The Roles of School Principals in Implementing Change in Elementary and Secondary Schools in Thailand

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ABSTRACT

This project investigates the role of the school principal in implementing school wide change that fosters a positive school climate while adopting New Education Reform in Thailand. This study shows how a principal can support change in a school, in the context of educational reform in Thailand. The purpose of this investigation was to examine the activities and behaviors of three elementary and three secondary school principals and how they influenced change. It also addresses issues that affected school change reflected by school principals and teachers.

The study explores several linked questions: What are the principal's and teachers' perceptions of the roles of principals in elementary and secondary schools? What are the predominant leadership roles and practices of a school principal? What are the principals' and teachers' perceptions of change within their school system? What are the principals' and teachers' perceptions of the principal's role in supporting change in schools? What are the implications of this research in the development of the role of the principal in schools in the future?

Multi case study analysis utilizing a qualitative method of investigation was conducted in these elementary and secondary schools to examine how principals influence change. The principal's roles and practice at each school site were examined from the perspective of principals and groups of teachers concerning elements of change in the school.

Data were collected through interviews with principals and from teacher focus groups. In addition, non-participant observation by the researcher and principal diary provided further data. Data were also used to identify the roles of and the patterns through which principals influence change in both elementary and secondary schools.

The major findings of this study were that principals adopt multiple roles within their school operations and that these depend on particular school situations. Roles that support change in schools are: creating a school vision, establishing community partnerships, maintaining effective communication, supporting teacher professional development, team building and collaboration, collegial support, curriculum leadership, administration and task delegation.

School principals who valued what and how people thought were recognized as contributing to school cultural change. It was through this awareness that principals could channel ideas and provide opportunities to involve people in the change process. School principals recognized that using this type of approach cultivated and nourished a culture that was open to examining and entertaining change for both personal and professional growth and improvement.

Results show that the most significant factors in school change were dependent on the principal's leadership and how he/she exhibited the role. These results have implications for educational practitioners.

The outcomes of this research also address the majority of school principal professional administrative standards identified by Office of the National Education Commission (ONEC). This study suggested that it would be beneficial for ONEC to include outcomes from this study into a standard for leadership practices. The principal leadership roles described in this study could then provide a comprehensive set of performance indicators for school principals.

STUDENT DECLARATION

I, Natcharin Sakulsumpaopol, declare that the Doctorate of Education thesis entitled *The Roles of School Principals in Implementing Change in Elementary and Secondary Schools in Thailand* is no more than 60,000 words in length, exclusive of tables, figures, appendices, references and footnotes. This thesis contains no material that has been submitted previously, in whole or in part, for the award of any other academic degree or diploma. Except where otherwise indicated, this thesis is my own work.

Signed

14/09/2010

Date

DEDICATION

To my wife and daughters, who provided me with the time, energy and moral support to complete this endeavour. Your confidence was a beacon to me each step of the way. To my parents, who instilled in me the value and power of education, and who consistently encouraged all their children to pursue their dreams.

ACKNOWLEDGMENTS

grateful to them. I can only hope that I have contributed to making their school district a better place for them and most importantly for their students.

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CHAPTER I

INTRODUCTION

This thesis describes a research study of the roles of school principals as perceived by principals themselves and teachers in schools in implementing change in Thailand.

This study was based primarily on data from interviews and focus groups with principals and teachers in three elementary and three secondary schools in Nakhon Si Thammarat Province, Thailand which showed how the schools responded during the implementation of the New Education Act 1999. Data was also collected through a self assessment questionnaire, principal diary and observation by the researcher in all six schools.

This chapter begins with a presentation of the background of the study and an overview of the New Education Act, 1999. It further identifies the nature of the problem, defining the purpose and significance of the study and the research questions.

1.1 Background of Study

Schools are complex social systems that perform various organizational functions involving administrators, teachers, students, parents, communities and government bodies. The charge for the education system to reinvent itself was generated by a push for reform from researchers, politicians and the Thai public Office of the National Education Commission – (ONEC, 1999). The process for implementing new instructional programs and bringing about organizational change affects the very core function of the school's social system.

The global "Education for All" initiatives of the 1990s, as well as other policy initiatives of the past two decades have stressed the importance of improving the quality of education. In developed and developing countries alike, educational evaluators have been faced with heightened attention to the perennial question of what is meant by improving educational quality. The message was clear that our educational system was not keeping pace with other nations and that comprehensive changes were needed (ONEC, 1999).

The last decades of the twentieth century witnessed a great debate about change, reform and improvement of the Thai educational system. The debate has focused on concerns

about the nation's economic well-being, rising international academic competition, rapidly increasing demographic changes and a perception that somehow Thai schools were not doing their job well enough (ONEC, 2000). Numerous local and national commissions have produced reports examining the status of the educational enterprise and proposing recommendations for its improvement (Wiratchai, 2002; Leksansern, 2006; Office of the Education Council (OEC), 2006 and Kamothamas, 2007).

Like the rest of the world, Thai schools are changing. School improvement, education reform, and similar themes of renewal have been an integral part of the public school conversation for the past 20 years - and much longer if we consider earlier waves of reform. This idea of change is not new to education. Our society has consistently experienced waves of change that have affected all aspects of the way we live (ONEC, 1999). Each wave has created the need to drastically change the way we have thought about schools. One aspect of change that educators are grappling with is the idea that all change is not the same. In fact, change processes differ significantly (Williams, 2006; Kose, 2007). All organizations face change processes that are fundamentally different, not because the organizations are fundamentally different, but because there are distinctly different change processes (Conner, 2006). The first step then is to define these essentially different types of change (Evans, 2001).

1.2 The New Education Act, 1999

Educators, politicians and bureaucrats all agreed that Thailand had a dire need of educational reform (ONEC,1999; Labmala, 2000). Thailand's international competitiveness has declined in recent years due, in large part, to weak human resources, especially in science and technology. Inefficient management and administration of the education system, inequity of access to quality education, inadequately qualified teachers and a rigid learning environment were identified as prime causes for the failure to address the private sector's human resource needs (Wiratchai, 2002).

Thailand, like many other countries, has focused on questions of improving the accessibility and quality of education. The Thai government announced the National Education Act in September 1999. One of the important aspects of the National Act is that the local administration shall have the right to provide education at any or all levels in

accordance with the readiness, suitability and requirements of the local area. This is a giant step towards decentralization in the educational sectors in Thailand. In order to achieve this decentralized objective, school-based management was identified as a key strategy for improving the quality of education.

The current educational reform in Thailand is a landmark movement after nearly fifty years of education under the present system. Thailand's 1997 Constitution paved the way for reform. Subsequently, the National Education Act, 1999 (NEA) laid down a solid foundation to initiate the reform. The major components of the NEA include: 1) Ensuring basic education for all; 2) Reform of the education system; 3) Learning reform; 4) Reorganization of the administrative system; 5) Introducing a system of educational quality assurance; 6) Enhancing professionalism and the quality of the teaching profession; 7) Mobilization of resources and investment for education; and, 8) Information and Communication Technologies for educational reform (ICT).

Thai education is always affected by political change in the country. Such political changes led to the deterioration of continuity of educational policy. In the past, the educational reform was not realised after a coup d'état, as the newly installed conservative and repressive government prevented the full realization of the reforms. Recent coups in September 2006 and changes of government have had little impact on the educational reform activities. The current government is supporting educational change.

Based on international experience, various elements are considered necessary for successful educational reform. These elements are categorized at the national, school and classroom levels. The agencies and individuals at each level have roles and responsibilities that directly or indirectly impact on students' learning.

In the process of achieving school goals, school leadership plays an important role in providing direction, guidance, and support. A leader can focus on teaching, learning and motivation to work toward goals and direct support for teachers. A school without a leader can result in a collection of independent classrooms with individual goals and unconnected beliefs about what is important and how to achieve them (ONEC, 1999).

1.3 School Principals

The role of the principal is the centre of the school's social system. To better define what successful principals do, studies have been conducted on principals and the impact of their leadership styles. Researchers have documented that principals play a critical role in influencing reform initiatives and are recognized as instrumental in the complex process of effecting school improvement and organizational change (Hausman, 2000; Leithwood, Jantzi and Steinbech, 2000 ; Leithwood, 2005; Buchanan, 2007). Their role is best defined as "change agents" who facilitate the process of reform (Chance and Anderson, 2003; Porterfield and Carnes, 2009).

At the school level, school principals play an important role in educational reform, sustaining the quality of education. The school principal is responsible for many tasks concerning curriculum and syllabus, budgeting, staffing, working with community and solving day-to-day problems in the school. Principals seek to create effective schools. A strong school climate, collegial working relationships and high student achievement are all indicators of such schools. However, not every school achieves good standards and principals are forced to identify the problem areas and implement change (ONEC, 2002).

The role of principal is one of the most crucial in the education system. It is recognized that pupils' learning depends on school leadership. Despite its importance to education, leadership remains, as Burns (1978) suggested, one of the most observed and least understood phenomena on earth. Within the literature on school leadership, a distinction is drawn between leadership and management and between management and administration. Leadership, for example, has been described as building and maintaining an organizational culture (Schein, 1997), establishing a mission for the school, giving a sense of direction (Johnson, 2007) and doing the right thing (Bennis, 2003). It is clear from the literature on school improvement that effective leadership is essential if a school is to develop (Blasé and Blasé, 2000; Anderson, 2008) and improvement will be effective only if there is emphasis on teaching and learning and awareness of what is going on in classrooms.

Hallinger and Heck (1997), Lashwas (2003), Mulford (2003) and Addi-Raccah (2009) claim they have never seen a situation in which the principal was not a significant factor in the efforts of a school to improve. This is not to suggest that in all cases the principals affect change positively but rather, regardless of what they did, they directly affected the

process of change and improvement in their schools. With guidance and training, many principals can become more effective in facilitating change. There are research-based tools and techniques that can help principals and other change facilitators reach this goal.

Researchers such as Hallinger and Heck (1997), Lashwas (2003), Mulford (2003) and Addi-Raccah (2009) have observed differences in how principals spend their time, how they approach the work of being a change implementer and how they set priorities. Clearly, these differences impact on teachers, their contribution to curriculum development and on their classroom practices. To be most effective in implementing change, principals and administrators in district offices must understand the dynamics of the change process as it occurs within the schools. The change process can be perceived differently by outsiders and participants. Therefore, bridging this gap is an essential and first step for effective school principal.

Principals can be referred to as 'change agents' because they are responsible for facilitating school improvement and implementing educational innovation. Admittedly, there are many more roles played by school principals, but that of change facilitator is a key role. What they do, how they do it and to whom they do it make major differences? Some principals know that what they do can make a difference. Many teachers, policymakers and researchers also know that principals can bring about change. There is an extensive body of literature developed by the researchers listed above who point out the importance of the relationship between what principals should do and what actually happens in schools. However, identifying the concrete concepts and techniques practicing principals use daily has been difficult. Only in the last ten to fifteen years have research-procedures been sufficiently well documented and described to enable development of concrete recommendations on how to become more effective.

Principals are responsible for their schools' continued efforts to improve. For progress to occur principals must provide leadership in the school improvement process. They must work closely with teachers and have a well-developed picture of what is going on in the classroom and across the school. They should understand the characteristics of the innovations being implemented and be able to anticipate some of the problems that might arise. However, other school members can also play key roles; principals cannot facilitate change alone. Thus, another vital component consists of creating and maintaining a change

management team. Effective change facilitators understand the change process and are able to analyse school improvement efforts systematically.

1.4 Statement of the Problem

Leadership is the exercise of high-level conceptual skills and decisiveness. It is envisioning a mission, developing strategies, inspiring people and changing culture (Bennis, 2003; Quinn, Faerman, Thompson and McGrath, 2003; Bossi, 2007). Leadership is distinguished from the more operational areas of administration and management. Kotter (2002) and Bingham and Gottfried (2003) described management as more future-oriented, entrepreneurial, proactive and concerned with change achieved by working on people's values, beliefs and ideas to raise standards and define future goals. On the other hand administration is present-oriented, reactive, concerned with structures and operations, conscious of establishing order, predictability, systems and routines. Typical management tasks are concerned with clarifying future aims, planning, organising resources, reviewing and refining. Administration involves tasks such as ordering goods, answering the phone and keeping accounts (Everard, 1986). According to Evans (2001), most school leaders spend more time managing than leading.

Running an organization seems to be a matter of solving an endless set of 'messes'. Management, on the other hand, is making sure the bells ring on time. Fullan (2003) maintains that successful principals are both managers and leaders simultaneously. According to Auerbach (2009) current principals have to fulfil a dual function, that of a chief executive who is responsible for the general management of the school and a leading professional who is responsible for leading teachers. Chen maintains that the educational reforms which have taken place within the last two decades have made it difficult for them to act in both capacities (Chen, 2008). Therefore, the problem is how to enable principals to move beyond the administrative and management levels to the level of educational leadership without neglecting the tasks which are necessary for the organization to continue to function. In other words, how can an effective principal be involved in actively reflecting on the context of her or his daily actions and the implications they may have for the school (Chen, 2008).

When we look at the history of the role of the principal we notice radical changes in the positions and primary responsibilities. In the 1950s principals were viewed as administrators who simply managed the schools. In the 1960s, they began to be viewed as street-level bureaucrats (Hallinger, 1998) and during the 1970s and 1980s, both school effectiveness and classroom effectiveness research identified principals as instructional leaders. Principals are now viewed as change agents who are the key to creating conditions in the school as a whole that would support improvement in student achievement.

Principals, who in the past have been judged by their ability to manage their schools efficiently, are under increasing pressure to become more involved in the core mission of the schools' academic achievement. After adaptation of the New Education Act, 1999, principals have needed the skills to assist staff to meet these new challenges in educational reform.

However, the current era poses new challenges for school principals. The global tidal wave of change is creating a new cultural context for education and schools. The salient features of this new cultural context are both global and local. By virtue of their position, principals are key agents linking schools with their environments (globally and locally). Research and practice reinforce the belief that the capacity of educational systems to implement large-scale reforms is subject to the will and skill of school principal. This has resulted in a new interest among governments in changing the role of school principals from agents of stability into leaders of change.

The shift from instructional leader to change agent is significant. Principals have become overwhelmed by the volume and diversity of their responsibilities coupled with high public expectations. The principal's new role has evolved from the notion of the principal setting goals for the school and being highly involved in all aspects of the curriculum. In this instance principals provide leadership through increasing the capacity of teachers, individually and collectively, to determine their common destiny and move the school forward as a context for school effectiveness.

In these particular circumstances where the New Education Act, 1999, was implemented, there was the strong belief that school principals held a crucial position in influencing the educational process and in ensuring school effectiveness. Fullan (2006) and Gallucci (2007) have advocated that schools with effective leadership practices can

promote positive teachers' perceptions of school organization and teacher professional development.

In the process of educational reform, the principal must explicitly draw attention to multiple dimensions existing in the school environment. Undoubtedly, principals must be able to recognize and respond to the unique challenges and features presented by many organizational contexts found in the school. The means and ends for school restructuring are uncertain and challenging. Principal leadership advocates commitment rather than control strategy alone, which fosters developing, trying out, and refining new practices.

It is clearly seen that in different periods of time school principals use different approaches depending on the change efforts which are imposed from both external and internal forces. In particular, the impact of school-based management and the need to create effective schools is considered in terms of changing the roles, responsibilities, skills and capacities of principals so that they may undertake these roles. Hence, the principal may be required to function in different roles, so as to achieve and sustain school improvement.

1.4.1 Role of Power

Research related to educational change in Thailand has found that principals tend to emphasize the power of their position during the change process (Hallinger and Kantamara, 2000; ONEC, 2002). The cultural expectation that staff will follow orders to adopt officially pronounced changes has led Thai principals to exhibit passive roles. They underemphasize their role in creating a shared vision of the change process and motivating staff to change. Thus a typical change strategy observed among Thai principals would consist of the following steps:

- Announce the change to be implemented by the school at a meeting of teachers.
- Send selected staff to workshops for training.
- Leave staff to implement the new practices in their classrooms largely on their own.

This strategy reflects the high power distance culture that fully characterizes the working environment in Thai schools. There is a common expectation among Thai principals that the power of their position should be sufficient to bring about change in their schools. This expectation receives unwitting reinforcement from another system-wide

norm whereby surface changes such as staff workshop attendance are treated as evidence that change has occurred. This managerial approach served both Thai principals and the school system well during periods of stability. It allowed the educational system to develop its internal capacity while gradually adapting to incremental changes in its environment. However, in this educational reform, a managerial emphasis may be less effective.

Although Thailand's educational administrators seem to believe that change implementation results from the simple delivery of orders to staff, they are also among the first to complain that nothing ever changes in the educational system. School principals in Thailand understand well the ineffectiveness of this top-down change strategy as it is employed by their superiors, yet they tend to replicate the same type of strategy when implementing changes with teachers in their schools (Wiratchai, 2002; Hallinger, 2004). The strength of this normative behaviour in the educational system has its origins in the broader social culture of Thailand.

As the accountability movement gained momentum, the role of the principal changed from school manager to school instructional leader and then to the school reform leader. Cultural norms in Thailand have also shaped the managerial behaviour of school principals in special ways and represent a challenge for principals in Thailand. The argument presented in a previous study (Hallinger, 2004) emphasizes the need for Thai principals to work harder at articulating the moral basis of reform and at creating interest among teachers in engaging in educational reform.

Thus the problem, or issue to be investigated, is to what extent do principals exercise leadership in implementing educational change? This study will seek to explore the nature of the role of principals as seen by themselves and school staff in one province of Thailand. Its main aim is to investigate the role of school principals in implementing school change.

1.5 The Purpose of the Study

Current leadership theories have further defined the nature of the principals' leadership roles as they relate to school culture and school change. Their role in schools today has become even more critical because of the emphasis placed on school-based leadership for initiating educational reform and restructuring. Their role is seen as pivotal in facilitating

and fostering change relative to the total school program. The purpose of this investigation is to examine the activities and behaviour of principals and how they influence change in schools.

The main research question is: *to what extent do principals perform roles that support change in the school?*

Within this, further questions are:

1. What are the principals' and teachers' perceptions of the principal's role in supporting change in schools?
2. What are the principals' and teachers' perceptions of change within their school system?
3. What are the implications of this research in the development of the principal's role in schools in the future?

The purpose of this study was to investigate the perceptions of principals and teachers as they related to the effective roles of the school principal in facilitating continuous school change. The study attempted to expand the knowledge of the role of leader as the key factor in supporting learning capacity in school development. It seeks to make a major contribution to knowledge by identifying the working profiles of school principals along the continuum of a school wave of change. Therefore, it seeks to identify the roles of the principal in organizational change. It investigated what participating teachers and principals consider to be effective schools and how the principal role may influence school effectiveness. This knowledge can help leaders in organizations to know what roles should be practiced and when. Different situations need different leadership roles and styles. In that sense, the effective leaders should be aware of this concept and be able to appropriately exercise a leadership role in any given circumstance in their work place.

1.6 Significance of Study

This study was to investigate school organizations with a particular focus on leadership and its influence on school change and effectiveness. It is envisaged that as a result of this study, local educational and school communities can increase their attention and priority to

the quality of the school leader and make necessary adjustments for future professional development of both principals and teachers within the educational system.

Results of this investigation have implications for practitioners who recognize the significance of restructuring as a fundamental ingredient to school reform. The implications of this research will provide additional insights concerning restructuring efforts as well as defining and redefining roles, practices, and models of leadership. This information will be useful to teacher education institutions, principals, supervisors, and professional development personnel. Additionally, the information adds to a growing body of knowledge about successful practices for Thai schools' leadership in adopting school change efforts.

1.7 Research Context

The research was conducted in one province situated in southern part of Thailand. It is about 610 km, 380 miles, south of Bangkok, on the east coast of the Malay Peninsula. Nakhon Si Thammarat is an old province, dating from the old Sukhothai Period 1767. It is home of many ancient places and the source of various architectural styles as well as a historically valuable source of arts. Nakhon Si Thammarat ranks the highest Gross Domestic Product (GDP) among other provinces in the southern region. The main economic products from this province are farming and fishing, agricultural industrial products and tourism. The population of this province is approximately 1.6 million which is the largest population in the south region provinces.

Six schools participated in this study; three elementary and three secondary schools. The student enrolment of these schools varied from about 400 to 1900 students. Two of these schools are in the urban area, while the other four schools are in rural locations. Like all other schools in Thailand, these six schools are in the process of educational restructuring.

Before conducting the study, the researcher approached the director of the District Educational Office, at Nakhon Si Thammarat province. The reseacher briefed the office with regard to the objective of the research and how it was to be conducted. After receiving approval from the District Education Office, the researcher obtained the approval from the school principals to conduct data collection in their schools.

1.8 Overview of the Thesis

This thesis is a qualitative study of how the roles of school principals support change implementation during a period of school restructuring. Interviews, group discussions, observations, and document analysis were used for data collection. Collection of the data and an analysis of the data supported the findings and conclusions. This thesis is presented in six chapters.

Chapter One contains an introduction to the topic, a description of the purpose and significance of the study, research questions and limitations of the study. Chapter Two contains a review of the related literature concerning leadership, the school principal and change. These research studies are summarized and critically analyzed. Chapter Three contains the research methodology for the study, including research questions, a rationale for the design of the study, how the sample was selected and an outline of the data collection and analysis procedures. In Chapter Four and Chapter Five, the reader is presented with the findings analysed from the data in regard to school principal roles in supporting the process of school change. In Chapter Six, there is a discussion of outcomes related to the research questions. Finally, conclusions and recommendations for future research are contained in Chapter Seven.

CHAPTER II

REVIEW OF LITERATURE

2.1 Introduction

In this chapter, four dimensions are explored by the researcher. They are: a) Leadership Theory: Including research into principal leadership, role theory, leadership roles and effective leadership models; b) Change: Including concepts of change, phases of change, the school wave of change and reasons for change; c) School Reform: Including principles related to school reform, receptivity and resistance to changes in organizations, attitudes toward change and obstacles to organizational change including school-based management; and d) The Principal and Change: Including the principal as a key to school improvement and the expanding role of the principal.

The task of the school principal in contemporary education reform is more challenging than ever before. Nevertheless, the pressures on school principals are not new. The alterations in the principal role stem from more permeable boundaries, thematic curricular or special instructional approaches and increased responsiveness and accountability to parents (Hausman, 2000; Pierce and Stapleton, 2003; Helen and Deborah, 2004; Carol and Janice, 2008). There have been "great expectations and hopes" granted by society and community, especially parents, to the principals in improving school quality (ONEC, 2000, p.8). The leadership of the school principal must function in various dimensions. For instance, in addition to maintaining the regular school administrative functions, principals are also responsible for providing direction and guidance to staff and students, assessing and providing needed resources, and observing and evaluating job performance (Griffith, 2004). They are also responsible for curriculum and pedagogy improvement (Leithwood, 2005; Perusse et al., 2009), and have a key role in the social and moral obligations of their respective schools (Hausman, 2000; Calabrese, 2002; Whitaker, 2003).

The increased focus on quality and standards in today's school environment demands that school leaders possess a wide repertoire of leadership skills in order to build the

capacity of the school to meet current and future challenges. School leaders have employed two types of leadership to address these challenges:

- Leadership that encourages and enables the school to be more adaptive to change in their environment

- Leadership that seeks to change the environment itself (Sergiovani, 2000; Bush, 2008; Riggs, 2009).

There is little doubt that providing this type of leadership in the school environment of today is both challenging and complex. The school leader must possess the kind of leadership skills that will move the school forward to increase the probability of successful school restructuring.

2.2 Leadership Theory

Numerous scholars have studied leaders and leadership without coming to a consensus on a definition for either (Bass, 1990; Yukl, 1998). Leadership has many definitions and there are many approaches to the study of leadership. Bass (1990) and Rost (1991) conducted extensive reviews of the literature on leadership in an effort to describe the origin and evolution of the term. Each came to similar conclusions after researching thousands of texts. Their findings were foreshadowed by Stodgill who suggested that "There are almost as many definitions of leadership as people who have tried to define it" (Stodgill, 1974, p.259). Most people throughout the world have had difficulty applying leadership theory, and to some degree, this is why leadership in organizations remains a dynamic concept.

Just as there are a variety of definitions of leadership there are also numerous approaches to studying and describing leadership. In general, most research has described the history of leadership through specific theories such as the great man, trait, behaviourist, situational and transformational theories (Rost, 1991). Each of these theories is discussed below.

The earliest approach used to describe and study leadership was the great man theory (Bass, 1990; Rost, 1991). Scholars used this theory at the beginning of the 20th century. At this time, the belief was that only great men could be leaders. These great men were born leaders imbued with special characteristics that ensured their followers would do as they

commanded (Rost, 1991). Thus, leaders were born and not made. Bass (1990) argued that there was a genetic component to leadership. Around the 1930s, this theory began to give way to the trait theory, which sought to identify the traits of leaders.

The trait theory of leadership sought to discover what personal attributes successful leaders possessed. Underlying this perspective was the idea that some people are born leaders with natural attributes of leadership (Bass, 1990; Yukl, 1998). Researchers have studied these "natural-born leaders" using questionnaires to look for statistically significant correlations between individual traits and leader success. The emphasis of this approach is on the leader; the followers and the situation are not considered. One problem with this approach is, however, that traits are usually studied in isolation; there has not been any success in discussing the interrelatedness of the traits. In addition, trait theorists do not discuss the actions of leaders or the effects of their actions within specific contexts (Northouse, 2004); for example, people may possess traits that help them emerge as a leader, but not ones that help them remain a leader. An individual may demonstrate traits of leadership in certain contexts, but not in others. A third criticism of this theory is the disagreement between researchers about which traits are important (Northouse, 2004). Stodgill (1974) took these shortcomings into account when he described the development of leadership as a pattern of characteristics that the leader possesses and their relevance to the characteristics and goals of the followers, rather than leadership resulting from the possession of some combination of traits.

In the 1950s and 1960s, the behaviourist approach to leadership theory began to gain favour (Rost, 1991; Carlson, 1996, Yukl, 1998). According to Rost (1991), "behaviourist scholars in various disciplines decided in the 1960s to concentrate on leadership as a behaviour act and so they studied what specific behaviours in what combinations produced effective leadership" (p. 18). The research into effective leadership took three forms. The first "examined how managers spend their time and described the content of managerial activities in terms of content categories such as managerial roles, functions, and responsibilities" (Yukl, p. 9). The second approach to leadership research during this period compared the behaviours of effective and ineffective leaders (Yukl, 1998). Finally, researchers at Ohio State University and at the University of Michigan studied leadership style; that is, what leaders do and how they act (Northouse, 2004). From these

perspectives, leaders can optimize their relationships and effectiveness in order to produce extraordinary results. Kotter (2002) makes observations about "managerial behaviour." He argued that when managers produce successful change of any significance in organizations, the effort is usually a time-consuming and highly complex leadership process. In doing so he brings clarity to the differences that make management and leadership very distinct.

Although different strands of research occurred during the 1950s and 1960s, one major feature was a shift in emphasis from traits of effective leaders to behaviours of effective leaders. This shift resulted in a conception of leadership as a way of behaving or as a style. Management experts have undergone a revolution in how they define leadership and what their attitudes are toward it (Bowers, 1976, Likert and Likert, 1980). They have gone from a very classical autocratic approach to a very creative and participative approach. Somewhere along the line, it was determined that not everything old was bad and not everything new was good. Rather, different styles were needed for different situations and each leader needed to know when to exhibit a particular approach (Goodworth, 1988, Bittell,1989; Yukl,1989; Hersey and Blanchard, 1993; Bennis, 2003; Robbins and Harvey, 2004; Griffith-Cooper and King, 2007; Spillane, 2009).

With autocratic leadership style, the manager retains as much power and decision-making authority as possible. He/she does not consult employees, nor are they allowed to give any input. Employees are expected to obey orders without receiving any explanations. The motivation environment is produced by creating a structured set of rewards and punishments. Bureaucratic leadership is where the manager manages "by the book"; everything must be done according to procedure or policy. If it isn't covered by the existing rules, then the manager refers to the next level above him or her in order to enforce order. This manager is really more of a police officer than a leader; he or she enforces the rules. The democratic leadership style is also called the participative style as it encourages employees to be a part of the decision making. The democratic manager keeps his or her employees informed about everything that affects their work and shares decision making and problem solving responsibilities. This style requires the leader to be a coach who has the final say, but gathers information from staff members before making a decision. Last, the laissez-faire leadership style is also known as the "hands-off" style. It is

one in which the manager provides little or no direction and gives employees as much freedom as possible. All authority or power is given to the employees and they must determine goals, make decisions, and resolve problems on their own.

Theories of leadership style are exemplified further by Blake and Mouton's (1984) managerial/leadership grid. This model of leadership behaviour first appeared in the 1960s. It described leadership behaviour in terms of concern for production and concern for people. The details, strengths, and weaknesses of the model are of major concern for leadership in terms of different orientations and behaviours that are task oriented and people oriented. This evolution in the understanding of leadership continued into the next decade with the advent of situational theories of leadership.

In response to criticisms of the behaviourist in describing leadership, situational theories emerged in the 1970s. These theories focused on leadership in specific situations (Northouse, 2004). Situational theorists maintained that effective leaders varied their approach to leadership in response to environmental factors. These factors include the maturity of followers with regard to the task they are being asked to perform as well as the context in which the leader must act.

One of the most well-known situational theories is Hersey and Blanchard's (1993) situational leadership theory. This theory demands that the leader match his style to the maturity, competence, and commitment of their subordinates (Hersey and Blanchard, 1993). Leader actions are described as highly directive and highly supportive, highly directive and lowly supportive, lowly directive and highly supportive or lowly directive and lowly supportive (Yukl, 1998). A leader must diagnose the situation and the developmental level of the employee and then the leader must determine which style to use. Because employee competence varies according to the task and the employee, leaders must be flexible. This requirement for flexibility contrasts with the trait and contingency approaches which argue a fixed style for leaders (Northouse, 2004). The idea of flexibility and adaptation to the needs of individual situations is a strength of this theory. However, critics of the theory point to the lack of research that validates situational leadership theory. This lack of validity is one reason for the continued search for alternative theories of leadership (Northouse, 2004). This search has led to the formulation of transactional and transformational leadership theory.

Based on Maslow's Hierarchy of Needs, Burns (1978), a scholar of political science, first introduced the theory regarding transactional and transformational leadership in the late 1980s. Transactional leadership, originally according to Burns, was developed from the social exchange perspective, that is, the leader takes initiative in making deals with followers by providing them with valuable thing as rewards in order to achieve a mutually agreed objective (Jones & Rudd, 2008). Once the exchange is complete, there is no further need of interaction between leader and followers unless another stage of contingent reward is brought into their reciprocal working relationship (Leithwood and Jantzi, 2000).

Transactional leadership focuses on making clear what is required and expected from subordinates. These subordinates will get reward if they follow the orders. Sometimes punishments are not mentioned but they are understood. In the early stages of transactional leadership, the subordinate is in the process of negotiating the contract. The contract specifies fixed salary and the benefits that will be given to the subordinate. Rewards are given to subordinates for applied effort. Some organizations use incentives to encourage their subordinates for greater productivity. Transactional leadership is a way of increasing the performance of its subordinates by giving those rewards.

In this case, tangible rewards, such as money or gifts, may be rewards to the followers if their performance is in accordance with their mutual agreement. For example, the subordinate spends necessary and adequate efforts in the process of achieving the goal (Bass, 1998). On the other hand, some intangible rewards, such as power-sharing or appropriate empowerment may be granted to the followers during the transactional process depending on the needs of situation (Muller & Thorn, 2007).

On the other hand, transformational leadership is a process that changes and transforms individuals of which it can be viewed either at "the micro-level influence process between individuals," or at the "macro-level process of mobilizing power to change social systems and reform institutions" (Yukl & Van Fleet, 1992, pp. 175-176). "Transformational leadership involves assessing followers' motives, satisfying their needs, and treating them as full human beings" (Northouse, 2004, p.130). Transformational leaders are people who take on the challenge of revitalizing an organization. They transform organizations by defining the need to change, developing a vision, and mobilizing a commitment to that vision (Bass, 1999; Yukl, 2002).

