether socialization processes are formally or informally oriented.

CHAPTER SIX: CONCLUSIONS AND RECOMMENDATIONS

This chapter summarizes the study of the international trends in socialization to the principalship. Conclusions are drawn from the study and recommendations are presented for the socialization of those who aspire to the principalship. Lastly, recommendations are made with regard to future research endeavors.

Summary of the Study

The purpose of this study was to explore current international trends in the formal socialization of those aspiring to the school principalship in Canada, the United States, England, Australia, and Finland. The study provided a definition for formal socialization and a subcategory thereof, organizational socialization, as well as definitions for other key terms. It was anticipated that the study would generate insights which could be drawn upon to improve principal preparation programs and, in turn, to support formal socialization to the leadership role of principal.

The research questions were as follows:

1. What are the governmentally espoused purposes and structures of principal (school administrator) preparation programs in Canada, the United States, England, Australia, and Finland (the "jurisdictions")?
2. Why and how is formal socialization into the school principalship sought in the various jurisdictions?
3. Of what importance is formal socialization to principal preparation programs in the five jurisdictions?
4. How important is context to the content of principal preparation programs in the five jurisdictions?

Summary of Findings and Conclusions

Governmentally-espoused purposes and Structures of Preparation Programs.

The trend across the United States, Canada, Australia, and England is the development of a formal principal preparation program to affect better student achievement in schools through high quality leadership, as led by school principals. Finland, too, has seen the development of a formal principal preparation program at the University of Jyväskylä.

There is a trend towards the development of a formal structure, within which preparation programs are situated and operate, which is comprised of both external and internal elements (see Appendix H for the structural elements of principal preparation programs identified in the five jurisdictions). These elements, which are common to the jurisdictions studied, vary in the degree to which they are used within the jurisdictions, but the level of formal structure they provide is evident.

Below are Figures which represent integrated structural frameworks of the external and internal elements drawn from all of the jurisdictions studied that are associated with a formal principal preparation program: Figure 1 represents an integration of the external structure while Figure 2 represents an integration of the internal structure.

Figure 1 Integrated Structural Framework representing Formal Principal Preparation Programs: **Structure External to Formal Principal Preparation Programs**

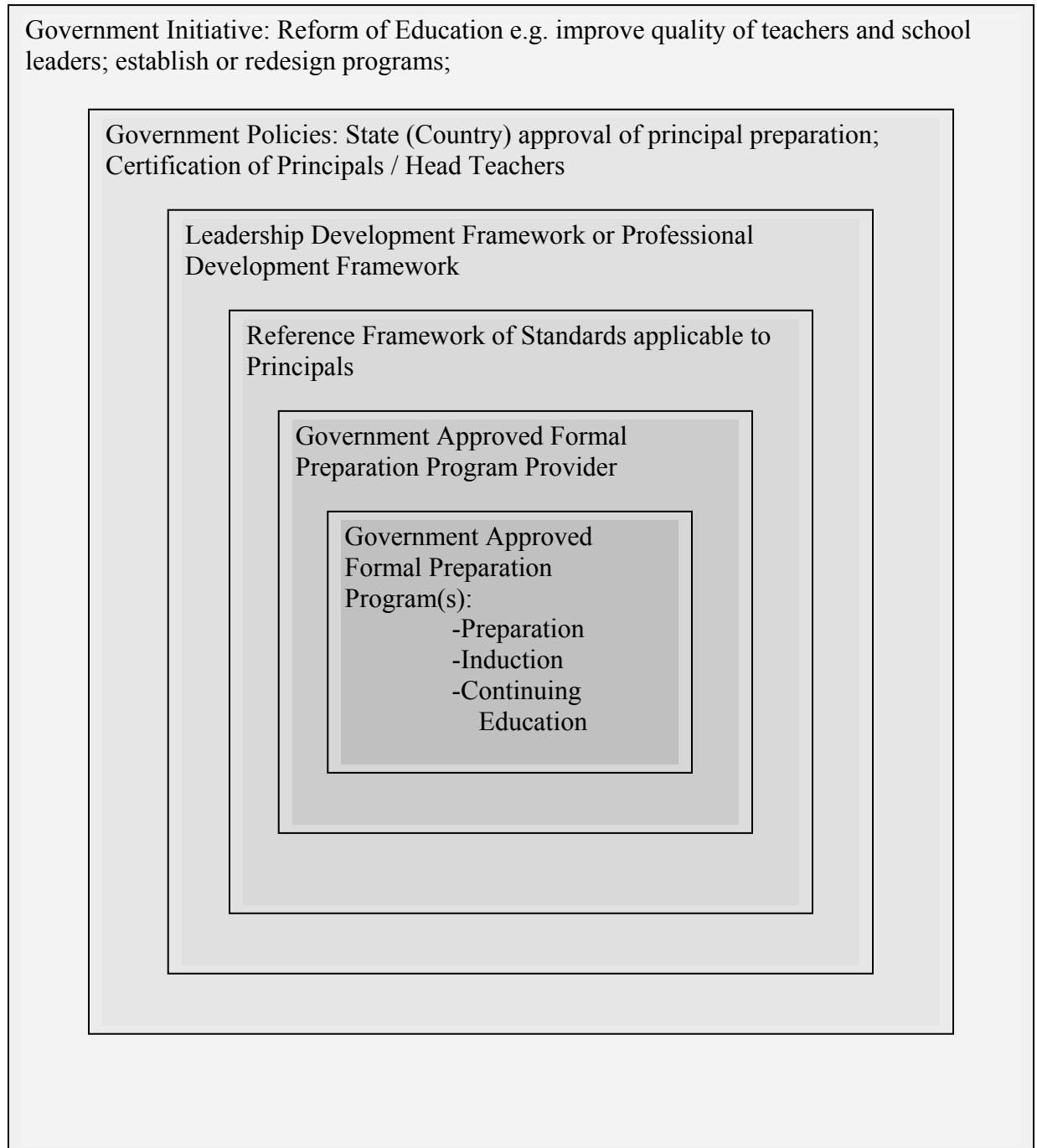
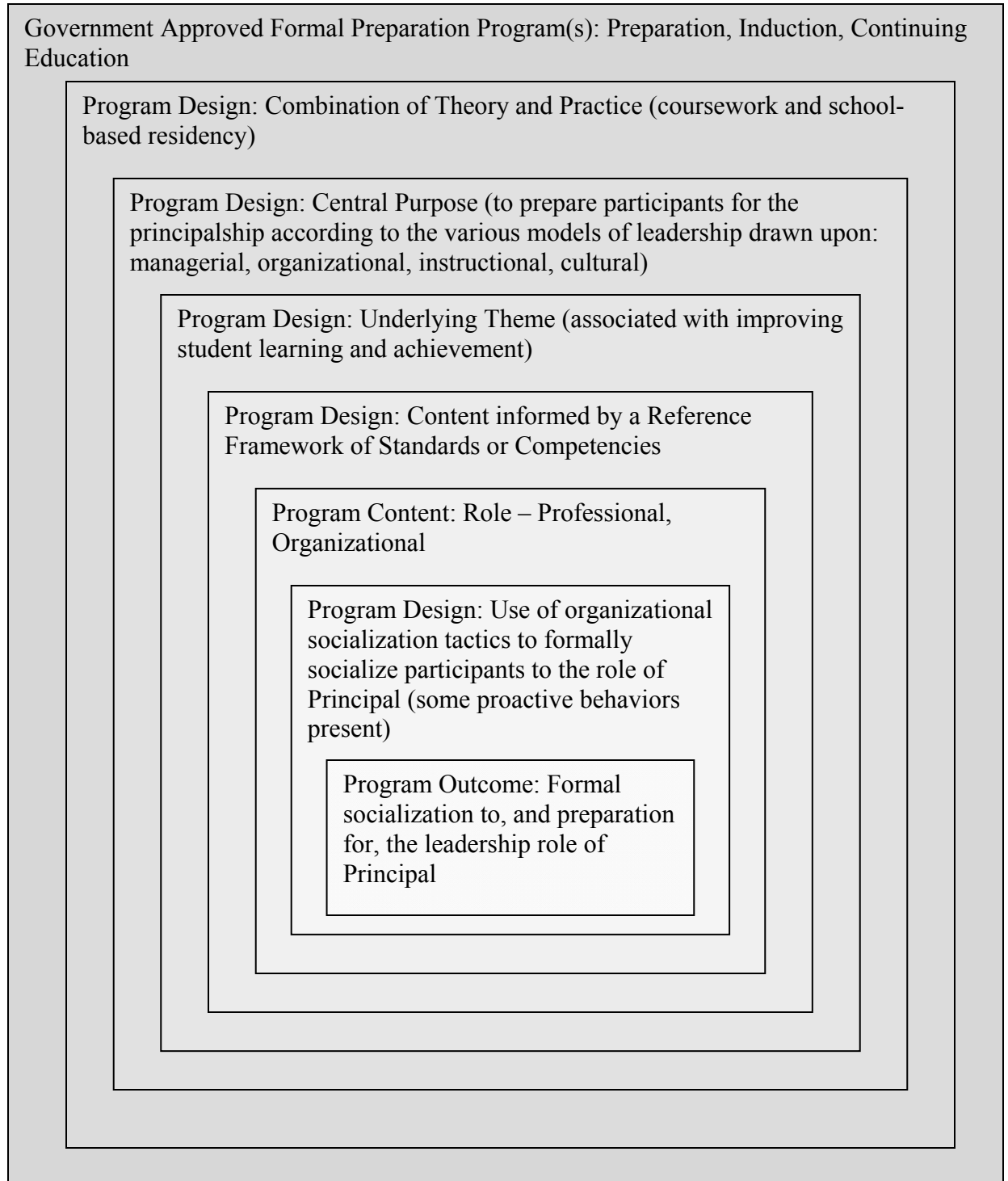


Figure 2 Integrated Structural Framework representing Formal Principal Preparation Programs: **Structures Internal to Formal Principal Preparation Programs**



Formal socialization.

To fulfill the purpose of improving the quality of leaders generally, or of Principal or Headteacher leadership specifically, as well as to address the need to develop both individual and systemic capacity in regards to leadership, preparation programs are undertaken within jurisdictions. There is a perceived desire and need to prepare individuals for these positions, as borne out by the various reform initiatives previously or currently being undertaken within the jurisdictions. It entails learning a role and being able to assume that role; it entails learning that extends beyond acquiring knowledge and skills to include acquiring the attitudes, values, beliefs, norms of behavior, understandings (of ‘how things are done around here’), cultural awareness, and competencies that, collectively, manifest the role. It is learning to assume the leadership role of principal in its duality: the professional role and the organizational role. Given the ascendancy of the organizational role over the professional, socialization gravitates more towards processes which address organizational role. Such processes tend to be formal in their application and find greater facility in the condition of the preparation program. Within the jurisdictions reviewed for this study, as revealed in documentation, principal preparation and socialization occur in the condition of a set program which is approved and provided on a broad basis, such as country-wide, state-wide, province-wide, or territory-wide.