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According to Bass (1999), transformational leadership refers to a leadership type in which leaders possess charisma and provide intellectual stimulation, individualized consideration and inspirational motivation to followers. In order to achieve its objectives, transformational leadership may take several forms. Burns (1978) identified two types of transformational leaders: the reformer and the revolutionist. The reformer operates on parts whereas the revolutionist operates on the whole. The reformer seeks modifications that are harmonious with existing trends and consistent with prevailing principles and movements. The revolutionist seeks redirections, arrests or reversals of movements and mutation of principles (Burns, 1978). However, transformational leadership is not a personal characteristic that a leader possesses but is a behaviour induced by the environment that the leader and the organization face (Barker, 2006; Berkey, 2009). In this respect, we can expect the leader to vary his/her behaviour based on each situation.

Further to the behavioural approach to understanding the concept of leadership, a new evolution took place in this field, and this was studying the influence of situation in the leadership process. The situation in part defines the leadership process; it influences the leader and interacts with the leader's attempts to influence his or her followers. The relevance of situation as an influencing factor on the leadership roles was brought to attention by many intellect studies

Many leadership studies in organizations emphasize the roles of leader (Bassett and Carr, 1996; Hausman, 2000; Sheard and Kakabadse, 2002; Portin, Alejano, Knapp and Marzolf, 2006) and how they function or malfunction. The role of a leader can vary the organization's performance and effectiveness and is typically supported by the contingency model of decision making (Vroom andYetten, 1976). According to this model, leadership brings into the organizational context personal attributes, behaviour and situational variables. As a result, this combination can affect organizational effectiveness (Judge, 1998). The performance of a particular role in a given social system is viewed as resulting from interactions with the expectations of others who occupy positions within that system.

The roles and definitions of leadership have varied over the years, in accordance with changing organizational theories (Vroom and Jago, 2007; Chance, 2008). Obviously, approaches emphasize quality, consistency, value-orientation, organizational learning and change. They tend to be based on holistic and integrated models. In the current study, it is

important for the researcher to discover that elements of a certain leadership approach are typically present (to varying degrees) in the practice of all school leaders who facilitate change in their organizations.

2.2.1 Principal Leadership Research

There are almost as many different definitions of leadership as there are persons who have attempted to define the concept. Yukl (1998) states "most definitions of leadership reflect the assumption that it involves a process whereby intentional influence is exerted by one person over other person" (p.3). Burns (1978) asserts, "one of the most universal cravings of our time is a hunger for compelling and creative leadership" (p.1).

Senge (2000) supports the idea that a principal in addition to displaying personal leadership, should function as the head of a team: "We are coming to believe that leaders are those people who "walk ahead", people who are genuinely committed to deep change in themselves and in their organizations. They lead through developing new skills, capabilities, and understandings and they come from many places within the organization" (p. 45).

I agree with Senge that leaders exist within many facets of the organization in the school context, but I am less inclined to subscribe to his concept of 'walking ahead'. Rather, I believe that leaders should empower teachers. Though principals at their own level 'walk ahead' of their staff, the teachers must also see the terrain and establish strategic directions at their own level and not rely on the principal for these guidelines. For example, all teachers in accordance with the overall goals of the school, should write their own work plans for the school year, including goals, teaching plans, expected outcomes and expected costs.

Leithwood and Jantzi (2000) explored educational administration and focused on scholarly empirical studies. They suggest that six major categories of leadership dominate contemporary writing about school leadership. These comprised instructional leadership, transformational leadership, moral leadership, participative leadership, managerial leadership and contingent leadership. Furthermore, Leithwood, Jantzi, and Steinbach (2000) discussed the diversity of leadership styles and roles: "Contemporary leadership models vary in who is assumed to exercise influence, from only those formal

administrative roles (managerial and moral leadership), through typically, but not necessarily, those in formal leadership roles (instructional, transformational and contingent leadership), to the group potentially including all those with a stake in the organization (participative leadership)" (p. 17).

The crucial importance of the leader explained by Vroom and Jago (2007), highlights the need that school principal perform specific roles through various situations and different working environments. However, it is important to note that elements of each leadership style are typically present, to varying degrees, in the practice of all school principals who operate in real life situations. Being involved in all aspects of the school and showing respect for and interest in the students are essential features of a principal.

Likewise, the principals of Thai schools are expected to employ various leadership models in order to deliver high levels of school performance (Boonprasert, 1999). Hence, principals as leaders in the school are responsible for a broad range of areas including curriculum and pedagogy improvement, school community participation, staff morale and school disciplinary practice. These principals need to employ a number of the leadership approaches discussed previously in order to create a positive working climate and to support the educational reform in their schools (Tengkliang, cited in ONEC, 2001; Tapaneeyangkul, 2002).

2.2.2 Role Theory

The construct of role theory offered several insights which helped frame this study. Role theory provided a model to understand the individual's behaviours within the social system of the elementary and secondary schools in which the instructional coordinators worked. Respectively, role theory provided "a conceptual structure for tracing natural social processes" (Hart, 1994, p. 485).

According to Huse (1980) a role is "the set activities that the individual is expected to perform and constitutes a psychological linkage between the individual and the organization" (p. 53). Role behaviour is influenced not only by the characteristics of the individual but also by the expectations of others within the school system. A role is the sum total of expectations placed on the individual.

Role theory provided three critical insights for the researcher as identified by Hart (1994). First, people exhibit characteristic patterns. It is these patterns of interaction that fulfil set roles. Second, established social patterns are resilient. Social patterns and the pressure that results from these patterns reinforce existing roles, particularly during change or transition. Finally, role theory provides critical insight into a school's social system. The social system of a school is part of its members' shared world. It is within this shared world that the researcher sought to gain insight. The challenge in the change process is people's behaviour (Kotter, 2002; Masci, Cuddapah, and Pajak, 2008). Understanding the pattern of interaction within social systems can help manage the change more effectively. Therefore, analysis of the role of the school principal will assist in understanding the purpose of the position and the work that these professionals do in schools.

Many leadership studies have emphasized the roles of the leader and how they function (Schein, 1997; Fullan, 2003 and Darling-Hammond, 2003; Williams, 2006; Crum and Sherman, 2008; Auerbach, 2009). Leaders such as principals can bring into an organizational context (such as a school) concern for personal attributes, behaviour and situational variables. As a result, this combination can reflect the school's effectiveness and/or performance (Judge, 1998).

There is overlap between leadership style and leadership role. In practice, leadership style determines the role of the principal and his or her assumptions about the different characteristics of that role. The leader would thus perform different roles at different times such as a liaison, a resource allocator, a negotiator, a figurehead, a monitor, a disseminator, a disturbance handler and an entrepreneur (Yukl, 1998). The leadership role will also influence the decision-making processes, the communication levels, the authority and bureaucracy within the school, pedagogy, overall school culture, the amount of emphasis placed on individual organizational members and internal and external relations (Schein, 1997; Fullan, 2003; Darling-Hammond, 2003; Marsick and Watkins, 2003; Nelsen and Hill, 2009). The assumption of the diverse roles attached to these areas varies according to overall leadership style and sources of institutional influence.

In relation to the Thai school context, the stakeholders (e.g., students, parents, and teachers) often perceive what school principals essentially do and how they work as leaders in the school support activity (ONEC, 2001). This current study intends to examine

this perception in greater depth particularly with respect to the roles of selected Thai principals in school change and educational reform.

2.2.3 Distributed Leadership

In recent years, the individual-focused heroic approach to leadership has been challenged. More and more researchers and educational policy makers agree that the school's ability to cope with the numerous complex challenges it faces requires more than reliance on a single individual's leadership. Lashway (2003) articulates this as follows, "the common ideal of a heroic leader is obsolete....the task of transforming schools is too complex to expect one person to accomplish single handedly" (Lashway, p.1).

However, it has also been argued that the success of contemporary organisations depends on leaders who are humble rather than heroic, emotionally rather than intellectually wise, possess more soft than hard skills, people rather than system-oriented, and willing to celebrate failure as well as success (MacBeath, 2003).

As an alternative to heroic leadership, a post-heroic model that places school leadership "not in the individual agency of one, but in the collaborative efforts of many" (Johnson, 1997, p.2) has been advocated largely because the wave of changes resulting from structural, financial, curricular and technological reforms as well as a growing demand for accountability impact powerfully on the working lives of not only principals but teachers, students and all others who are directly or indirectly involved in the continuity and improvement of the school (MacBeath et al, 2004).

The post-heroic model emphasises human relations-oriented features such as teamwork, participation, empowerment, risk taking and little control over others. In this context, school leadership does not command and control, but works together with others, constantly providing relevant information regarding plans and operations' (Eicher, 2003). In grappling with the challenges facing the school the principal is expected to work alongside others, modelling the very interaction they seek to encourage, remembering that although he/she occupies a formal leadership position "the power needed to change classroom practices is widely dispersed, residing not in central office but in the many private lesson plans and staff conference rooms of the schools" (Johnson, 1997, p.1). Deep-rooted in this model is the recognition that school effectiveness depends less on individual,

heroic action and more on collaborative practices distributed throughout the organisation (MacBeath et al, 2004).

Distributed leadership is one of the most ancient leadership notions recommended for fulfilling organizational goals through people. Distributed leadership is about leadership practice rather than leaders or their roles, functions, routines, and structures (Spillane, 2005). This notion has long been reflected in adages associated with decision making in societies. This principle, as MacBeath et al.(2004) explains, implies not only a delegation of authority but the leader has to create an environment in which people are able to grow into leadership.

One strategy that has characterised the move towards improving the standard of school leadership was to ensure that educational institutions have leaders working effectively in multiple leadership or distributed leadership teams (Harris, 2007; Pedder & MacBeath, 2008). This concept had not been given much prominence until recently when the National College for School Leadership (NCSL) resurrected the discourse and set it as an essential principle in its school leadership development literature (MacBeath 2003, Bennett et al., 2003; Harris, 2007)

Although many researchers and writers on school leadership as well as educational researchers have commonly endorsed distributed leadership as the backbone to school improvement, describing exactly how the term differs in meaning from related terms such as "dispersed leadership", "shared leadership", "collaborative leadership" and "democratic leadership" appears confusing and problematic (Harris, 2007; Pedder & MacBeath, 2008; Hargreaves & Fink, 2008 and Harris & Spillane, 2008). In some cases, these terms are used interchangeably with distributed leadership (MacBeath et al.2004).

"Dispersed" appears to suggest leadership as an activity that can be located at different points within an organisation and pre-exists delegation which is a conscious choice in the exercise of power. The idea of dispersed leadership is captured by David Green's term "leaderful community" which involves a community 'in which people believe they have a contribution to make, can exercise their initiative and can, when relevant to the task in hand, have followers' (Green, 2002).

"Collaborative" operates on the basis of alliance or partnering or networking. Network learning communities are an expression of collaboration across the boundaries of individual

institutions. Collaborative leadership may also apply to an "interagency context', expressed in schools' joint work with community agencies, parents, teacher groups, and other external stakeholders.

The Democratic Leadership Style was first described Lewin, Lippitt, and White in 1938 along with the autocratic leadership and the laissez-faire leadership styles. Leadership as "democratic" is by definition antithetical to hierarchy and delegation. Woods (2005) suggests four defining characteristics (i) a leader's interaction with, and encouragement of others to participate fully in all aspects of leadership tasks (ii) wide-spread sharing of information and power (iii) enhancing self-worth of others and (iv) energising others for tasks Democratic leadership can either take the form of consultative (where a leader makes a group decision after consulting members about their willingness) or participative decision making (where a leader makes the decision in collaboration with the group members - often based on majority rule) (Vroom & Yetton, 1973).

"Shared" leadership is best understood when leadership is explored as a social process - something that arises out of social relationships not simply what leaders do (Kelly, 2002). It does not dwell in an individual's qualities or competencies but lies between people, within groups, in collective action, which defies attempts to single out a leader (MacBeath, 2003). It is built around openness, trust, concern, respect and appreciation.

In this light 'distributed leadership' cannot be said to be a new leadership technique but rather an intellectual label that seeks to re-enforce the fact that leadership needs to be a shared activity in schools. It should therefore be conceptualised, as Bennett et al, (2003) suggested that this is not simply as another technique or practice of leadership, but, just as importantly as a way of thinking about leadership in post-heroic terms rather than a heroic phenomenon. In this way, we can distinguish clearly between delegation – as a heroic phenomenon – in which distribution is initiated solely from the top (principal) and distributed leadership – as a post-heroic phenomenon – in which distribution does not solely depend on the principal's initiative. Under this approach, there is the strong belief in the notion of distributed leadership that everyone in the school should have the opportunity to do so or exercise leadership from the youngest child throughout and not just a selected few' (teachers).

In spite of the confusion surrounding the definition of distributed leadership and the problems associated with its implementation, I believe strongly that it holds the key to the school's capacity for meeting its complex challenges. Schools should therefore be encouraged to explore ways of counteracting factors that inhibit the implementation of distribution. Mutual trust should be at the centre of interactions between and among principal, teachers, pupils and all stakeholders of the school. School accountability should be viewed from a more developmental perspective with the school itself playing a central role. Unless both the school and stakeholders make conscious efforts toward finding a more human focused approach to the implementation of distributed leadership in schools, the phenomenon will remain a mere intellectual exercise.

2.2.4 The Roles of School Principals

The principalship has been the subject of many studies over the past twenty years (Smith and Andrews, 1989; Barth, 1997; Leithwood and Jantzi, 2000; Sergiovanni, 2001; Bottoms and O'Neill, 2001; DuFour, 2002; Elmore, 2002; Andrews and Crowther, 2002; Mulford, 2003; Amitay, Popper and Lipshitz, 2005; Andrews and Monica, 2010). The central role of the principal has been viewed, variously, as building manager, administrator, politician, change agent, and instructional leader. When the school reform movement began in the West during the 1980s, the first consequence for school leaders was pressure to put student learning at the centre of their responsibility. Another identified priority was the focus on the application of strong leadership to implement school reform and improvement (Murphy, 1990; Datnow and Castellano, 2001; Bryk and Schneider, 2002; Lashway, 2002; Janc and Appelbaum, 2004; Auerbach, 2009). Taken collectively, the 'Effective Schools' studies reflect the view that the direct responsibility for school improvement is in the hands of the school principal.

Likewise, the New Education Reform policy in Thailand is focused on the national leadership strategy for which the central government delegates authority to local areas (ONEC, 2002). In this context, the school principal has been seen as the key factor in leading school restructuring and building collective ideas and support among the school communities (Wattanachai, 2002; ONEC, 2002; Pimpa, 2005). He/she assumes responsibility for the progress of the school.

Despite this emphasis on student learning and school improvement, other research has highlighted the tendency for principals to spend more time completing administrative work (ONEC, 2002). Most principals have engaged in the routine behaviour of administrators such as planning infrastructure development, organizing necessary human, financial and physical resources, directing and controlling staff performance through evaluation and providing feedback (ONEC, 2002). The objectives of these actions are to achieve desired results within the school rather than using their natural and learned ability, skill and personal characteristics to conduct interpersonal relations which influence people to take desired actions. Despite their good intentions, little of the principal's workday is actually spent handling matters directly related to teaching and learning improvement.

In support, Fullan (2002) and Drake and Roe (2003) pointed out that principals saw themselves primarily as administrators of the schools rather than educational leaders. It may be argued that competence in classroom teaching is an essential attribute of a principal. However, that alone is not enough since there are other equally important skills, abilities and knowledge needed for effective educational leadership. Thompson and McKelvy (2007) argued that effective educational leaders need vision and leadership knowledge and skills including a knowledge of change and innovation, the ability to initiate, invent and adapt, a sense of direction, as well as the skills to motivate and provide an appropriate leadership style to meet the challenges of the changing society.

A review of the literature on principal roles has identified a large number of relevant studies. For example, research by Owens (1998) identified six major roles for effective school principals: (1) manager, (2) instructional leader, (3) disciplinarian, (4) human relations facilitator and (5) evaluator, and (6) compromiser. Garton and Schneider (1991) defined effective school principal roles under six main areas of responsibility: evaluator, instructional leader, conflict mediator, manager, human relation and facilitator. Similarly Belbin (1993) identified eight roles including resource investigator, creator/innovator, evaluator, completer, implementer, shaper, co-ordinator and team worker. Deal and Perterson (1994) also listed eight distinct functions within the principal role. These include (1) planner, (2) resource allocator, (3) coordinator, (4) supervisor, (5) disseminator of information, (6) jurist, (7) gatekeeper and (8) analyst. Other school principal studies in western societies were brought to our attention by Sergiovanni (2005). He clearly

described the specific roles of the principal as resource provider, instructional leader, communicator, and enabler/performer. Hausman (2000) mentioned the important roles of principals in terms of entrepreneur leadership, organizer-responsiveness to students/parents, middle manager and instructional leadership.

Some important Thai research on this topic by Tapaneeyangkul (2003), studied the effective roles of school leaders in Thailand. Her study focused on the roles of teamwork builder, developer, problem solver, integrator, administrator and delegator. The study shows that a developer is the most effective role for the school leader followed by the problem solver role. This current study will explore further the roles of the school principal in relation to school change and growth.

In this section concerning the principal's roles, there have been a number of models that have identified the key roles of principal activity. Quinn (1991) enlarges upon the concept of leadership style without significant theoretical innovation in interpreting these styles. He discusses the domain of managerial leadership (which covers the role of the leader in the organization according to organizational flexibility) control, internal and external focus. In this way, his advanced change theory strengthens Camron and Quinn's assumption that principals "should find ways to match their personal style and capabilities with the demands of the organization's future environment" (1999, p. xi). In other words, in leadership transitions the organization itself must be taken into consideration and the appropriate person should be suited to the proper position (Tayko, 2004).

Quinn (1996) has identified four models that summarize key characteristics and roles of leadership. I have also used Tayko's terminology to contextualize these leadership roles as they relate to the selected principals in this research study. These two models were selected for this research as they facilitated the categorization of the essential features of principal activity in this Thai environment (Refer to Chapters three and four for more details). The following section provides specific descriptors of principal role activity under four main titles: Human Relation, Explorer, Performer and Administrator:

1. Within the Human Relation role, Quinn (1996) and Tayko (2004), stress criteria such as cohesion and morale along with human resource development. Under this leadership approach, the principal focuses on team building, facilitates consensus among the group, develops staff and treats each staff member in a caring way. The

emphasis is on information sharing and participative decision-making. Leaders focus on a common social system and are bonded together through the development of a sense of affiliation and belonging.

2. Within the Explorer role, Quinn (1996) and Tayko (2004), stress criteria such as flexibility and readiness as well as growth and external support. The leader continually searches for innovation and improvement, and envisions school changes. Under this role perspective is characterized by flexibility and an external focus. These emphasize innovation, creativity, adaptation, growth, external support and resource acquisition. Leaders are bonded together through being inspired and challenged.

3. Within the Performer role, Quinn (1996) and Tayko (2004), stress criteria such as planning and goal setting as well as productivity and efficiency. This leadership role is characterized by predictability and an external focus. This type orientation values competitiveness, productivity, goal clarity, efficiency, and accomplishment. The principal focuses on task achievement and how to get the work done through goal orientation and competition.

4. Within the Administrator role, Quinn (1996) and Tayko (2004), emphasize the importance of information management, organizational administration along with stability routinization, centralization, continuity and control. The members are bonded together through internal controls that maintain rules, policies and procedures (Quinn et al. 2003). In such case, the principal coordinates activities and schedules, and brings sense of order to the workplace. He/she keeps monitoring and holds regular reviews for its progress.

According to Quinn (1996) and Tayko (2004) leaders are expected to perform on different levels, of which he identifies four in every organization. Their model stresses the importance of being able to flow between the levels, to understand competing expectations and to resolve dichotomies within the organization.

Similar to other research in Thai educational area, they also look at the different roles of school principals that can effectively contribute to school improvement (Tapaneeyangkul, 2002; Taerungreung, 2003). I found this to be the most detailed model as it relates the organizational flow directly to the leadership style. It recognizes that there can be no 'one'

paradigmatic approach. In other words, there is no "one right way" to handle organizational change.

2.3 Change

2.3.1 Concept of change

Change is a process of coming to grips with new personal meaning and therefore is a learning process. A prerequisite for success is to understand that all change involves learning. Learning is a process that shapes the beliefs, values and assumptions that one holds. Through this learning process, a deeper sense of ownership and understanding can develop. A climate that encourages individuals to be risk-takers who are willing to venture into uncertainty must be developed. Without this type of environment no significant change will occur (Evans, 2001; Buchanan, 2007).

Change is a process that occurs gradually over a long period of time (Guskey, 2000; Beach, 1993; Conner, 2006; Williams, 2006; Kose, 2007). It is accomplished by individuals and is, therefore, a personal experience (Conner, 2006). With the advent of any change we are required not only to learn something new, but in some cases "unlearn" something else. Part of the process of change is the integration of new perceptions, attitudes, and behaviours into one's sense of self. In the literature on school culture, Schein (1997) called this "cognitive transformation" (p. 24). If we can see how change fits with our personal vision, the integration process is greatly enhanced. Teachers will relate to change in terms of what it will do for them (Cranston, 2002). It is the unlearning process that is at the root of most resistance (Schein, 1997; Tsang and Zahra, 2008, Kong, 2009).

The literature indicates that change is not easy to achieve as it requires the time and coordinated efforts of groups of individuals who are willing to work together and share common goals (Evans, 2001; Thompson and McKelvy, 2007). Educational leaders who are responsible for influencing change must engage in a participatory process that allows members of the culture to contribute and take on responsibility and ownership of change. This idea of 'buying in' will help to fuel the process of change that will result in improving the process of change. Catsambis (2001) and Lashwas (2003) emphasized that when people are involved in the decision-making process and decisions are reached through

shared decision-making and consensus, the participants feel a sense of 'ownership' in the decisions.

One of the key elements a leader can do is creating readiness for change, although many leaders often overlook this dimension of the change process (Boehringer, 2004; Tayko, 2004). Fullan (2001) remind us "that above all, planning must consider the pre-implementation issues of whether and how to start and what readiness conditions might be essential prior to commencing" (p. 111). Readiness for change becomes its own independent dimension of the change process. It involves the school's practical and conceptual capacity to initiate, develop or adopt a given innovation, or the capacity to use reform in terms of 'individual' and 'organizational' factors (Tarantino, 2004; Carey, Harrity and Dimmitt, 2005). Understanding the rationale for change and the conceptual framework within which it exists provide the opportunity for participants to engage in the process at a different and more fundamental level (Fullan, 2001; Lashwas, 2003).

Within the change process, it is documented that there is an early period of difficulty with change that Fullan (2001) has labelled the "implementation dip" (p. 42). Even in cases where reform eventually succeeds, things will often go wrong before they go right. Evans (2001) and Chen (2008) found that absence of early difficulty in a reform effort is usually a sign that not much was being attempted. In essence, superficial or trivial change was being substituted for substantial change (Evans, 2001; Kotter, 2002; Day, Elliot and Kington, 2005).

Evans (2001) and Calabrese (2002) described several factors likely to contribute to successful implementation. These factors concerned the degree of preparedness, the provision of materials and resources, user commitment and understanding, ongoing aid and in-service training, team meetings, administrative support, peer consultation and access to external consultants. From other views, Siu (2008), Ärlestig (2007) and Parrett and Budge (2009) found sources of implementation problems to focus on the lack of communication, the lack of staff skills, slow progress, disagreement over desired activities, a highly ambitious project plan, faculty time and energy, maintaining interest, resources, staff development, physical plant constraints, unanticipated crises, and competition from other change programs. Obviously, these factors significantly impact on the organizational

readiness for change which needs principal leaders to address in order to have successful change (Smith, 2005).

2.3.2 The Phases of Change

Phenomena go through cycles, be it the cycle of a living organism or an organization. The common viewpoints shared by the different perspectives of the study of change are best perceived through the *S-shaped Sigmoid Curve*, broadly used in describing the natural development of things. Not only that, Land and Jarman (1992), Handy (1994), Morrison (1996) and Blanchard and Waghorn (1997) all applied this conceptual model of the *S-shaped Sigmoid Curve* to further explain the natural development and the ongoing phase within the change.

Land and Jarman (1992) divided the cycle of change into three unique phases and also used the familiar Sigmoid curve in the explanation. They explored the growth and change process, how natural growth leads to shifts in the way organizations must operate for initial success to occur, how it is followed by different forms of quantitative growth, and how the usual decline and demise of successful organization can be replaced by renewal and reinvention of the enterprise. According to Land and Jarman, understanding and working with the cycle of change can revolutionize the way one does business. However, understanding change is not enough to guarantee success. The unique interrelationship between vision, creativity, and connection is required to ensure the continued growth and success of an organization.

Fullan (2001) has focused his work on educational change. He proposed that there are three broad phases in the educational change process namely Initiation, Implementation and Continuation. According to Fullan (2002) the factors that affect the initiation phase comprise quality of innovations, advocacy from central office, administration, teacher advocacy and external change agents. During this phase, there is the need for the school to look for innovation in preparing for on-going change. From Fullan's (2006) view, both internal and external support and initiative are involved in the first phase.

Under the implementation phase, Fullan (2001) identified three major factors affecting implementation: (a) characteristics of change - need of change, clarity about goals and

needs and quality and practicality of the program; (b) local characteristics - the school district, community board, principal and teachers; and (c) external factors - government and other agencies. The different stakeholders at local and governmental levels can have a certain impact on adopting change in the school. In this respect, each stakeholder needs to consider before committing effort to change or finding the way to manage it.

The continuation phase involves a decision about institutionalization of an innovation based on the reaction to the change, which may be negative or positive. Fullan (2001) suggested that the success of continuation depends on whether or not: (a) the change gets embedded and built into the structure; (b) the change has generated a critical mass of administrators or teachers who are skilled and committed to it and (c) the change has established procedures for continuing assistance and growth. Land and Jarman (1992) also support this thought.

Obviously, the success of educational change in schools is relatively dependent on the degree of involvement and commitment to change of participants in the change process (Ellsworth, 2001). In this sense, the school principal as a change agent needs to promote those key elements in the school context in order to stimulate change.

2.3.3 The Wave of Change in Schools

Like other organizations, schools have experienced continuous change. School systems have undergone numerous changes both in policy and procedure. Although the basic structure of education has changed very little, reforms have had an influence on the direction of education in school with the ultimate goal of improved learning for all students. Some empirical research indicates the changes that occur in the organization follow a predictable pattern that can be characterized by development or growth stages (Levy and Merry, 1986; Zineldin, 2002; Boehringer, 2004). Although all reviewed models suggest a reasonable compatibility of organization growth patterns, there is a fairly broad range in the number of stages. For the purposes of this study, the phrase "wave of change in schools" will be used to describe the various stages that schools experience in the change process.

In the first stage: 'Forming', schools have awakened to the notion of organizational learning, schools undergo few major changes compared what they have done in their past

but no concrete "outcomes" from collective learning can be shown (Argyris and Schon, 1996). Instead, most authority in school operations is still concentrated in the hand of the principal and teachers are confined to their traditional role of classroom instruction. The principals are highly anxious to demonstrate achievement or tangible outcomes for their schools. In this respect, leadership of the schools is preoccupied with the task of dictating their schools towards a more output-conscious organization. The observable indicators include retailoring curriculum, refocusing of instructional objectives, production of policy and administrative manuals widely publicizing outreach activities. In the process of school change, principals play a predominant role and lead effectively under messy conditions (Fullan, 2001). In this first stage, there is a successfully sustained initial reform process, categorized by principal modelling, a clear vision of how to approach and express knowledge, an understanding of the values of the reform and an investment of responsibility in the teachers and students.

In the second stage: 'Norming', staff of the schools began to experience group learning in formulating diverse school policies, curriculum restructuring and information exchange on teaching and learning. Depending on the nature of social norms, the abrupt turn-around from vertical top-down decision making mode to horizontal collegial consultative process has been most painful for both principals and staff, particularly in Thai and other Asian communities (Hofstede, 1991). To the principals, the change of decision mode implies some loss of power and control and elevates their ambivalence about their role redundancy in the foreseeable future. To the staff, a wider involvement in school governance is both time-consuming and less job rewarding. They feel compelled to take part out of compliance to the externally imposed governmental initiative and less for self-gratification. Given this experimental phase, many collective learning groups have been organized and extensive exchange of information is taking place. In many instances, therefore, this phase of school development may be identified as the beginning of transformation stage period. This transitional period involved the transferring of authority, engaging staff, utilizing clear communication methods, and building upon the ownership and accountability of the school community.

In the third stage: 'Performing', the school has reached a stage of maturity in terms of "organizational learning" (Argyris and Schon, 1996). Here, collective learning in divergent

groups within the school is fairly typical. Teachers have ample opportunities to work together. At the same time, these collective learning processes have been highly productive, generating all kinds of 'outcome' indicators. This journey results in new approaches to student and adult learning, internal school accountability, shared responsibility and a commitment to the decisions made for school improvement. In this particular period, school is concerned with sustaining the momentum of significant changes now being implemented in work place. In this phase, the focus is on institutionalization and renewal of educational changes; how to keep desired changes in place and how to continue to grow. Institutionalization has occurred when a change becomes a part of people's everyday behaviour and beliefs in school communities. Typical features of this post-transitional period feature the continuity of school culture and pedagogical practice based on a shared vision, individual growth of staff members and recruitment of students as active partners of teaching and learning.

The traits of these three phases, as described above, enable the school to sustain its successful reform and to maintain continuity following effective leadership transition. Through codification of schools by the actual engagement of organizational learning processes and outcomes (Argyris and Schon, 1996; Senge, 2000; Amitay, Popper and Lipshitz, 2005) we have attained a more dynamic perspective of how schools are involved in organizational learning. Given the ever changing nature of external environment, internal school conditions and characteristics of individuals that make up the organization, we can be certain that school organizations will never stay in one condition for long. Whatever happens, one can be certain that the progression of schools from one stage of development to another is never assured. Nonetheless, both advancement and regression are possible for them.

2.3.4 Why Change?

The need for educational reform can be explained in both international and national contexts (Fullan, 2001; Yee, 2003). Internationally, societies are changing from industrial to information-based societies in which the creation and dissemination of knowledge play critical roles in both individual and social development. Accordingly, an education

paradigm for knowledge-based societies is emerging in which high-order thinking skills, communication skills and continuous learning are emphasized (Fullan, 2001; Piya-Ajariya, 2001). International experiences show, however, that education reform does not simply happen within a classroom, but the whole system, within which education takes place, needs to change. Subsequently, the key elements for successful reform at the country, school and classroom levels are introduced.

Reports and examination of K-12 education over the past two decades had been critical of public education for not meeting the needs of children in today's society (ONEC, 1999). A wealth of information has been generated that points to the failure of public education and has been debated within society and education arenas. The Thai government has emphasized educational improvement, since it strongly believed that the education system should facilitate the country's development process towards self-reliance, sustainability and enhance global competitiveness.

Fullan (2001) identified a phenomenon in education as change for the sake of change with no meaning or purpose. The results of such efforts will only continue to fall short and provoke those attempting to bring about change. To them, the idea of reform is not new to schools. Yet most of the so-called reform efforts have resulted in nothing more than cosmetic changes (Hill, 2006). Unlike Fullan and Hill's view, the expectation of change in Thai education and schools is significant and continued in a longer term. Their authorities foresee change in education could make a difference and positively impact on other sectors (Apibankul, 2002; ONEC, 2003; Chenga and Walker, 2008).