Organizational socialization tactics, as conceived by Van Maanen and Schein (1979), provide the processes used most in these programs, primarily in the form of institutionalized tactics, as categorized by Jones (1986).

Socialization processes in preparation programs are not exclusively of the institutionalized category. Proactive socialization tactics, often referred to as proactive behaviors, are present too, but to a limited extent. Networking is the behavior most incorporated into the preparation program. Informal interactions with peers provide program participants with opportunities to gain knowledge –whether of a general or specific nature – and understandings – from other participants or from superiors. With the growing prevalence of technology in people’s lives, whether in the work place or in the home, its presence in the form of individual proactive behavior is starting to be used in principal preparation programs, and individuals are able to engage in learning through on-line means. Enhancing formal socialization in preparation programs with informal socialization processes, such as networking and individual on-line course work, provides individuals with increased opportunities for interaction with colleagues and superiors and with increased interactions with information that can shape their identity as a principal.

Context.

Principal Preparation programs exist within a context that is specific to the jurisdiction (e.g. province, territory, country) in which it exists, and which exerts an influence upon program content. This study has found context to consist of an espoused government purpose with a supporting initiative centered on reform, a supporting developmental framework of professional learning or leadership learning, and requirements pertaining to the design and delivery of the program, as placed upon the provider by the government or governing body. The trend across several national jurisdictions, as revealed in this study, is towards a context that is more centered on improving student outcomes, on teacher and leader accountability for attaining such

outcomes, on seeing high quality teaching and leading as a means to achieving student outcomes, and by approaches to accountability that see the imposition of standards as a means to ensuring high quality teaching and leading. Furthermore, the trend is towards a redefinition of the leadership role of principal to include cultural awareness or knowledge and skills due to increased student diversity, as well as government engagement in workforce planning pertaining to succession concerns regarding teachers and principals.

Recommendations for Leadership Development and Principal Preparation

The following recommendations are suggested for school principalship programs:

1. Preparation for the principalship or headship should involve professional socialization to conceptualize the role, and then organizational socialization to define it within the organization and the context in which it is enacted.
2. Preparation should develop capacity at an individual level, to ensure the individual understands the elements associated with the role, as well as develop capacity at a systemic level, to ensure the organization has a group of individuals upon which to draw as part of succession planning.
3. Government initiatives to enact reforms in education should shape the context by establishing structures that promote and maintain formal programs that prepare and socialize individuals to the principal role.
4. Preparation and socialization to the role of principal should occur in preparation programs which are formal in design, and which employ organizational socialization processes that are institutionalized so as to ensure similarities in how preparation and socialization are to occur.
5. The growth of technology provides an opportunity to supplement institutional processes with individual proactive behavior processes, such as on-line learning, in order to approach learning with a discernable level of motivation that may contribute to greater organizational commitment and organizational citizenship behavior.
6. Programs of preparation should be government approved, according to criteria set by the appropriate level(s) of government to ensure that providers meet

expectations for program provision, including consistency in the means and the content of the program provided.

7. Preparation programs for principals should not be developed as a 'stand alone' entity, but should be part of an over encompassing approach to leadership development that takes into consideration other educational roles which lead to the principalship or headship.
8. Principal preparation should include a period of induction, to provide the benefit of a mentor or network of experienced principals for the support of new principals.
9. Principal preparation should consist of a post-preparation, post-induction phase of ongoing renewal of learning to respond to any changes to the leadership role of principal that emerge over time.

Recommendations for Further Research

The findings of this exploratory study suggest two other areas for further investigation: the effect of a state of liminality, as well as the impact of new technologies, on socialization to a new role of principal or head teacher. Van Maanen and Schein (1979) suggest that organizational socialization occurs when an individual crosses a boundary from one role to another in an organization. Preparation programs provide a vehicle for crossing such a boundary and serve to socialize an individual to the new role. Does the preparation program also serve as a state of liminality in which the individual relinquishes one role while not yet being socialized to the new role? This could correspond to Turner's (1967) theory of liminality in which individuals give up one social state but have not yet attained another. Research on what effect, if any, a state of liminality has on helping (or hindering) the socialization of individuals to the role of principal would provide further insight into preparation programs and the socialization of aspiring principals. It would be beneficial, as well, for research to be undertaken which

explores the impact of new technologies and on-line learning on the use of institutionalized organizational socialization tactics and the use of proactive behaviors (proactive socialization tactics). While the results of this study show the importance of formal socialization tactics to the provision of preparation programs, how does on-line learning and on-line social connection impact formal socialization, and to what effect, in preparation programs?

Afterthoughts

The principalship is a complex endeavor. The subject of principal preparation had always been of interest to this researcher because of its complexity and because I had attended a principalship preparation program. The instructor of that program had said that only some of us would become Principals of the District. I was struck by this statement. Given my initial perception regarding the complexity, responsibilities, and accountabilities of the role, and the instructor's statement, I became aware of the daunting challenge ahead of me. My journey had been daunting, replete with challenges, but I was successful.

What struck me during the course of this study, yet again, were the complexity of the principal's role, and the importance of preparation and socialization for the role of school principal. At the start of this journey, I was told that, by its end, I would be changed and would look upon things differently. That has occurred.

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APPENDICES

Appendix A

Table A1

United States: Program Design – Certification

State	Principal Certification	Required
Alabama	Proposed: Three-Tiered licensing system for principals; Current –Professional Educator Certificate (Principal – any level) (p. 1)	Yes
Arkansas	Two-tiered: Initial Administrator License (valid for three years; Standard Administrator License (renewable license) (p. 2)	Yes
Delaware	Standard Certificate for Principal	Yes
Kentucky	Kentucky Education Professional Standards Board issues: 1) Level I five year Statement of Eligibility - School Principal Principal applicants in Kentucky are required to take the new School Leaders Licensure Assessment and the Kentucky Specialty Test of Instructional and Administrative Practices; 2) Level 2 is a five-year renewable certificate issued after 2 years of successful experience as a principal. Lifetime certificates ended in 1985.	Yes
Louisiana	4 Levels of certification: Teacher-Leader, Educational Leader Level 1, Educational Leader Level 2, Educational Leader Level 3 (Supt.)	Yes
Minnesota	Initial Educational Administrative License (valid for two years) and Renewable Educational Administrative License (five years)	Yes
Pennsylvania	Administrative Certificate Principal K-12	Yes
South Carolina	Certification at the Advanced Level – Elementary School Principal, Secondary School Principal (Section 43-64)	Yes
Virginia	Licensure Regulations for School Personnel (2007). Two-tiered structure: 1) Level 1 endorsement to serve as a building level administrator; 2) Level 2 (after 5 years experience) and completion of an induction program	Yes
Washington	Two-tiered structure: 1) Level 1 Residency Administrator Certificate: valid for 5 years after completion of 2 years in the role; 2) Level 2 Professional Certificate (must hold a Residency Certificate and complete a Professional Certification Program; Level 2 must complete five one-year professional growth plans	Yes

Table A2
Canada: Program Design – Certification

Province or Territory	Principal Certification	Required
Alberta	Government responsibility; Newly proposed Two-tiered structure: Interim Professional Certificate Permanent Professional Certificate (lifetime)	No – only a valid teaching certificate
British Columbia	Not a Government responsibility; Certification is through the BC College of Teachers, a self-governing professional body established by legislation; a One-tiered structure: 1) Teacher's Certificate of Qualification (para. 2)	No – only a valid teaching certificate
Manitoba	Government responsibility; Two-leveled structure: Level 1: School Administrator's Certificate – valid teaching certificate with three-years teaching experience plus 120 contact hours Level 2: Principal's Certificate – valid teaching certificate and two-full years as vice-principal or principal plus 180 contact hours (p. 3) Masters or Doctoral degree required for certification	Yes – in addition to a valid Permanent Professional Teaching Certificate plus a minimum of three (3)-years of teaching experience
New Brunswick	Government responsibility; Two-leveled structure: 1) Interim Principal's Certificate 2) Principal's Certificate – issued to an interim principal's certificate holder who has completed a practicum approved by the Minister	Yes – in addition to a valid Teacher's Certificate 5 or 6 or Interim Teacher's Certificate 5 or 6 with at least 5 years of teaching experience, or equivalent approved training and experience; Certificate 5 requires completion of an approved graduate degree
Newfoundland & Labrador	Government responsibility;	No – only certification as a teacher
Northwest Territories	Government responsibility;	Yes – Certificate of Eligibility as a Principal in addition to teaching certificate which must be renewed every 5 years

Table A2.1
Canada: Program Design – Certification

Province or Territory	Principal Certification	Required
Nova Scotia	Government responsibility;	No – only certification as a teacher
Nunavut Territory	Government responsibility;	Yes- Certificate of Eligibility as a Principal in addition to teaching certificate
Ontario	Not a Government responsibility; Certification is through the Ontario College, a Self-governing professional body established by legislation	Yes-in addition to a teaching certificate
Prince Edward Island	Government responsibility;	Yes – Instructional Administrative License, in addition to teaching certificate
Quebec	Government responsibility;	Yes – Leadership Certificate, in addition to teaching certificate
Saskatchewan	Government responsibility; Four types of certificates: 1) Professional 'A' Teacher's Certificate For kindergarten to grade 12 2) Professional 'B' Teacher's Certificate (endorsed) for kindergarten to grade 12- limited to endorsed subject area 3) Vocational Teacher's Certificate (endorsed) for kindergarten to grade 12- limited to endorsed subject area 4) Technical Teacher's Certificate (endorsed) for kindergarten to grade 12- limited to endorsed subject area	No – only certification as a teacher
Yukon Territory	Government responsibility;	No – only certification as a teacher

Table A3
Australia: Program Design – Certification

State or Territory	Principal Certification	Required
Australian Capital Territory	Certificate of registration as a teacher	No
New South Wales	Accreditation of professional competence	No
Northern Territory	Certificate of registration as a teacher	No
Queensland	Certificate of registration as a teacher	No
South Australia	Certificate of registration as a teacher	No
Tasmania	Certificate of registration as a teacher	No
Victoria	Provisional certificate of certificate of registration as a teacher	No
Western Australia	Certificate of registration as a teacher	No

Table A4
England: Program Design – Certification

Country	Principal Certification	Required
National	Qualification for Headship	Yes

Table A5
Finland: Program Design – Certification

Country	Principal Certification	Required
National	Certificate of Educational Administration	Yes

Appendix B

Table B1

United States: Program Design – Leadership Framework

State	Leadership Framework
Alabama	<p><i>Alabama Continuum for Instructional Leaders Development</i></p> <p>The Continuum is based on the Alabama Standards for Instructional Leaders.</p> <ul style="list-style-type: none"> - 5 levels of development: Pre-service Leadership, Developing Leadership, Collaborative Leadership, Accomplished Leadership, and Distinguished Leadership (Alabama Department of Education, 2010)
Arkansas	None found
Delaware	<p><i>Delaware’s Cohesive Leadership System</i></p> <ul style="list-style-type: none"> - has a career timeline consisting of preparation, internship, certification, and induction / residency (p. 5) <p><i>“Model” Career Ladder Tracks</i></p> <ul style="list-style-type: none"> - a sequential and hierarchical positioning of career roles, which includes a Leadership Track (p. 29)
Kentucky	<i>Kentucky Cohesive Leadership System Continuum for Principal Preparation and Development (2008)</i>
Louisiana	None found
Minnesota	None found
Pennsylvania	<p><i>Pennsylvania Inspired Leadership Initiative</i></p> <ul style="list-style-type: none"> - a statewide, standards-based leadership development and support system for school leaders at all levels (para. 1)
South Carolina	<p><i>The Leadership Continuum: a framework for professional growth</i></p> <ul style="list-style-type: none"> • serve as the operational framework for sustained, job-embedded professional development designed to build skills and competencies of leaders; and • provide a range of high-quality programs for educational leaders from those that are aspiring to those that are retiring (p. 3).
Virginia	<p><i>The Virginia Model: Mentoring Coaching for Novice Teachers and Principals</i></p> <ul style="list-style-type: none"> - an ongoing statewide system of support to all novice principals by pairing them with experienced principal mentors for a minimum of two years and offering a continuum of job-embedded professional development” (p. 150).
Washington	None found

Table B2
Canada: Program Design – Leadership Framework

Province or Territory	Leadership Framework
Alberta	No – but a <i>School Leadership Framework (2010)</i> has been proposed by the government “to attract, prepare, retain and engage leaders within the education sector workforce” (p. 17)
British Columbia	No – but the Leadership Standards for principals and vice-principals is to serve as a framework for preparation programs. As the document states, “For districts, the Standards can serve as curriculum organizers in the design of leadership development programs (BCPVP, 2007, p. 2).
Manitoba	None found
New Brunswick	None found
Newfoundland & Labrador	None found
Northwest Territories	No – but part of a “Principal Growth and Evaluation” model
Nunavut Territory	None found
Ontario	<i>Ontario’s Leadership Framework (2008)</i> Organized into two parts: 1) Leader Practices and Competencies 2) System Practices and Procedures (p. 6)
Prince Edward Island	None found
Quebec	No – but the <i>Reference Framework of Core Competencies for Principals and Vice-Principals (2008)</i> is to serve as the framework to guide principal preparation
Saskatchewan	No, not province-wide; but school divisions are proposed to have a <i>School Leadership Professional Development Framework</i> patterned after the continuum suggested by Mulford (2003); The framework has five stages: 1) Intending 2) Induction 3) Early Career 4) Mid-career 5) Late Career
Yukon Territory	None found

Table B3

Australia: Program Design – Leadership Framework

State or Territory	Leadership Framework
Australian Capital Territory	<p><i>ACT School Leadership Framework (2008)</i> This framework consists of five domains:</p> <ol style="list-style-type: none"> 1) Learning-Centred Leadership 2) Leading a Quality Organisation 3) Leading Learning and Teaching 4) Leading and Working with Others 5) Leading Strategic Resource Management <p>(ACT Department of Education and Training, 2008, School Leadership Framework flyer)</p>
New South Wales	<p><i>NSW DET Professional Learning Continuum (2006).</i> - “The continuum is the framework for planning, delivering and evaluating professional learning for school based staff and staff who directly support the work of schools” (NSW Department of Education and Training, 2006, p. 2). The continuum is mapped to four capability frameworks.</p> <p><i>New South Wales School Leadership Capability Framework (2003)</i> The Professional Leadership strand of the Framework provides a continuum comprised of six levels pertaining to role in the school or stage of career development: Newly Appointed Executive → Executive Leadership Learning → Aspiring Principal → Principal Designate → Newly Appointed Principal → Experienced Principal Learning (NSW Department of Education and Training, 2006, p. 4). There are programs available at each level of the continuum for the strand.</p>
Northern Territory	<p><i>Professional Learning Framework</i> – supported by six principles:</p> <ol style="list-style-type: none"> 1. A systems approach 2. Learning aligned to your business 3. Leadership of learning 4. Appropriate learning opportunities 5. Collaborative learning 6. Individual commitment to learning (NTG Department of Education And Training, 2011, Six principles section [Framework webpage].
Queensland	<p><i>Leadership Matters – Capabilities for Education Queensland Principals (2006)</i> This framework highlights 5 inter-related capabilities essential for effective school leadership, these being:</p> <ul style="list-style-type: none"> • Personal Leadership, • Educational Leadership, • Intellectual Leadership, • Relational Leadership and • Organisational Leadership (p. 1).

Table B3.1

Australia: Program Design – Leadership Framework

State or Territory	Leadership Framework										
South Australia	<p><i>Department of Education and Children's Services Improvement and Accountability Framework (DIAf)</i> This framework has five elements: 1) Standards 2) Self-Review 3) Improvement Planning 4) Intervention and Support 5) Performance Reporting (pp. 4-5) The Standards element includes the <i>National Professional Standards for Principals (2011)</i></p>										
Tasmania	<p><i>L5 Frame Framework</i> 1) Leadership starts from within. 2) Leadership is about influencing others. 3) Leadership develops a rich learning environment. 4) Leadership builds professionalism and management capability. 5) Leadership inspires leadership actions and aspirations in others. (Government of Tasmania, 2007, p. 5)</p> <p><i>Leadership in Catholic Schools: Development Framework and Standards of Practice Leadership Standards Framework,</i> (CECV 2005)</p> <p><i>The ACEL Leadership Capability Framework</i> The ACEL Leadership Capability Framework© sets out the capabilities educational leaders need for effective and successful practice. (ACEL Inspiring Educational Leaders webpage, para. 1)</p>										
Victoria	<p><i>The Developmental Learning Framework for School Leaders (2007) –</i> This framework comprises three main components: Leadership Domains, Leadership Capabilities and Leadership Profiles. (p. 4) Five Domains: Three Capabilities:</p> <table> <tr> <td>1) Technical Leadership</td><td>1) Knowledge</td></tr> <tr> <td>2) Human Leadership</td><td>2) Skills</td></tr> <tr> <td>3) Educational Leadership</td><td>3) Dispositions</td></tr> <tr> <td>4) Cultural Leadership</td><td></td></tr> <tr> <td>5) Symbolic Leadership</td><td></td></tr> </table> <p>Set of Profiles: Behaviors indicative of proficiency levels within each domain (p. 4)</p>	1) Technical Leadership	1) Knowledge	2) Human Leadership	2) Skills	3) Educational Leadership	3) Dispositions	4) Cultural Leadership		5) Symbolic Leadership	
1) Technical Leadership	1) Knowledge										
2) Human Leadership	2) Skills										
3) Educational Leadership	3) Dispositions										
4) Cultural Leadership											
5) Symbolic Leadership											
Western Australia	<p><i>The Leadership Framework (2004) – Standards for School Leaders</i> This framework highlights eight attributes (fair, supportive, collaborative, decisive, flexible, tactful, innovative, and persistent), values (learning, care, excellence, and equity), and knowledge (pedagogy, curriculum, legislation, policies, change management, technologies, and stakeholders). (Western Australia Department of Education. (2011), What is the leadership framework? Characteristics Section, para. 1)</p>										

Table B4

England: Program Design – Leadership Framework

Country	Leadership Framework
National	<p data-bbox="477 464 1338 520">National College for School Leadership (NCSL) <i>Leadership Development Framework (2001)</i></p> <p data-bbox="477 522 1414 611">The Leadership Development Framework “provides a professional development route in the appropriate skill domains enabling preparation, induction, development and regeneration of school leaders” (p. 17)</p> <p data-bbox="477 644 1414 672">NCSL’s <i>Leadership Development Framework</i> is constructed around five stages:</p> <ol data-bbox="477 674 1414 852" style="list-style-type: none"> 1) Emergent leadership – teachers with aspirations to be head teacher 2) Established leadership – Assistant and Deputy Heads who have chosen not to pursue headship 3) Entry to headship – preparation and induction into headship 4) Advanced leadership – school leaders mature in their role and update their skills <p data-bbox="477 856 1333 884">Consultant leadership – experienced leader as trainer and mentor (p. 22)</p>

Table B5

Finland: Program Design – Leadership Framework

Country	Leadership Framework
National	<p data-bbox="477 449 846 478">No leadership framework found</p> <p data-bbox="477 510 1422 539"><i>The National Framework for Qualifications and Other Learning (2010 Proposed)</i></p> <p data-bbox="477 571 1422 724">“The National Framework for Qualifications and Other Learning will describe the learning outcomes required by Finnish qualifications and competence modules by means of criteria agreed through European co-operation, in terms of knowledge, skills and competences: a holistic description of learning will be given” (Blomqvist, 2010, Slide six).</p>

Appendix C

Table C1

United States: Program Design – Preparation Programs

<u>State</u>	<u>Preparation Programs</u>
Alabama	The Alabama New Principal Mentoring (ANPM) Program – two-year program for all new principals serving for the first time; a trained mentor is assigned to each new principal (p. 5)
Arkansas	The Master School Principal Program - a three phase, three-year program (Program section, para. 1); it is administered by the Arkansas Leadership Academy (Administration section, para. 1)
Delaware	Delaware Leadership Project – a 15 month training program for aspiring principals, followed by two years of coaching support (Program overview section, para. 1)
Kentucky	“Commonwealth Principal Academy” (2008) ; Statewide Principal Preparation Academy called the Kentucky Principal Intern Program (1985) redesigned to become the Kentucky Principal Induction Program (2007) – a program to build the capacity of new building-level administrators to provide both instructional and administrative leadership (p. 21).
Louisiana	Programs are under the umbrella of the Louisiana Educational Leaders Network (LELN): Leadership Excellence Through Administrator Development (LaLEAD) program ; The Louisiana Educational Leaders Induction (LELI) program - for newly appointed principals with Ed. L. level 1 certification
Minnesota	Principals’ Leadership Institute
Pennsylvania	Principals’ Induction Program – a two-year program addressing the three ‘Core’ Leadership Standards during 13 days of training (Principal Induction Program section, para. 1) Leadership Essentials for Administrator Development (LEAD) Program – a program for principals with more than five-years experience that addresses the three ‘Core’ Leadership Standards (LEAD program [support] section)
South Carolina	Developing Aspiring Principals Program (DAPP) – a 10-day residential program for experienced assistant principals who aspire to become principals (p. 10); Principal Induction Program (PIP): Year 1 and 2 – a 10-day residential program of high quality professional learning for newly appointed principals; provide training in instructional leadership, assessment, and management skills essential to success as a principal (p. 10); School Leader’s Executive Institute for Principals (SLEI) – a rigorous two-year institute for principals (p. 10)