Nonetheless, the efforts of change and restructuring have been bureaucratic and complicated by the lifestyle and demographics of Thai culture. The mindset of the people still adheres to the group norm where change is not really welcome (Tapaneeyangkul, 2002). Many educators have complained that schools are being asked to assume too many responsibilities (Tapaneeyangkul, 2002; Kojswat, 2003). While restructures have been implemented, Thai schools have continued to stay relatively unchanged (ONEC, 1999). Schools today operate and serve students much in the same manner as they did for the last three to four decades. These changes have to reach into the attitudes, beliefs and values of teachers, administrators, parents, students and other stakeholders involved in each school community (Ferguson, 2003; Auerbach (2009).

In fact, school change has been forced by both internal and external forces (Yee, 2003). If we refer to change drivers, large scale forces that produce complex change, globalization of society has produced an imperative for continual reappraisal of practices in order to maintain a competitive edge (Siu, 2008). Likewise, in educational terms, this may be interpreted as the need to update practices in keeping with the findings of international research, and to continually conform to national trends.

Further, workplace practices have significantly altered in the last two decades. No longer is the accumulation of skills and knowledge the primary prerequisite for employment but an ability to be able to adapt to new situations, to continue to learn independently and to work cooperatively have become imperative. Drucker (1995), Carlopio (1998), Iamkaewprasert (2001) and Sergiovanni (2005) suggest that an era where an employee's worth is determined by the market value of their labour is coming to an end. Creativity is replacing knowledge in determining value, whilst ability to work in a team environment is a prerequisite for many employment opportunities (ONEC, 1999). This produces a need to develop instructional practices that develop a self-directed and life-long learner. Internal to the school are the pressures brought to bear by curricular reform under New Educational Reform. Especially, central to building on student strengths is the powerful learning approach, which integrates curriculum, instruction and school organization rather than viewing each dimension as independent. Further, alterations in staff-student relationships from teacher-centred to student-centred create the need for modification of teaching practices, policies and procedures to support more meaningful educational experiences.

With New Educational Reform policy, Thailand is looking to achieve three goals: to develop people, to create a learning society and to create a positive environment in society that supports good governance, local wisdom and learning. In order to achieve these goals in a meaningful way, educational institutions themselves must restructure the framework of their organization to form learning communities (ONEC, 1999; Apibankul, 2002; Amitay, Popper, and Lipshitz, 2005), rather than institutions whose core function is the dispensing of the information.

2.3.5 The School Principal as Change Agent

In this era of No Child Left Behind (ONEC, 2008), schools across our nation are faced with New Educational Reform mandates unlike any our educational system has experienced before. Now, more than ever, we as educators are at the core of sweeping change. This change is inevitable and undeniable. Implementing change is no longer a matter of choice; it is a matter of necessity. Subscribing to these mandates will require that a progressive change agent be at the helm.

According to Frank Lunenburg and Allen Ornstein (2004), "the school principal has been cited as the most influential person in promoting school reform, change and innovation" (p. 375). "The principal must be the visible initiator of change and must assume the responsibility of the lead change agent. Orchestrating such monumental change will require visionary leaders who possess extraordinary passion, courage, and wisdom, along with a clear, strong sense of purpose driven by a common vision. As stated in the New Educational Act 1999, "Principal and educational personnel play the key role in reforming the learning process and are change-agents for educational quality improvement. Hence, the development of teachers and educational personnel has been considered a critical issue for educational reform in Thailand" (OEC, 2007, p.75).

School leaders of today need to possess a vast array and network of skills that go well beyond the technical realm. They must possess a working knowledge and appreciation of the system they so tremendously influence. They will be required to have a strong foundation and repertoire of skills and strategies solidly grounded in theories of knowledge, variability, and psychology. Lunenburg and Ornstein (2004) point out that "understanding the strategies and when to use them is necessary for change agents." (p. 249). They describe traits that are necessary for selecting and developing the 21st Century principal. In terms of educational leadership, the principal "must set the instructional direction; they must resolve complex problems, be effective communicators, and must work toward developing themselves and others" (p. 147).

Fullan (2007) stresses the importance of the individual when implementing successful change whether the person is the initiator or recipient of the change. "Assume that any significant innovation, if it is to result in change, requires individual

implementers to work out their own meaning" (p. 106) because in this case, "in the final analysis each individual must decide on a course of action for himself and herself (p. xii). Change must occur at the individual level first. Fullan (2003) emphasized that there is no evidence that widespread involvement at the initiation stage is either feasible or effective.

Like pieces of a puzzle, these skills, when viewed in isolation, have little impact; yet, each piece is vital in terms of its significance to creating the total picture. It is when we begin to put the pieces together, interlocking them piece by piece, that we begin to acquire a sense of the "big picture." It is the collective sum of all of the pieces coming together that paints a true portrait of the new challenges change agents currently face.

At the forefront of these administrative challenges is shaping the culture that surrounds the school community. Lunenburg and Ornstein (2004) not only describe what is meant by culture, but delineate the central role the principal plays in shaping it. They point out that "the culture of an organization does not merely describe what an organization is like; it describes the essence of the organization itself" (p. 94). They indicate that "the school leader is key to shaping the culture in a school. In doing do, principals communicate their core values, behaviors and expectations in their everyday work and interactions". The Office of the Education Council (OEC) of Thailand indicates in their Standards for School Leaders (OEC, 2008) that a school administrator is an educational leader who promotes the success of students by understanding, responding to, and influencing the larger political, social, economic, legal and cultural context of the school community. Educational leaders promote student success by nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

The Principal's role as change agent in the school derives from the fact that he/she is a core member for school organization. Fullan (2007) continue by linking the role of principal as change facilitator to self-reflection. Also, a principal's developed meaning about change and change process that will affect the entire organization (West, Pennell and Hind, 2008).The principal. Since that time, principal has worked continuously with the children and their parents as teacher and more recently as foundation of the New

Educational reform. That continuity has generated the rapport and trust between the Principal and the community that are crucial for the school's sustainability (Wise & Jacobo, 2010).

Another element of the principal's role (as change agent) is leading and managing the teachers and support staff members. He/she needs to facilitate their induction into a way of life that they have not previously experienced, and at the same time to support their insistence on high standards of achievement and behavior by the children. He/she also needs to manage mobility of school resources in both intra and interstate locations, to supervise administrative accountabilities and to oversee the maintenance of the mobile classrooms, vehicles and the information technology network (Kamothamas, 2007).

At the school level, then, the principal has led and managed change centered on establishing the school as fulfilling simultaneously two key functions (ONEC, 2002; OEC, 2006). One is providing continuous formal education to children and improving the student achievement. The other is ensuring that the school fulfils the requirements broadly in line with government guidance and regulations as the agent of the government (West, Pennell and Hind, 2008). Negotiating ways forward so that these functions are complementary rather than contradictory requires considerable skill on the principal's part – not least because doing so is a radical change also to the roles and responsibilities of principal of an elementary and secondary in Thailand

In conclusion, according to Fullan (1997), "the hopeful change agent" needs to participate...in the politics of altering the structural conditions of schools so that reforms and quality have a greater chance of being built into the daily experiences of the majority of educators and students" (p. 217). The evidence discussed above, the school principal of elementary and secondary school for is pre-eminently a "hopeful change agent". In engaging with the challenges and opportunities outlined above, the principal enacts the role of change leader and manager, he/she needs to demonstrate on a daily basis her determination to work with several others to create new possibilities for the show children and their families. Through many roles as change agent in the school, in the school community and in Thai society more generally, the principal demonstrates that these new possibilities are achievable, and moreover that they will

lead to qualitatively and substantively improved learning outcomes at these multiple levels within New Educational reform working environment and in achieving that vision (of the school).

2.4 School Reform

2.4.1 School as a learning organization

According to Peter Senge (1990) learning organizations are:

Organizations where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning to see the whole together (p. 3).

While all people have the capacity to learn, the structures in which they have to function are often not conducive to reflection and engagement. Furthermore, people may lack the tools and guiding ideas to make sense of the situations they face. Organizations that are continually expanding their capacity to create their future require a fundamental shift of mind among their members.

For Senge (1990), real learning gets to the heart of what it is to be human. We become able to re-create ourselves. This applies to both individuals and organizations. Thus, for a learning organization it is not enough to survive. 'Survival learning' or what is more often termed 'adaptive learning' is important – indeed it is necessary. But for a learning organization, 'adaptive learning' must be joined by 'generative learning', learning that enhances our capacity to create' (Senge 1990, p.14).

The dimension that distinguishes learning from more traditional organizations is the mastery of certain basic disciplines or component technologies. The five that Senge (1990) identifies are said to be converging to innovate learning organizations. They are: systems thinking, personal mastery, mental models, building shared vision and team learning. He adds to this recognition that people are agents, able to act upon the structures and systems of which they are a part. All the disciplines are, in this way, "concerned with a shift of mind from seeing parts to seeing wholes, from seeing people as helpless reactors to seeing

them as active participants in shaping their reality, from reacting to the present to creating the future" (Senge 1990, p. 69). It is to these disciplines that we will now turn.

Senge (1990) argues that learning organizations require a new view of leadership. He sees the traditional view of leaders (as special people who set the direction, make key decisions and energize the troops) as deriving from a deeply individualistic and non-systemic worldview. At its centre the traditional view of leadership is based on assumptions of people's powerlessness, their lack of personal vision and inability to master the forces of change, deficits which can be remedied only by a few great leaders (Marsick and Watkins, 2003). Against this traditional view he sets a new view of leadership that centres on more important tasks.

One task is how to lead learning organizations in a learning organization. Leaders are designers, stewards and teachers. They are responsible for building organizations where people continually expand their capabilities to understand complexity, clarify vision and improve shared mental models – that is they are responsible for learning. Senge (2000) further explained the meaning of designer, stewards and teachers.

The functions of design are rarely visible, Senge (1990) argues: "Yet no one has a more sweeping influence than the designer" (1990, p. 341). The organization's policies, strategies and systems are key areas of design but leadership goes beyond this. In essence, "the leaders' task is designing the learning processes whereby people throughout the organization can deal productively with the critical issues they face and develop their mastery in the learning disciplines" (Senge, p. 345).

As stewards, leaders learn to see their vision as part of something larger. Leaders have to learn to listen to other people's vision and to change their own where necessary. Telling the story in this way allows others to be involved and to help develop a vision that is both individual and shared.

Leader as teacher is not about "teaching" people how to achieve their vision. It is about fostering learning, for everyone. Such leaders help people throughout the organization develop systemic understandings. Accepting this responsibility is the antidote to one of the most common downfalls of otherwise gifted teachers – losing their commitment to the truth (Senge, 1990, p. 356). Leaders have to create and manage creative tension – especially around the gap between vision and reality. Mastery of such tension allows for a

fundamental shift. It enables the leader's to seek deeper insights about the truth in changing situations.

Organizations that have transformed into Learning Organizations have a strong tendency to focus upon continuous improvement and have the ability to cope with change more successfully and effectively (Tseng and McLean, 2007; Park, 2007). The concept of the Learning Organization, according to Marsick and Watkins (2003), is not confined to a particular type, size and/or form of organization. In other words, the concept also includes school organizations. School organizations, in particular, have an increasing need to adapt to a relentless and ever-changing environment.

In conclusion, school organizations as Learning Organizations have a strong tendency to focus upon continuous improvement and possess the capacity and ability to cope with change successfully and effectively

2.4.2 Principles of School Reform

School reform is a catch phrase that includes a number of programs and policies. Reforms usually change some procedure or rule that affects how the school operates. From the related literature on school reform, it had been found that school reform in western countries occurred for multiple reasons. There were social and political forces, dissatisfaction with low achievement of students (Wiratchai, 2002), an effort to meet the need of students in the 21st century (Bodilly, 2001) and an educational transformation in accord with the shift from the mechanical, positivist to the organic, constructivist school of philosophy in education (Apibankul, 2002). In the Thai educational context, reasons for school reform do not differ to those of western countries (Wirachai, 2002). In addition to these factors was the pressure of globalization and the need to support the nation's development plans (ONEC, 2001).

There are two distinct types of school reform (Fullan, 2001). The first is related to the school's subject matter and teaching methods. This type of reform affects what and how the student is taught in the classroom. Using computers in the classroom, concept-based mathematics programs, whole-language instruction, the back-to-basics approach and areas stressing multicultural influences on history and literature are some of the more common reforms. Many professional organizations are involved in this type of reform. The National

Council of Teachers of Mathematics in Thailand, for example, is developing curriculum guides that describe what students should know and be able to do. They are also exploring new ways to teach and test students. Progress in these areas is influencing reform at both the national and local levels (Wirachai, 2002).

The second type of reform is related to school administration and governance procedures. This type of reform affects how schools are managed and what roles teachers and administrators play. The more common changes in this area include site-based decision making in which administrative decisions are made at the school level as opposed to the school board or legislative levels, shared leadership which involves more staff in school leadership roles, and community involvement programs.

Another view suggests that there were five significant principles underlying the school reforms (Caldwell, 1998; ONEC, 2000; Andrews and Crowther, 2002). The first one focused on financial and academic assistance from external organizations. The second one was school reform using school-based management with full decentralization of power at the school level. The third one was whole-school reform where all personnel and stakeholders cooperatively and collaboratively worked together. The fourth one was reform targeting the students' learning initiated by the teachers. The last one was reform through the new approach of professional development of school personnel where the teachers used research as a means and used all kinds of technology for self-development.

The New Education Act 1999, emphasizes school-based management (ONEC, 2000; Wiratchai, 2002). An important element of new reform efforts is the decentralization of decision-making to the schools. In other words, management responsibilities must shift from central agencies to a school-based management approach. When decision-making power is given to schools, they are accountable for achieving outcomes. Principals, as institutional leaders need to be effective in motivating teachers, influencing their pedagogy and managing the allocation of time and resources. Teachers also need to take a greater role in developing new curricula, evaluating practices, and developing their teaching skills. They are expected to take initiative to pursue the reform, rather than being passive.

A clear set of goals is a key element in any successful social organization, including schools. When ambitious goals are identified at the school level, then implementing those goals with broad consensus from essential stakeholders is the beginning of successful

schools (Chen, 2008; Auerbach, 2009). Identifying schools goals and achieving consensus among school administrators, teachers, students, parents and the community can be a complicated and difficult process. However, when goals become integral to every school activity and directly represented in the daily functioning of the school, they are most likely to be achieved.

Nonetheless, the ultimate goal of the reform principles mentioned above was to make the school become a learning organization (Marsick and Watkins, 2003). One of the most prevalent messages of recent organizational literature is that the long-term success and survival of any business or enterprise depends on its ability to function as a "learning organization" within a currently uncertain environment (Senge, 2000; DuFour, 2002; Amitay, Popper and Lipshitz, 2005). Kose (2007) and Bullough and Baugh (2008) support this thought that educators should make all schools learning communities for faculties as well as students and making use of the most powerful models of learning within school communities.

2.4.3 Receptivity and Resistance to Change in Organizations

The term receptivity refers to organizational members' responsiveness to the changes which derive from the transformational leaders' visions aligning with the organizational goals (Pawar and Eastman, 1997). Receptivity can also focus on the openness or responsiveness to the change process within the organization (Pawar and Eastman, 1997). Bass (1999), Leithwood and Jantzi (2000) and Johnson (2007) noted that one of the primary tasks for leaders involved in organizational changes or transformation is to seek acceptance for "critical mass" during the organizational change process (Tichy and Devanna, 1990, p. 31). Most of the time, the degree of receptivity or acceptance of group members may determine an outcome of effectiveness or success of the innovation.

The reason is that when change occurs, people lose their routine. Most of the time, they are asked to deal with unfamiliar situations. Inevitably when people sail in unfamiliar waters, they become uncomfortable because they have a sense of losing control (Macri, Tagliaventi and Bertolotti, 2002). Therefore, they are reluctant to embrace new things that are unpredictable or difficult to predict.

Understanding that resistance is normal, implies the understanding of the reasons why people resist change. The ability of people to change is related to a range of factors. As to resistance, Evans (2001) suggested that the reaction of resistance to change might be derived from four possible sources.

1. fear of the uncertainty or the unknown;
2. the purpose for change is not made clear;
3. there is lack of participation of the impacted population in the planning process;
4. people do not respect or trust their leader.

Evans (2001) suggests that successful leaders understand that resistance to change is necessary because they can deal with it by helping those who are impacted by change to improve their control of future actions. Successful leaders also understand that implementing change is a progressive process. Indeed, change implies relinquishing old habits and adopting new ways of operation. Since growth is the foundation for evolution, the school principal must build on the strength rather than the weaknesses of individuals impacted by change. This will allow them to gradually get accustomed to the change made in the school.

2.4.4 Attitudes toward change

Several researchers emphasize that teachers' attitudes toward change is dependent upon how change affects them personally (Welch, 1989; Fullan, 2001; Evans, 2001). Hord, Rutherford, Huling-Austin and Hall (1987) assert that it is critical to understand the point of view of those involved in the change effort. "A central and major premise of the (Concerns Based Adoption) Model is that the single most important factor in any change process is the people who will be most affected by the change" (Hord et al. 1987, p. 29).

Williams (2006) and Mullen and Hutinger (2008) report that teachers assess advantages and disadvantages of collaborative consultation primarily in terms of how implementation will impact on them personally, rather than how it might impact on student growth. They believe that for innovative change in school settings to be meaningful, its effectiveness must be addressed and proven in terms of the personal and professional growth of all involved, not just only student growth.

Practical changes are those that address salient needs that fit well with the teachers' situation, that are focused and that include concrete how-to-do-it possibilities (Leithwood, 2005). Feedback, especially about the positive results of one's efforts, is a large factor in teachers' commitment to change. Papa (2007) and Stoddard and Kuhn (2008) found that incentives play a critical role in the change process. Those involved in school improvement efforts must believe that the needs being addressed are important and that they are meeting those needs. Having some success in a tangible way is a critical incentive during the implementation of change (Gayles, 2007).

Elmore (2002) suggests that change should be thought of as skill-building and training. He believes that even if people understand and accept a change, a major obstruction to successful change is lack of the skills and ability to carry out the new plan. In school improvement efforts leaders must take the time to help people in schools, particularly teachers, to genuinely understand the importance of adopting a new program, attending in-service training and implementing a particular program (Gallucci, 2007).

Essentially, any educational change will be impacted upon by teachers' attitudes and behaviours. The teacher's perception of the change will influence both teachers' commitment to the change and the behaviour exhibited to implement the innovation (Day, Elliot and Kington, 2005; Smith and Rowley, 2005). The challenge is to communicate to all teachers clear and consistent information about the specific elements of a new program. Moreover, even when clear information is shared with teachers, there are still extensive variations in how teachers implement innovation (Greene and Lee, 2006).

Teachers' attitudes to change in a school often depend on how they perceive the change will impact on them and how they can engage in the change process. Therefore, it is important for the principal to identify the specific ways in which to support individual teachers during the planning and implementation phases. Creating positive attitudes about the change are critical to its potential success.

2.4.5 Obstacles to Organizational Change

Two major challenges in facilitating change relate firstly to the difficulty of the implementation (Evans, 2001; Fullan, 2001), and secondly to the problem of maintaining the reform (Jones, 2002; Corner, 2006). As Evans (2001) says, "perhaps no American

institution has been reformed more often, with less apparent effect, than the school" (p.xi). For years failed changes have been blamed on, supposedly, intransigent employees who were assumed to have resisted innovation. Most current research shows, however, that such assumptions are mistaken. Far from being bastions of resistance, it is more common that school employees change easily and continuously; it is paradoxical that this very pattern of constant adjustment to new innovations may prevent substantial long-term change (Styhre, 2002).

In addition, Fullan (2000) suggests that the evolutionary nature of the process of human and organizational change and the fact that there are no specific recipes to guide change continue are additional challenges. "Each situation is complex and to a certain degree unique" (p. 14). As Fullan (2000) says "contending with the forces of change is a never-ending process of finding creative ways to struggle with inherently contentious factors" (p. 33). These difficulties explain the rarity of a leadership-transition that preserves the continuity of a school reform.

In the Thai school context, there are a number of elements discussed among educators in conjunction with the obstacles to educational reform. A critical concern relates to the lack of support (e.g. financial) from both government bodies and school communities for school reform activities (ONEC, 2002). Another obstacle relates to the readiness to change within the school. In this aspect, Thai educators focus on the various factors such as professional development, practices in school and participation from teachers and parents (ONEC, 200; Phimonjinda, 2001; Apibankul, 2002). The school principals need to pay attention to these elements that impact on school reform and try to eliminate those elements in order to make the school change possible and successful.

2.5 The Principal and Change

2.5.1 The Principal: A Key to School Improvement

One of many responsibilities of being a principal is having an active role in the process of change. The principal, in reference to being a educational administrator or school leader is often viewed as either an implementer of change or as initiator of it, depending upon one's point of view. Undertaking the process of change can be one of the most challenging

tasks a principal is required to perform. Principals who are viewed as leaders may initiate change while others serve more as middle management or implement functions in the process.

The importance of the principal's leadership role has become increasingly significant as standards-based reform initiatives, for example, and accountability policies have been implemented in an endeavour to improve the quality of schooling for all students. In fact, many policy makers, business leaders and educators argue that standards-based reform and accountability will create effective schools in which improvements in teaching and learning result in higher student achievement (Gentilucci and Muto, 2007; Crum and Sherman, 2008; von Frank, 2009). Principals are expected to strike a balance between leadership and management within this context.

Although multiple demands are being placed on school leaders, the instructional leadership role has become the primary focus of much research in response to the call for all students to be provided with a quality education. Research by Bossi (2007), Anderson (2008) and Mullen and Hutinger (2008) argue that schools can and do make a difference in the education of students and that the principal plays a significant role in a school's success. Moreover, research on the characteristics of effective schools emphasized that the principal as the instructional leader was critical in creating and maintaining effective schools. Findings from research on effective schools also indicated that the quality of instruction, the level of student achievement, the climate of the school and the degree of public confidence in the school are associated with the type and success of school leadership (Moos, Krejsler and Kofod, 2008; Flanary, 2009).

According to Earley and Weindling (2004) the administrative position of the principal is a critical factor in creating a successful school. It should be noted that the principal's leadership abilities are vital to effective schools and high-student performance. This is not a recent thought about innovation. For over a decade, research has proclaimed the importance of the principal in schools. For example, ONEC described the importance of the principal's role as follows:

> The School administrator is the key person in educational reform...Several
> researchers unanimously agreed that the school administrator is the key
> factor that affects the success of school achievement (ONEC 2001, p. i).

Researchers have regularly emphasized the importance of the principal in establishing the school's vision, expectations, and commitment to goals (Moos, Krejsler and Kofod, 2008). In other words, the principal must ensure that attitudes about students' ability to learn are conducive to creating an appropriate learning environment, while sustaining teachers' beliefs that their efforts make a difference and offering feedback that guides teachers' performance toward increased student achievement (Shidler, 2009). Although the classroom teacher is the primary actor in influencing student outcomes at school, it is the principal's guidance and support that contributes notably to the professional development of teachers, the school climate, and the direction of the school. These factors and other actions and behaviours of the principal have been identified in the literature as key components indirectly affecting student performance (Lezotte, 1999).

Likewise, Shalem and Boadley (2009) asserted that principals influence student achievement through teacher selection, teacher motivation, effective communication of academic goals, classroom observations and the monitoring of instructional programs. Also, principals who are perceived by teachers to be strong instructional leaders promote student achievement through their influence on the school-wide learning climate (Steiner, Kowal, 2007). According to the researchers, the link between leadership of the principal and student achievement is present but indirect. Accumulated evidence has shown that principals influence student achievement indirectly through establishing school goals, setting high student and staff expectations, organizing classrooms, allocating resources, promoting a positive and orderly learning environment and communicating with school staff, parents and community groups (Auerbach, 2009), rather than directly through training teachers to better instruct visiting classrooms and making frequent teacher evaluations (Ärlestig, 2007). Other research linking the principals' leadership to student achievement related to the principal's acceptance of accountability for student achievement (Chance and Anderson, 2003). Further research on school effectiveness concluded, "a strong administrative leadership was among those factors within the school that make a difference in student learning...That principal leadership is critical to the achievement of students" (Murphy 1988, p. 5).

Given the relationship between the leadership of the school principal and the academic achievement of students, principals must make continuous efforts to improve and maintain a positive school environment where instructional content and pedagogy result in improved student outcomes. Despite the recognition of the importance of the principal's role as an instructional leader (ONEC, 2001), rapidly changing social conditions (e.g. changing family and student demographic characteristics) along with broadening education governance policies have led to the realization that viewing the principal as the only instructional leader in the school is inadequate for today's school contexts (Steiner and Kowal, 2007). Similarly, Lezotte (1992) noted:

> In the first generation of our work, we focused clearly and almost exclusively on the principal as the instructional leader. We've learned in the second generation that it's still important for the principal to be the instructional leader but because of the nature of organizational changes going on all around us, the concept of leadership is much more dispersed (p. 37).

Although the principal's leadership has been linked with student achievement, it is important to note that instructional leadership is but one aspect of the principal's role; the role is both multi-faceted and complex. With the distributed leadership approach, the school principal works in parallel with teachers to build on their school's successes and enhance their achievements - together building their desired future for the school (Crowther, 2002, 2009). Distributed leadership involves teachers and principals working collaboratively (in complementary but different ways) to build the capacity of the school to enhance its outcomes, particularly in relation to teaching and learning of the students.

Schools continue to be challenged in the processes of restructuring, school reform, effective schools, educational renewal (Senge, 2000) and in the introduction of related changes in their approaches to teaching and learning (Barnett, 2001). Ideally, one would like to assume that at some basic level authorities believe that restructuring schools will make them more effective, will cause teachers to teach differently and therefore, this will make a difference to the learning and motivation of students (ONEC, 2000). The challenges brought to schools by restructuring have been cited as reasons for advocating effective leadership in schools. It has the potential for building high levels of commitment

(Leithwood, Jantzi and Steinbach, 2002) to the complex and uncertain nature of the school reform agenda.

There are strong reasons to believe that leadership involves the essence of initiation of structural change in the group (Tubin, 2008; Murphy, Moorman and McCarthy, 2008). Thus, the role of leadership in the whole change process is the most important element. The organizations cannot change unless people change (Marsick and Watkins, 2003). Change will never happen unless it is guided by attention and direction of the leader (Fullan, 2001).

Traditionally, school organizations were highly autonomous and the principal appeared to carry out their role in isolation aloof from external environment (McHugh and McMullan, 1995). In current school restructuring environments, school principals are expected to alter the traditional roles and responsibilities in order to stimulate and lead the change in the school (Calabrese, 2002). These challenges highlight the need for an effective 'professional development culture' in the school with the kind of leadership which supports students' and teachers' learning (Law, 1999, p. 24).

The principal can be perceived as a system leader who performs the task of bringing programmatic change to schools (Cheng, 1996; Kotter, 2002; Conner, 2006). The role of system leader is to create a context for schools that fosters ability to learn and change on a continuous basis as a change expert (Senge, 2000; Calabrese, 2002). The assumption focuses attention on the need to create school systems in which staffs engage in continuous learning individually and collectively. The principals must recognize that in the information age, their role involves leveraging the knowledge that exists within the system in order to increase the capacity of schools to improve them. Their role is to take steps that increase the collective learning of the system to improve (Engelbart, 1995). In this respect, the principal may play a key role in managing and providing information that individual schools can use in their attempts to bring about change.

With the development of a more market-driven and managerialist schooling system in conjunction with the new educational reform, concern has been expressed over changes in the school leader's role. Some principals and head teachers, it is suggested, are becoming more the chief executive, leadership professional, educator manager or professional educator (Law, 1999; Senge, 2000; Mulford, 2003; Mullen, 2008). However, these role

elements need not to be seen as mutually exclusive. Rather, they should operate in the forefront and background positions at different points in time (Anderson, 2008).

During periods of school change, the leadership of the principal plays an important role influencing the people within the organization. It can for example, stimulate the teachers' commitment and effort towards the school change (Leithwood et al., 2003). The principal, therefore, must play multiple roles at critical points throughout the development process that includes the building of bridges between the individuals and school environment and so facilitate the effective contribution and improvement within the work place over time (De Bono, 1999; Sheard and Kakabadse, 2006).

Principals shape, facilitate and foster the development of norms, values and beliefs in their schools. These elements intimately shape the school's culture, ethos and climate (Mullen and Hutinger, 2008). Fullan (2001) found that good principals do not create a vision independently and impose it on people; they develop a collaborative culture in which participants build a vision together.

2.5.2 The Expanding Role of the Principal

The role of the principal has developed throughout the 20th century - expanding from head teacher, to manager, then to instructional leader and eventually to leader responsible for instruction, school improvement, achievement and carrying out the vision of the school (Pierce, Stapleton, 2003; Thompson and McKelvy, 2007; Tubin, 2008). In fact, principals are said to be responsible for all aspects of the day-to-day activities of the school; they are accountable for the education of the next generation (ONEC, 2001). As principals embark upon this task, daunting challenges pervade, thus creating situations that can overwhelm and disillusion even the most committed principals. Examples of the challenges facing today's principals include: racial and economic disparities in achievement among student groups, rising dropout rates, the challenge of raising overall student achievement; hiring and retaining qualified, motivated teachers, and providing services even as resources decline (ONEC, 2002).

As principals have attempted to effectively handle the changing contexts of their schools, top-down mandates related to standards-based reform and accountability have produced a plethora of voices declaring the principal as primarily responsible for

instructional supervision and school productivity (Bossi, 2007). In fact, when the standards and accountability movement commenced, the principal became an integral player in implementing the policies handed down. For some time, researchers have declared that school improvement takes place most effectively at the school level as the success of reforms and policies is determined and measured in the classroom (Valentine et al., 1999; Lam, Law and Shum, 2009). Therefore, it is not surprising that the principal has been deemed responsible for implementing reforms at the school level - another indication of the importance of this position in school reform efforts (ONEC, 2001). As a result of the emphasis on the principals' responsibility for school improvement, principals of the 21st century face the challenge of developing leadership in their own staff and empowering others in order to be effective in meeting demands to implement standards and promote academic excellence (Pierce and Stapleton, 2003; Glanz, Shulman and Sullivan , 2007).

According to Nyland (1997), two major shifts have occurred in how school leadership is exercised. Based upon effective school research, the first shift moved school leaders from positional authority focused on management to instructional leadership aimed at improving student performance. The standards and accountability movement brought forth new concepts about principals' roles as instructional leaders. As a consequence, in the second shift, school leaders moved from being solely responsible for instructional leadership to being responsible for capacity building, where other school personnel contribute to improving instructional content and pedagogy, with the goal of delivering a quality education to all students (Piya-Ajariya, 2001; Quint, Akey, Rappaport and Willner, 2010). This new form of leadership does not call for educational leaders to move teaching and learning from the spotlight, instead, administrators are encouraged to engage in forms of distributed leadership (Elmore, 2000), where shared and collaborative forms of leadership can lead to greater levels of student performance. Leadership is instrumental to school improvement. Moreover, to achieve the educational goals of the 21st century, school administrators must create a common culture of expectations around skills and knowledge that result in improved instruction and student performance (Elmore, 2000). Elmore suggests that principals empower teachers and "buffer them from extraneous and distracting non-instructional issues so as to create an active arena for engaging and using quality interventions on instructional issues" (p. 24).

This era of high standards and accountability requires a "new breed" or "prototype" of school leaders (Bottoms and O'Neal, 2001; ONEC, 2001), such that the principal becomes an "enabler of solutions" (Fullan, 2003), a facilitator and collaborator (Mullen and Hutinger, 2008), and a "leader of leaders" (Bossi, 2007). Today's prevailing views of leadership advocate that the principal's role should not be to direct others but to create a school culture in which decisions are made collaboratively (Slater, 2004). Given the contexts within which schools now operate, empowering forms of leadership are replacing controlling ones. The concept of capacity building requires that principals have the necessary skills to work in partnership with teachers on instructional issues in order to affect critical change in the delivery of instruction. In fact, researchers examining leadership assert that there must be a shift in the leadership role and responsibilities of the principal (Schlecty, 1990; Smylie and Hart, 2000).