Table C1.1

United States: Program Design – Preparation Programs

State	Preparation Programs
Virginia	No singular state-wide principal preparation program; accredited programs are available through regionally accredited colleges or universities, such as the Principal Preparation Program at Virginia Tech
Washington	<p>Washington State Leadership Academy (2007) – a two-year program to develop and support school leaders; for teams of administrators</p> <p>Washington State Education Leadership Intern Program – Principal intern Candidates participate in on-the-job training with a mentor administrator (Webpage, The Washington State Education Leadership Intern Program section)</p> <p>Principal Certification Program – an accredited program leading to a Washington State Residency Certificate for Principals</p> <p>Launching Principal Leadership – a four-stage workshop series for new and newly assigned administrators (Webpage, Launching Principal Leadership section)</p>

Table C2
Canada: Program Design – Preparation Programs

Province or Territory	Preparation Programs
Alberta	A province-wide program is proposed (Alberta's Commission on Learning, 2003, p. 123), but has yet to be implemented; current programs are district-based
British Columbia	No province-wide program
Manitoba	<p>Province-wide:</p> <p>School Administration Certificate Program – a combination of accredited professional development and approved university course work in educational administration at the post-baccalaureate level (p. 4)</p> <p>Council of School Leaders Summer Leadership Institute – week long institute to develop and enhance educational leadership skills and competencies;</p> <p>Peer Assisted Leadership Program (PAL) – for aspiring and newly appointed principals; a combination of theory (6 hours session) and practicum (3 to 6 months); offered by Manitoba Council for Leadership in Education</p> <p>Walk-Through Training Program Level 1 and 2 – a combination of presentation workshops and practicum; offered by Manitoba Council for Leadership in Education</p>
New Brunswick	<p>Province-wide:</p> <p>Comprehensive Principal's Certification Program – Interim Certificate a) completion of 3 credit hours in each of the following graduate-level university courses: Current administrative theory; supervision of instruction; & Assessment and evaluation in education; b) completion of <u>six</u> approved modules sponsored by the school district of which the following three are compulsory (modules must be comprised of 12 – 15 contact hours): Legal Aspects of Education, I; Legal Aspects of Education II; and School Improvement Planning/School Performance Review; and Principal's Certificate -</p> <p>Upon receiving an interim principal's certificate, the candidate is eligible for the one-year practicum phase of training. The practicum component will be completed in conjunction with the candidate holding an administrative position.</p> <p>Educational Leadership Academy (2008) – STAR Program (Skills Training: Action Research) – two year course of intense training, coaching, and research;</p>
Newfoundland & Labrador	None found

Table C2.1

Canada: Program Design – Preparation Programs

Province or Territory	Preparation Programs
Northwest Territories	<p>Educational Leadership Program (ELP)</p> <p>The program is developed and delivered by the Ontario Institute for Studies in Education. It consists of 2 phases, provided in alternating years during the summer. The program results in the issuance of a Certificate of Eligibility as a Principal, which is a requirement in NWT to serve as a principal.</p>
Nova Scotia	<p>Province-wide:</p> <p>Nova Scotia Leadership Academy: Instructional Leadership Program (2011) – to be implemented September 2011; “The goal of the Academy’s program is to improve the capacity for school-based instructional leadership, aimed at increasing student learning and achievement in Nova Scotia public schools. The NSILA program extends over three years and leads to a Diploma in Instructional Leadership. The diploma will be granted by the Department of Education” (para. 1)</p>
Nunavut Territory	<p>Educational Leadership Program (ELP)</p> <p>The program is sponsored by the Nunavut Department of Education and consists of two phases, consisting of two courses each, and a capping research project approved by the co-principal instructors. The project runs a year long and takes place in the school.</p> <p>The program is also done in conjunction with the University of Prince Edward Island. The program results in the issuance of a Certificate of Eligibility as a Principal, which is a requirement in Nunavut to serve as a principal.</p>
Ontario	<p>Province-wide:</p> <p>Principals’ Qualification Program - The program is designed to educate future principals to lead and manage efficiently in contexts characterized by change and complexity (Ontario College of Teachers – Principals’ Qualification Program webpage, para. 1); Program is in two parts:</p> <ol style="list-style-type: none"> 1) for those who aspire to the principalship: “an introduction to the fundamental aspects of leading and managing a school” (para. 2); 2) “in more depth, the theoretical and operational aspects of the principalship. Concepts and issues such as leadership and program planning are the focus of Part II” (para. 3).
Prince Edward Island	None found
Quebec	None found

Table C2.2

Canada: Program Design – Preparation Programs

Province or Territory	Preparation Programs
Saskatchewan	<p>Province-wide:</p> <p>Saskatchewan Principals' Short Course (SPSC) – The program has been offered annually for 47 years. “The program is sponsored by Saskatchewan Ministry of Education, the Saskatchewan School Boards Association, the Saskatchewan Teachers' Federation, Saskatchewan School-Based Leaders, and the League of Educational Administrators, Directors, and Superintendents” (para. 3).</p> <p>“Is the principalship for you?” – an annual workshop for teachers and prospective principals</p>
Yukon Territory	<p>A territorial-wide program is proposed; The In-school Administrator Mentorship Program will “identify, recruit and offer training to teachers and identify principals who can be mentors” (Government of Yukon, 2008, p. 4.1); It will enable First Nations teachers to become principals and will help principals to be more effective and responsive to First Nations students and communities (p. 4.1)</p>

Table C3

Australia: Program Design – Preparation Programs

State or Territory	Preparation Programs
Australian Capital Territory	<p>Emerging Leaders Program and the Principals' Development Program (Australian Capital Territory Department of Education and Training, 2011, Teaching and learning: Professional learning webpage, Leadership Development section, para. 1)</p>
New South Wales	<p>State Sector: Principal Induction Program (18 months) This program focuses, in part, on developing an "increased capacity and confidence in performing the leadership and management role" and "improved knowledge of leading educational change to enhance student outcomes" (New South Wales Department of Education and Training, 2006, Professional learning and leadership development directorate – School leader programs: Principal Induction Program webpage)</p> <p>Principal Preparation Program 2006 This program "is designed to aid the skills development of people within NSW Department of Education and Training who are demonstrating a high level of leadership in their current position and who aspire to become a principal in the next few years" (New South Wales Department of Education and Training, 2006, Professional learning and leadership development webpage, para. 1) (NOTE: This program did not run in 2010 as it was being reviewed. A new program is planned for 2011.)</p> <p>Principal Designate Program This program is for individuals appointed to the principalship who are waiting entry on duty. The focus is on preparing to take up a principal's position. A self-paced CD-Rom resource is used. (NSW Department of Education and Training, 2011, Professional learning and leadership development directorate – School leader programs: Principal Designate Program section)</p> <p>Principal Capabilities Program This program focuses upon improving understanding of the <i>School Leadership Capability Framework</i>. Currently there are workshops for three capabilities:</p> <p>1: remaining calm under pressure (Emotional distance) 2: having a sense of humour & perspective (Humour) 3: being able to bounce back from adversity (Capabilities Program section)</p> <p>(Resilience) (NSW Department of Education and Training, 2011, Professional learning and leadership development directorate – School leader programs: Principal</p>

Table C3.1

Australia: Program Design – Preparation Programs

State or Territory	Preparation Programs
Northern Territory	<p>Leadership Program -This program is for aspirants, beginning principals, and accomplished principals (Northern Territory Government, 2010, Northern Territory annual report for period ending 31 March 2010, p. 10).</p> <p>Principal Orientation Program Offered by the Centre for School Leadership, Learning and Development. . “The aim of this program is to provide new Principals an initial overview of strategic initiatives, key information and support structures available within the Northern Territory. (Centre for School Leadership, Learning, and Development, 2011, Programs and Events: Principal Orientation [Webpage, program overview section].</p> <p>Northern Territory Early Career Principals Program Offered by the Centre for School Leadership, Learning and Development. “The Northern Territory Early Career Principals Program is a 12 month program designed to develop the capacity of school principals in their first few years of leadership in the Northern Territory (Centre for School Leadership, Learning, and Development, 2011, Programs and Events: Northern Territory Early Career Principals Program [Webpage, program overview section].</p> <p>School Leaders in the Making Program 2012 (formerly the Development Program for High Potential School Leaders (2011-2012) This “is a 12 month leadership program that provides professional learning to enhance leadership capacity, and to build the skills and knowledge required to lead effective schools that improve student leading outcomes. (Centre for School Leadership, Learning, and Development, 2011, Programs and Events: School Leaders in the Making [Webpage, program overview section].</p>
Queensland	<p>State Sector: Pathway to the Principalship Program (internally referred to as Take the Lead) 2010. The three-year program provides “aspiring principals with a supported career pathway including experience in small schools in rural and remote locations” (Queensland Government, 2009, p. 8).</p> <p>Independent Sector: Future Principals (2010) (a two-year program) This is a pilot program targeting current school leaders identified as future principals (Independent Schools Queensland, 2011, p. 7)</p> <p>New Principals Program This program is for school principals in their first three to five years of principalship. The primary purpose of the program is “to provide opportunities for new principals to network with their peers and with experienced principals” (Independent Schools Queensland, 2011, p. 8).</p>

Table C3.2

Australia: Program Design – Preparation Programs

State or Territory	Preparation Programs
South Australia	<p>State Sector: QSchool for Aspiring School Leaders (a one-year program with set dates for professional learning) “Aspiring school leaders are supported to build on existing skills, knowledge and experience and to make connections from their current practice to the role of Principal. The content of the program is designed around the National Professional Standard for Principals and the DECS Improvement and Accountability Framework” (Government of South Australia DECS, 2011, p. 1).</p> <p>Independent Sector: AISSA Leadership Program 2010 (a one-year program with 10 set dates) “it has been designed as one inclusive leadership program, from which participants select a combination of workshops and presentations that best suit their needs. The program comprises a series of high quality workshops and keynote presentations which provide variety and a range of entry points for school leaders to access new learning. Five workshops and four keynote presentation seminars were held to 30 June 2010 (Government of South Australia Department of Education and Children’s Services, 2010, p. 6).</p>
Tasmania	<p>State Sector: Aspiring Leaders Program (ALP) Leadership Starts from Within (2011) This state-wide program is “modeled on the previous Emergent Leadership Program (2006-09) and the Aspiring Leaders Program (2010) (Government of Tasmania Department of Education, 2011, Aspiring leaders program (ALP) Leadership starts from within, p. 1) This program’s outcomes include: developing an understanding of the different styles of leadership required to be an effective principal; developing a self-understanding of their leadership style and emotional intelligence skills; and developing the capability to become a school principal.</p> <p>Shadowing Program for Aspiring Principals This state-wide program develops an individual’s “capability to become a school principal” (Government of Tasmania Department of Education, 2011, Shadowing program for aspiring principals, p. 1). It consists of three phases: Establishment Phase, Enacting Phase, and Concluding Phase (Government of Tasmania Department of Education, 2011, p. 2)</p> <p>Catholic Sector: Re:th!nk Aspiring to Principalship Program This is a two-year program. Its goals are to “Assist with participants’ <u>current</u> leadership roles in addition to preparing them for future principalship roles” and to “Develop individual leadership capabilities underpinned by Leadership Standards Framework” (Catholic Education Office Melbourne, 2011, Learning continuum - Aspiring to principalship webpage, goal section)</p>

Table C3.3

Australia: Program Design – Preparation Programs

State or Territory	Preparation Programs
Victoria	<p>State Sector:</p> <p>Eleanor Davis School Leadership Program (1992) The program prepares participants for the role of Principal. It strengthens their leadership capabilities and supports their development as courageous and visionary leaders. (para. 4) The program is for female teachers and Assistant Principals. (Government of Victoria Department of Education and Early Childhood Development. (2011). Eleanor Davis School Leadership Program, webpage, para. 4)</p> <p>Principal Internship Program This program offers field-based internships which enable the application of leadership knowledge and skills in the school context, under the guidance of an expert practitioner. (Bastow Institute of Educational Leadership, 2011, Principal Internship Program 2011 flyer, p. 1)</p> <p>Mentoring for First Time Principals This program supports first time Principals to transition successfully into their Principal roles. It aims to further develop the knowledge, skills and dispositions they need to lift the quality of teaching and learning in their schools” (Bastow Institute of Educational Leadership, 2011, Leadership Development: Principals – Mentoring for first time principals, Webpage)</p> <p>Principal Preparation Program (2010) The program funds a total of 40 six-month internships for high potential Principal aspirants over three years. (Government of Victoria, 2010, p. 6)</p> <p>Catholic Sector:</p> <p>Aspiring to Principal Program (Government of Victoria, 2010, p. 6)</p>
Western Australia	<p>License to Leadership Program – a 12 month contextualised school experience to build leadership capacity; “Licence to Leadership focuses on educational leadership requirements and developing capacity to provide a safe and organized school environment” (p. 1) - for aspiring or existing school leaders</p> <p>School Leaders Induction Program (a 3-day program) This program “aims to provide newly appointed school leaders with a comprehensive introduction to the often complex and challenging issues facing school leaders. Participants will finish the induction with a range of knowledge, skills and competencies to enhance their role. The optional fourth day is for new school leaders in schools with a significantly high Aboriginal enrolment (regional or metropolitan)” (Western Australia Department of Education, 2011, Institute for professional learning: School leaders induction. Description section).</p>

Table C4

England: Program Design – Preparation Programs

Country	Preparation Programs
National	<p>Leadership Pathways - for senior school leaders who want to develop and fulfill their leadership potential... or want to develop the skills you'll need to take on the role of head teacher in the near future (para. 1); a modular program over one year.</p> <p>Tomorrow's Heads – “is an intensive leadership development programme for outstanding individuals with the ability and drive to follow an accelerated route to becoming a headteacher” (para. 1)</p> <p>Future Leaders – is an intensive leadership development program “for talented individuals with the potential to fast track to senior leadership in challenging secondary schools” (para. 2)</p> <p>Associate Academy Principal Programme “gives aspirant principals a more in depth understanding of the role, and the practical experience and skills they need to become a principal” (p. 1)</p> <p>National Professional Qualification for Headship (NPQH) – ‘All new head teachers in maintained schools are required to hold the National Professional Qualification for Headship (NPQH)” (p. 27).</p> <p>Head Start Programme – a professional development program for graduates of the NPQH who are in search of a headship or principalship, or are in their first two years of headship or academy principalship</p>

Table C5
Finland: Program Design – Preparation Programs

Country	Preparation Programs
National	<p>Principal Preparation Programme – This program is focused on practice: “into the real-life situations in the everyday work of the principal. The cornerstones of the education on the program are educational administration, leadership issues, and familiarizing with the practical work of the school leader in one of the cooperative schools of the institute” (University of Jyväskylä Institute of Educational Leadership, 2011, [The Principal Preparation Programme – dialogue between theory and practice Webpage - Strong links to practice section, para. 1]).</p> <p>Advanced Leadership Programme – This program “is aimed at educational administrators and school leaders who have graduated from the Principal Preparation Programme and have 3-5 years of experience in school administration. The focus in the Advanced Leadership Programme is not primarily on the practical skills of school leaders, as is the case in the Principal Preparation Programme, but on developing the various aspects of leadership in an educational organization” (Advanced leadership programme section, para. 1).</p>

Appendix D

Table D1

United States: Program Design – Provider and Partnerships

<u>State</u>	<u>Provider</u>	<u>Partnership Required</u>
Alabama	University – School District	Yes
Arkansas	15 universities, 9 professional Associations, 15 regional educational Service cooperatives comprised of School districts	No – voluntary
Delaware	Non-profit Public School Support Organization – School District	Yes – for residency
Kentucky	University – School District	Yes
Louisiana	University – School District	Yes
Minnesota	University of Minnesota – Minnesota Elementary Principals' Association & Minnesota Association of Secondary School Principals	No
Pennsylvania	Program Provider – School District	Yes – field- based Experiences & internships
South Carolina	College/University – School District	Yes
Virginia	College/University – School District	Yes
Washington	College/University – School District	Yes

Table D2

Canada: Program Design – Provider and Partnerships

Province or Territory	Provider	Partnership Required
Alberta	Leadership preparation institutions; University, School Districts	No
British Columbia	School Districts	No
Manitoba	Universities, school division, Principals' associations and Organizations	No, but school division or organization contribute with university
New Brunswick	None mentioned	
Newfoundland and Labrador	None mentioned	
Nova Scotia	Nova Scotia Educational Leadership Consortium – Department of Education; Universities	No
Ontario	University, Teachers' Federation, Principals' associations	Yes
Prince Edward Island	None mentioned	
Quebec	School District	No
Saskatchewan	University – Non-profit agency; School Division (primarily)	
Northwest Territories	College/University – School District	No
Nunavut Territory	College/University – School District	No
Yukon Territory	College/University	No

Table D3

Australia: Program Design – Provider and Partnerships

State or Territory	Provider	Partnership Required
Australian Capital Territory	Department of Education & Training Catholic Education Office Association of Independent Schools of ACT	Yes
New South Wales	Department of Education & Training Catholic Education Commission of NSW Association of Independent Schools of NSW	Yes
Northern Territory	Department of Education & Training Northern Territory Catholic Education Office Association of Independent Schools Northern Territory	Yes
Queensland	Education Queensland Queensland Catholic Education Commission Independent Schools Queensland	Yes
South Australia	Department of Education & Children's Services Catholic Education South Australia Association of Independent Schools of South Australia	Yes
Tasmania	Department of Education Tasmanian Catholic Education Office Association of Independent Schools Tasmania	Yes
Victoria	Department of Education & Early Childhood Development Catholic Education Commission of Victoria Limited Independent Schools Victoria	Yes
West Australia	Department of Education Catholic Education Office of Western Australia Association of Independent Schools of Western Australia	Yes

Table D4

England: Program Design – Provider and Partnerships

Country	Provider	Partnership Required
National	National College for Leadership of Schools & Children's Services –	
Regional	National College & Teaching Schools (schools and academies)	Yes

Table D5

Finland: Program Design – Provider and Partnerships

Country	Provider	Partnership Required
National	University of Jyvaskyla – cooperative schools	No, but preferred and developed

Appendix E

Table E1.1

United States: Program Design – Organizational Socialization Tactics: Context Focus (Collective Processes)

State	Collective Cohort	Individual
Alabama	Yes –Supt. to submit names of each new principal for participation (p. 14)	Yes – some universities
Arkansas	Yes	
Delaware	Yes – Teams of DLP aspiring principals (para. 4)	
Kentucky	Yes – inductee cohorts (p. 9); KPA cohort (para. 3); Supt's recommendation and support for participation (para.1);	
Louisiana	Yes – (p. 1)	
Minnesota	Yes – (para. 1)	
Pennsylvania	Yes – (p. 3)	
South Carolina	Yes – participants assigned to cohort group (p. 10)	
Virginia	Yes (p. 11)	Yes
Washington	Yes (Webpage, Launching Principal Leadership)	Yes

Table E1.2

*United States: Program Design: Organizational Socialization Tactics – Context Focus
(Formal Processes)*

State	Formal Socialization - segregate	Informal
Alabama	Yes – 13 college campuses throughout state (p. 9)	Yes – networking opportunities (p. 10)
Arkansas	Yes – Principal Institute (para. 1)	
Delaware	Yes – Delaware Leadership Project Program - mandatory attendance (para. 5); not able to continue in current position (para. 1)	
Kentucky	Yes – 7 public institutions and 4 independent Institutions (p. 17)	Yes- networking opportunities – the Academy creates a network of support (para. 3)
Louisiana	Yes – Educational Leadership Induction Programs (para. 2)	Yes - networking opportunities (para. 2)
Minnesota	Yes – Minnesota Principals’ Academy (p. 1)	
Pennsylvania	Yes - Principal Induction Program (para. 1)	
South Carolina	Yes – DAPP and Principal Induction Program; and SLEI program for veteran principals	Yes – networking with peers is a main strategy used in the DA Program (p. 10)
Virginia	Yes – approved program in administration and supervision with an internship program	
Washington	Yes – professional certificate program for principals (para. 1);	

Table E1.3

United States: Program Design: Organizational Socialization Tactics – Content Focus (Sequential Processes)

State	Sequential Processes (activities and experiences)	Random
Alabama	Yes – observation, then participation, then leading; revised order of courses: foundation courses come first (p.9)	
Arkansas	Yes – three phase process (lines 5-7)	
Delaware	Yes – four phase process: 5-week Summer Intensive, 10-month Residency, Planning Summer, 2-years of Coaching (para. 2)	
Kentucky	Yes – three modules completed in one year (para. 2)	
Louisiana	Yes – build upon knowledge and skills acquired in previous courses (p. 1)	
Minnesota	Yes – 29 days of training (p.1); two phases (NISL curriculum section)	
Pennsylvania	Yes – coherently sequenced, comprehensive curriculum (p. 3)	
South Carolina	Yes – program content builds on previous experiences and leadership programs (p. 5); two year program for SLEI (p. 11)	
Virginia	Yes	
Washington	Yes – well-planned sequence of courses and/or experiences (section 2); four stages to Launching Principal Leadership Program	

Table E1.4

United States: Program Design: Organizational Socialization Tactics – Content Focus (Fixed Processes)