New expectations for school leaders also include increased demands for teacher empowerment and shared governance (Bullough and Baugh, 2008). A renewed focus on instructional leadership (Blasé and Blasé, 2001) and expanded school functions resulting from changes in student populations and learner needs (Wiratchai, 2002). This list, however, embodies only some of the new expectations for educational leaders. In fact, the changing demographics of the population, coupled with the imperative to educate all students to high levels of achievement in a system in which principals are expected to empower rather than control, shifts the context with which most school leaders (including Thai leaders) are familiar (Addi-Raccah, 2009). They must learn to lead not from the top of the organizational hierarchy, but via interpersonal relationships amongst groups of people (Lashwas, 2003; Ärlestig, 2007). The list of skills needed to carry out the many responsibilities of the principal does appear overwhelming and it has grown and changed over time. Fullan (2001) explains, "studies confirm conditions of overload and fragmentation in the principal's role" (p. 148). The continual redefinition of the expectations of principals has created confusion and ambiguity, which has added to the complexity of understanding the principal's role and responsibilities. Therefore, it is imperative that principals are provided with adequate preparation to sufficiently handle the complexities and challenges of educating Thailand's children.

2.6 Summary

This chapter reviewed the research that has been conducted in the key areas of leadership theory; the concept of change and in particular how it relates to schools; and the role of the school principal in facilitating change at their schools that are located in a global context.

In the context or organizational setting, the role of the principal has been cited in the educational literature as crucial to successfully implementing change. The interpretation of the principal's role in the course of educational change has evolved from a key ingredient to more of a significant role player in the process. The original expectations and responsibilities of the principal were perhaps unrealistic. A more realistic view is of the principal as facilitator and guide to enable the process.

Cases of dynamic and powerful leadership approach tend to cloud and distort a more realistic role of the principal. The fact is that there is a finite number of principals who possess such qualities to dynamically lead the charge of change. This is compounded by the fact that it is perhaps even more unrealistic to place the responsibility for change on the shoulders of one individual. Principals must strike a balance in their roles and relationships within the school culture and as agents of change. They must position themselves on the cutting- and sometimes bleeding-edge, articulating a vision and direction for the school. A steady and even hand that can strike and maintain a balance with all constituents involved will have the greatest impact and set a tone for the process. While there are many views on leadership, school change and principal practice, the literature review confirms the importance of the principal in influencing school change and improvement through their leadership.

Principals must position themselves in terms of articulating a vision and direction for the school. A steady and even hand that can strike and maintain a balance with all constituents involved will have the greatest impact and set a tone for the school change.

It is the intention of this study to add to the current research by conducting this descriptive case study that will help to better define the roles of principals in educational change. There can be no specific formula for change and there are many proven and still to be discovered methods to improve the current public education system. It is within this

perspective that the findings in this study supported by other case studies can provide insight that will support school leaders and educators.

CHAPTER III

METHODOLOGY OF STUDY

3.1 INTRODUCTION

The purpose of this study was to examine the perceptions of principals and teachers in regard to the principals' roles and the school wave of change. The researcher sought the perspectives of school principals and teachers who work in six elementary and secondary schools in a single province, in Thailand. The investigation was related to the effective roles of the school principal in facilitating and managing change in their schools.

The main research question is: To what extent do principals perform roles that support change in the school? The following research questions were examined in this study:

- What are the principals' and teachers' perceptions of the principal's role in supporting change in schools?

- What are the principals' and teachers' perceptions of change within their school system?

- What are the implications of this research in the development of the role of the principal in schools in the future?

This chapter presents the design and methodology used in conducting the study. The chapter consists of seven sections: introduction, research design, site selection, instrumentation, data collection, data collection schedule, data analysis, validity and reliability, limitation of study and summary.

3.2 Research Design

This study examined the perceptions of teachers and principals regarding school principal leadership. I, as the researcher, attempted to determine how the principals in these schools exhibited their leadership roles. The study also sought to examine and interpret to what extent school principals engaged in tasks which constituted a leadership role in implementing change.

I conducted a qualitative study that focused on explaining the roles of principals in managing the change process in their schools in conjunction with the New Educational Reforms. The use of qualitative methods allowed the participants to provide personal responses based on their experience and understanding in their schools.

A qualitative methodology incorporating a multiple case study approach was used for the collection and analysis of the data because of the nature of research questions and the need for an in-depth look at the principals and teachers. Research using qualitative design provides a useful understanding of the complexities underlying human behaviour including values, actions, relationships and other variables. However, other forms of data collection in an education setting, such as surveys or quantitative measurements of performance, were also used based on several different sources of information. As Miles and Huberman (1994) suggested, the case study is "fundamentally well suited for locating the meanings people place on events, processes, and structures of their lives" (p.10).

The qualitative approach offered a useful avenue for understanding how leadership is defined and implemented, how leaders set priorities and determine actions and how they think about and resolve educational problems and change. These characteristics of leadership are difficult to uncover through surveys and quantitative inquiry (Heck and Hallinger, 1999). Previous research affirms that studies regarding principals' performance need to provide a description of the leadership of the principal within a specific context and that this may best be done through qualitative measures (Blase and Blase, 1999; DuFour, 2002; Mulford, 2003).

Qualitative research allowed the researcher to use methods that were extensions of normal human activities such as: looking, listening, speaking and reading. In addition, using the human as an instrument construct allowed for interviewing, observing and mining documents (Merriam, 1998). A qualitative case study was conducted to gain an understanding of the perspectives of three elementary and three secondary school principals and small teams of teachers from each of the six participating schools.

Yin (1994) recommends the case study approach in situations where no previous research has examined a specific combination of contextual issues. The study undertaken in this dissertation examined such a combination: perceptions of elementary and secondary school principals and school teachers where both principals and teachers were engaged and

experienced in a concurrent school development process. Yin (1994) identified three reasons for choosing a qualitative research strategy:

1. the type of research question posed;

2. the extent of control an investigator has over actual behavioural events; and,

3. the degree of focus on contemporary as opposed to historical events (p. 4).

The qualitative research in this study focused on finding understanding and meaning through the spoken words of elementary and secondary school principals and their teachers rather than quantifying predetermined areas. There was no manipulation of behaviours and settings or of control of the setting due to the qualitative nature of this study. There were two reasons for this emphasis: the belief that behaviour is best understood as it occurs without external constraints and control and the belief that the situational context is very important in understanding behaviour (McMillan, 2000).

Everything that occurred during various interviews and data collection was taken into consideration; nothing was trivial or unimportant. The flexibility in the procedures allowed the researcher to pursue avenues of inquiry such as adding questions that arose during the research process. All aspects were scrutinized. For example, methods or processes through which actions occurred were taken into consideration. When using qualitative research techniques the investigator did not assemble a 'puzzle' to form preconceived pictures. Instead, a picture was able to be developed as the parts were collected and examined (Bogdan and Biklen, 1998).

One of the assumptions underlying qualitative research was that reality is "holistic, multidimensional, and ever-changing; it is not a single, fixed, objective phenomenon waiting to be discovered, observed, or measured" (Merriam, 1988, p. 167). The collection of descriptions of the role of the instructional coordinator was more complete through the qualitative approach because the researcher was able to "gather first-hand information about processes in a 'naturally occurring' context" (Silverman, 2001, p. 11). The qualitative research design did not seek to control or manipulate the behaviours but rather, to "describe the nature of a belief, attitude, event, or behaviour" of the school principals who in this study were from six elementary and secondary schools (Merriam, 1988, p. 68). Rigorous, qualitative methods offer more flexibility in the data collection and in the

analyses needed for exploratory research and were desirable in this study to understand the role of school principals who participated in this study.

3.2.1 Case Study

Case studies are "concerned with understanding and describing processes" (Merriam, 1988, p. 31). The case study's aim was "not to find the correct or true interpretation of the facts, but rather, to eliminate erroneous conclusions so that one is left with the best possible, the most compelling, interpretation" (Bromley, 1986, p. 38). Miller and Kantrov (1998) stated: "cases are tools that are increasingly used in education to explore challenging issues and to reflect on diverse experiences" (p. 1). Powerful cases are more than narratives of events. They:

> Represent some larger set of ideas and therefore are worthy of reflection and deliberation. A well-crafted case 'of something' is like an evocative photograph that captures a subject, invites multiple interpretations, and is rich enough to sustain repeated encounters. Good cases have that same kind of complexity, drawing the reader into the topic and evoking comparisons to other experiences (Miller and Kantrov, 1998, p. 1).

The research questions of this study were designed to explore the what, how, and why of the school principals' role from the perspectives of the principals and teachers (Merriam, 1998). The case study is the preferred research method when what, how, and why questions are used (Merriam, 1998; Yin, 1994). Yin (1994) stated "such questions deal with operational links needing to be traced over time, rather than mere frequencies or incidence" (p. 6). In addition, "the case study is preferred in examining contemporary events" in the setting in which they occur (Yin, 1994, p. 8).

A case study may include a combination of several types of designs. Case studies vary based on the number of subjects included, the theory used and the end result. Case studies may be written with different purposes in mind, at different analytical levels and demanding different action from the researcher (Lincoln and Guba, 1985). A multiple-site case study design made it possible to look deeply at teachers and principals to identify leadership practices and allow in-depth responses to questions regarding priorities and actions of the principal.

3.3 Site Selection

Schools in Thailand are undergoing radical change as a result of educational reform initiatives. The principals, as schools leaders, play a key role in the change process and in supporting institutional improvement. This study was conducted in both elementary and secondary schools focusing on leadership roles, school change and how principals facilitate and implement change. All schools have been involved in a major curriculum change in conjunction with the New Education Act, 1999, which was introduced in 2002.

The focus of the study was narrowed to a small, purposive sample of schools from Nakhon Si Thammarat in Thailand, which was conducive to obtaining rich and diverse information. The province Nakhon Si Thammarat in southern Thailand was chosen for its access to a number of urban schools that were undertaking educational reform. I had been aware of the movement emphasizing fundamental education for most of my life, as both my parents had been school principals. When the New Education Act, 1999, was adopted by all educational organizations in the country, I approached schools in Nakhon Si Thammarat Province to participate due to the fact that I grew up in this area. In addition, I wanted to share my research with the selected schools as part of a symbolic leadership process to contribute to the growth and development of my local community (Mason and Fennessy, 2003; Bennis, 2003).

Guidelines for selecting each site followed Marshall and Rossman's (1999) criteria of access: (a) there was a high probability of a rich mix of people, structures, and interactions; (b) trusting relationships could be established and (c) data quality and credibility were reasonably assured (p. 72).

The sampling strategy employed in this study was purposive sampling. According to Patton (1990), purposive sampling permits the selection of information-rich cases for in-depth study. These cases allow the researcher to explore issues of central importance to the purpose of the research. The participating schools were selected using the following process.

I categorized the schools into two groups - elementary and secondary schools. From a list of schools provided by the district office containing the names of all schools in the province, I then selected (based on advice from the Director of the District Educational Office) three elementary and three secondary schools to conduct my research study.

Approval to conduct this research in the selected schools was given by Director of the District Educational Office.

The principal from each school in each site was approached and agreed to participate. Additionally, a group of 5-7 teachers across the year levels of each school were also invited to participate in group discussions (see Table 3.1). This cross-section of participants provided a much source of data about the principal behaviours and school change contexts that were perceived as being critical to their respective roles.

Table 3.1 - School Selection

School Categories	School Sampling	Selected Schools	Remark
Elementary School	List of elementary schools	School A (WPP)	Purposefully selected elementary and secondary schools.
		School B (BTL)	
		School C (BTT)	
Secondary School	List of secondary schools	School D (CHY)	
		School E (PRM)	
		School F (LSK)	

Table-3.2 provides details regarding demographic data concerning student enrolment numbers, year levels and numbers of teachers in each school.

Table 3.2 - Demographic Data for selected schools and participants

School	Grade Served	Student Enrolment	Locations of Schools	No of participating Teachers	Principals
A	K1-6	379	Nakhon Si Thammarat	5	1
B	K1-6	474	Nakhon Si Thammarat	6	1
C	K1-6	1907	Nakhon SiThammarat	7	1
D	K7-12	337	Nakhon Si Thammarat	5	1
E	K7-12	621	Nakhon Si Thammarat	6	1
F	K7-12	1161	Nakhon Si Thammarat	6	1

3.4 Instrumentation

A qualitative researcher is the primary instrument for data collection and analysis (Lincoln and Guba, 1985). "Only the human instrument is capable of grasping and evaluating the meaning of the differential interaction between research participants, the researcher, and the variety of realities" (p. 39). Yin (1994) advises that the case study researcher should have skills in asking the "right sorts" of questions. A case study researcher is expected to also be a good listener. This should enable the researcher to assimilate large amounts of new information without bias.

As an external researcher, I sat in on 3-4 meetings at each school. I interviewed the principal and facilitated focus group interviews with a selected group of teachers. I visited each site at 2-3 times either as an interviewer or as an observer. The following instruments were used to collect data from each school: semi-structured interview questions for principal and semi-structured protocols for focus group discussion (see Appendices D-E).

3.5 Data Collection

The research design focused on 'crystallisation' of the data to confirm evidence through multiple means of data collection and analysis (Refer to Table 3.3). In this case, the researcher needs to attend to the voices that differ from his own opinion to enable the researcher to study multiple constructed realities (Guba and Lincoln, 1994). The research strategy involved interviewing school principals and focus group interviews of teachers in each school. Interviews were tape recorded and notes taken during interviews, thus enabling the researcher to refer back to teacher and principal comments during the data analysis phase.

Table 3.3 - The overview of data collection methods

Instrument	Participants
Semi-structured Interviews	Principal: In depth, face-to-face interviews conducted with each principal to determine his/her perceptions of their roles in relation to change and school practice (see Appendix-E)
Focus Group Interviews	Teachers: Focus group interviews with particular reference to their perceptions regarding change and school practice A set of semi-structured protocols was used to facilitate discussion (See Appendix-F)
Non-participant observation	The researcher informally observed the principal at work in each school for periods of between 1 and 2 days
Principal Diary	Principals maintained a diary of principal work over 5 days
Documentation	School annual reports, internal assessment reports and handouts

My data collection strategy involved individual interviews with principals, teacher focus group discussions, the completion of a diary by each principal and the analysis of relevant school documents. The Principal and five to seven teachers were invited from each school to participate in the data collection process for my study. I also made one to two day site visits to observe each principal at work in their respective schools. During observation, I documented a set of field notes to record what principals had been doing during their working week. I also collected a range of school documents that provided additional insights into each school's culture.

Teachers who were interested in participating in the research project at each of the schools were invited to an introductory meeting. I provided a detailed explanation of the project including the aims and how the project would be conducted. Copies of the plain language statement were distributed to all in attendance (See Appendix C). Teachers were assured that their decision to participate or not participate would not impact on their performance appraisal or tenure. Teachers who agreed to participate completed a consent

to participate form. Codes have been used in order to maintain the confidentiality of the schools, teachers or principals participating in the research

The first step of my research was to receive authorization from Office of Educational District, Nakhon SI Thammarat (see Appendix A). Then I made a first visit to the selected schools obtaining permission from the school principals (see Appendix B). During the first visit, I briefed the principals of each school about my research objectives including the methods of data collection and participation from the participants. During the first visit, a brief interview with principals was also conducted. This was to help clarify the key focus and boundaries of the research and the relevant interview questions.

3.5.1 Principal Interviews

A semi-structured interview was conducted with each principal to determine his/her roles in relation to change and school practices. The semi-structured interview was a face-to-face conversation between the researcher and principal that focused on his/her perspectives, experiences and situations expressed in his own words (Taylor and Bogdan, 1998). The principal interview lasted one and a half to two hours. The interviews were modelled as a conversation between equals rather than a formal question-and-answer exchange. I used semi-structured questions as a guide for each principal interview and as each interview developed, additional questions were asked to facilitate additional information (see Appendix D). A second principal interview was carried out in three schools (namely BTL, PRM and LSK). This was a result of a few points that needed to be re-visited and discussed with the principal of these three schools in order to collect additional relevant information.

3.5.2 Teacher Focus Groups

Five to seven volunteer teachers in each selected school participated in a teacher focus group interview (Mason, 1996). With the teachers' permission, the interviews were tape recorded. The focus groups were semi-structured (see Appendix E) which served to guide and focus the interview. The focus groups lasted two to two and a half hours. As with the principal interviews, the teacher focus group interviews focused on the role of school principal, school change and school practices.

Agreement to participate in the interviews was sought from each of the teachers before the actual interview took place. They were briefed that to provide a permanent, accurate and objective record of the interviews, a tape recording of each group interview was made to ensure that accurate summaries and analysis of data could be completed after each interview. This was done to allow the interviewees to respond to questions without any interruptions as well as to allow the researcher to be more flexible during the interviews and adapt the interview to suit the personality and circumstances of the participants.

The semi-structured interviews that were used to obtain feedback offered the researcher the opportunity to explore an issue or behavior within the school community. It also allowed the school principals and teachers to express their opinions, concerns and feelings in more details. The fact that it is semi-structured allowed the conversation to flow where it needed to in order to deal with issues as opposed to cutting someone off because they stray from the topic.

Semi-structured interviews are a bit more relaxed than structured interviews, especially for an external researcher. While researchers using this type are still expected to cover every question in the protocol, they have some room to explore participant responses by asking for clarification or additional information. Interviewers also have the freedom to be more friendly and sociable.

3.5.3 Non-participant observation (Field Notes)

Patton (2002) suggested that through observation a researcher can better understand the context of the interaction, often learning things or seeing things that participants may not reveal in an interview. Field notes could for example, document the social environment, informal interactions and nonverbal communication. The researcher kept detailed records of the observations in a fieldwork journal, as recommended by Merriam (1998). The field notes recorded descriptions, quotations, and the researcher's thoughts or comments. After each interview contact, a contact summary sheet as suggested by Miles and Huberman (1994) was developed to record initial reactions, salient points and questions.

During the site visits, I had the opportunity to directly observe the school principals in their work and community contexts. Then my attention focused on the principals'

behaviour as they interacted with teachers and interest groups. I conducted short informal discussions with principals after the observed events.

I stayed in each school for an additional one to two days to observe the principals at work. This was to re-affirm the validity of the responses received from the interviews. Summary field notes of the daily activities were compiled at the end of the day to maintain records of what had happened during the day when the informal observations were conducted. For ethical reasons, permission was sought from the principals to conduct these observations.

Each principal was observed carrying out his normal duties over a period of one to two days, via a non-participant observation process (McKernan, 1996; Patton, 2002). This observational data was used to clarify and crystallize interview data. Being a non-participant observer gave me opportunities to record behaviour as it occurred within the school, identify features of situations that had not been mentioned in the interviews and to record the behaviour of principals and teachers that had previously gone undetected.

3.5.5 The Principal Diary

The principals were invited to maintain a diary over a period of five working days. Each principal was encouraged to record their daily activities as the school principal. This could include both formal and informal tasks including work around the buildings, observing students in the field, talking to parents or conducting discussions with teachers. Principals were encouraged to use description, interpretation, reflection and where relevant analysis and conclusions when making diary entries.

3.5.6 Document Review

I gathered a number of school related documents that provided important insights into each schools' activity and culture. Stake (1995) suggests that gathering document data follows the same line of reasoning as observing or interviewing. The usefulness of documents should be estimated in advance and time allocated for review. He advises that documents can substitute for "records of activity the researcher could not observe" (p. 68). Yin (1994) warns that documents must be carefully used and should not be accepted as literal recording of events that have taken place. Inferences can be made from the

documents but they should be treated as clues for further investigation. Documents relevant to aspects of school principal leadership, school mission and educational agendas and priorities were studied. These documents included school annual reports, internal assessment report and handouts.

3.6 Data Collection Schedule

The data collection was carried out during a five month period between May and September 2004 (Refer to Table 3.4). Analysis of data collected in the interviews and the site observations were completed within five days of being received. A second round of principal interviews, in three schools, was carried out in order to obtain additional information.

Table 3.4 - Schedule of data collection at the 6 participating schools.

Data Collection	WPP	BTL	BTT	CHY	PRM	LSK
First Visit	28-May-04	26-May-04	30-May-04	29-May-04	27-May-04	26-May-04
Interview	14-Jul-04	29-Jul-04	04-Sep-04	08-Aug-04	02-Aug-04	16-Aug-04
2nd Interview	NA	31-Jul-04	NA	NA	05-Aug-04	20-Aug-04
Focus group	15-Jul-04	28-Jul-04	02-Sep-04	09-Aug-04	03-Aug-04	17-Aug-04
Observation	16-Jul-04	30-Jul-04	03-Sep-04	10-Aug-04	04-Aug-04	18-Aug-04
	27- Jun-04 -	11-Jul-04 -	22-Aug-04 -	02-Aug-04 -	18-Jul-04 -	09-Aug-04 -
Principal Diary	02- Jul- 04	16 Jul 04	26 Aug 04	06 Aug 04	23 Jul 04	13-Aug- 04

3.7 Data Analysis

According to Kvale (1996, p. 189), analysis begins "when the subjects describe their lived world during the interview." Each interview was transcribed and analyzed as soon after collection and observations were carefully recorded in field notes (Merriam, 1998) using a contact summary sheet (Miles and Huberman, 1994).

The process of coding the transcripts began with selecting and highlighting or underlining meaningful 'chunks of text'. The chunks of text were then condensed or summarized and labelled by writing descriptive code words in the margins of the transcripts, as described as first level or descriptive coding by Miles and Huberman (1994).

Further interpretation of the interviews developed through an inductive process of listening to the tapes of the interviews, reading or re-reading the transcripts, and coding or attaching descriptive labels to meaningful units of data from the participants' responses (Miles and Huberman, 1994; Patton, 2002). Each interview was coded in this manner. As suggested by Lincoln and Guba (1985), to be meaningful and useful, a chunk or unit of data must reveal information that is relevant to the study and must be able to stand alone.

During the next phase of data analysis, categories were developed using the "step-by-step process" (Merriam, 1998, p.180) of grouping or funnelling related items into patterns, sets or clusters to which labels were attached. These categories were constructed by repeatedly looking through the transcripts with marginal notes and the field notes to find items that appeared to go together. As the interviews progressed and emerging topics were further explored, I continued to look for new patterns in the coded data and checked earlier interpretations with subsequent responses and field notes to determine if the developing patterns were supported or needed to be modified (Merriam, 1998; Miles and Huberman, 1994). The categories that were developed were used to organize and present the findings. Merriam (1998) suggests,

> Data often seems to beg for continued analysis past the formation of categories. A key here is when the researcher knows that the category scheme does not tell the whole story—that there is more to be understood about the phenomenon. This often leads to trying to link the conceptual elements—the categories—together in some meaningful way (p. 188).

Thus, the third level of analysis involved the interpretation of the relationships between the categories.

I used the following sets of categories, based on research literatures to analyse the content of the raw data collected through various means: 1) Principal roles – human relations, explorer, performer and administrator (Quinn, 1991; Tayko, 2004); 2) School change – educational change and change obstacles and 3) A set of categories that capture principal activity while implementing change and support educational change. This allowed me to categorize the data and thus increase my capacity to develop greater understanding and interpretation of the raw data.

The four principal roles contributing to school change were identified as the major coding categories for data analysis. This involved close examination, phrase by phrase and even particular points of single words that related to the coding of each study category. Data constructs were then grouped based on three criteria: 1) identical match of terminology, 2) similarity of meanings and 3) similarity of content and subject matter. This is perhaps not only the most detailed analysis, but also the most generative.

From transcribed data the concepts, ideas and themes of principals and teachers' perceptions of the principal's roles in school change were carefully sorted and reviewed to accurately match with studied components described under principal roles, and school change sections from Chapter-II.

3.8 Validity and Reliability

In order for a research study to contribute to a knowledge base on a subject and to have practical application, it is important for the researcher and others to have confidence in the rigor of the investigation and the results of the study (Merriam, 1998). The following three aspects were considered with respect to this research: (1) internal validity, (2) external validity and (3) reliability.

Internal validity is the extent to which the research findings match reality (Merriam, 1998). This goal was accomplished by direct inquiry pertinent to individual perceptions through interviews. In this research, the interviews were considered to possess a high degree of internal validity because the researcher directly asked the participant to describe their perceptions of the reality in their schools. In an effort to strengthen the internal validity of this study, member checks were conducted following the data analysis (Merriam, 1998). The researcher provided portions of findings to two participants for this purpose. The respondents were asked to evaluate the excerpts for accuracy and reasonableness of the results.

External validity is a measure of the generalizability, or transferability, of data beyond the immediate case study (Yin,1994). While quantitative research designs are concerned with generalizing findings from one sample to another, qualitative research designs are concerned with generalizing findings from a particular set of results to larger theory (Yin,1994). External validity of a qualitative research project may be enhanced by

collecting data according to an interview protocol. The use of an interview protocol in this study ensured that in each interview, the participant addressed the same issues and that the researcher followed the same data collection procedures with each interview participant (Merriam, 1998). The researcher employed a protocol in this study to structure the interviews. This guide consisted of several questions pertaining to components within the conceptual framework. The use of an interview protocol strengthened the validity of the study because it provided a record of the questions asked of participants that a subsequent researcher could adopt in order to repeat the study (Yin, 1994).

An additional device to strengthen the external validity of this study was the use of 'thick description'. Merriam (1998) defines thick description as "a complete and literal description of the incident or entity being investigated" (p. 84). Schofield (1990) suggests that thick description is necessary to allow individuals to inquire as to what degree of fit there is between the case studied and the case to which they may wish to generalize.

Reliability refers to the absence of errors and biases in the study. Reliability also pertains to the fit between what is recorded as data and what actually occurs in the setting under investigation (Bogden and Biken, 1998). This research study embraced the philosophy held by Merriam (1998) and that of Lincoln and Guba (1985) who advocate that qualitative research should be conducted in such manner as to ensure that the subject was accurately identified and described. In this study, every effort was made to ensure that data were consistent with findings and clarity exists with the readers about theoretical assumptions, sampling procedures, and methods for analysis.

3.9 Limitations of study

There were several limitations to this research study relating to the nature of the sample, to the research design and methodology and to the data analysis. The pressure to achieve in high stakes environments may compel educators to act in ways they may not otherwise - in both positive and negative ways. Although limiting the study to these individuals allowed for in-depth investigation, caution should be exercised about making generalizations from the results.

The intent of the study was to explore an understanding of principal roles at this specific group of elementary and secondary schools in Thailand. The study could well benefit from

a comparison of its findings with perceptions of principal roles and organizational practice from a larger and random sample of participants in another Thailand province.

An additional limitation focused on the concern relating to Thai culture and norms where subordinates always provide high respect to senior members within an organization. There is potential that teachers may tend to provide positive feedback on any subject related to their school principals.

A final limitation pertained to researcher bias. Where possible the researcher used the participants' voices to describe and explain their perceptions of principal work and activity related to change within their schools.

3.10 Summary

This chapter described a research methodology employing a naturalistic perspective used in studying these phenomena. A multiple case study approach was used to examine the perspectives of principals and teachers in six elementary and secondary schools. The principals and teachers were asked to provide information within their school context to discuss the issues related to the work that they do, to provide their perspectives of principal roles, school change and how principal facilitate and implement change.

A qualitative approach was used to gather data including interviews, teacher focus groups, observation, principal diary and documentation reviews. Field-notes were taken during the interviews and in some cases about what was observed. Audiotapes were made during the interviews and transcripts were made after each set of interviews from the audiotapes.

Respondent validity was incorporated to ensure proper analysis and categorization of codes, themes and deeper meanings. The analysis began as topics written in the margins and then was streamlined into themes. Such an examination provided a better understanding of the roles of the school principal particularly in relation to school change.

CHAPTER IV

SCHOOL PRINCIPAL ROLES

4.1 Introduction

The purpose of this chapter is to present the research findings relative to the study objectives. The primary focus of this chapter is the analysis of data from principals and teachers about their perceptions of principal behaviour associated with educational change activities in elementary and secondary schools. Data analysis identified the role of the school principal performing in a school context.

4.2 The Roles of School Principals

The researcher gathered data and applied open-coding methods in an effort to determine the roles that school principals played in school change. All principals interviewed discussed their roles in relation to change in the school and their sphere of responsibility. Within the context of this framework, principals and teachers in groups identified distinct characteristics and activities that directly correlated with the roles of school principals (see Figure 4.1).

The majority of respondents identified consistently three distinct characteristics: management and control, leadership and innovation and human development. Principals and teachers valued the idea of the human element and the importance of taking both a personal and a professional interest in people. It was this particular characteristic that principals fostered to channel their energy for promoting and generating change initiatives. Principals interviewed were passionate in their concern for people. Teachers groups indicated that they liked the idea that principals took a keen interest in staff and school community members on professional and personal levels. Qualities that exemplified this caring behaviour included management and control, leadership and innovation and an ability to facilitate ideas, processes and people.
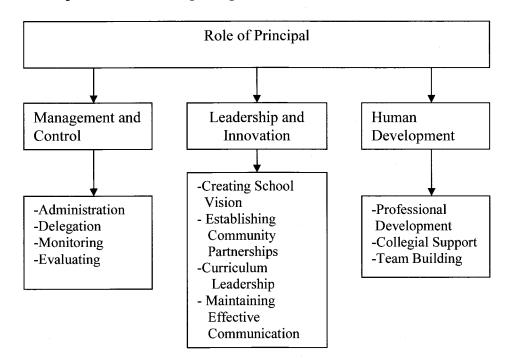
Principals expressed these viewpoints in varying degrees; they often spoke passionately about their roles as school leaders. Conversely, teachers talked about specific roles of principals and actions they took to influence change. They also noted that it was to some

extent what principals did and how they did it that influenced change. Teachers said that being a good manager, leader and having a true interest and concern for people were conducive factors that eased the change process.

Ongoing analysis produced the following themes:

1. Management and control
2. Leadership and innovation
3. Human Development

Figure 4.1 Aspects of the school principal role.

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                         │          Role of Principal            │
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                           │               │               │
                           ▼               ▼               ▼
              ┌────────────────┐  ┌──────────────┐  ┌──────────────┐
              │ Management and │  │ Leadership and│  │ Human        │
              │ Control        │  │ Innovation    │  │ Development   │
              └────────────────┘  └──────────────┘  └──────────────┘
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              ┌────────────────┐  ┌──────────────┐  ┌──────────────┐
              │ -Administration│  │ -Creating     │  │ -Professional │
              │ -Delegation    │  │  School Vision│  │  Development  │
              │ -Monitoring    │  │ - Establishing│  │ -Collegial    │
              │ -Evaluating    │  │  Community    │  │  Support      │
              │                │  │  Partnerships │  │ -Team Building│
              │                │  │ -Curriculum   │  │               │
              │                │  │  Leadership   │  │               │
              │                │  │ - Maintaining │  │               │
              │                │  │  Effective    │  │               │
              │                │  │  Communication│  │               │
              └────────────────┘  └──────────────┘  └──────────────┘
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Within the above framework for school principals, principal roles were identified based on their impact in influencing change within the six research schools (Refer to Table 4.1).