State	Fixed Processes (timeline with steps)	Variable
Alabama	Yes – two year program (Alabama New Principal Mentoring) for all school leaders who serve in the role of principal (p. 5); structured timelines – p. 6	Yes
Arkansas	Yes – one to three year program (Beginning Administrator Induction Program) (p. 1) Yes – Master Principal Program is a three year program – (Program section)	
Delaware	Yes – 15 month training program (Delaware Leadership Project) (para. 1); Four phases: 5-week Summer Intensive, 10-month Residency, Planning Summer, 2-years of Coaching (para. 2)	
Kentucky	Yes – one year commitment to attend the Kentucky Leadership Academy (2011 Cohort Page)	
Louisiana	Yes – two year Educational Leaders Induction Program leading to Level 2 Licensure (p. 3); 150 hours of p.d. through the Louisiana Principals' Academy over a five year period (p. 3)	
Minnesota	Yes – one year program	
Pennsylvania	Yes – three year program of induction (p.3)	
South Carolina	Yes – 10 days over the course of a year in the DA Program (p. 10)	
Virginia	Yes – Minimum of 320 clock hours of internship (p. 88)	
Washington	Yes – Minimum of 540 hours (full school year) of internship (para. 45); one year for Launching Principal Leadership Program (Webpage, Launching Principal Leadership)	

Table E1.5

United States: Program Design: Organizational Socialization Tactics – Social Aspect Focus (Serial Processes)

State	Serial Processes (veterans as role models)	Disjunctive
Alabama	Yes – mentor principals (p. 10)	
Arkansas	Yes – ADE certified mentor principals (p. 15)	
Delaware	Yes – Mentor principals (para. 2)	
Kentucky	Yes – Mentor principals who display exemplary leadership skills (p. 8)	
Louisiana	Yes – Mentors provide ongoing support and guidance (p. 1)	
Minnesota	No	
Pennsylvania	Yes – Practitioners (p. 3); internship requirements (p. 3)	
South Carolina	Yes – Mentors (p. 9)	
Virginia	No	
Washington	Yes – Mentors are instructional leaders (para. 22)	

Table E1.6

United States: Program Design: Organizational Socialization Tactics – Social Aspect Focus (Investiture Processes)

State	Investiture Processes (affirmation of new identity)	Divestiture
Alabama		
Arkansas		
Delaware	Yes – 2 year induction phase with coaching (para. 2)	
Kentucky		
Louisiana	Yes – two year state induction program (p.3)	
Minnesota		
Pennsylvania	Yes – three year induction program (para. 1)	
South Carolina		
Virginia		
Washington		

Table E2.1

*Canada: Program Design – Organizational Socialization Tactics: Context Focus
(Collective Processes)*

Province or Territory	Collective Cohort	Individual
Alberta	None mentioned	Yes
British Columbia	Yes – BC Principals' and Vice-Principals' Association Short Course at University of British Columbia (BCPVPA Website)	Yes
Manitoba	Yes-10 to 20 participants (p. 1)	Yes
New Brunswick	Yes – 20 participants in Educational Leadership Academy (para. 4)	
Newfoundland & Labrador	None mentioned	Yes
Northwest Territories	Yes – (p. 36)	Yes
Nova Scotia	Yes – (p. 3)	
Nunavut Territory	Yes – (p. 4-1)	
Ontario	None mentioned	
Prince Edward Island	None mentioned	Yes
Quebec	Yes – depends on location (p. 51)	Yes – depends on location
Saskatchewan	None mentioned	Yes
Yukon Territory	None mentioned	Yes

Table E2.2

*Canada: Program Design: Organizational Socialization Tactics – Context Focus
(Formal Processes)*

Province or Territory	Formal Socialization - segregate	Informal
Alberta	Yes – Alberta Teachers Association conferences and workshops for administrators; School System-Based programs	
British Columbia	Yes – BC Principals' and Vice-Principals' Association Short Course at the University of British Columbia	
Manitoba	Yes – Peer Assisted Leadership Program and School Administration Certificate Program	
New Brunswick	Yes – Comprehensive Principals Certification Program and Educational Leadership Academy	
Newfoundland & Labrador	None mentioned	
Northwest Territories	Yes – Educational Leadership Program	
Nova Scotia	Yes – Instructional Leadership Program	Yes - Networking
Nunavut Territory	Yes – Educational Leadership Program	
Ontario	Yes – Principal Qualification Program	
Prince Edward Island	None mentioned	
Quebec	None mentioned	Yes - Networking
Saskatchewan	Yes – Saskatchewan Principals' Short Course	Yes - Networking
Yukon Territory	None, but a territorial-wide In-school Administrator Mentorship Program has been proposed	

Table E2.3

Canada: Program Design – Organizational Socialization Tactics: Content Focus (Sequential Processes)

Province or Territory	Sequential Processes (activities and experiences)	Random
Alberta	None mentioned	
British Columbia	None mentioned	
Manitoba	Yes – “Peer Assisted Leadership Program” has five sessions in sequence	
New Brunswick	Yes – “Principal Certification Program” consisting of university training followed by 1-year practicum (pp. 3-4)	
Newfoundland & Labrador	None mentioned	
Northwest Territories	Yes – “Educational Leadership Program” has two phases and a research project (p. 36)	
Nova Scotia	Yes – “Instructional Leadership Program” has 2 courses per year in a given sequence (p. 4)	
Nunavut Territory	Yes – “Educational Leadership Program” has two phases and a research project	
Ontario	Yes – program consists of Part1, followed by a Leadership Practicum, and then Part 2. (p. 3)	
Prince Edward Island	None mentioned	
Quebec	Yes – compulsory training, followed by professional integration, followed by continuing education and training (p. 51); theoretical training followed by practical application, then back to theoretical, in a loop (pp. 53-54)	
Saskatchewan	No	Yes
Yukon Territory	None mentioned	

Table E2.4

*Canada: Program Design: Organizational Socialization Tactics – Content Focus
(Fixed Processes)*

Province or Territory	Fixed Processes (timeline with steps)	Variable
Alberta	None mentioned	
British Columbia	None mentioned	
Manitoba	Yes – “Peer Assisted Leadership Program” has 5 sessions, conducted over three to six months; each session has a set duration of hours	Yes – no fixed timeline for Principal Certification Program
New Brunswick	Yes- 2-year program (Educational Leadership Academy) (para. 4)	Yes – no fixed timeline for Principal Certification Program
Newfoundland & Labrador	None mentioned	
Northwest Territories	Yes – Phase 1 (80 hours); Research project (40 hours); Phase 2 (80 hours); Research project (40 hours);	
Nova Scotia	Yes – 3-year program consisting of 2-courses per year; 36 to 42 hours of in-class learning and 36-42 hours of practica within participants’ schools (p. 3)	
Nunavut Territory	Yes – Phase 1 (80 hours); Research project (40 hours); Phase 2 (80 hours); Research project (40 hours); (p. 4-1)	
Ontario	Yes – “Part I and Part II of the program are each 125 hours in length, and the Leadership Practicum consists of a 60-hour leadership experience” (p. 2).	
Prince Edward Island	None mentioned	

Table E2.4 continued

Province or Territory	Fixed Processes (timeline with steps)	Variable
Quebec	None mentioned	Yes – Masters Degree Program Coursework of 30 Credits must be Completed; 6 credits must be done prior to appointment, but the balance of credits within five years of appointment (p. 50)
Saskatchewan	Yes – Programs have a fixed timeline	
Yukon Territory	None mentioned	

Table E2.5

Canada: Program Design – Organizational Socialization Tactics: Social Aspect Focus (Serial Processes)

Province or Territory	Serial (veterans as role models)	Disjunctive
Alberta	Proposed – trained mentors (p. 9)	
British Columbia	Yes – mentoring or coaching learning partners (p. 5)	
Manitoba	Yes – working with experienced school administrator; mentor given release time (p. 1)	
New Brunswick	Yes – Mentor is assigned for the duration of a practicum (p. 3)	
Newfoundland & Labrador	None mentioned	
Northwest Territories	None mentioned	
Nova Scotia	Yes – mentors (para. 1)	
Nunavut Territory	None mentioned	
Ontario	Yes – school board provides mentors (p. 12)	
Prince Edward Island	None mentioned	
Quebec	Province-wide mentoring program recommended for implementation (p. 29)	
Saskatchewan	Yes – but not readily available to many new principals (p. 39)	
Yukon Territory	None mentioned	

Table E3.1

*Australia: Program Design – Organizational Socialization Tactics: Context Focus
(Collective Processes)*

State or Territory	Collective Cohort	Individual
Australian Capital	None mentioned	Yes
New South Wales	Yes – team of local principals in Principal Capabilities Program (Webpage, About the process section)	
Northern Territory	Yes - cohort of 20 participants in the Leadership Program targeting remote principals (p. 10).	
Queensland	Yes – cohorts of 26 and of 20 participants for a customized Principals' Induction Program (p. 5); cohort of 18 in the Future Principals Program (p. 15)	
South Australia	None mentioned	Yes – AISSA Leadership Development Program is individualized (p. 4)
Tasmania	Yes – cohort of 20 participants in the Shadowing Program for Aspiring Principals (p. 1)	
Victoria	Yes- cohort of 18 interns in the Principal Preparation Program for one year, and 19 for the second year (p. 6); Peer learning groups in the Eleanor Davis School Leadership Program (p. 1)	
Western Australia	Yes – Participants to the License to Leadership Program are placed in teams (Webpage, License to Leadership section)	

Table E3.2

*Australia: Program Design – Organizational Socialization Tactics: Context Focus
(Formal Processes)*

State or Territory	Formal Processes (segregate)	Informal
Australian Capital Territory	Yes – Emerging Leaders Program and the Principals' Development Program	
New South Wales	Yes – Principal Preparation Program, Principal Induction Program, and the Principal Capabilities Program	Yes – Principal Designate Program and Networking
Northern Territory	Yes – Leadership Program, Principal Orientation Program, Early Career Principals Program	
Queensland	Yes – Pathways to the Principalship Program, Future Principals Program (2010), New Principals Program	Yes – Networking
South Australia	Yes – QSchool for Aspiring School Leaders and AISSA Leadership Program	
Tasmania	Yes - Aspiring Leaders Program (ALP): Leadership Starts from Within (2011), Shadowing Program for Aspiring Principals, and the Re:th!nk Aspiring to Principalship Program	
Victoria	Yes – Eleanor Davis School Leadership Program (1992), the Principal Internship Program, the Principal Preparation Program (2010), and the Aspiring to Principal Program	Yes - Networking
Western Australia	License to Leadership Program and the School Leaders Induction Program	Yes - Networking

Table E3.3

Australia: Program Design – Organizational Socialization Tactics: Content Focus (Sequential Processes)

State or Territory	Sequential Processes (activities and experiences)	Random
Australian Capital Territory	None mentioned	Principal Designate Program: a self-paced CD-Rom resource is used Principal Capabilities Program: three workshops, but no indication of sequencing
New South Wales	Yes – Principal Preparation Program has multi-phases Yes – Principal Induction Program has 3-day Conference followed by 18 months of ongoing support	
Northern Territory	None mentioned	
Queensland	Yes – Future Principals Program has sequential components (p. 16)	
South Australia	Yes – Qschool for Aspiring School leaders is presented sequentially over four terms (p. 1); AISSA Leadership Development Program is sequentially presented from March to November (p. 6)	
Tasmania	Yes – Aspiring Leaders Program; Leadership Starts from Within has sequence of workshop dates; Shadowing Program for Aspiring Principals has a sequence of phases (p. 2); Re:th!nk Aspiring to Principalship Program has sequential activities over two years (Webpage, Commitment Year 1 and 2 sections)	
Victoria	Yes – the Principal Internship Program consists of two phases (Webpage, Program structure-phase 1, 2 7 3 sections); the Aspiring to Principalship Program is of two years duration (p. 6); the Principal Preparation Program (2010) is sequenced over three terms (p. 5)	
Western Australia	Yes – License to Leadership program has nine face-to-face sequential professional learning sessions from March to October (License to Leadership webpage)	

Table E3.4

*Australia: Program Design: Organizational Socialization Tactics – Content Focus
(Fixed Processes)*

State or Territory	Fixed Processes (timeline with steps)	Variable
Australian Capital Territory	None mentioned	
New South Wales	Yes – Principal Preparation Program consists of 80 hours over two terms Yes – Principal Induction Program is of 18 months duration (Webpage, About the process section)	
Northern Territory	None mentioned	
Queensland	Yes – Future Principals Program is of two years duration (p. 15)	
South Australia	Yes – Qschool for Aspiring School leaders is four terms in duration (p. 1); AISSA Leadership Development Program presented from March to November (p. 6)	
Tasmania	Yes – Aspiring Leaders Program: Leadership Starts from Within has fixed dates; Shadowing Program for Aspiring Principals is over one year (p. 2); re:th!nk Aspiring to Principalship Program is of two years duration (Webpage, Goal section)	
Victoria	Yes – Principal Internship Program has six month internship (Webpage, Eligibility section); the Aspiring to Principalship Program is of two years duration (p. 6); the Principal Preparation Program (2010) is of six months duration (p. 5)	
Western Australia	Yes – License to Leadership Program spans eight months (License to Leadership webpage)	

Table E3.5

Australia: Program Design: Organizational Socialization Tactics – Social Aspect Focus (Serial Processes)

State or Territory	Serial Processes (veterans as role models)	Disjunctive
Australian Capital Territory	None mentioned	
New South Wales	Yes – experienced principals in the Principal Preparation Program and the Principal Induction Program	
Northern Territory	None mentioned	
Queensland	Yes – recent retirees in the ISQ Future Principals Program; Yes - experienced principals in state sector	
South Australia	Yes – experienced principals in AISSA Leadership Program; Yes - Mentors	
Tasmania	Yes – experienced principals in The Shadowing Program for Aspiring Principals	
Victoria	Yes – experienced principals in the Principal Internship Program, the Eleanor Davis Leadership Program, and the Mentoring for first time principals Program	
Western Australia	Yes – experienced principals in the License to Leadership Program	

Table E4.1

*England: Program Design – Organizational Socialization Tactics: Context Focus
(Collective Processes)*

Country	Collective Cohort	Individual
National		Yes – Leadership Pathways Programme has individual identify own pathway through the program
	Yes - Tomorrow's Heads Programme	
	Future Leaders Programme	
	Associate Academy Principal Programme	
	National Professional Qualification for Headship Programme (NPQH)	
		Yes – Head Start Programme

Table E4.2

*England: Program Design: Organizational Socialization Tactics – Context Focus
(Formal Processes)*

Country	Formal Socialization - segregate	Informal
National	<p>Yes – Leadership Pathways Programme</p> <p>Tomorrow's Heads Programme</p> <p>Future Leaders Programme</p> <p>Associate Academy Principal Programme</p> <p>National Professional Qualification for Headship Programme (NPQH)</p> <p>Yes, partially – Head Start Programme</p>	

Table E4.3

England: Program Design – Organizational Socialization Tactics: Content Focus (Sequential Processes)

Country	Sequential Processes (activities and experiences)	Random
National	<p>Yes – Leadership Pathways Programme has five sessions in sequence</p> <p>Tomorrow's Heads Programme has four stages leading to NPQH</p> <p>Future Leaders Programme has two stages: residency and senior leadership (deputy or assistant head) role leading to NPQH</p> <p>Associate Academy Principal Programme has six two-day face-to-face development sessions bi-monthly</p> <p>National Professional Qualification for Headship (NPQH) has three stages</p> <p>Head Start Programme is in two phases: first subsequent to NPQH but prior to headship; second subsequent to appointment</p>	

Table E4.4

England: Program Design: Organizational Socialization Tactics – Content Focus (Fixed Processes)

Country	Fixed Processes (timeline with steps)	Variable
National	<p>Yes – Leadership Pathways Programme spans one year</p> <p>Tomorrow’s Heads Programme spans three years</p> <p>Future Leaders Programme spans four years</p> <p>Associate Academy Principal Programme spans 10 months</p> <p>National Professional Qualification for Headship (NPQH) must be completed within 12 months; progress through a stage is individualized according to participant’s developmental needs</p> <p>Yes, partially – Head Start Programme’s second phase spans two years</p>	<p>Yes – first year is fixed, but remaining three years are variable as timeline depends on acceptance into the NPQH</p> <p>Yes – partially, as Head Start’s first phase duration is not fixed in time</p>

Table E4.5

England: Program Design: Organizational Socialization Tactics – Social Aspect Focus (Serial Processes)

Country	Serial Processes (veterans as role models)	Disjunctive
National	<p>Yes – Leadership Pathways Programme has in-school coaches with experience and expertise in senior leadership</p> <p>Yes – Future Leaders Programme has an apprenticeship under a successful urban head teacher and an in-school professional mentor</p> <p>Yes – Associate Academy Principal Programme has experienced principals as mentors</p> <p>Yes – National Professional Qualification for Headship (NPQH) has experienced head teacher provide support and guidance</p> <p>Yes – Head Start Programme has experienced head teacher as professional partner</p>	<p>Yes - Tomorrow's Heads Programme has a personal leadership development advisor who serves as coach</p>

Table E4.6

*England: Program Design: Organizational Socialization Tactics – Social Aspect Focus
(Investiture / Divestiture Processes)*

Country	Investiture Processes	Divestiture
National	<p>Yes – Leadership Pathways Programme is for senior school leaders, such as deputy or assistant head teachers</p> <p>Yes - Tomorrow's Heads Programme participants are from accelerated leadership programs</p> <p>Yes – Future Leaders Programme participants are teachers who engage in a school residency, followed by senior leadership role</p> <p>Yes – Associate Academy Principal Programme is for experienced senior leaders, vice principals or deputy head</p> <p>Yes – National Professional Qualification for Headship (NPQH) participants build on current expertise and experience pertaining to the National Professional Standard for Headteachers</p> <p>Yes, partially – Head Start Programme has two-years of induction for NPQH graduates; enrolment is automatic</p>	<p>Yes – Leadership Pathways Programme participants do not require qualified teacher status, only be currently in a leadership role (including school business manager)</p>

Table E5.1

*Finland: Program Design – Organizational Socialization Tactics: Context Focus
(Collective Processes)*

Country	Collective Cohort	Individual
National	Yes – Principal Preparation Programme	
	Yes – Advanced Leadership Programme	

Table E5.2

*Finland: Program Design: Organizational Socialization Tactics – Context Focus
(Formal Processes)*

Country	Formal Socialization - segregate	Informal
National	Yes – Principal Preparation Programme Advanced Leadership Programme	

Table E5.3

*Finland: Program Design – Organizational Socialization Tactics: Content Focus
(Sequential Processes)*

Country	Sequential Processes (activities and experiences)	Random
National	<p>Yes – Leadership Pathways Programme has five sessions in sequence</p> <p>Tomorrow's Heads Programme has four stages leading to NPQH</p>	

Appendix F

Table F1
United States: Program Content – Role

State	Knowledge	Skills	Dispositions	Values	Norms	Behaviors
Alabama	Yes			Yes	Yes	
Arkansas	Yes	Yes	Yes			Yes
Delaware		Yes				Yes
Kentucky	Yes	Yes	Yes			Yes
Louisiana	Yes	Yes				
Minnesota	Yes	Yes	Yes			
Pennsylvania	Yes	Yes	Yes			
South Carolina	Yes	Yes				Yes
Virginia	Yes	Yes	Yes			Yes
Washington	Yes	Yes	Yes			

Table F2
Canada: Program Content – Role

Province or Territory	Knowledge	Skills	Dispositions	Values	Norms	Behaviors
Alberta	Yes	Yes				
British Columbia	Yes	Yes				
Manitoba	Yes	Yes				
New Brunswick						
Newfoundland & Labrador						
Northwest Territories	Yes	Yes		Yes		Yes
Nova Scotia	Yes	Yes	Yes			
Nunavut Territory	Yes	Yes				
Ontario	Yes	Yes			Yes	Yes
Prince Edward Island						
Quebec	Yes					
Saskatchewan	Yes	Yes				
Yukon Territory	Yes	Yes				

Table F2.1
Canada: Program Content – Role

Province or Territory	Attitudes	Attributes	Qualities	Culture	Competencies
Alberta		Yes			Yes
British Columbia			Yes		
Manitoba					Yes
New Brunswick					
Newfoundland & Labrador					
Northwest Territories				Yes (Dene K'ede or Inuuqatigiit)	Yes
Nova Scotia					Yes
Nunavut Territory				Yes (Inuit)	
Ontario	Yes				Yes
Prince Edward Island					
Quebec					Yes
Saskatchewan					
Yukon Territory	Yes			Yes (First Nations)	

Table F3
Australia: Program Content – Role

State or Territory	Knowledge	Skills	Dispositions	Values	Norms	Behaviors
Australia (National)	Yes	Yes		Yes		Yes
Australian Capital Territory	Yes	Yes		Yes		Yes
New South Wales	Yes	Yes		Yes		Yes
Northern Territory	Yes	Yes		Yes		Yes
Queensland	Yes	Yes		Yes		Yes
South Australia	Yes	Yes		Yes		Yes
Tasmania	Yes	Yes		Yes		Yes
Victoria	Yes	Yes	Yes	Yes		Yes
Western Australia	Yes	Yes		Yes		Yes