Table 4.1 List of major principal roles

Principal Role	Principal Activities
Administration	Managing, implementing, public relations, compliance, allocating resources, approving qualifications, setting standards, encouraging participation and clarifying roles.
Delegating	Allocating task to others, developing trust and confidence of teachers
Monitoring	Observing, asking feedback, and expecting results
Evaluation	Work reviewing, stakeholder feedback assessment, assessing student progress, assessing teachers' performance
Creating school vision	Setting target for school, High education quality expecting, having a proper educational development plan, developing shared common goal/objective
Establish Community Partnership	Building trust and good relationship, maintaining confidence and support, updating and keeping contact with parents, regular semester meeting
Maintain Effective Communication	Communicating vision across school, organizing meetings, face-to-face discussion, opening for comments and suggestions, creating commitment and trust, briefing for new policy and implementation, creating positive working environment
Curriculum Leadership	Possessing strong educational knowledge, looking for new teaching methods, supporting curriculum development, monitoring academic achievement, participating in curriculum development, solving the teachers' problem, setting and maintaining high educational standard
Professional Development	Influencing and supporting teachers learning, being educational resource, providing teaching feedback, fund allocation
Collegial Support	Maintaining friendly relationship, providing positive feedback, encouraging new way of working, providing role model, promoting trust atmosphere, working closely with teachers, help solving the problems, sharing information
Team building	Developing collaborative environment, encouraging teachers' suggestions, promoting team working, collaboratively work with community

4.3 Management and Control:

Within all the reform efforts, a single common expectation is that the principal must be the key figure in a school. In general, the school principal will take responsibility, with school community members to manage, supervise, monitor, coordinate and evaluate the overall structure and delivery of the school's programs. Particular emphasis will be given to deliver the school results as stipulated in the school objectives and vision and in accordance with New Educational Policy. It is in this area of responsibility that the principal role focuses on administrating, delegating, monitoring and evaluating.

4.3.1 Administration

The substantive work of the principal within this administration role involves liaison with the different groups, departments and grades across the school. The administrative role also focuses on responsibilities including managing, implementing, public relations, compliance, allocating resources, approving qualifications, setting standards, encouraging participation and clarifying roles.

4.3.1.1 Managing:

The role of principal is central in achieving school goals both in terms of those related to daily school business and to those related to current school improvement reforms. In the school context, principals often take on a role of "doing" as well as "managing", of producing individual deliverables as well as overseeing school improvement as a whole. School B teacher group commented: "Our principal places significant personal investment in improving school efficiency and improvement" (BTL-Teacher focus group, 28-July-2004). The principal of school D had similar thoughts: "First and foremost, the school targets are the most important. I pay attention to the school tasks, to ensure that all requirements of school activity are addressed" (CHY- Principal interview, 08-Aug-2004). This research study revealed that managing the day-to-day operations of a school and its community was a principal priority.

4.3.1.2 Implementing:

It is the responsibility of the principal to have school board policy and regulations implemented in order to support rigorous academic curricular activities. Principal E suggested "The principal should implement rules and policies that enable teachers to perform their duties and school projects, especially with regard to educational reform" (PRM-Principal interview, 02-Aug-2004). He/she should also establish school working procedures not only rules and regulations. School principal D commented: "I need to implement the new working concepts for the school, especially in relation to school development programs" (CHY- Principal interview, 08-Aug-2004). For example, the principal introduced peer discussion among the teacher group in order to improve student performance. In addition, the principal adopted a 'problem sharing approach' whereby teachers can bring in issues to discuss in a meeting.

All principals noted that the best way to achieve the benefits of well-designed policy is to make sure that those who will use it are fully committed. The data shows that a principal needs to work with other faculty members and staff to implement the project plans based on shared vision. Data from school F teachers established how the principal implemented the plan: "Normally, the principal works out with heads of department how to implement projected plans. Subsequently, the details are handled by each group of teachers" (LSK-Teachers focus group, 17-Aug-2004). Principal F needed to ensure that plans were implemented and worked out across the school environment.

The school principal needs to implement educational reform initiatives in his school. The principal deploys all possible means to overcome the difficulties of implementing policies. School principal D stated "The principal gives a lot of support and encourages the teachers to improve school effectiveness" (WPP- Principal interview, 14-July-2004). The teachers indicated that principal D makes an effort to improve the school environment and atmosphere so that teachers can increase their teaching effectiveness and quality.

4.3.1.3 Public relations:

One of the key principal priorities is to effectively liaise with the community. "Cooperation and support from the community is crucial. The principal needs to pay attention to this area" (CHY Teacher focus group, 09-Aug-2004). The principal has responsibility for ensuring that students, parents and teachers have an understanding of the

purposes of the school. The principals made efforts to promote the school to the public. As school budgets become tighter, many principals have become more involved in public relations and fundraising to secure financial support for their schools from local businesses and the community. Principal A added: "I need to work closely with external parties and government offices in order to gain support" (WPP-Principal Interview, 14-July-2004). Principal A also indicated that sometimes he takes pictures of paraprofessionals, parents and teachers as they interact with students. These pictures are published by a local newspaper, along with a brief caption identifying them and describing what they do at the school and outside the school.

4.3.1.4 Compliance:

The principal needs to know and understand the educational system's rules and regulations. One principal commented: "To ensure that most of the tasks in my school are done properly, I pay attention to the rules and regulations. Thus to me, the rules and regulations must come first" (PRM-Principal Interview, 02-Aug-2004). Enforcing these rules and regulations is vital to the success of the school. One teacher commented: "The principal pays attention and focuses on every aspect that needs attention in the school and ensures that things are done properly" (WPP- Teacher focus group, 15 July 2007). The principal of School C suggested "Giving clear directions helps staff perform their tasks easily and effectively" (BTT-Principal interview, 04-Sept-2004). As a school principal, he/she needs to ensure that discipline has been observed among the student group. School A principal mentioned that he always follows up with the custodian to see that all is order and to encourage/ensure appropriate behaviour from the students. Sometimes, he observed the early arriving students (WWP- principal diary, 04-July-2004).

4.3.1.5 Allocating Resources:

The allocation of teaching and learning resources is a major administrative responsibility for each principal. Currently, most schools in Thailand have limited funds to support teaching and learning activities. Each principal must consider how best to administer their school funds to ensure the maximum value for their students."The learning materials and equipment must be sufficient for teaching and learning activities" (WPP-

Teacher focus group, 15 July 2004). One school principal commented; "We need to improve the teaching and learning materials such as IT equipment and resources. At the moment, I am asking for support from external organizations, as my school has a very limited budget" (BTL-Principal interview, 29-July-2004). The school F teachers commented that as funds were limited, the principal set priorities and decided the importance of each project and then the budget allocation was made accordingly.

4.3.1.6 Approving qualifications:

A further role focuses on the principal's accountability for staffing in the school. The principal has to ensure that the quality and qualifications of the teachers meet the requirements for each year level and subject. Principals are also often required to make decisions concerning the allocation of their teaching staff to best meet the learning needs of their students. "Some teachers are re-allocated to new tasks or new subjects according to their qualifications" (WPP-Principal Interview, 14-July-2004). Principal E highlighted his responsibility in this area: "I try to apply human resource techniques wherever applicable, such as job rotation of teachers" (PRM-Principal interview, 02-Aug-2004). The situation today means that some subjects have more teachers and some subjects have less. Therefore, the principal tries his best to allocate teachers to match their qualifications. Principal F also supported the idea: "The quality and qualifications of the teachers is very important and it must be congruent with the subject taught (LSK-Principal interview, 16-Aug-2004). In such a case where there is an imbalance of teaching subjects with teachers, additional training is needed for teachers. School C principal commented: "I address the concern of personal competency; I especially encourage and promote personal improvement in specific subjects" (BTT-Principal interview, 04-Sept-2004). The teachers from School B also added: "If a teacher requires professional training then he can bring it up with the principal for endorsement" (BTL-Teacher focus group, 28-July-2004).

4.3.1.7 Setting standards:

In relation to school effectiveness, the principals pay attention to academic achievement; "He gives priority to the academic aspect, especially the teaching and learning practice in the school" (BTT-Teacher focus group, 02 Sept 2004). The principal

sets educational standards and goals and establishes the policies and procedures to achieve them. Principal C indicated: "Within the curriculum development working group, we described precisely what today's students must learn and be able to do in order to be successful in their adult lives" (BTT-Principal interview, 04-Sept-2004). In addition, Principal B suggested that he set the academic tone and actively worked with teachers to develop and maintain high curriculum standards including student achievement.

An effective school should not only create academic achievement for the students, but should also be able to build social capacity, to help the students to become good citizens and have a foundation for future development. The principal must also ensure the maintenance of high standards of student conduct and enforce discipline when necessary. Principal C indicated that he always spent the morning session in observing student behaviour and practice, to ensure that students adhered to the discipline guidelines. (BTT-Principal diary, 26-July-2004). Principals try to get the parents involved in the students' learning activities. One principal commented: "I encourage teachers to meet with all parents, and openly discuss with them student related issues". (CHY Principal interview, 08-August-2004). From the participants' view, principals can make the biggest difference by involving families and working to create a learning community.

4.3.1.8 Encouraging participation:

Teacher participation in organizational decision-making is becoming more common in schools today. Principal E confirmed that one of his common tasks is to encourage input from teachers into various school planning processes. The New Education Act, 1999, emphasized this School-Based Management (SBM) approach. This increased participation reflects the belief that the opportunity to participate in the governance of an organization is a moral imperative because individuals have the right to exercise some control over their work and their lives. However, the data from school B teacher group indicated: "The principal needs to establish a high degree of participation by teachers. By doing so, it can increase ownership in the school development program" (BTL-Teacher focus group, 28-July-2004).

Teachers expect the principal to listen and respond to their suggestions. The school A teachers indicated: "We need the principal to listen to the staff suggestions" (WPP-Teacher

focus group, 15-July-2004). Both teachers and principals actively supported greater participation of teachers within their schools. "The principal encourages the staff and teachers to participate in the changing activities of the school which the majority of them are willing to do" (CHY Teacher focus group, 09-Aug-2004). School principal C highlighted the importance of teacher participation when he commented: "I need to lead the group to participate in school development programs" (BTT-Principal interview, 04-Sept-2004). School principal C commented that he often spent time working with a group on some project.

Principal B is encouraging his teachers to become more active in decision-making committees and task forces in an attempt to foster team work, improve motivation and enhance teacher performance. One teacher group from school B indicated that: "Today, the principal encourages and provides more opportunity for teachers and staff to participate in school decision making" (BTL-Teacher focus group, 28-July-2004). These committees and task forces are viewed as additional vehicles through which the principal influences school change. School principal C stated: "I have spent quite some time in putting in place policies and procedures that encourage team work and participation" (BTT- Principal interview, 04-Sept-2004). Hence school tasks and projects are delegated to respective working groups which can lead the change and improvement in their schools.

In addition to increased teacher morale and work satisfaction, the idea of participation in decision-making has enhanced the quality of instruction in schools. A teacher from school F explained: "The curriculum development was completed via teacher collaboration across grade levels. It helped to improve the quality of teaching and the learning of students" (LSK-teachers focus group, 17-Aug-2004). The teachers mentioned that they can share experiences and feedback from their classes. The school B teachers suggested that the experience of the teachers can help improve teaching effectiveness. Another teacher group from school B commented: "The curriculum development (at our school) is at a satisfactory level but there is continuous fine tuning of teaching practice along the way while implementing the curriculum throughout the year" (BTL-Teacher focus group, 28 July 2004).

4.3.1.9 Clarifying roles:

An important leadership function of the principal is to ensure that teachers know what work they are supposed to do and the results expected of this work. Principals clarify the roles and responsibilities that can be expected of teachers at the various classification levels. The school A teachers commented that policy and working procedures in the school are not clear and confused the staff. They are not sure about the roles they should play in educational restructuring. Similarly, school D teachers indicated that principals should clearly define roles and responsibilities for a new teacher. The principal should ensure that their teachers know what they are supposed to do.

While adopting the New Education Act, 1999, in their schools, new role expectations for teachers need to be discussed. Examples include defining job responsibility for teachers, assigning tasks, setting performance goals and providing instructions on how to do a task. "During meetings I emphasize to my teachers the roles they should perform and responsibilities they should accept in relation to expected school improvements" (LSK-Principal interview, 16-Aug-2004). The teachers from school C indicated: "The principal has face-to-face discussion with teachers about the additional roles and functions related to the New Educational policy" (BTT-Teacher focus group, 02 Sept 2004).

4.3.2 Delegation

The principal is accountable for all that occurs in their school. Due to the extremely large areas of responsibility, the principal must be able to delegate roles and responsibilities to other members of their staff. In most cases, the principal delegates to the assistant principal. School principal F commented, "I delegate the daily operation of school tasks to my assistant (at first layer staff), then they take responsibility to allocate the tasks to other levels of staff in their respective groups" (LSK-Principal interview, 16-Aug-2004). School principal F added that successful delegation does involve identifying an appropriate group of teachers who are familiar in working in certain areas or are specific experts such as media specialists. Principal A also suggested: "I delegate tasks to teachers according to their individual potential and knowledge" (WPP-Principal interview, 14-July-2004). The principal gave an example of an English subject of which some teachers can handle well and are willing to do so. The information from participants indicated that principals need to develop both trust and confidence in their staff in order to share the principal's load.

Curriculum and instructional development were other areas in which principals needed to delegate responsibility, often to an assistant principal. Due to the fact that responsibility for the curriculum is so large and diverse, the principal needs to delegate some responsibility to staff members in working groups. School F teachers commented: "In the curriculum development process, the academic department is responsible for the whole development which she/he needs to follow up with working group on behalf of the principal to ensure initiative was brought in across different grade level" (LSK-Teachers focus group, 17-Aug-2004). In this aspect, it can create opportunities for principals in order to enhance the efficiency and effectiveness in their jobs. Principal D indicated: "I want to do a lot of things to improve the school, but could not do much on my own. Thus, I need to reallocate certain tasks and activities to teachers" (CHY-Principal interview, 08-August-2004). School principal F also added that he often delegated monitoring lesson plans and evaluating teachers to the assistant principal as a teaching leader.

Data show that principals need to delegate and distribute this workload and also highlight the importance of this practice in the school development program. Principal E commented that "It gives me more room to focus on other things" (PRM - principal Interview, 02-Aug-2004). Principal D shared the same thought and he suggested: "When I delegate tasks to teachers, I give them autonomy to work. (CHY- principal Interview, 08-Aug-2004).

The data from participants not only indicates the need for delegation but also, to some extent, additional benefits of delegation in schools. As commented by Principal B, this can help improve the efficiency of teachers and improve personal morale in terms of reward. Principal E shared the same opinion but he still monitored from a distance to ensure that the necessary support could be delivered to the teachers and staff whenever it was needed.

4.3.3 Monitoring

The role of monitoring is an important principal responsibility when working with teachers and students. The principal is required to monitor teaching and learning activity in the school. Principal A commented: "I need to ensure that the school tasks and learning activities are properly performed as planned" (WPP-Principal interview, 14-July 2004). The school F teacher group agreed: "The principal needs to keep monitoring and

evaluating. In this case, the principal often asks for feedback from each department head or subject group" (LSK-Teachers group, 17-Aug-2004). The data from participants shows it is quite common amongst these principals to have feedback from teachers.

Monitoring students' progress is a responsibility for both the principal and teachers. To implement progress monitoring, the teachers of school C indicated that the students' current levels of performance are determined and goals are identified for learning that will take place over time; "The students' academic performance is measured on a regular basis (weekly or monthly)" (BTT-Teacher focus group, 02 Sept 2004). In this aspect, progress toward meeting the student's goals is measured by comparing expected and actual rates of learning. School principal E added: "The Principal needs to ensure that student progress was monitored properly and based on these measurements, where teaching is adjusted as needed" (PRM-Principal interview, 02-Aug-2004).

One area in which principals can support student learning is by observing and providing feedback to teachers about their instructional practice. School principal F said: "As principal, I spend as much time as possible visiting classrooms. By being in the classroom, I can give teachers the opportunity to receive help with their instructional efforts" (LSK-Principal interview, 01 Aug 2004). While visiting school B, I (the researcher) observed a principal actively dealing with one staff member: "At about 10.00am, the principal visited Class 4/2. He did not interrupt the teaching during his visit, but he did talk to her (the class teacher) after the class" (BTL- Principal observation, 30-July-2004). The principal mentioned that she (the teacher) needs to pay more attention to lesson preparation thus ensuring that all materials required for the lesson are on hand and ready for use during a class.

The monitoring role of the principal focuses on a broad range of areas including classroom pedagogy, student discipline and safety of students and teachers. In the six research schools, principals were observed taking significant responsibility for student discipline. They were active in monitoring student behaviour in relation to their school codes of conduct. Principal F noted in a diary entry that it was his responsibility to monitor the school buildings and student behaviour: "At 7.30, I conducted a general observation around the building for tidiness and observing the behaviour of early arriving students"

(LSK- Principal's diary, 01-Aug-2004). Monitoring and ensuring a safe and secure learning environment was also identified as an important responsibility for the school principal.

4.3.4 Evaluating

The principal is responsible for the overall performance of the school organization. School principal B stressed that evaluating progress based on school goals and objectives is a priority for the principal as it will define the success of the organization. School principal E also commented: "I keep reviewing the work and school activities to ensure that they are on the right track and meeting our objectives" (PRM-Principal interview, 02-Aug-2004). The study shows that the principal not only collects internal data but also takes feedback from parents into consideration. As the school C teacher group commented: "The principal sometimes invites parents to complete a questionnaire to evaluate their satisfaction with our school" (BTT-Teacher focus group, 02 Sept 2004). By doing this, the school can have both input for evaluation and create co-operation from the external parties.

Principals highlighted the importance of their role in supporting student learning. Working with teachers and parents in observing, analyzing and evaluating student progress is a responsibility that principals take seriously. Principal C, for example, was observed meeting with parents and discussing their child's study problems" (BTT-Principal Observation, 03-Aug-2004). The school E teacher group observed that "the principal has adopted working structures to provide teachers with periodical guidelines to evaluate student progress and analyze student work" (PRM-Teacher focus group, 03- August-2004). Other than student evaluation, the principal is also responsible for the regular review and evaluation of teachers' performance as it relates to academic program delivery. Principal B indicated: "I introduced a professional development calendar for teachers this year which focuses on assessment and strategies to differentiate instruction for all students" (BTL-Principal interview, 29-July-2004).

To make the implementation of change a success in the school, the school principal needs to get feedback and continuous evaluation on its progression. School principal C indicated that he employed an evaluation process for certain key activities such as the curriculum development plan, participation from parents and student enrolment where

schools can have feedback about the parent expectations. He believed that evaluating the end results is the key to success in the development plan. Principal A also added that the evaluation process was improved by continuing to regularly schedule meetings to review needs in progress and share information with teachers, parents and other stakeholders in a timely manner. Similarly, school A's principal spoke of "involving more parents, community and school board members in meetings to ensure that ongoing planning reflects community expectations" (WPP-Principal interview, 14-July-2004).

4.4 Leadership and Innovation:

Whole-of-school cultural change is always difficult to initiate and achieve when existing behaviour and dispositions are based on deep-seated beliefs and assumptions about learning and teaching that may have been shaped over prolonged periods of time. The transformation of school culture essential for the educational change of schools requires highly efficacious school leaders whose actions derive from moral and ethical beliefs about education and schooling. The professional integrity of these leaders also gives them credibility in the eyes of staff and the local community. Teachers, parents and students have trust in their motives and in the methods they apply to lead the school.

In this study, creating a shared vision of a school in which all students could be successful was one way that the principals affected student achievement. The study provided information concerning various aspects of the school context and the leader's role in shaping a school context that is conducive to change. Although, they may begin with a personal vision and then forge a shared vision with their staff, the leader's communication of the vision is such that it attracts others to join in the endeavour to attain it. School leaders must not only have a vision of their school or district but also the skills to communicate that vision to others, in developing a shared one. They invite and encourage others to participate in determining and developing the school achievement.

That is, in many instances a principal's actions effectively communicated his vision for the school communities, encouraged participation from parents and external communities and led the teachers' group in his school to introduce curriculum development. Within the leadership and innovation roles, the study identified four critical responsibilities commonly

exhibited by principals: creating school vision, establishing community partnerships, curriculum leadership and maintaining effective communication.

4.4.1 Creating school vision:

It was observed during the data collection phase, that vision statements were clearly in evidence in school documents and flyers that were posted on school building walls. The following vision statement at one research school highlighted its priorities:

> Students must be provided with high quality education with an emphasis on
> the exploration of knowledge and information technology. Students must
> develop competency in mathematics, be able to solve problems and possess
> high moral principles and be self disciplined (BTL-School Annual Report,
> 2003).

The effective principal should preserve and take a long view. He can generate a vision of the future and commitment to school direction. The school E teacher group described how their principal verbally conveyed aspects of the vision on a daily basis: "He keeps us focused, especially at staff meetings about school objectives" (PRM-Teacher group, 03-Aug-2004). Principal E highlighted some of the key elements of his school vision:

> The principal needs to create a vision and set targets for the school. He
> should give clear policy direction to his team of teachers, with respect to
> school targets and how they can be achieved (PRM – Principal Interview,
> 02-Aug-2004).

School principal F indicated that the school vision was communicated to groups (both teachers and students) in his school. In order to support educational reform in the school, principal D stressed that the school principal should have a vision and he must set targets for change to take place in his school. He needs to monitor the results.

The idea of collaboration and ownership in developing a school vision is the foundation for establishing a broad base of support. This process allows for the development of a culture, one that establishes agreed-upon values and justifies its existence in the face of

controversy. For instance, principal E wants to see teaching practices in his school improve and really impact on the students. He also wants to see the teachers, parents and communities work hand in hand toward a high level of collaboration. Often, collaboration is not done for one school, but rather with a group of schools or a school district. The School principal and staff, working collaboratively with the community determine what resources should be brought into each school site. From the principal expectation, he wants the school to be a resource for communities to utilize, particularly the library, buildings and sport fields. In his view, this is not only to gain the support, but also can create a positive environment to reduce the drug problem" (BTL-Principal interview, 29- July-2004).

This research study identified academic achievement as a key common element of school vision. The school D teacher group commented: "He (the principal) wants reading, writing, maths and English scores to go up. That's the focus we want all day long" (CHY-Teacher group, 09-Aug-2004). School principal B verbalized his vision regarding improved student learning: "I want the students to improve in English and I must continue to convey this message to my group of teachers" (BTL- Principal interview, 29-July-2004). There was a general sense of agreement amongst the research participants about the importance of the principal and in particular his responsibility in setting a vision for the school. The school E teacher group admitted that:

> He (the principal) should be both a knowledgeable and academic person.
> Not only in the academic area, but also know how to deal with people. He
> should have a vision and understand how to implement it into the school
> (PRM-Teacher focus group, 03 August 2004).

In this school, the group of teachers made important and necessary contributions to the school vision in order to support school improvement and to implement educational reform. They expected to see leadership from their principal in creating or bringing in the change for the future of the school. The data from school principal B indicated that if the principal failed to lead, the result was a fragmented understanding of the school's vision or collective purpose and continued isolation of teachers within their own classroom, grade level and/or subject area.

Principal C expressed the view that if school staff did not spend any time identifying their strengths or their vision for their students, school, or themselves, they could not collectively relate to their successes or to their potential for improvement. The school F teachers added:

Teachers and other staff members must work together toward the common goal of improved student achievement. When everyone works collectively to seek and share learning, (as a result) there is more capacity for sustaining improvements in the school (LSK- Teacher group, 17-Aug-2004).

Therefore, the school principals must have a vision and be able to build and sustain that vision. They must constantly share and promote it in the school environment. At the end of the day the principal creates capacity within the school organization to achieve and sustain its vision.

4.4.2 Establishing Community Partnerships:

The school community is one of the most important components of the educational system. School principal C stressed that the principal must take the lead in establishing good relations with local and broader communities. Schools must maintain public confidence and support. In this aspect, the school principal must develop and maintain a communications network with all members of the community. School principal E also commented:

The capability of the school to gain the support of parents and the community is very much related to the school principal. How he manages the school and how he can build trust and good working relationships with parents, can determine the ultimate success of the school" (PRM-Principal interview, 02-Aug-2004).

The public relations role of a school principal is vital both within his school buildings and across the school community. Teachers in school F commented: "The principal spends a lot of time with communities and he keeps promoting good working relationships with them" (LSK- Teacher group, 17-Aug-2004). The teacher group at school C suggested:

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"The principal needs to develop and maintain the cooperation of the community around the school. Everyday, he spends some time after the school day talking to groups of parents in front of the school" (BTT-Teachers group, 02-Sept-2004). The data clearly shows that principal C gave priority to maintaining a high level of community relations.

One of the main roles of the principal in building and maintaining school-community partnerships is to inform the school community about the day to day life of the school. School principal B communicates via the newspaper or a local radio broadcast. He observed "I pay attention to public relations in the local community. Sometimes, I make use of broadcasting on local radio to explain school activities" (BTL- Principal interview, 29-July-2004). The participants confirmed that most parents want to know the educational values and experiences of their children, the methods of transport and information about safety in the school. By providing this information to parents, the school is able to maintain a high profile within the local community.

Principal E uses a range of strategies to establish positive community relationships. "I allow the community to make use of school assets such as the buildings, the library or sport fields for certain activities" (PRM-Principal interview, 02-Aug-2004). By doing this, the school can engage with the community and thus build greater ownership of and respect for the value of school. The principal added: "I believe that this approach can help promote cooperation and gain more support from the community, as the school is considered to belong to them" (PRM-Principal Interview, 02-Aug-2004).

In this respect, the schools researched are led by principals who can promote understanding about relationships between the schools and their communities. Principal A commented:

> We need to see more co-operation between the school and external
> organizations. We should look at it in terms of how the community can
> make use of the school or how to promote the school as a learning centre
> (WPP-Principal interview, 14-July-2004).

School principal C showed that the school had developed a lot of trust while working with students, parents and other members of the community. In support, the school C

teacher group had the same comment: "The student achievement is acceptable to communities. As a result, student enrolments continue to increase due to the increased levels of trust and confidence of parents in the school" (BTT-Teacher focus group, 02-Sept-2004).

Strengthening the working relationships with parents and communities is another principal priority. The focus is to both increase the parent satisfaction levels about the school and encourage parents and community members to actively contribute more to their schools. Principal A informed us that the community is quite supportive of the new educational reforms. Principal B also commented on this importance: "On some occasions, the school invited the parents to help teachers in teaching some subjects that related to local knowledge and practice" (BTL-Principal interview, 29 July 2004). For example, in a subject concerning local wisdom and culture the teacher arranged a site visit to the village and the selected expert (a parent) was invited to demonstrate how students can make use of bamboo trees in producing handicraft and house equipment. School E principal explained: "I encourage them (students) to enjoy studying by applying science to every day life. I take them to different sources in local communities and teach science linked with local wisdom so they can use the knowledge in real life" (PRM – Principal Interview, 02-Aug-2004). All school principals and a majority of teachers supported the strategy to build the commitment from parents and community to implement educational reform.

In order to enhance parent satisfaction levels, principals are maintaining effective communication processes and promoting the value of increased parent participation in student learning activities. School principal C indicated that his school used regular brochures to keep parents informed of school activities and progress. These brochures were directed to school community members interested in building school and community partnerships. Other communication processes used included, as school principal B stated, talking about the school on the local radio. This principal conveys what was going on in the school especially in relation to improvement and its impact on their children.

All schools regularly organized semester meetings with parents to recognize and celebrate accomplishments. From school B principal's view, "If there is parent involvement in the school, it is likely to increase expectations about student learning" (BTL-Principal interview, 29-July-2004). The data from research participants suggest that

there is positive improvement as a result of school-community partnerships. These partnerships increase their satisfaction in working as a group toward school improvement.

> When we invited parents to join the teacher-parent conferences at the school, the number of parents joining the school meetings reached almost 100%. It is a chance for parents to ask questions about the class or their child's progress (BTT-Teacher focus group, 02-Sept-2004).

At the end of the day, the principal's goals are to help the school learn about the community and inform the community about the school's purposes, programs and needs. Principal B commented: "The school can build trusting relationships by informing parents of decisions being considered" (BTL- Principal Interview, 29-July-2004). With this approach, the principal believes that parents can share the ownership of school activities and decisions and it will lead to continued support. Thus, maintaining communication between the school and the parents is a principal's responsibility that is essential for school growth and development.

4.4.3 Maintaining Effective Communication

Effective communication is an important element in the establishment of community partnerships as well as creating a shared vision. The principals need to provide sufficient time for effective and ongoing communication with teachers. Importantly, communication should include a shared vision for success, clear performance expectations of the school community and regular updates on emerging policies and initiatives shaping education.

Developing a vision and common sense of purpose across a school is an important role for all principals. But clear communication between principal and teachers is of equal importance. It is the principal's responsibility to clearly articulate the school's vision and mission to his team of teachers, students and parents. Principal B expressed his thought:

> When there is a new policy or objective to be implemented in the school, I normally convey this information and direction to the teachers in the first place for their awareness. If necessary I may organize a faculty meeting to

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convey the message to my staff and teachers. (BTL- Principal Interview, 29-July-2004).

Most principals in this study talked about their commitment to supporting school improvement. School C group of teachers commented: "The principal puts in a huge amount of effort spending many weekends at the school" (BTT-Teachers focus group, 02-Sept-2004). Communicating with teachers (while time consuming) is an essential ingredient of school improvement. The School E teacher group highlighted the management features of the principal role:

> The principal helps to organize meetings to discuss the relevant issues as needed. He is willing to have face-to-face discussions with teachers, in order to create common understandings about school change. Sometimes, he spends time talking with teachers as part of a process of negotiating and obtaining their support to achieve specific school objectives (PRM-Teachers focus group, 03-Aug-2004).

The school principal emphasised that when there is a new initiative or new program to be implemented in the school, he focuses on a process to communicate with his staff.

> If possible, I have a preliminary talk or discussion with my teachers on what should be done in the school, in order to get their feedback or comments. It can help create the commitment and trust among the group" (CHY-Principal interview, 08-Aug-2004).

School principal B emphasized the necessity of strong communication between teachers and principals so that teachers are simultaneously led in the right direction and supported in their efforts to improve student learning. At the same time, the principal also provided opportunities for teachers to expand their roles as school leaders. Principal F described his communications process to the group of teachers as follows: "I do briefings that support the communication among the teams or the group of teachers before implementation of the projects or the tasks" (LSK- Principal interview, 16-Aug-2004). In order to maintain

successful communication across the school environment, the principal develops and maintains an atmosphere of openness, confidentiality and trust. One principal commented:

> I encourage teachers and teams to suggest or express their opinions. It can build the commitment among the group of teachers; and it can definitely lead to the success of new educational programs" (LSK-Principal interview, 16-Aug-2004).

While the school is undergoing educational reform, the school principal needs to engage his teachers in understanding the policy. Principal B suggested: "While my school is implementing the new Educational Policy, my recommendation to my group of teachers is to stay focused on student learning outcomes which is most important" (BTL-Principal interview, 29-July-2004). As a change facilitator, the principal can send a clear message to his team members on how the future of school should be. The teachers from school E agreed: "The principal can bring a sense of order into the school" (PRM-Teachers focus group, 03-Aug-2004). The school principal needs to establish an appropriate understanding of the group of teachers that supports school activities.

The willingness of the school principal to meet regularly with teachers and staff to address any professional concerns provides an important opportunity to build trust. Discussing issues concerning teaching and learning, for example, can help to build understanding and consensus among the group of teachers. Principal E illustrated this further: "Most teachers understand the need for school change. Some of them enthusiastically try new teaching practices, such as small group discussions in classrooms" (PRM-Principal interview, 02-Aug-2004).

Communication between teachers is also a desirable channel for successful change in the school. Once a teacher network has been established, it is then necessary to identify those members who would be most receptive to new ideas. School C teachers indicated: "As the result of the discussions, appropriate methods and working groups to handle this project can be identified" (BTT- Teacher group, 02-Sept-2004). This research study has demonstrated how a principal can promote a positive working climate for the group and it

has highlighted the importance of making sure that the right people are getting the right information at the right time. As principal C expressed:

> I try to convince the group (teachers) to contribute and participate in the
> school development program as needed...I keep exploring new things in the
> school and bring this new information to teachers (BTT- Principal
> interview, 04-Sept-2004).

4.4.4 Curriculum leadership.

The principal has to have the skills and experience to manage the instructional and operational functions of his school. Principal B commented: "A school principal should be a knowledgeable and academic person with managerial skills" (BTL-Principal interview, 29 July 2004).

Curriculum development is an important component of school improvement and educational reform. A principal needs to have a sound working knowledge of instructional design and be knowledgeable about the general education curriculum. "A principal must possess a strong working knowledge in regard to the New Educational Policy, so as to support school reform" (PRM-Teacher focus group, 03-Aug-2004). Principal A supported changing activities to some extent with the group of teachers. "The Principal always looks for new methods to help the teachers in performing their jobs and to improve the working process as per new educational requirements" (WPP-Teachers focus group, 15-July-2004).

This research found that the principal is responsible for supporting curriculum development and monitoring academic achievement through ongoing evaluation of assessment data. "Principal A organized meetings with his assistants that focused on the recent mid-year examinations and how to improve learning outcomes" (WPP-Observation, 16-July-2004). Principal C encouraged teachers to raise their concerns about areas of weakness based on student assessment to see whether there is any impact from new curriculum. As school head, the principal needs to ensure that new teaching methods are planned and employed in the classroom.

During the current educational reform period, principals have become more hands-on and are now working closely with their teachers. Principal E explained: "I look at my regular tasks and functions that need to be done, as school principal. I try to participate in

as many school activities as possible, especially those related to curriculum development" (PRM-Principal interview, 02-Aug-2004). Another principal (from school A) commented: "Whenever, there is a problem with my teachers, I always work with them to find a solution" (WPP- Principal interview, 14-July-2004). Principal B added: "At 10.30, I conducted a classroom observation at Pratom 3 class (K-3) on the teaching methods being employed and the learning materials used in the classroom" (BTL-Principal diary, 15-July-2004). In this respect, the principal may discuss with the teacher after school hours, if he deems it necessary. As the principal B mentioned: "At the end of the day, I sometimes talk to teachers regarding teaching and any students' problems they may have" (BTL-Principal interview, 29-July-2004). The principal's idea is to use these routine acts as occasions for curriculum emphasis and improvement.

The principals B, C and E indicated that they actively worked with teachers to develop and maintain high curriculum standards. This study highlighted that the participation and collaboration among school staff was important for instructional development. Principal F expressed: "I try to share my knowledge and experience, especially in relation to education reform with my teachers" (LSK-Principal interview, 16-Aug-2004). The principal always spends time talking with teachers in the faculty lounge. As instructional leader, the principal plays an important role in stimulating curriculum development. Principal C commented: "I keep exploring new things for the school and bring these to the attention of my teachers" (BTT- Principal interview, 04-Sept-2004). He suggested teachers look at some new articles, especially related to educational forum. With a variety of educational information, teachers have the opportunity to look at how other educators and schools succeed and can apply similar methods in their own classrooms and school.

The principal promotes a positive working environment that supports the sharing of instructional strategies and responsibilities. Principal E suggested: "My working strategy is to encourage and promote the participation of all teachers. As a result, it can positively impact on overall team productivity" (PRM-Principal interview, 02-Aug-2004). This is due to the group focus on collaborative learning that fosters working together to solve problems beyond the capacity of any individual. The data indicates that the principal is also able to draw on the expertise of each teacher in relation to the implementation of curriculum. As Principal C indicated, he initiates the process by discussing it in general

faculty meetings. He understands that curriculum leadership does not exist in a vacuum but is simply one component of effective principal behaviour which can drive development. In this particular situation, school principal C emphasized the importance of collaboration, explained the nature of each function and clarified how teachers can provide input into the development process.

As a curriculum leader, the principal needs to set high academic expectations for addressing curriculum improvement. A teacher from school B group said: "The principal keeps reviewing lesson plans, supervising classroom instruction and monitoring curriculum. He needs to ensure that the teachers understand the development concepts" (BTL-Teacher focus group, 28-July-2004). By doing so, teachers claimed that they were able to see the linkage of key elements that support educational change in school. Principal A added: "Teaching and learning practice in the school should be according to curriculum and cover all subjects' scope designed for each particular grade level" (WPP-school principal interview, 14-July-2004). Furthermore, teacher professional development was another factor that was essential in enhancing school curriculum. The school F group of teachers observed: "The principal believed that teachers needed additional training to support instructional improvement" (LSK- Teachers focus group, 17-Aug-2004). That is why working closely and monitoring curriculum is an important responsibility of the school principal as the curriculum leader.

4.5 Human Development:

In the research schools, principals play a key part in acquiring, developing and retaining human capital. In addition to supporting recruitment, orientation and socialization of new staff, they evaluate performance and provide feedback regarding teacher performance improvement. Principals are commonly involved in helping teachers plan for professional development.

Principals evaluate teaching performance, recognize good instruction with positive feedback and coach teachers on using assessment data and managing classroom behaviour. They are acting as both human capital managers and instructional leaders. From their own teaching experiences, principals sometimes have valuable insights into the challenges teachers face in their classrooms. This research found that they also position themselves as

guides and as models for teachers who, in the face of significant change, have to become learners themselves. Knowledge about school reform models and continuous and intensive professional development are all crucial in establishing the knowledge base necessary to support educational reform.

Within this broad domain of human development, the principals exhibited three common responsibilities: professional development, collegial support and team building.

4.5.1 Professional Development

This research indicated that principal leadership played a key role in influencing teacher and student learning. Principal E expressed: "I try to support (my teachers) with regard to the development of learning activities that conform to the new educational reformed policy" (PRM-Principal interview, 02-Aug-2004). There is mandatory personal development for all teachers to be completed within a particular timeframe after the implementation of the New Education Act 1999. It is important that teachers are able to plan their training schedule to fit with their normal classroom activities and planning. In supporting this, principal B highlighted: "I fully support teachers in their professional improvement, both in teaching practice and personal development" (BTL- Principal interview, 29-July-2004). The data collected in this research reveals that these principals take a leadership role in helping teachers to improve their knowledge and skills. Principal C indicated that he helps teachers solve problems on a day-to-day basis (BTT- Principal interview, 04-Sept-2004), while school A teacher group said that their principal always provides feedback on teaching practice (WPP-Teachers focus group, 15-July-2004).

Much of the teacher professional development in the research schools focused on the New Education Act's requirements concerning the adoption of new curriculum and teacher re-certification. In accordance with new education policy, teachers need to have opportunities and support from the school principals. Teachers from school D supported this: "The school principal gives a lot of support to school improvement and staff training" (PRM-Teachers focus group, 03- Aug-2004). Teachers from school D added that it can help teachers in working with the new curriculum. Principal D mentioned that whenever time was available, he supported his teachers in participating in training that focussed on

their curriculum development programs (CHY-Principal interview, 08-Aug-2004) and encouraged teachers to participate in in-house group and team learning.

Professional development is a valued activity at most schools. Teachers may choose workshops and conferences to attend. School F group of teachers commented: "He (the principal) keeps supporting his staff to make improvements especially in the areas related to teaching and learning practice" (LSK -Teachers focus group, 17-Aug-2004). Teachers claimed that they were developing a better understanding of the new curriculum. Participants believed that principals should mentor or coach their teachers as a form of professional development. The principal B stated: "We have to nurture our teachers. I really view my role as a principal as being the resource person" (BTL-Principal interview, 29-July-2004). Teacher groups from schools C and D had similar opinions in which the principal remained as an important resource for teacher professional development.

The funding and time release for professional development is of great importance and needs the principals' attention. Teachers commented: "The principal supports most professional development, although the school budget is quite limited" (PRM-Teachers focus group, 03-Aug-2004). Nonetheless, the principals attempt to ensure that professional development is available to teachers throughout the year and according to requirements stipulated under New Educational Act. Principal E introduced a personal development program using internal training and seminars by exchanging training staff with neighbouring schools. This is an innovative approach to improving teacher competency in accordance with New Educational Policy, particularly under the current situation of deficit budgeting.

4.5.2 Collegial Support

Professional development and learning in school learning communities require strong support in developing collegial relationships. Developing supportive conditions that enable school staff to interact productively and positively with one another as professional colleagues contributes to developing collegial relationships. Personal qualities of the principal were identified as being an important aspect of building such relationships among the school staff. The school D group of teachers indicated: "The principal always maintains

a warm and friendly relationship with teachers and parents...He always provides positive feedback to the teachers" (CHY- Teachers focus group, 09-Aug-2004). The information from the principals not only related to academic aspects, but to personal concerns as well. Principal B indicated: "teachers can see me whenever available to discuss their concerns" (BTL-Principal interview, 29-July-2004).

As the head of school, the principal must establish and maintain an effective working environment. Principal A indicated: "As the principal, I need to provide a good role model for my teachers, students and parents" (WPP school principal interview, 14-July-2004). The principals in this research identified their personal and professional codes of ethics as important issues for teachers. They highlighted values, beliefs and attitudes that inspire others to higher levels of performance as of critical importance. In addition, teacher participants' feedback encouraged principals to act as role models particularly for new teachers about new teaching methods. Principal C commented: "As an internal expert, I can demonstrate new teaching practices that can be implemented in our classrooms" (PRM- principal interview, 02-Aug-2004). In this way, the school principal acts as a key resource in supporting teachers.

The principals focused on developing trusting relationships among their teachers in an open and honest manner. School principal D suggested: "I try to promote an atmosphere of trust and mutual respect and avoid a blame culture in the school" (PRM-Teacher focus group, 02-Aug-2004). This principal encouraged teachers to bring up any issue for discussion at anytime. Similarly, school principal F added: "I always visit the faculty lounge to have social discussions with teachers. Teachers can openly express their opinions which might be relevant to their work or personal issues" (LSK- Teachers focus group, 17-Aug-2004). Common amongst these school principals was the support and maintenance of a warm working environment with teachers in their schools. This behaviour is normally regarded as a key leadership quality in Thai society.

The principals help to stimulate learning activities among the group of teachers in their schools. The teacher group from school C commented: "The principal always participates in group discussion and helps in establishing the working processes by providing advice on program strategy" (BTT-teacher focus group, 02-Sept-2004). The principal has been leading the campus as a collaborative team member. A teacher from the school B group

added: "He (the principal) assumed the role of leader to support collaboration and innovation and has successfully continued that role with the support of teachers and parents" (BTL-Teacher focus group, 28-July-2004). From the teachers' view, principal B encourages teachers to look for new ways of doing things such as looking for new sources of information or utilizing existing resources in a different manner. Collegial support helps teachers to implement educational reform activities into their classrooms.

The principals provided guidance and support as required to their staff. The school E teachers further commented: "Whenever needed, the principal helps solve problems and gives appropriate suggestions" (PRM-Teacher focus group, 03-Aug-2004). Principal E had taken part in a meeting with parents regarding students' issues in order to help solve the problem with teachers and parents. Another group of teachers from school F said: "It seems the principal is willing to give specific advice to the people around him all the time" (LSK-Teachers focus group, 17-Aug-2004). For example, this principal suggests to teachers how a team should work in developing new curriculum across a grade level or how to plan for professional development under the constraints of the situation. Participants agreed that principals have a responsibility to support teachers to do their work better. School principal F emphasized further:

> If we can support them in doing their jobs and thus motivate them, then they should be able to perform better...I always provide positive feedback and encourage the teachers to do things better (LSK- Principal interview, 16-Aug-2004).

Solving problems is also an important role for the principal particularly during school restructuring, as many unexpected events and situations arise that require leadership and support from the school head. School E principal commented: "I help teachers solve teaching issues using face-to-face discussion and provide possible solutions" (PRM-Principal interview, 02-Aug-2004). At the same time, the principal needs to support teachers who are interested in developing new methods to improve their teaching practices. School principal E shared, for example, journal articles and other sources of information with his teachers. School principal B made personal contact with all staff and teachers and worked closely with them in solving problems. The school B teacher group explained:

Teachers were pressurized when we started implementing the educational reform project. With principal support, there is more acceptance among teachers as they work towards school objectives without fear (BTL-Teacher focus group, 28-July-2004).

If necessary, the principal should provide forums for teachers to raise any concerns and potentially share solutions about on-going change in school. The human element is also a key component and of equal importance in addressing the change in school. A school A teachers' group expressed the view: "He (the principal) always provides positive feedback for staff to increase their morale and satisfaction" (WPP-Teacher focus group, 15-July-2004). Principal A invested considerable time and energy to help teachers to work more effectively across the school change effort. Another teacher group from school E commented: "Teachers have a clearer view concerning the work process in the current school change environment and we now make use of that process to support school improvement" (PRM-Teacher focus group, 03-Aug-2004). Essentially, the collegial support from school principals helps teachers to work more effectively for school change and reduces difficulties in dealing with uncertain circumstances.

4.5.3 Team Building

The role of the principal is pivotal for the successful implementation of a school restructuring program. A primary responsibility of the principal is to bring members together to fulfil the mission of that organization. School principal F said:

Increasing team work (amongst teachers) is important. I try to promote it among this group of teachers, so as they can work together and share their knowledge and experiences, especially regarding school and educational reform (LSK-Principal interview, 16-Aug-2004).

The principals in these schools are more focused on developing a collaborative environment. They believe it can lead to more connectedness between faculties within a school and community. School principal B commented: "I support any efforts in creating a

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collaborative working environment in my school" (BTL principal interview, 29-July-2004). In this aspect, teachers are empowered and encouraged to try out new approaches and ideas. Teachers acknowledged this: "The principal gives teachers a free hand to do things and encourage them to make suggestions no matter how it materializes" (WPP-Teachers focus group, 15-July-2004). Principals C and E shared the same thought that they try to develop a working environment in the schools so that teachers can work together. From the participants' view, developing collaboration and cooperation tends to lead to a sense of ownership and commitment. A teacher from school E commented: "The principal wants us to make use of working in groups, so that team members can learn to trust each other and work in a collaborative atmosphere" (PRM-Teacher focus group, 03-Aug-2004).

This study reveals that these principals employed various approaches in order to promote team work in their schools. Principal D suggested: "I try to promote team building in respect to developing activities in different grade levels" (CHY-Principal interview, 08-Aug-2004). Principal A met with teachers in their own homes in order to build strong team work and promote collaboration across the school levels. Building teams can be a way to help teachers to overcome their isolation and develop opportunities to reach out and share ideas. Data from principals and teachers agreed that the principal should include all stakeholders in leadership development and decision making. Principal B further elaborated the importance of team building:

> Moving forward to educational reform required a significant reorganization
> at the school. Thus, team building was the infrastructure for the changes that
> we made...We need the support and contributions from all school members
> (BTL principal interview, 29-July-2004).

Furthermore, the group of school B teachers added that they treated group work and collaboration in the school community as a key factor for successful educational reform including community building as relationships are the key to success.

In conclusion, this part of the chapter has described roles and functions exhibited by the principals from six elementary and secondary schools. The findings illustrate how principals behaved while performing their normal tasks. The majority of respondents consistently identified the following eleven distinct principal role characteristics. At the

heart of school capacity are principals focused on delegation, creating school vision, establishing community partnerships, maintaining effective communication, professional development, team building, collegial support, curriculum leadership, administration, monitoring and evaluating. Obviously, principals valued the idea of 'the human element' and the importance of taking both a personal and a professional interest in people. It was this particular focus that principals fostered to channel their energy for promoting and generating change initiatives.

Principals and teachers expressed their viewpoints about principal roles in slightly different ways. The principals paid particular attention to their schools' operation and about their roles as school leaders. Conversely, the teachers talked about specific roles of principals and actions they took to influence change. They highlighted roles that included being an innovative person, a good communicator, improving working relationship both internally and externally and performing as a leader who has a true interest and concern for people within the change process.

4.6 Summary

This chapter described the research findings concerning the roles of school principals. Three major roles of school principals were identified; management and control, leadership and innovation and human development. Under these three major roles, there were eleven role types identified and discussed; administration, delegation, monitoring, evaluation, creating school vision, establishing community partnerships, maintaining effective communication, curriculum leadership, professional development, team building and collegial support.

CHAPTER V

PRINCIPALS AND PROCESS OF SCHOOL CHANGE

5.1 Introduction

Most schools in Thailand are in the process of educational reform under the New Educational Act, 1999. There are various activities in each school which focus on school change and improvement. The principal and teachers are not only looking at teaching and learning approaches but also at school administration and governance procedures. School educational change is considered the change that occurs in all aspects and at all levels of the educational process and thus involves students, teachers, principals, parents and community members.

This chapter provides the analysis of data from principals and teachers about their perceptions of principal and types of school change. The study identifies the roles of the principal that specifically support educational change and attempt to overcome the obstacles to change.

To analyse of school principal and process of school change, I identified three categories which related to school change and its impact:

1. Issues for supporting educational change
2. Increased student achievement
3. Obstacles to change

5.2. Issues for Supporting Educational Change

Educational achievement is the ultimate goal for the New Educational Reforms. Teachers provided evidence that principals do indeed make a difference in their schools. As suggested by teachers of school B: "The role of school principal and the way he practices have much impact on the internal process of the school and its outcomes" (BTL-Teacher focus group, 28-July-2004). Based on participants' information, research data points toward some key principal practices that can influence educational achievement.

Within the area of school educational change there were three key support categories: (1) Improved collaboration between stakeholders, (2) Innovative teaching, learning and curriculum and (3) Improved teacher professional development.

5.2.1 Improved Collaboration

School administration and governance procedures are key elements of school reform. They influence how schools are managed and what roles teachers and principals play. The school C teacher group highlighted the change that occurred in their school: "School organizational structures were changed to conform to new educational requirements" (BTT-Teachers focus group, 02-Sept-2004). They strongly believed that all team members had developed collaborative attitudes about the common goals of the school.

Working collaboratively was a key priority in the schools. School principal C stressed: "I encourage teachers to participate in school decision making" (BTT-Principal interview, 29-July-2004). From school principal D's view, working collaboratively enabled teachers to draw upon the contributions, talents and efforts of each other. The school B group of teachers commented: "The principal always emphasizes to staff that the school community should work as a team and help each other, especially in relation to improving teaching and learning practices" (BTL- Teachers focus group, 28-July-2004). The data from participants showed that they treat 'group collaboration' in the school community as a key factor in achieving successful educational reform.

According to a teacher group from school D: "The principal kept promoting collaboration amongst us in the school.The principal does not only provide suggestions but he also works closely with us" (CHY-Teachers focus group, 09-Aug-2004). Increased communication between staff members and increased collaborative team work are becoming common features in the research schools. The teachers from school B also highlighted this in their school: "It's quite common that a team of teachers (in our school) participate in solving a problem and working on cross functional tasks" (BTL-Teachers focus group, 28-July-2004).

Issues related to site-based decision making, shared leadership and community involvement programs were found to be common in the schools participating in this research. The group of teachers from school F indicated that, if the school staff can make their own decisions, it can help the school develop more efficiently and effectively in many ways. They argued that locating the decision making at the school level facilitates the school in achieving its school vision.

The participants from school F suggested that their school leader was one who empowered others, encouraged creativity and flexibility in order to promote collaborative planning and shared decision-making in an effort to develop trust throughout their school. The principal utilized these strategies as a catalyst for successful school restructuring and reform. However, encouraging faculty, staff and student involvement is just the beginning of collaboration. School members must begin to work more effectively with parents, the business community, universities and the external profession.

As principal E's assignments to the teachers show, delegation was an essential part of his leadership. Even though the school principal wanted to be part of all school activity, he had assigned certain responsibilities to selected teachers. School E teachers commented: "For things that could easily be handled by others, the principal readily gave those duties to us" (PRM-Teacher focus group, 03-Aug-2004). In general, the principal was aware of his limits and delegation was a tool for ensuring that those limits were not breached.

In addition to delegation, effective communication was also a key responsibility of the principal. Perhaps the most common component of school reform found in this study were the organized efforts to increase interaction and communication among teachers and between teachers and principals. Efficient chains of communication within the school (e.g. Staff meetings, memos to staff and newsletters) were essential in supporting change and improvement.

In addition to staff collaboration, cooperation between school, parents and the broader community was also important. Information from teachers indicated that their schools were interested in parents' suggestions regarding educational improvement. The teachers should work together with parents and other external organizations to enhance the learning opportunities for their students. A teacher from school B stressed: "A school is treated as part of the community in many ways. The collaboration with parents and communities is crucial in supporting school development" (BTL-Teachers focus group, 28 July 2004). All school principals emphasised the importance of community collaboration in enhancing the growth and improvement of their schools.

5.2.2 Innovative teaching, learning and curriculum

In the research schools, there was a focus on authentic student learning and effective teaching. Innovation is often guided by highly dedicated individuals with a strong vision of the future and unflagging dedication to achieving that vision and the ability to motivate others to actualize that vision. Innovation often reflects the school vision, direction and objectives that must be achieved in conjunction with new educational reform. It is the school principal's responsibility to lead his/her school toward its vision and goals. Often the innovation is given form and shape by teams of individuals who share the vision and are empowered to bring the vision into reality.

School principal D looked at changing curriculum as part of pedagogical innovation. He focussed on incorporating new ways of teaching that would match the learning needs of his students. School B teachers added: "The teaching practice should be fitted to each individual subject and learning topic" (BTL-Teachers focus group, 28 July 2004). Teaching and learning practices are being reformed as innovative curriculum is developed and implemented. School principal B paid attention to using computers to enhance English literacy of his students. One key theme of the New Education Act, 1999, is to improve the quality of educational technology. Principal C commented that technologies can create flexible teaching methods and curriculum materials that can reach diverse learners and improve student access to the general education curriculum. Although principals and teachers have different views about educational innovation, they have a common belief in the application of technology in supporting the adoption and implementation of new curriculum, teaching and learning practices. School B teachers observed: "Teachers must keep improving and developing their knowledge and skills at all times, so that they can catch up with new technology and globalization in today's world" (BTL-Teachers focus group, 28 July 2004).

Individual teachers are in an ideal position to instigate innovative practices and processes. Teachers from school C indicated: "Teachers try to come up with new ideas for improving teaching and learning of students" (BTT- Teachers focus group, 02-Sept-2004). From the teachers' view, the school principal should encourage teachers to be innovative:

He emphasizes the importance of improving the teaching and learning practices according to the new educational reforms...He is looking to improve the quality of the learning materials, equipment and information technology used in the school (CHY- Teachers focus group, 09-Aug-2004).

Information technologies (IT) play an important role in schools. Principals and teachers are looking for ways to integrate technologies into the classroom and support innovative pedagogical practices. Principal B encouraged his teachers to be innovative in their teaching and learning. As suggested by school F teachers: "The teachers should give the students the opportunity to search for knowledge outside the classroom such as from a library or from the internet" (LSK-Teacher focus group, 17-Aug-2004). In this aspect, the principal encouraged his teachers to use computer technologies to enhance student learning. Principal B indicated: "I encourage the group to make use of new technology such as introducing computers into classroom activities" (BTL principal interview, 29-July-2004).

The school E group of teachers highlighted some IT engagement in which their students have participated: "On some occasions, we have used computers, studied topics via Internet sites and participated in group work on topics such as 'Weather in Asia' (PRM-Teacher focus group, 03-Aug-2004). The teachers suggested that with this approach, they can help students to see how the world is linked and how different parts affect each other and how it enables the students to develop a more global view of their world.

The principal's vision provides a school with a direction for development and innovation. However, a principal needs to motivate as well as lead school members to develop a shared vision of innovation in their school. Principal C argued that supporting the inclusion of IT in the curriculum can strengthen the quality of teaching and learning across the school.

5.2.3 Improved Teachers' professional development

Never before in Thailand has there been a greater recognition of the importance of professional development for teachers. Every proposal to reform, restructure, or transform schools emphasizes professional development as the primary vehicle needed to bring about change. "Teachers should possess appropriate knowledge and experience in their work and

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in the teaching of subjects" (CHY-Teacher focus group, 09-Aug-2004). Due to the shortage of school teachers in Thailand, school principals are having difficulty in matching qualified teachers to specific subjects. Principal E commented: "Professional development for teachers is also important, both for personal knowledge and teaching technique" (LSK-Principal interview, 16-Aug-2004). Principal B supported the view that it is the principal's responsibility to ensure that teachers have sufficient time and opportunity for professional development.

Current educational reform in Thailand requires teachers not only to update their skills and knowledge but also to change the way they normally work in order to conform to educational reform requirements. The school B teacher group commented: "The teachers are concerned with their daily duties, roles and responsibilities and they put a huge effort into doing their job" (BTL-Teachers focus group 28-July-2004). The educational reforms have identified new expectations for students, teachers and school communities such as placing a focus on the students and promoting and developing sources of learning in each school. In some cases, educators may not have expected or been prepared to meet these expectations. School principal C commented: "We need teachers to pay more attention to their professional knowledge, especially concerning teaching and learning" (PRM-Principal interview, 02-Aug-2004).

Professional development is needed not only because it is stipulated in the New Education Act 1999. Principal B stressed that professional development is a key tool that keeps teachers abreast of current issues in education, helps them implement innovation and refines their practices. School principal C elaborated:

Most of the teachers are enthusiastic about professional development...not only complying with new reform regulations, but focusing on professional development that will enhance their personal knowledge and skills (BTT-Principal interview, 04-Sept-2004).

Teachers generally view the principal as a helper, supporter and source of information and resources for professional development. The school C teacher group commented that their principal shares articles, websites, tapes, books and information about topics and

conferences with teachers. In return, teachers are comfortable sharing their professional goals and asking the principal for assistance in pursuing professional growth opportunities.

Some principals from this study acted as role models in order to support teachers' professional development. By setting an example as a lifelong learner, one principal established his school as a learning organization where ongoing professional development was the norm. It seemed in the research schools that when the principal modelled continual learning, other staff members were likely to focus on their own professional development. Principal C suggested: "I share with teachers the joys and frustrations of learning new skills and discuss new ideas and possible ways to improve the school and increase student achievement through the growth of the knowledge" (BTT- Principal interview, 04-Sept-2004). Principal F also added: "One strategy to encourage ongoing learning is for the principal and teachers to participate in professional development activities together" (LSK-Principal interview, 16-Aug-2004). In this aspect, both the principal and the teachers benefit from learning together. Principal E added: "I promote participation from staff and teachers in order to be able to get to the point of the problem and identify the appropriate solution" (PRM - Principal interview, 02-Aug-2004).

The participants indicated that they saw support from the principals for teacher professional development as collegial support. School A teachers commented: "The principal regularly provides mentoring for new teachers as collegial support" (WPP-Teachers focus group, 15-July-2004). As a mentor, this principal shares professional knowledge with teachers modelling both 'expected behaviour' of teachers and a willingness to be open. Likewise, school principal E added, "As part of collegial support, I encourage teachers to talk and discuss with me any problems they face" (BTL principal interview, 29-July-2004).

The principals offered personal support to teachers in a variety of ways. School C principal commented: "Seminars and professional development workshops can support teachers in continuing their education" (BTT- Principal interview, 04-Sept-2004). Teachers from school B commented: "The principal gives the opportunity to all staff and teachers to improve their potential and knowledge" (BTL-Teachers focus group, 28-July -2004). In school B, the principal set up the Promoting Professional Development Committee for

supporting teachers' self development schemes. Principal B added that he also joined the group as a member in order to provide collegial support.

Despite limited budgets, all principals continued to develop strategies in order to support their teachers. The principals developed creative ways to give teachers the time, money and support they needed for professional development. School D teachers indicated that many teachers were very willing to learn new strategies and techniques but were frequently prevented from doing so because of time constraints, lack of funds or the absence of administrative support. Their principal actively sought ways to help his teachers to find the time to learn and provide them with the available resources and encouragement they needed.

Professional development can bring positive change in teaching practices in schools. The school E teacher group commented:

> We developed a specific method to improve students' achievement in
> literacy (ability to read and write) and numeracy (mathematics)...There is
> improvement also in the subject content that is necessary for students'
> learning and development, including extra curriculum which is integrated
> with local wisdom (PRM-teacher focus group, 03-Aug-2004).

Because teacher professional development is critical for the success of school improvement initiatives and student achievement, the principals place a high priority on the continual professional development of the teachers in each school. With increased access to professional development, teachers in schools are becoming more confident in performing their tasks. As school C teachers suggested: "The teachers and staff are enthusiastic about their professional work and career and they give huge efforts to their jobs" BTT- Teachers focus group, 02-Sept-2004).

5.3. Increased Student Achievement

The ultimate goal for educational change is increased student achievement thus, the school principals and teachers need to employ a number of methods and practices in order to make this achievable. Student achievement is a process which prepares young people to meet the challenges of adolescence and adulthood through a coordinated, progressive

series of activities and experiences which help them become socially, morally, emotionally, physically and cognitively competent (ONEC, 2002). Data from research participants has demonstrated that teachers and principals are paying greater attention to improved student learning, especially in conjunction with educational reform. School principal E indicated: "In general, students' academic and social development has improved" (PRM-Principal interview, 02-Aug-2004). Principal A commented: "we need to look at both sides – the academic and the social, in considering whether a school is successful in terms of student achievement" (WPP-Principal interview, 14-July-2004). Most participants had the same opinion when they looked at this objective of school reform.

Student development is one of the key goals in each school and is the theme of the New Education Act, 1999. School B teacher group commented:

> The learning outcomes of students are quite satisfactory. For example; we can see overall reading and writing scores of students have slightly improved. However, effective schools should able to increase the learning potential of all their students (BTL-Teacher focus group, 28-July-2004).

Educational reform in Thai schools has previously focussed on improving student learning outcomes; improving teaching and learning practices; increased curriculum development and increased provision of professional development and training programs for teachers. School principal E emphasized the change. In schools today: "teaching practice is focused more on students' needs and development" (BTT-Principal interview, 04-Sept-2004). A Teacher from school B added: "We need to look at how teachers' practice can support students to improve their knowledge and capability" (BTL-Teacher focus group, 28-July-2004). The information from participating teachers has shown that educational reform is requiring new teaching methods, new curriculum and new practices that support students' development. While implementing the New Educational Policy, the message for all schools is to focus on improved student learning outcomes.

School performance is based on the academic achievement of students. School principals are now more accountable for the academic performance of all their students. School leaders are expected to know the most effective techniques for improving

classroom instructional practices to increase student performance. Principal B suggested: "As principal, I should understand how to improve the curriculum including establishing effective curriculum and evaluation" (BTL-Principal interview, 29-July-2004). Thus principals have become more responsible for teaching and learning in their schools. Their duty to monitor instruction has increased their responsibility as principals to help teachers improve their teaching practice.

This study found that principals spent considerable time in classrooms. They believe that being in the classroom lets them know what is going on and gives teachers the opportunity to receive help with their instructional efforts. For principals, this is a challenging task as they cannot be in every classroom all the time. Many principals used a strategy of allocating five to seven minutes visits to each classroom in their school. Principal A identified a focus area for classroom observation ahead of time, usually by posing a question. This approach helped him focus on the key elements that he is trying to highlight. After completing this 'walk-through' the principal analyzed the information and decided how to best support his staff.

The principal promoted risk taking as teachers trialled new initiatives. School principal B encouraged his teachers to take risks in trying new methods and programs. The teacher group of school B commented: "We introduced new teaching methods into our classrooms that we have never used these before" (BTL-Teachers focus group, 28-July-2004). The teachers added that new teaching methods were developed through group collaboration. Through this collaboration, ways of identifying and solving problems despite differences of professional opinion amongst the group of teachers emerged. The focus for all was on the students and the curriculum. A school principal who understands and promotes effective instruction can help staff members to develop and maintain a collaborative professional school culture, where they can solve problems together more effectively. School principal D added: "I always participate in the grade-level meetings to discuss teaching and learning issues" (CHY-Principal interview, 08-Aug-2004). The principal ensured that all teachers were involved and contributed to the instructional program in the most effective ways.

Instructional support is also crucial for student learning. The participants believed that there was a relationship between instructional strategies and materials and student performance. The data indicated that teachers needed good instructional support materials, along with diagnostic tools and research information. The principals were committed to ensuring that there was sufficient equipment and resources available to support teaching and learning in the school. A group of school A teachers commented:

> The learning materials and equipment must be sufficient for the teaching and learning activities. "Today there are only 10 sets of computers". Our principal is looking to increase the number of sets to enable students to learn (WPP-Teachers focus group, 15-July-2004).