Table F3.1

Australia: Program Content – Role

State or Territory	Attitudes	Attributes	Qualities	Culture	Competencies	Understandings
Australia (National)			Yes		Yes	Yes
Australian Capital Territory			Yes		Yes	Yes
New South Wales	Yes		Yes		Yes	Yes
Northern Territory			Yes		Yes	Yes
Queensland			Yes		Yes	Yes
South Australia			Yes		Yes	Yes
Tasmania		Yes	Yes		Yes	Yes
Victoria			Yes		Yes	Yes
Western Australia		Yes	Yes		Yes	Yes

Table F4

England: Program Content – Role

Country	Knowledge	Skills	Dispositions	Values	Beliefs	Qualities
National	Yes	Yes	Yes	Yes	Yes	Yes

Table F5

Finland: Program Content – Role

Country	Knowledge	Skills	Values	Norms
National	Yes	Yes	Yes	Yes

Appendix G

Table G1

United States: Program Content – Reference Framework of Standards

<u>State</u>	<u>Reference Framework of Standards</u>	<u>Content of Standards</u>
Federal	ISLLC Standards for School Leaders (1996)	6 Standards – Knowledge, Dispositions, and Performances
	Educational Leadership Policy Standards: ISLLC 2008	6 Standards – Functions, as well as identified Dispositions
Alabama	Alabama Standards for Instructional Leaders (2005) – aligned with ISLLC Standards (2008)	8 Standards – Key Indicators
Arkansas	Standards for Beginning School Administrators in Arkansas (2008) – Educational Leadership Policy Standards: ISLLC 2008	6 Standards – Functions
Kentucky	ISLLC Standards (1996)	6 Standards – Dispositions organized into 6 dimensions with accompanying functions
Louisiana	Standards for Educational Leaders in Louisiana (2010); an adoption of the Educational Leadership Policy Standards: ISLLC 2008	6 Standards - Functions
Minnesota	Standards for What Principals Should Know and Be Able To Do (National Association of Elementary School Principals, 2001; Revised 2008)	6 Standards - Actions
Pennsylvania	Pennsylvania Leadership Standards (2007); similar to the ISLLC Standards (1996)	3 Core Standards, 6 Corollary Standards – Knowledge and understandings, Competencies, and Performances
South Carolina	South Carolina Standards for Principals; based on the Educational Leadership Policy Standards: ISLLC 2008	6 Standards - Functions
Virginia	Virginia Performance Standards for School Leaders; aligned with Educational Leadership Policy Standards: ISLLC 2008	17 Standards - Functions
Washington	Standards-based Benchmarks (based on ISLLC Standards (1996); Benchmarks are under revision, as of 2010	6 Standards – Knowledge, Dispositions, and Performances; The language of the standards is changed to read “each” student rather than “all” students

Table G2

Canada: Program Content – Reference Framework of Standards

Province or Territory	Reference Framework of Standards	Content of Standards
Alberta	Principal Quality Practice Guidelines (2009) Professional Practice Competencies for School Leaders (2011) (Proposed)	7 Leadership Dimensions – Descriptors Competencies
British Columbia	Leadership Standards for Principals and Vice-Principals in British Columbia (2007)	9 Standards organized into 4 Domains
Manitoba	None found	
New Brunswick	None found, but standards are proposed in the document <i>Standards of Practice for Educational Leaders: A Guide for Leadership Development, Growth and Professionalism</i> (2011), not available yet	
Newfoundland & Labrador	None found, but standards are proposed in the document <i>Standards of Practice for Educational Leaders: A Guide for Leadership Development, Growth and Professionalism</i> (2011), not available yet	
Northwest Territories	Dimensions of School Leadership in Northwest Territories (2009)	4 Dimensions with 11 Standards – Knowledge, Skills, Values, Behaviors, and Culture
Nova Scotia	Instructional Leadership Standards (2009)	7 Standards – Knowledge, Skills, and Competencies
Nunavut Territory	No Standards found	
Ontario	Leadership Framework for Principals and Vice-Principals (2008); Five Leader Practices and Competencies	5 Practices – Actions, Behaviors, and Functions 5 Competencies – Skills, Knowledge, and Attitudes
Prince Edward Island	None found, but standards are proposed in the document <i>Standards of Practice for Educational Leaders: A Guide for Leadership Development, Growth and Professionalism</i> (2011), not available yet	
Quebec	Reference Framework of Core Competencies (2008)	10 Competencies - Actions
Saskatchewan	Dimensions of the Principal's Role (2003)	6 Dimensions
Yukon Territory	No Standards found	

Table G3

Australia: Program Content – Reference Framework of Standards

State or Territory	Reference Framework of Standards	Content of Standards
National	National Professional Standard for Principals (July 2011)	3 Leadership Requirements- Values, Knowledge, Qualities, Understandings, and Skills 5 Professional Practices – Actions
Australian Capital Territory	None found	
New South Wales	School Leadership Capability Framework	5 Domains – Capabilities Knowledge, Skills, Understandings, Attitudes, Qualities
Northern Territory	None found	
Queensland	Leadership Matters – Capabilities for Education Queensland Principals (2006)	Inter-related capabilities - Behaviors, Knowledge, Skills, Values, Beliefs, Qualities, Understandings
South Australia	Catholic Sector: Leadership Standards Framework	
Tasmania	Catholic Sector: Leadership Standards Framework	
Victoria	Catholic Sector: Leadership Standards Framework	
Western Australia	Standards for School Leaders (2004)	Attributes, Values, Knowledge, and Context

Table G4

England: Program Content – Reference Framework of Standards

Country	Reference Framework of Standards	Content of Standards
National	National Standards for Headteachers (2004)	6 Key non-hierarchical areas – 1) Shaping the Future 2) Leading Learning & Teaching 3) Developing Self and Working with Others 4) Managing the Organisation 5) Securing Accountability 6) Strengthening Community Knowledge, Professional Qualities, and Actions for each area

Table G5

Finland: Program Content – Reference Framework of Standards

Country	Reference Framework of Standards	Content of Standards
National	None found	

Appendix H

Table H1

United States: Structural Elements of Principal Preparation Programs

External:

- Government (national and state levels) initiative to reform education
- Government policies and/or legislation pertaining to required state-level certification as Teacher only or additionally as Principal
- A framework of professional or leadership development (state level)
- A Reference Framework of Standards for Principals (national and state levels)
- A state-wide Leadership Academy or Preparation Program
- Government or governing body approved preparation programs
- Government or governing body approved program providers; program providers are primarily post-secondary institutions
- Program requirements regarding formal partnerships between provider and school districts
- Program requirements for a practicum, field-based residency

Internal:

- Program is designed to achieve a central purpose of improving educational leadership
- Program has an underlying theme pertaining to the improvement of student outcomes or achievement
- Program is designed to address preparation for, and socialization to, the role of the principal
- Program employs the use of institutionalized processes associated with organizational socialization tactics
- Program is designed as a combination of theoretical knowledge to be learned and practical experience in its application
- Program content pertains to the role of principal (models of leadership, areas of responsibilities, functions and competencies)

Table H2

Canada: Structural Elements of Principal Preparation Programs

External:

- Government (provincial and territorial levels) initiative to reform education
- Government policies and/or legislation pertaining to required provincial-level or territorial-level certification as Teacher only or additionally as Principal
- A framework of professional or leadership development (provincial or territorial level) – limited to one province and proposed for one other
- A Reference Framework of Standards, Dimensions, or Guidelines for Principals – limited
- A province-wide or territory-wide Leadership Academy or Preparation Program – for most provinces and territories
- Government or governing body approved preparation programs
- Government or governing body approved program providers, which are various
- Program requirements for a practicum, field-based residency or internship

Internal:

- Program is designed to achieve a central purpose of improving educational leadership
- Program has an underlying theme pertaining to the improvement of student outcomes or achievement
- Program is designed to address preparation for, and socialization to, the role of the principal
- Program employs the use of institutionalized processes associated with organizational socialization tactics
- Program is designed as a combination of theoretical knowledge to be learned and practical experience in its application
- Program content pertains to the role of principal (models of leadership, areas of responsibilities, functions and competencies)

Table H3

Australia: Structural Elements of Principal Preparation Programs

External:

- Government (national, state, and territorial levels) initiative to reform education
- Government policies and/or legislation pertaining to required state-level or territorial-level certification as Teacher only or additionally as Principal
- A framework of professional or leadership development (state or territorial level)
- A Reference Framework of Standards for Principals (national level, but applicable to state and territory levels)
- A state-wide or territory-wide Leadership Academy or Preparation Program
- Government or governing body approved preparation programs in government and non-government sectors
- Government or governing body approved program providers; program providers are various
- Program requirements for a practicum, field-based residency

Internal:

- Program is designed to achieve a central purpose of improving the quality of leadership
- Program has an underlying theme pertaining to the improvement of student outcomes or achievement
- Program is designed to address preparation for, and socialization to, the role of the principal
- Program employs the use of institutionalized processes associated with organizational socialization tactics
- Program is designed as a combination of theoretical knowledge to be learned and practical experience in its application
- Program content pertains to the role of principal (models of leadership, areas of responsibilities, functions and competencies)

Table H4

England: Structural Elements of Principal Preparation Programs

External:

- Government (national level) initiative to reform education
- Government policies and/or legislation pertaining to required national-level certification (qualification) as Teacher only or additionally as Headteacher or Academy Principal
- A framework of professional or leadership development (national level)
- A Reference Framework of Standards for Headteachers and Academy Principals
- A country-wide Leadership Academy or Preparation Program
- Government or governing body approved preparation programs
- Government or governing body approved program provider; however, reform is envisioned to expand from one provider (the National College) to various others that will still be associated with the National College
- Program requirements for a practicum, field-based residency

Internal:

- Program is designed to achieve a central purpose of improving educational leadership and management
- Program has an underlying theme pertaining to the improvement of student outcomes or achievement
- Program is designed to address preparation for, and socialization to, the role of the principal
- Program employs the use of institutionalized processes associated with organizational socialization tactics
- Program is designed as a combination of theoretical knowledge and practical experience in its application
- Program content pertains to the role of principal (models of leadership, areas of responsibilities, functions and competencies)

Table H5

Finland: Structural Elements of Principal Preparation Programs

External:

- Government (national level) initiative to reform education
- Government policies and/or legislation pertaining to certification (qualification) requirements as Teacher and, additionally, as Principal, as well as to the devolution of responsibility for the preparation and professional development of principals to education providers such as local municipalities and universities
- A national framework of qualifications that includes reference to regulated professions such as teaching
- Government or governing body approved preparation program to address principal certification (qualifications)
- An Institute of Educational Leadership established at the University of Jyväskylä; government recognized but not government initiated

Internal:

- Program designed to address the purpose of improving the preparation of principals
- Program is designed to address preparation for, and socialization to, the leadership role of principal through class-based learning and practicum placement
- Program employs the use of institutionalized processes associated with organizational socialization tactics
- Program is designed as a combination of theoretical knowledge to be learned and practical experience in application
- Program content pertains to the role of principal (models of leadership, forms of leadership, areas of responsibility, tasks and routines)