Increased access to computers and to the internet is essential for student learning. "We give students the opportunity to discover information outside the classroom, such as from the library or internet" (LSK-Teacher focus group, 17-Aug-2004). The school E teacher data indicates positive outcomes for student learning: "We sometimes incorporate articles retrieved from the internet into classroom lessons. It has increased student enthusiasm to know more about that topic" (PRM-Teacher focus group, 03-Aug-2004). School leaders need to provide teachers with the resources and materials necessary for the successful execution of their duties. Principal C confirmed the improvement of student achievement at his school: "By referring to the National Test, currently our school achieved 25th out of 150 schools in our educational district and I am quite satisfied by its achievement" (BTT-Principal interview, 04-Sept-2004). The principals and teachers believed that technology can improve student learning. Principal D commented: "IT can provide appropriate learning materials and resources and channel them to develop the potential of the students" (CHY-Principal interview, 08-Aug-2004).

5.4 Obstacles to Change

People see and respond to change in many different ways. While some embrace change and all that it has to offer, others fear change and respond quite negatively. The effect of school culture on school improvement efforts is significant. Managing school change and improvement is one of the most complex tasks of school leadership. School leaders need to

understand the change process in order to lead and manage change and improvement efforts effectively. They must learn to overcome barriers and cope with the chaos that naturally develops during the complex process of change.

Based on the research data, I identified the following seven challenges to school change: (1) Resistance to change, (2) Workload, (3) Commitment to change, (4) School Budget, (5) System and school, (6) Change structures and (7) Speed of change.

5.4.1 Resistance to change

Initiating change in schools is highly challenging, complex and messy work typically due to the fact that change is rarely welcomed. The school A teacher group commented: "Teachers are confused about what should be done in complying with new educational policy" (WPP-Teachers focus group, 15-Aug-2004). Principal C observed: "There is little confidence among teachers and they are reluctant to move ahead" (BTT-Principal interview, 04-Sept-2004). It seems to them that there are unclear policies and working procedures for the school to deal with change. The teachers of school D commented: "Everyone talks about educational reform today but we have no clear guidelines about how educational change should be adopted in the school" (CHY-Teachers focus group, 09-Aug-2004). Even though educational reform has been implemented in schools for quite some time, teachers are still not comfortable. A teacher from school A added: "The staff are still accustomed to what they had done before" (WPP-Teachers focus group, 17-Aug-2004). In order for schools to develop and grow, learning and teaching practice needs to be reviewed and changed.

Resistance to change can lead to decreased school performance, difficulty in adopting new practices and decreasing teacher and staff morale. "Many teachers are under pressure and not so happy about the educational reform" (WPP-Teachers focus group, 15-Aug-2004). There is a fear of failure amongst some teachers which could negatively impact on their performance in conforming to school reform. The school C teachers suggested: "Most teachers are worrying about new educational reform in schools today, as its success will be indicative of the teachers' performances in their schools" (BTT- Teachers focus group, 02-Sept-2004).

Since educational reform of this magnitude has not been attempted in Thai schools before, some teachers are demonstrating a reluctance to fully commit to the school reforms. Teachers claimed that there is a lack of respect and trust in the change initiator (government office) as they are now being required to do more things as a result of this change. Data from school D teachers indicated that: "There is a lot of documentation and work for the teachers, as a requirement of this new education scheme" (CHY-Teachers focus group, 09-Aug-2004). Hence the challenge for principals is to create greater confidence amongst their teachers to support the change in their school environments. School principal C indicated:

> Teachers are knowledgeable and have potential but they need someone to lead and bring out their expertise to effectively perform their roles. As a school principal, it is my responsibility to lead the group (BTT-Principal interview, 04 Sept 2004).

Many of the principals acknowledged and understood the resistance to change that was evident in their schools. School C principal noted: "Teachers are reluctant to change" (BTT-Principal interview, 04-Sept-2004). Because most of today's teaching force is already reaching middle age, school change is requiring more support than most leaders anticipated.

The data from the school A teacher group indicates most teachers are willing to change but need additional direction and support. They need models and leaders who can provide encouragement and increase their confidence. Principal F commented: "With increased participation, we can create greater self-confidence that enables the staff to cope the change. The teachers need genuine support from me as principal during this process (LSK-Principal interview,16-Aug-2004).

Implementing educational change is no longer a matter of choice under the national agenda; it is a matter of necessity for the future. In this aspect, school principals have no other choice but to act as agents of change and lead their teams of teachers in this period of reform. Principal C sees the change as an on-going process and thus he must foster a climate of innovation and creativity.

Some teachers resist the change. "Resistance among the group of teachers is still being observed in schools" (WPP-Teachers focus group, 15-July-2004). Principal C commented: "There is still some resistance observed in my school" (BTT-Principal interview, 04 Sept 2004). However, the data from participants suggests that school principals are having some success in overcoming the resistance. School principal E indicated that the increased participation of teachers in change activities, has resulted in them being more comfortable with the change (PRM-Principal interview, 02-Aug-2004). School principal F suggested: "I invite them (the teachers) to contribute whenever they feel ready and willing to try something new" (LSK-Principal interview, 16-Aug-2004).

In addition, the school D teacher group indicated that most staff accepted the change and there was less resistance (CHY-Teachers focus group, 09-Aug-2004). However, there were some complaints about change that had taken place in the school, as there were additional tasks to be done causing increased frustration, anxiety and depression, resulting from some aspects of their work. Nevertheless, they had no choice but to follow. School principal E commented that this comprised only a small number of mostly older teachers (PRM-Principal interview, 02-Aug-2004).

5.4.2 Workload

Change in organizations can create both new opportunities and at the same time, excessive work pressures. During reform implementation, teachers often experienced the cumulative effects of an increased workload. Most of the teachers who participated in this research expressed a similar opinion: "One thing that most of the teachers complained about is the workload, as there are many things to do during this period of time" (BTL-Teacher focus group, 28-July-2004). School principal A agreed that these reforms generated a lot of unnecessary paperwork and have increased teachers' workloads.

Some teacher participants felt the increased workload was creating a negative impact on classroom activity as there is insufficient time for teachers to reflect on their pedagogy. The school D teacher group stated: "Teachers in schools have complained about additional workload and the impact on their normal teaching activities" (CHY-Teachers focus group, 09-Aug-2004). Another group of teachers from school A had similar thoughts: "There is more work, of course, to comply with the new educational restructuring scheme and that

takes away the teaching time in the classrooms" (WPP-Teacher focus group, 15-Aug-2004). These teachers also suggested that teacher workloads can negatively impact on school effectiveness, as they are not be able to give proper attention to teaching the students in the classrooms.

For many teachers, there is not much change in reality. What they notice, is more paper work. School F teachers commented: "There is more recording work, more documents to complete. There is no real change; just a lot of documents to record" (LSK-Teacher focus group, 17-Aug-2004). The teachers indicated that most of the tasks were rushed due to deadlines. Teachers from school D added: "There is a lot of documentation work for the teachers and it must be completed within a specific timeframe, especially for external assessment" (CHY-Teachers focus group, 09-Aug-2004). School A teachers shared similar thoughts: "Some work documentation is duplicated and there are no proper systematic working procedures to handle this abundance of information" (WPP-Teacher focus group, 15-Aug-2004). For many teachers, working within this the educational reform plan has become a significant burden for them.

In an apparent effort to alleviate some of this workload on teachers, additional staffing was employed to do some of the documentation work outside of the classroom. Teachers from school C argued that in addition to more staff, there was a need for smaller classes, guaranteed planning time and more specialists made available in their schools (BTT-school principal interview, 04-Sept-2004).

The inability to find time and the inefficient use of time greatly affected teachers' opportunities to discuss issues regarding their vision, their goals, the students and the curriculum. Planning and implementation activity associated with educational reform, was consuming valuable time that teachers felt could be better spent on pedagogical preparation. Data from school C teachers indicated: "Teachers need to spend most of their time preparing documentation to conform to the new educational policy requirements. Sometimes, teachers have to teach without proper preparation" (BTT-Teacher focus group, 02-Aug-2004). Essentially, this can have a significant impact on student learning and performance including educational reform implementation.

Teachers expressed their frustration with regard to the lack of time available for them to participate in staff professional development programs and activities that support their

teaching. The school A group of teachers stressed; "Our school is now experiencing too many new policies from government offices, too many things to do other than our normal classroom teaching" (WPP-Teacher focus group, 15-July-2004). As a result, the teachers tend to use the little time available independently for grading, planning or other urgent tasks. No time or structure was designated specifically to facilitate collaboration among teachers. The group of teachers from school B shared the same concern: "There is not enough time for teachers to work as teams and to create a shared vision that focuses on authentic student learning" (BTL-Teacher focus group, 28-July-2004).

As mentioned above, workload concerns have arisen in most schools with teachers expressing frustration at their difficulty in performing normal teaching activities or classroom preparation. Nonetheless, some teachers have attempted to work more collaboratively in order to address all the tasks. A school C teacher group commented: "For example, teachers can share learning materials and equipment, cooperate between different subject groups or share new ideas and opinions between different groups" (BTT-Teacher focus group, 02-Sept-2004). Essentially, team building and collaboration across the school can help reduce difficulties and obstacles faced by teachers and principals. The school D teacher group added: "Teachers are now more comfortable to deal with various school activities as a result of group work and helping each other" (CHY-Teacher focus group, 09-Aug-2004). Additional support for teachers in terms of adequate preparation time, manageable workloads and clerical support for non-instructional tasks would be welcomed in Thai schools.

The principals admitted that this issue significantly impacted on the progress of educational reform. Principal F suggested: "We understand the constraints and limitations faced by our teachers in the school. I need to provide more collegial support to help solve the problem" (LSK- Teacher focus group, 17-Aug-2004). Some principals felt increased teacher collaboration could reduce teacher workloads. School B principal for example argued that: "Teachers have been put under increasing pressure by educational reform activities. I have encouraged them to work more collaboratively in preparing and teaching lessons" (BTL- Principal interview, 29-July-2004). School principal F provided more specialist support to assist in making his teachers' workloads more manageable (LSK-Principal interview,16-Aug-2004).

The findings of this study indicated teacher workload in elementary and secondary schools is a problem in Thailand. The dominant sources of excessive workload in Thailand appeared to be related to educational reforms. Not surprisingly, a decrease in teachers' workload was seen to be the most effective action that could be taken by school principals to ease the pressures on teachers during this period of significant reform.

5.4.3 Commitment to change

Comprehensive reform promises sweeping change and potential success–but it does not come without its problems. Some schools have had difficulties with implementation due to insufficient commitment and resource problems. School principal A brought up the following concern: "Some teachers viewed school reforms as a fad that will not last and therefore they did not need to commit themselves fully to implementation" (WPP-Principal interview, 14-July-2004).

Planning for comprehensive school reform requires significant time and effort on the part of school staff. Key aspects of school change efforts such as developing staff ownership for planned reform efforts and the involvement of key stakeholders from the school community in the planning process are all critical aspects of a successful and sustainable reform initiative. School principal F stressed that commitment by the working group of teachers can lead to the success of the change program in his school. Therefore, gaining and supporting teacher commitment to educational change and improvement is the principal's priority. As principal D commented: "When teachers participate in development programs, they are enthusiastic, supportive and give huge effort to the school reform activity" (PRM-Principal interview, 02-Aug-2004). Teachers in this research study demonstrated a commitment to their schools and the change efforts within. This commitment was evident from their high expectations for school success and the capacity they felt they had in influencing what goes on in their schools. School principal B commented: "My teachers are more active in responding to school change requirements" (BTL- Principal interview, 29-July-2004).

Teachers in these Thai schools contribute not only their ideas and commitment to school reform but they also spend their own money and assets on school reform projects and activities due to limited school financial resources. Teachers at school B commented:

"Sometimes, teachers have to spend their own money in order to fulfil their work or school activities, probably around 10,000 baht per year" (BTL-Teachers focus group, 28-July-2004). Teachers indicated that due to limited funds, they need to spend their own money on class materials. Putting aside arguments about school funding, this willingness of some teachers to fund classroom activities demonstrates their commitment to improving the learning outcomes of their students.

School principals in the research schools were actively promoting shared leadership among their teams of teachers participating in school development projects and tasks. Principal C indicated: "During any discussion, I encourage teachers to express their own opinions in determining the direction of the school and in understanding the stimulus for change" (BTT- school principal interview, 04-Sept-2004). The principal believed that shared leadership requires an operational structure that allows more people to lead the thinking of the school and to participate in making decisions at all levels. By providing opportunities for their teachers to discuss, plan and engage in change, principals can work towards assuring high quality innovation. School principal B in this research study commented: "Teachers want their students to be successful, in part, because they want their own ideas and efforts to be successful" (BTL-Principal interview, 16-Aug-2004). Engaging teachers' commitment to improve their teaching and learning practices that result in improved student learning outcomes is a vital component of school reform.

5.4.4 School Budget

All schools have a budget that defines how money will be spent on everything from teacher salaries to instructional materials, training programs and building maintenance. School principal A was concerned about the budget: "There are constraints on school budgets, particularly those with small enrolments as funding is allocated based on the number of students enrolled" (WPP-Principal interview, 14-July-2004). It seems this is serious problem for most of the schools. The school B teacher group indicated: "There is a budget deficit for our school today and it prevents us from performing certain activities related to school change programs" (BTL-Teachers focus group, 28-July-2004).

Clearly, the challenge for most schools to remain solvent while implementing their programs is a major obstacle to innovation and change. The federal government does

supply funding but it covers only minimal expenses. Schools, already reeling from general education budget cuts, have little time or money to allocate to a program that seems inadequate in many respects. Some of the money is usually set aside to spend on technology. Because the budget is often limited, decisions on spending need to be justified and matched to school objectives and priorities. Principal F commented: "The budget allocations are to be done at the school level and as principal, I need to set out the priorities of consuming this limited budget and it must be done wisely" (LSK-Principal interview, 16-Aug-2004).

In an effort to compensate for this financial shortfall, many schools prioritize spending to cover items and programs including children's learning opportunities, teacher professional development and school educational development programs. School B teachers claimed: "Even though there is quite a small budget, the principal gives support to staff for self-development" (BTL-Teachers focus group, 28-July-2004). The School F group of teachers shared some specific implications of insufficient funding: "As a result of this school budget shortfall, priority is given to the professional development of teachers who teach key subjects such as mathematics and English" (LSK- Teacher focus group, 17-Aug-2004).

Unlike businesses, school systems in Thailand rarely have the capacity to set up funds for long-term improvement. Schools often find themselves short of resources precisely at the point that a reform is taking root. In these circumstances, schools wishing to purchase new equipment, add new classes, or start new programs, must seek funding opportunities via parents, communities or the district office. School A principal shared:

> I must promote and maintain a good relationship and cooperation with
> school communities, so as to maintain their support. This can help ease the
> problem of deficit funding from the government which we are facing today
> (WPP- Principal interview, 14-July-2004).

Building relationships with parents and external communities can help a school in many ways, especially in gaining support from them to increase learning resources and funds. Principal B commented: "A school gains more support from organizations within the

school community such as the sub district office, hospital, temple and associations… They provide learning materials and scholarships for students" (BTL-Principal interview, 29 July 2004). School principal A added: "A school can make use of a temple as the resource for extra classroom activities" (WPP-Teacher focus group, 15 July 2004). Obviously, most school principals seek support from their communities in order to overcome the obstacles in dealing with school development programs.

5.4.5 System and School

There is an important link between educational reform and the ability to stimulate sustainable change in schools. Improvement policies and strategies in conforming to the New Education Reform Act have demonstrated an impact on school development. It should stimulate and support school activities and change. The study revealed that the current direction of policies is vague and inconsistent. A group of teachers from school A commented:

> The communication (messages) from central office to school level are
> ineffective…The teachers have become confused about what should have
> been done to implement educational reform (WPP-Teacher focus group, 15-
> Aug-2004).

The group of teachers from school C also brought up the challenges facing them during educational reform. "There is inconsistent application of the policy, especially from the district educational office. It is frequently changed at the behest of the leader or minister of education" (CHY-Teacher focus group, 09-Aug-2004). This can have an effect on group norms and practice at the school level and cause ineffective implementation. From the teachers' view, this is one of the concerns that school principals need to address and help improve. Principal E suggested: "I focus on how to make policy into practice effectively…My strategy is to make teachers aware of the new policy or direction before taking action" (PRM- Principal interview, 02-Aug-2004). The school principals, as leaders, must have a deeper and more lasting influence on organizations and provide more comprehensive leadership. School principal C suggested that to develop and support school

change, we must turn our attention to sustainability and the likelihood that the overall system can regenerate itself toward improvement.

Information from the principals and teachers in this research indicated that the change of direction from the government is not consistent. School D teachers commented: "In many instances, policy initiatives are changed with the introduction of each new Minister of Education. It creates inconsistency of policy emanating from central office" (CHY-Teacher focus group, 09-Aug-2004). For example, in relation to curriculum, teachers pointed out that there was an initiative from the educational ministry office to add new subjects to curriculum and after a while the instruction from central office was to remove them. There was no evaluation of the outcomes to see whether they supported student learning and achievement. Another example was the proposed introduction of a scheme to terminate the 5% of teacher contracts with the lowest performance outcomes. Likewise, after changing the Minister, this policy was withdrawn. It created confusion among school communities and strengthed the already negative view of school development programs (WPP-Teacher focus group, 15-Aug-2004). For the participating teachers in this research, came an increasing reluctantance to develop and implement these programs (as a result of the new educational policy) due to a fear that the policy would change once again.

With no clear directions or guidelines to support schools in implementing change initiatives, the outcomes have been below expectation. The school F teachers described their concerns: "It seems that the activities in schools are conducted on a 'trial and error' basis" (LSK-Teacher focus group, 17-Aug-2004). Principal A agreed with this observation when he commented that: "as the principal, I have to admit that changing activities in my school is often done in a disorderly manner" (WPP-Principal interview, 14-July-2004).

Effective internal communication is essential both for the school principal and his/her staff. It becomes even more important during substantial change efforts as the need to convey the 'right messages' across the school is critical. Communicating is clearly the primary goal of school principals in this situation. As school principal B shared: "There must be effective communication, between teachers and myself and I keep my door open to support this process" (BTL- Principal interview, 29-July-2004).

5.4.6 Change structures

Schools that have inappropriate structures and processes in place cannot run efficiently. There were concerns expressed by teachers and principals regarding the lack of working structures and processes to address a range of issues regarding change and improvement, working in collaborative teams and problem solving. A school F teacher expressed the view:

> There are no clear guidelines on how to implement educational change in schools. It seems the change approach depends on the school principal. By right, the school should have systems that encourage participation from parents (LSK-Teachers focus group, 17-Aug-2004).

School principal A further elaborated: "The groups actually learnt from their experiences" (WPP- Principal interview, 14-July-2004). From the participants' view, it made a lot of difficulty and non-productive work in conforming to the new education policy. The information indicated teachers are more concerned with their duty, role and responsibility in conjunction to school reform. The school B teachers added: "There are no clear working structures regarding educational reform, especially who should do what and how" (BTL-Teacher focus group, 28-July-2004).

The teachers from school D are concerned that: "while the school has a lot of things to do in conforming with the education reform activities, there should be a clear structure or guidelines for the teachers to follow and perform the tasks" (CHY-Teacher focus group, 09-Aug-2004). The school A teachers commented that the principal needs to have clear guidelines for working procedures that help teachers to deal with educational change in school or at least provide a clear working structure (WPP-Teacher focus group, 15-Aug-2004).

One of the key elements stipulated under the New Education Act 1999 was to bring the responsibility for decision making as close as possible to the school. As a result, the people within the school (e.g. Principals, teachers, parents, community representatives and students) were encouraged to work collaboratively to make decisions. Further, decisions involved a wide array of actors at the site level: principals, teachers, parents, community representatives and students. The expectation that given discretion and influence,

participatory decision-making teams can use their authority to consider learning approaches that is tailored to their diverse populations of students. It was agreed by the participants: "If there are more decisions at school level, they can support and improve school effectiveness" (BTL-Teacher focus group, 28-July-2004).

For the School D teachers, however, this school based decision making was compromised: "Basically, most decisions are made according to the policy by central office and we need to follow it at the school level" (CHY-Teacher focus group, 09-Aug-2004). School F teachers added: "There is policy from the government about promoting the SBM (school based management), but in practice, it hasn't been worked that way" (LSK-Teachers focus group, 17-Aug-2004). The school F teachers expected that with educational reform, they would participate in the decision making in their school. The reality was something different (LSK-Teachers focus group, 17-Aug-2004).

Principals and teachers shared similar opinions regarding the importance of structures and work processes in conjunction with new educational reform activities. School principal C felt that that the way to implement change in the school is to use multiple sources of guidance and direction. Such distributed leadership, he pointed out, does not mean that no one is responsible for the overall performance of the organization – rather that school principals as leaders must create common expectations regarding skills/knowledge and hold individuals accountable for their contributions. Similarly, the principal C also said: "I shared responsibility with the group by inviting teachers' opinions and contributions to school objectives" (BTT-Principal interview, 04-Sept-2004).

The teachers raised concerns about the necessity of a clear working structure established to support them in dealing with these challenges. The school A teachers pointed out: "Schools should have a clear structure and work process for the group to deal with number of activities and task forces in conjunction to education reform. Schools should have working structures to help teachers in this situation" (WPP-Teacher focus group, 15-Aug-2004).

The principals admitted that this issue significantly impacted on the progress of educational reform. Principal F suggested: "We understand the constraints and limitations faced by the school. Therefore, I need to provide possible collegial support to help solve the problem" (LSK- Teacher focus group, 17-Aug-2004). School principal E pointed out:

"I provide the channel for teachers and staff to participate in school management such as decision making or establishing the school objectives" (PRM- Principal Interview, 02-Aug-2004). He felt that it should help ease the difficulty and frustration of the members during educational reform in his school.

In this circumstance, the principal plays a challenging role as an 'enforcer' of policies made elsewhere. School principal C commented: "I need to develop colleagueship with the teachers and staff in order to participate in and invite staff participation in policy development" (BTT-Principal interview, 04-Sept-2004). The principal tried to draw up the framework for the group to work more effectively which can ensure that the needs of the school are met. School principal B added: "To help the group of teachers, I initiated a framework for decision making" (BTL- Principal Interview, 29-July-2004).

5.4.7 Speed of change

Changing tradition is never easy, as a group of teachers in school F learned. "We do not know what is really required from the educational reform. We feel that the change that occurred in school was too sudden and without proper preparation" (LSK-Teacher focus group, 17-Aug-2004). The participants felt the need to create a longer term plan and schedule for school change. The resistance to change in some schools was perceived as 'slowing down' change implementation in the school community. School principal E observed that some of his teachers were worried about the pace of change due to the fact that they were not prepared and nor ready for the changes required in the new educational policy.

For one school, the demand for early results did not have a positive outcome. The teacher group in school C shared their concern: "What we are doing today is rush, rush with a need for quick results as we work toward school objectives" (BTT-Teacher focus group, 02-Aug-2004). In reality, change in schools occurs slowly, sometimes more slowly than school leaders might like. Principal A commented: "Even though we have been implementing a school restructuring program for quite some time, there is still a lot of change related work to be done in school" (WPP-Principal interview, 14-July-2004). Some teachers were reluctant to move from the status quo, preferring to maintain their current

practices. School principal C added: "Teachers lack confidence and are reluctant to move ahead" (BTT-Principal interview, 04-Sept-2004). As a result, School principal C felt he needed to lead and support these teachers more effectively in order to achieve some change and improvement.

The study provides information from participants about people reacting to change in their schools. Some may support change outright; some may adopt a 'wait-and-see' approach and others may flatly resist the change. School principal B pointed out that "when new policy or working procedures were implemented in the school, the teachers were not able to accept them in the first place and some of them resisted this change" (BTL- Principal interview, 29-July-2004). Likewise, school principal F added that "the majority had tried to conform to new requirements and were prepared to get on with this challenge" (LSK-Principal interview, 16-Aug-2004). Principal C elaborated further: "At first, the use of the new practice or innovation seemed awkward or forced for the group but over time, it became more routine" (BTT-Principal interview, 04-Sept-2004). In many instances this is because staff members do not have a common understanding of the need for change and improvement. School leaders need to be aware that during each stage of the change process, teachers will need different kinds of encouragement and support. Principal C suggested: "Thus I need to lead them by demonstrating and encouraging them to try new approaches" (BTT- Principal interview, 04-Sept-2004). Clearly, principal C had exhibited leadership in school change.

In conclusion, the principal played a key role in guiding the change process. The first and perhaps most critical role was providing a driving force for support of change in their school. The answer to the question "Why do we need to change?" was linked to the educational mission and purpose of the school and the educational system. While it was not critical for the principal to have initiated the idea to change, it is important to provide the resources for the school to implement the change. As principal F explained: "For change to be considered, it needs to be meaningful and beneficial for teachers and students" (LSK-Principal interview, 16-Aug-2004).

The most critical area of effectiveness is in leader behaviour which has an impact on the success of the organization. A large part of the principals' roles brings them into contact with many different groups on a regular and ongoing basis. Their role in the schools has

the greatest potential and opportunity to influence the extent of and direction for school change.

5.5 Summary

This chapter described the research findings in related to the school principal and the process of school change. The analysis identified school change (as it related to the New Education Act, 1999) and included: (1) issues for supporting educational change, (2) increased student achievement and (3) obstacles to change. The data presents how the school principals supported education change and eased obstacles to change in the school context.

The principals' roles can provide the process or road map for how change can be managed within the schools change context. Principals can play a vital role in improving collaboration, supporting curriculum innovation and teaching methods and improving teachers' professional development. Subsequently, the school can focus on increasing students' achievement. This section shows how the principals' roles can influence change. A thorough review has revealed common key elements that have been performed by the principals to guide the process of overcoming change resistance and other obstacles.

CHAPTER VI

PRINCIPAL ROLES IN IMPLEMENTING CHANGE

6.1 Introduction

Schools are special places that need a special kind of leadership (Pierce and Stapleton, 2003). Leaders in schools provide this special kind of leadership by having an understanding of the existing norms and culture (Schien, 1992; Johnson and Donaldson, 2007). Some researchers have claimed that effective school leaders' understanding of the existing school environment determines the leadership styles (roles) necessary for culture change (Drake and Roe, 2003; Nelsen and Hill, 2009).

Thai school principals, who in the past have been judged by their ability to manage their schools effectively, are under increasing pressure to become more involved in the core mission of academic achievement. The increased focus on standards and testing in today's school environment demands that school leaders possess a wide repertoire of leadership skills in order to build the capacity of the school to meet this core mission. Principals in this new era need the skills that will release the commitments and capacities of school staff to meet these new challenges (Pierce and Stapleton, 2003).

This chapter contains the results of data analysis as discussed in Chapter IV and Chapter V. The chapter addresses three key research questions with regarding to roles of school principal in implementing change.

6.2 Research Questions

The main research question is: To what extent does the principal perform roles that support change in the school? This study posed the following three research questions:

1. What are the principals' and teachers' perceptions of the role of the principal in supporting change in schools?
2. What are the principals' and teachers' perceptions of change within their school system?
3. What are the implications of this research in the development of the role of the principal in schools in the future?

6.3 What are the principals' and teachers' perceptions of the role of the principal in supporting change in schools?

The purpose of this study was to examine the role of the principals as perceived by teachers and principals in managing change in elementary and secondary schools in Thailand. The study indicates three key roles of the school principal namely Management and Control, Leadership and Innovation and Human Development. Under these three key roles, eleven principal role types that support change in schools were identified: Professional Development; Collegial Support; Team Building; Creating School Vision; Establishing Community Partnerships; Maintaining Effective Communication; Curriculum Leadership; Administration; Delegation and Monitoring and Evaluating (See Figure 4.2).

From the research findings, the school principals employ a range of leadership roles in school tasks, depending on the situation at the given time. Obviously, both elementary and secondary school principals have performed various leadership roles in order to achieve their desired outcomes (Refer to finding for the roles of principal section, in Chapter IV, section 4.2). The following section provides insights of the participating principals' and teachers' perceptions of the role of the principal in both elementary and secondary schools. This discussion highlights specific principal tasks across the eleven identified roles and, where appropriate, reference is made to relevant research literature.

6.3.1 Professional Development

Quality of teachers is one of the key factors and leverage points that make a difference in an educational system. Many researchers suggest that enhancing the growth of teachers is a new role for school leaders (Glickman 2001; Sparks, 2004; Mullen and Hutinger, 2008). This study highlighted that school principals paid attention to teacher professional development particularly during periods of school change and reform. In addition, the data from teacher participants indicated that the principals' support of professional development and the development of collaborative and collegial environments are viewed as central to improvement. Teachers and staff must be given opportunities to participate in professional development including regular training that may ultimately support the change process (ONEC, 2000).

The principal is a key figure in determining the ultimate success of any effort to develop school personnel. The principal plays an essential role in any improvement effort. The role of the principal must be considered in the planning and development of improvement initiatives. Data from participants in this study highlighted that school principals develop priorities that relate to professional development, especially when it supports school improvement during periods of educational reform (Refer to principal interviews and teacher focus groups in section 4.5.1). Information from school principals and teachers clearly indicated that professional development is important for school improvement, especially in areas related to teaching and learning practices. This study supports previous school improvement research that indicates that the principal role is a critical one in the school change process (Williams, 2006; Kose, 2007).

Principals have a positive effect on professional development when they offer a vision of learning, support collaborative change and discuss professional research with their teachers. Teachers who work in a stimulating and supportive environment can reach higher stages of professional development (Coppola, Scricca and Connors, 2004; Parrett and Budge, 2009). Likewise, the study reveals that principals provide considerable support for teacher professional development and continued learning.

The principal can determine the ultimate success or failure of any improvement effort, including school improvement and teacher professional development efforts. These research findings have significant implications for professional developers working in schools and underscore the importance of involving principals and planning for the development of teachers' knowledge and skills. Boonkong and Sabmark (2002), highlight the importance of teacher professional development in order to support school improvement.

Finally, the school principal pays attention to a set of tasks that relate to professional development and learning of teachers, collegial support and team building. Principals focus on increasing the knowledge and skills of their staff in teaching and learning through the provision of relevant professional development (Refer to principal interviewed and teacher focus groups, in section 4.5.1). The findings show that both elementary and secondary schools give priority to teacher professional development. The application of teacher professional development is an important element in Thai schools particularly as it relates

to all reforms (Klinsrisook and Haengkratok cited in ONEC, 2001). There are three elements to develop the teachers and staff: 1) to help teachers to understand the direction of the New Education Act, 1999, and be able to adapt it into action; 2) to change their mind set to understand the importance of educational reform and 3) to promote teachers' self-development (Haengkratok, cited in ONEC, 2001). This is, of course, in conjunction with new education policy in which staff development is crucial to developing learning processes and supporting education reform (Klinsrisook, cited in ONEC, 2001).

6.3.2 Collegial Support

This research data indicated that school principals were focusing on a number of human related issues that had influence on the hopes, beliefs, capabilities and commitments of teachers in their schools. The principals were for example, encouraging teaching staff to take risks and try new practices. They were actively motivating and counselling staff when things went wrong. As a result, teachers' confidence increased and they were better prepared to adopt new practices into their teaching: "Most teachers are enthusiastic and quite active in moving and developing their schools. Obviously, teaching methods were changing to match with new concepts of today's students" (BTL-Teacher focus group, 28 July 2004)

Although school staff should be empowered to share in the leadership of a change effort, it is a principal's responsibility to provide collegial support to make that possible (Sapmark, cited in ONEC, 2002; Button and Potter, 2006 and Cosner, 2009). This study identified that school principals are often the sources of information necessary for teachers and staff to deal with change efforts. The participants' information is consistent with earlier studies which show that school principals must be responsible for keeping abreast of the most recent literature and distributing information to staff (Fullan, 2001; Kittiwong cited in ONEC, 2001; Patti and Tobin, 2003). From the research, principals are seen to provide access opportunities for the staff, including being a coach and helping to relieve teachers' anxiety about their work under a school wide change environment. Fullan (2001) supports the idea that the most effective leaders in change efforts take a slow and systematic approach that allows them to absorb details, listen attentively and make careful

and informed decisions with the help of their staff. Often this strategy allows leaders to notice mistakes and be better prepared to solve problems.

This study indicates that school principals offered various means of support to teachers in their current working contexts (Refer to principal interviewed and teacher focus group, in section 4.5.2). As discussed earlier, colleagues (including principals) can provide the motivational support for their peers when facing problems they encounter while changing their practice. Providing this support as part of their leadership role, will help teachers as they proceed through these challenging stages in their professional growth (Leithwood et al. 1999; Bullough and Baugh, 2008; Strahan and Hedt, 2009).

6.3.3 Team Building

The role of the school principal in building a sense of collegiality and collaboration among teachers and between teachers and principals is crucial in solving important problems related to teaching and learning. A call for collaborative action among educators is needed to maximize the knowledge and skills of teachers and principals. The data from research participants shows that most school principals put huge efforts into promoting team work and collaboration among their teams of teachers. "I tried to promote team building among the group of teachers, especially in the activities across grade levels" (CHY, principal interview, 09 August 2004).

It is clear from the research that school principals promote and encourage team work and collaboration among teachers, especially across different grade levels. The teacher collaboration involves academic study and preparation for work. In this aspect, teachers are expected to work together to enhance the curriculum and pedagogy within specific subjects, make connections between subjects and explore new relationships between the school and the world of work. These findings indicated that school principals established working groups as part of the school reform process. The study shows that collaboration in schools can help the group to work better and enhance all academic aspects, especially in curriculum development across grade levels. In certain circumstances, sharing of individual classroom success enables others to emulate and recreate that success. Slater (2004) supported the view that the school principal can further bolster a system of shared leadership by forming school study groups, action teams or implementation teams led by

teachers and other staff. When the groups are given the time, resources and authority to make decisions, they can be successful in creating a climate of mutual responsibility.

This finding was supported by several earlier studies of important factors regarding school improvement. Possibly the most significant finding concerning school success involved the presence of a skilled principal who could create a sense of shared urgency around improving the teaching and learning in the school (Yañez and Wenrick, 2000). The importance of collective participation across all departments was repeatedly cited as being a critical in the development and implementation of curriculum and assessment tasks (Holcombe, 2002; Rivard, Follo and Walsh, 2004). They supported this notion of collective participation and found that collective participation is related to instructional program coherence. Likewise, this study highlights the importance of principals promoting curriculum development collaboration across different grade levels (Refer to CHY-principal interviewed, in section 4.5.3).

6.3.4 Creating School Vision

Principals as leaders rely on their staff to actively support change initiatives. In order for this to occur, these principals must create a school climate and culture that supports both the teachers and the change initiative. This study revealed that the school principal must: 1) create a clear vision of how the school can serve its students; 2) ensure that resources and priorities are aligned with the vision and 3) engage other key players, within and outside the school, in achieving the goals embedded in the vision. The study shows these principals are aware of the importance for the school to have a clear vision. Although all schools had indicated a vision statement, some did not explicitly convey them to their teachers and school communities. Earlier studies support the idea that school leaders must set a clear sense of direction and help staff to develop a shared vision and set of school goals (Leithwood, Jantzi and Steinbach, 2002). Comprehensive reform cannot consist of simply implementing a new program in one or two classrooms. If school wide cultural change is to take place, the entire working environment of the school must embrace it and believe that fundamental change is possible (Fullan, 2002; Thompson and McKelvy, 2007; Tubin, 2008). It is essential that teachers and other school staff share a common vision for why change is needed and how it can be achieved.

Senge (2001) advocates organizations addressing all five disciplines, but he believes that the first discipline, systems thinking, is the cornerstone of a learning organization because it integrates the other disciplines. The importance of this first discipline is illustrated in one urban middle school that was revitalized into a school where teachers truly felt committed to their students' intellectual, emotional and social growth.

Under the New Education Reform policy, the principal and teachers in one school came together on a professional development day and envisioned the way they wanted their school to look in five years. They were told to 'dream big' and see the whole picture, not individual parts. Their first goal was to develop a shared vision that would be the guidepost for all decisions they made about the school. They eliminated programs that did not fit their vision and they wrote grants for programs that did support it.

The most pressing task facing the principal in this urban school was to develop a sense of community among all the stakeholders. To be successful, staff, students, parents and community members needed to rally around a common vision with the principal encouraging his staff to frame a professional development plan based on their needs (Thompson and McKelvy, 2007).

Besides creating a vision, the principal builds commitment and communicates the vision throughout the school. The data from participants indicated that the principal utilizes every available means to communicate the school vision and objectives to all members of the school community (Refer to BTL and LSK school principal interviews, in section 4.4.1 and 4.4.3). Teachers' practice becomes aligned to the school vision and direction. Senge (2000), Fullan (2001), Pierce and Stapleton (2003) and Thompson and McKelvy (2007) also concluded that shared vision must evolve through the dynamic interaction of organizational members and leaders.

6.3.6 Establishing Community Partnerships

Involving parents, families and the community in meaningful ways is critical to the success of students and school improvement. The findings indicated that school principals were looking for ways to involve the community and build partnerships with them: "The principal spends a lot of time with communities and he keeps promoting the good working relationships with many external parties" (LSK-teacher focus group, 17 Aug 2004).

According to DiPaola and Walther-Thomas (2003), the principal can actually start involving the community when creating a mission statement and vision for the school. The findings of this research indicated that parents and communities were with the establishment of a teacher-parent committee, typically involved in planning and evaluating school policies, especially when addressing safety and discipline issues (Refer to data collection, in section 4.4.2).

The research data highlighted how school leaders took on the role of liaising with their communities particularly during periods of significant school change. This practice has been recognized in other studies where the principals work with parents, state officials and community leaders to gain support and possible funding (ONEC, 2001; Fullan, 2001). Community partnerships can play a vital role in supporting school change initiatives. Hence, school principals consider themselves responsible for bringing school community stakeholders on board so they can play an active role in the planning process.

Teacher participants described how their school principals went that step further in building community partnerships and relationships. In one case, the principal visited teachers at home when possible. "I sometimes visit a teacher's residence, in order to build a strong relationship" (BTL - Principal interviewed, 29 July 2004). Some principals developed relationships with business people and community organizations with the intent of asking them if they could help create learning experiences for students. From the study, principals indicated as Ferguson (2003), Bottoms (2009) and Auerbach (2009) did in their research that a principal can generate a broad set of activities in which parent and community members can participate and contribute their talents to the school. The findings show that school principals put considerable efforts into creating an environment for parents and communities to work with schools (Refer to principal interviewed, in section 4.4.2).

6.3.6 Maintaining Effective Communication

Communication was considered a critical aspect of the principals' work in ensuring school community understanding and participation. There was an attempt on the part of all interviewed principals to build a sense of community or togetherness along with a common vision. This study indicated that principals found ways to involve parents and community

members through informational meetings, classroom volunteer opportunities and partnerships such as working with the local media to broadcast or publish student work (Bencivenga and Elias 2002; Tangkliang, cited in ONEC, 2001). According to participants' information, principals paid attention to many aspects of communication as it related to school policy and activity across the school. They believed that effective communication could enhance the working performance of their schools. DuFour and Eaker (1998) and Ärlestig (2007) agreed, indicating that during a change initiative, it is important to keep teacher and staff morale and commitment high. In order to do this, the school leader must provide staff with an effective communication process, with consistent feedback and opportunities to reflect on progress. Most principals in this study maintained open communication channels to support the school working environment.

Both communication and information play important roles in building trust and nurturing relationships among all the stakeholders of a reform program. Skills and strategies for effective communication are perhaps the most important part of building leadership capacity within a school. Hsiao, Chen and Yang (2008) and Siu (2008) and Parrett & Budge (2009) believe that inquiry, reflection, skilful dialogue and problem-solving actions are all vital aspects of the communication process.

Communication can take place in a variety of settings: faculty and community meetings, smaller group meetings and one-on-one conversations. The participating principals encouraged communication with their teachers and used several communication techniques to facilitate shared leadership. As mentioned by Harris (2003), Slater (2008) and Manchester (2009), it was the hierarchical organizational structure, with its clearly defined roles and communication channels that limited principals from sharing leadership with teachers. This is quite common in Thai culture and is an issue that school principals will need to address in order to enhance further school improvement.

6.3.7 Curriculum Leadership

Earlier research found that principals as strong instructional leaders are actively involved in curriculum development (Blase and Blase, 1999; DuFour, 2002; Sparks, 2004). As school leaders, they should be aware of the best practice within this curriculum domain. Data from participants indicated that principals were involved in managing curriculum and

providing performance feedback to teachers. The commitment and support of the principal is repeatedly described as essential to the success of educational improvement programs.

As a curriculum leader, the school principal is focused on improving the teaching and learning practices of his/her teachers. The principal, therefore, needs to be knowledgeable in curriculum, instruction and assessment in order to support improvement efforts (Cardno, 2006). The data from participants in this study illustrated that the school principal always participates in the curriculum development process. The principal's strategy is to contribute his/her knowledge and experience to discussion. "My tactic in participating with my team is to provide them support and possibly stimulate the change" (BTL- Principal interviewed, 29 July 2004).

The findings complement a considerable body of effective schools research that describes the principal as an instructional leader and suggests that instructional leadership is one of the most important school responsibilities (DuFour, 2002; Elmore, 2002; Gerard, Bowyer and Linn, 2008). Keeping the school's focus on instruction, sets a constructive tone, articulates high expectations, supports the development of a common curriculum and thus provides a valuable resource for teachers.

6.3.8 Administration

The principal is responsible for establishing a school structure that promotes participative decision making, distributive leadership and encourages teacher decision making autonomy (Leithwood and Jantzi, 2000). Similar to the findings of Leithwood and Jantzi, the participants' information in this study showed that the principal promotes involvement and contribution from the teachers in various school administrative areas. One principal indicated the benefit of this practice: "I encourage the teachers and staff to participate in decision making. It can help to improve team work, collaboration and increase their commitment" (WPP - Principal interview, 14-July-2004).

The participants viewed the principal as responsible for school improvement. It remains for school principals to administrate and to keep things running. The principal is accountable for providing the means of achieving curriculum objectives as specified in the school syllabus. As the school head, the principal is expected to provide teaching materials and necessary equipment as well as manage the limited available resources for the utmost

benefit of students. Zepeda (2007), Harris, Kaff Anderson and Knackendoffel (2007) and Brunner (2009) show that school leaders need to provide teachers with materials necessary for the successful execution of their duties.

Obviously, participative decision making is one of the key elements for schools involved in educational reform and improvement. This finding is similar to other Thai school studies including Wichai (2002) who argued that participative decision making is a fundamental principle of school-based management (SBM) particularly as it relates to school reform. SBM is being implemented in Thai schools today where it is enabling teachers to participate in managing educational planning (Boonprasert, 1999, Aphibankul, 2001, Thongmai, cited in ONEC, 2001).

6.3.9 Delegation

The school principal has always been viewed as the instructional leader of the school. New educational reform does not change that role, except that the concept of multiple leadership and responsibility is established. Under new education reforms, teachers and parents are becoming more involved in decision-making processes (ONEC, 2002).

Within this context, the essence of the school principal leadership role is to stimulate, organize and facilitate teacher and parent leadership, ensuring the success of the collaborative process. At the same time, the need for initiative and creativity and organization by the school principal is not diminished. Under this new perspective of education policy, it will increase the scope and authority of principal and teachers by increasing the decision and policy making at school. It is not possible for a school principal to handle all decisions at the school level. Certain tasks need to be delegated to the teachers and subject heads.

The aim of the leader is, therefore, to develop the team and increase performance. Task delegation became a cornerstone of modern management theories (Hersey and Blanchard, 2000; Lashwas, 2003; Castro, 2008). This study found that there was a shift to a more collaborative mode of operation within the participating Thai school communities. Principals indicated that they were increasingly sharing responsibility and accountability for decision-making with teachers. This change developed not only as a result of the establishment of the structures and processes inherent in the school-based management

model, but also out of necessity to delegate, particularly to teachers, as the number of decisions needing to be taken at the school level increased (Crum and Sherman, 2008). Cranston (2001) and Wallach, Lambert, Copland and Lowry (2003) noted that a majority of activities required to be carried out by principals needed to involve collaborative decision making from school members. Again in the Thai context, Wattanachai (2001) noted that principals needed to continually and increasingly involve staff in collective decision-making, delegation and consultation.

This study reveals the importance of task delegation which school principals exhibited in their schools. The data showed that heads of schools were willing to support their teachers exercising autonomy in their classrooms and departments. Likewise, the need for delegation (Lovette, Watts and Hood, 2000; Larry, 2003; Bush, 2008) as a management tool was important in improving organizational effectiveness and teacher morale (Crum and Sherman, 2008).

6.3.10 Monitoring and Evaluation

Strong educational leadership is essential in improving student learning in schools and supporting quality teaching. Educational leadership is the ability to shape institutional conditions necessary for the development of collaborative work structures, climates and procedures for monitoring results that build the sufficient capacity of schools to accomplish the core tasks of education (Fullan, 2001; Eady and Zepeda, 2007).

This study indicated that principals gave priority to the monitoring and evaluating process in student learning. Under the new education reforms, the schools could see improvement in student achievement as a result. Continuous monitoring can provide teachers with detailed descriptions of classroom instruction. While the monitoring for results system has been in place, academic intervention has been greatly expanded (Glanz, Shulman, and Sullivan, 2007). With a proper monitoring plan, the school principal and classroom teachers can ensure a course of action for each child. Grobe and McCall (2004) pointed out that school systems should benefit from well developed and implemented indicators or reporting systems.

Smith (2007) suggests that a consistent scale for measurement of student ability allows school administrators to build longitudinal growth profiles for individual students. Thus,

assessment of student ability and achievement is an important part of our education system, especially in the 'New Educational' reform environment. By developing and adopting common scales for measuring core student abilities in areas such as reading and maths, principals and teachers can use evaluations in meaningful ways to help students of all abilities to learn and achieve in schools.

The school principal constantly incorporates ways to empower his teachers. These include freeing people to do their own tasks, delegating responsibility, offering and receiving feedback and encouraging self-evaluation. This research indicated that both elementary and secondary school principals encouraged their teacher teams to take contribute to facilitating school administration (Refer to CHY-Teacher focus group and BTT-principal interviewed in section 4.3.1 and 4.3.2). This is consistent with Cartwright (2005) who indicated that empowerment is exactly what happens in a collaborative group, where everybody's opinion is valued and everybody is allowed to express themselves. These findings indicated that school principals can empower and promote teachers to participate in school decision making (Refer to CHY and PRM principal interviewed in section 4.3.2). Essentially, within a school-based management context, it is the principal's role in promoting collaboration and participation within the school community. It is within the New Education Act, 1999, that the Office of the National Education Commission (ONEC) promotes school-based management as a key element of school reform.

The importance of the principal's leadership role has become increasingly significant as standards-based reform initiatives and accountability policies have been implemented in an endeavour to improve the quality of schooling for all students. The school principal as a policy maker posits standards-based reforms and accountability, thus, creating effective schools in which improvements in teaching and learning result in higher student achievement.

Effective Thai principals do what they can to improve their schools. At the same time, they look at ways to enhance the school development capability by creating their schools as part of the community. Although schools are not the same as businesses because they are not profit driven, school principals also need entrepreneurial skills (Leithwood et al., 2002; Mulford, 2003). They are constantly on the look-out for interesting opportunities to support and improve learning activities. The use of effective communication to build trust

and support is illustrated in Chapter 4 and also by Senge (2000), Kotter (2002) and Auerbach (2009). Under the New Education Act 1999, cooperation within the community is one key element to support educational reform (Wirachai, cited in ONEC, 2001).

The school principal performs a range of roles that include managing, acting as a curriculum leader and implementing change in order to deliver the best possible results for the school. A wide range of principal tasks were identified in this section including: building a supportive climate, planning and scheduling school tasks and activities, book-keeping, resolving conflicts, handling student problems and dealing with the school district office. The research findings indicated that these school principals paid full attention to their tasks and in many cases provided a role model for other members of the school team (Refer to WPP, CHY and PRM-principal interview in section 4.3.1 and 4.5.3 in Chapter IV). Reid (2005), Fullan (2006) and Auerbach (2009) suggested that as a school leader the principal leads by managing, explaining, enabling and modelling. The principal is a hands-on person, especially when dealing with problems: "In the afternoon, at about 13:30, I discussed with the assistant in the office regarding the students' problems raised by some teachers this morning" (BTT- Principal Diary, 23-Aug-2004).

Principals perform a range of tasks that support project implementation. The findings indicated that with the new reforms, principals are now responsible for implementing an increasing number of new policies and projects (Refer to PRM and CHY school principal interviewed and LSK-teacher focus group in section 4.3.1.1 and 4.3.1.2). According to Fullan (2006), the school principal is responsible for the implementation of new innovations and policies from a central authority. In addition, the school principal is responsible for most school activity, especially regarding school curriculum. The principal plays an active role in promoting extra and co-curriculum activities in the school. He/she plans major school functions and encourages staff and students' voluntary participation in sports and educational and cultural activities organized by school community bodies. Likewise, Cardno (2006) and Ballet and Kelchtermans (2008) emphasized that a principal is an individual who is primarily an educator who facilitates good pedagogy and curriculum development. Furthermore, the principal needs to lead the curriculum development while factoring in the realities of their students, teachers and community needs (Haengkratok and Natawut, cited in ONEC 2001).

A principal can support his teachers by focusing on improving teaching and learning practices in the school and by building a positive working environment among them (refer to principal interviews and teacher focus group, in section 4.5.2). The study highlighted the fact that school principals can create warm and friendly relationships with the teachers, thus encouraging them to openly express their opinions. Spears (2002) identified a set of characteristics of a school leader that focus on teacher development and team building. They include listening, empathy, healing, awareness, persuasion, stewardship and commitment to the growth of people and building the school community. Congruously, Tangkliang (cited in ONEC, 2001), supports the approach of the principal in emphasizing group relationships, understanding the differences of people, respecting others' ideas and motivating the teachers in order to achieve the school objectives.

A driving force for change and reform in the school often comes first from the principal of the school. Principals can at times find themselves in a position where they must develop consensus between parents, teachers, educational offices and their personal beliefs about what is the best for the school's students. In this role, principals must (as school leaders) become not just supervisors of teachers, but leading teachers and learning leaders (Masci, Cuddapah and Pajak, 2009).

In summary, what is the impact of these leadership roles on school change? Leadership by the principal typically initiates a process of creating a school vision. Then, the focus is on engaging other school stakeholders in this vision. It is essential that the teachers are willing to engage in change and enhancement of their pedagogical practices. Creating a professional learning culture among teachers is an important step in educational reform. As a change agent, the school principal can create the opportunity in the school to develop the learning processes within the teachers thus establishing a foundation for school reform, in a way that ensures its implementation for the long term (Sparks, 2003; Pierce and Stapleton (2003).

6.4 What are the principals' and teachers' perceptions of change within their school system?

Each of the six participating schools has undergone a change-process for an extended period of time and has significantly altered their organizational culture and pedagogical

practices. The findings from the principals' and teachers' perceptions suggested that issues related to educational change and obstacles to change were key aspects of the change process in each school. From this study, the school principals exhibited various roles in order to support change in their schools. The participants indicated that school principals can influence school change by improving collaboration between stakeholders, fostering innovative teaching, learning and curriculum practices, improving teacher professional development and reducing change resistance and obstacles.

As stated by several of the participants, many new practices and educational activities are being implemented within each school. "There are lot of things in schools that are now changing, in regard to the new Education Act. Whether we like it or not, we need to accept and understand, there is the need for school improvement" (BTL-Principal interview, 04 Sept 2004). Data indicated that educational change in schools is a key element of school restructuring programs under the New Education Act, 1999. This is supported by Wattanachai (2002) and Wiratchai (2002), who explain that the Act aims to develop the quality of students overall. Teachers and principals expressed strong feelings about how collaboration, innovation, professional development and student development impacted on the change process in each school.

Collaboration is important for all types of organizations engaged in change and improvement. In the school context, collaboration is "the direct interaction between at least two equal parties who voluntarily engage in shared decision-making as they work toward a common goal" (Williams, 2006, p.18). The teachers "can see more collaboration of teachers in school activities which relate to teaching plans or curriculum development" (LSK-Teacher Focus group, 17 Aug 2004). These findings are supported by Mullen, 2000; Glanz, Shulman and Sullivan (2007), who found that teachers find collaboration a better way to serve a diverse group of students.

Change may be described as the adoption of an innovation where the ultimate goal is to improve outcomes through an alteration of practices (Carlopio 1998; Gerard, Bowyer and Linn, 2008; Larson, Miller and Ribble, 2009). Innovation is also an important component of educational change. The data from the study shows that there is drastic change in most features of the Thai schools today. Most of the participants in this study indicated that they were significantly impacted by educational restructuring in relation to new curriculum

development, teaching and learning practice. Teachers suggested: "Within this particular working context, teachers try to adopt new teaching practices and learning activities in classrooms" (BTT-Teacher focus group, 02 Sept 2004). These conclusions are similar to other research studies that indicate that there is a need for schools to adapt to new ways of doing things so as to stimulate school change (ONEC, 2001; Henning, 2006; Wong, et al. 2009).

Bullough and Baugh (2008) and Bottoms and Fry (2009), defined professional development as the 'continuous education of educators for the purpose of improving the quality of education in a school' (p.4). Information from participants revealed that there are a number of professional development activities taking place in schools today, including various training programs. As stipulated by the new education policy, teachers need to undertake various professional development programs, so that the school can guarantee a quality of teaching and learning offered by the teachers. Even though it is required by the new education policy, teachers also look for personal improvement as well. This finding is supported by Gerard, Bowyer and Linn (2008) who found that the information society demands that teachers stay current in professional knowledge in order to effectively prepare students to compete in a global society.

Finally, this study found that student development is the ultimate goal for school improvement. Both elementary and secondary schools' participants identified the support of student development as a school priority. No doubt in the Thai educational context, education reform of schools had the intended consequences of improved academic performance and socio-emotional development (Wattanachai, 2002). There is emphasis on linking the development at school level to heightened student academic performance. This concern has been raised and discussed in educational arenas for quite some time (ONEC, 2002; Anfara and Lipka, 2003; Mullen and Hutinge, 2008). "Education for all" is the theme for educational reform and strongly suggests the principals and stakeholders need to pay attention to this component under the New Education Act, 1999 (ONEC, 2001). The research findings discussed in Chapter IV and V, illustrate that this area has improved.

Many participants cited their concerns about attitudes to change of people in the school. Change typically involves the need for people to change their beliefs and attitudes. (Kotter, 2002; Grieve, 2009; Ng, Nicholas and Williams, 2010). Although there is awareness of the

need for change as stipulated by the New Education Act 1999, reluctance of school members to change is always there. From principals' and teachers' views, there were three main aspects of this attitude to change: a resistance to change, work load implications and commitment to change (Refer to section 5.4.1, 5.4.2 and 5.4.3).

Leaders and followers need to have a shared set of values and commitment in order to meet a common goal within an organization. Thompson and McKelvy (2007) and Wright (2008) have described this aspect of leadership as a bond. The shared vision becomes a shared covenant that joins together the leader and follower in a moral commitment (Sergiovanni, 2001; Tubin, 2008). The information from participants revealed that teachers were demonstrating through their work practices a commitment to school change. This finding was supported by Kotter (2001) and Day, Elliot and Kington (2005), who indicated that without commitment to change and involvement of the teachers, the school restructuring program will most likely, be slow and incomplete.

The last challenge for school change relates to change obstacles. Respectively, there are a number of obstacles that can impede reform efforts. Each organization and group has their own set of challenges and obstacles. According to Evans (2001), Darling-Hammond (2006) and Good (2008), there could be many elements that obstruct implementing change in the school. Both principals and teachers in this study perceived the following concerns or obstacles to change namely: resistance to change, workload, structural change and school budget, school system and speed of change.

The data from both principals and teachers suggested that resistance to change is still evident among school members. The findings indicated that many of them are reluctant to change and are still doing what has been done in the past. The difficulty is that some teachers who are effective and work hard may not be eager to change as they are not familiar with new work contexts. The study shows that one of the barriers to change is that change can be exhaustive for teachers, especially the more senior members. Likewise, Evans (2001) and Corner (2006) suggest that the concept of change implies a sense of loss. They support the thought that people do not always readily accept change.

One expectation regarding the move to educational or school restructuring is that a teacher's workload will change, as there is a need to perform in accordance with the new education policy. The findings reveal that teachers felt increased pressure as a result of

rising expectations about what schools can achieve (Rakpolmuang and Madilokkovit, 2004). With the shortage of teachers in most Thai schools today, this impact on current teacher workloads has become a serious concern. In this study, the teachers often felt that their workload was very heavy and they consequently needed a compelling reason to change or participate in the change process (Refer to section 5.4.2). This burden is supported by Bubb and Earley (2004) who indicated that successful education reform depends heavily on valued human resources; the teachers.

An increase in teacher workload and stress has been identified as an undesirable consequence of site-based school management. Turley (2005) argues that this increase can be attributed, in part, to the ways in which teachers organize themselves. This study reveals that with more collaboration and collegial support, school community members can help reduce workload levels. Organizing principles developed to meet the challenges of managing both classroom and administrative activities, such as autonomy, collegiality and strong subject department identity, may impede the systemic thinking required for developing coherent school-wide initiatives. Potentially, a group of busy teachers can unintentionally create workload pressures by developing parallel structures.

Timberley (2000) and Ng (2004) expressed concern in relying on volunteers with high workloads to undertake key tasks and uncritically accepting all suggestions for how the students should be assisted. Thus, engagement in systemic reform in ways that do not unreasonably increase workloads may require teachers to adopt different organizing principles from those developed for managing their collaborative working structure.

Most participants had a strong view about the school budget. It was claimed to be the most important factor to support school activities (Refer to section 5.4.4). The information from participants indicated there was insufficient funding to support school development. Since there is a strong requirement for schools to comply with the new educational restructuring programs through curriculum development, professional development and instructional materials, the budget definitely mitigates against the ability to change the school. There are similar concerns about school funding and budgets in Thai schools from other research studies (Tangkliang, 2001 and Sungsilla, 2001). Individual schools that attempt reform can face serious obstacles if they fail to engage district and community support particularly in the area of funding (Horowitz, 2006; Stanik, 2007).

The organizational domain of a school system refers to the resources and structures of the system in which teaching and learning occurs (Senge, 2000). Teachers are expected to fit into the school system with as little disruption as possible. This study revealed teachers' concern about inconsistency of the policy, especially from the district educational office, which keeps changing. One teacher group commented: "Most teachers feel that change in school can go nowhere, although change has been taking place for quite some time" (CHY-Teacher focus group, 09-Aug-2004). In addition, communication between educational district office and schools is not effective and creates a lot of confusion at school level. This problem has existed for a long time and it was expected that the New Education Act 1999, could help reduce it. Boonprasert (1999), Panitch (2004) and Good (2008) had similar concerns, suggesting that principals and teachers need an improved system to help support their tasks in schools, especially when it is related to educational reform.

During periods of change, the principal must make a stand on important educational issues. The principal must be perceived as a strong leader and an advocate for continuous school improvement. They are required to exercise the appropriate behaviours to lead and guide the school communities (Wattanachai, 2001). In concurrence with Pierce and Stapleton (2003) and Auerbach (2009), the principal should develop clear collegial value frameworks which are common to all. The principal needs to place a strong emphasis upon teamwork and participation in decision-making. Thus, these collegial cultures need to be maintained within a context of school community and individual accountability set by external policy demands and internal aspirations.

Present day educational reform has shifted decision making and authority to the school level where educators and students are empowered to potentially create lasting educational change (Boonprasert, 1999; Panitch, 2004). The data from participants indicated that there was insufficient structure and process in some schools for them to adopt new ways of working. Since policies are unclear to teachers and principals, they resulted in confusion and caused a slow change process. Likewise, Panitch (2004) suggests that there are obstacles in schools that prevent structural change such as decision making located only at school board level and not distributed across the school. An additional obstacle can occur when the roles of the school board, principal and teachers are not clearly defined.

Misdirected change may result in confusion for teachers and can create a lot of unnecessary activities within the school change process.

Evans (2001), Day, Elliot and Kington (2005) and Siu (2008) argue that changing tradition is never easy, as groups of participating teachers in this research indicated. Thai schools adopted a year-round schedule as part of their shift to a school wide program according to internal and external audit schedules required by the New Education Act, 1999. The data from teachers in this study indicated that change came too fast, as school teachers had their hands full with work and were not well prepared to deal with school change. The teachers expressed concern at the time constraints and the unreasonable expectations for quick results.

Many previous studies such as Evans (2001), Fullan (2001), Kotter (2002), Corner (2006) and Deegan (2008) found that organizations typically move slowly with people tending to maintain the old ways of doing things. Change occurs slowly, sometimes more slowly than school leaders might like. The findings in this research found that the teachers thought that change in their schools moved too fast and when they are not well prepared, even faster. Thus, the 'speed of change' can vary between different groups of teachers depending on their capacity and readiness to change (Fullan, 2001; Evans, 2001; Loughridge and Tarantino, 2004; Carey, Harrity and Dimmitt (2005). School leaders need to be aware that at any stage in the process of change, people may need different kinds of encouragement and support.
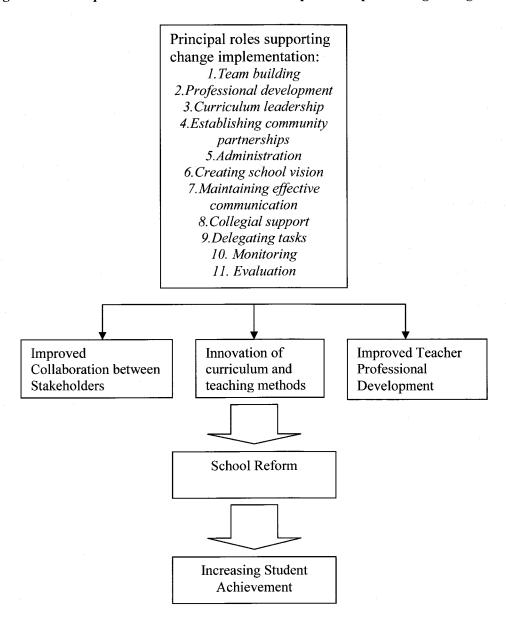
6.5 What are the implications of this research in the development of the principal role in schools in the future?

From the research findings, the conceptual framework below illustrates the key roles of school principals that support change implementation (Refer to Figure 6.1). This framework postulates that these leadership roles of the school principals are the key factors in creating school wide change within the Thai educational system. It is a tremendous challenge for today's educators in the public education system to manage and govern their schools effectively. The following teacher statements indicate the importance of the principal role in the change process.

The head of the school is a very important factor for school effectiveness. He should be a good administrator and have the comprehensive potential and skills in order to help manage and develop the school (WPP-Teachers focus group, 15-July-2004).

The school administrator is crucial for school performance. How effective a principal is can have the direct impact on school development and effectiveness (PRM-Teacher focus group, 03-Aug-2004).

Figure 6.1 Conceptual Framework of School Principals in Implementing Change

Principal roles supporting change implementation:
    1.Team building
    2.Professional development
    3.Curriculum leadership
    4.Establishing community
       partnerships
    5.Administration
    6.Creating school vision
    7.Maintaining effective
       communication
    8.Collegial support
    9.Delegating tasks
    10. Monitoring
    11. Evaluation

Improved Collaboration between Stakeholders

Innovation of curriculum and teaching methods

Improved Teacher Professional Development

School Reform

Increasing Student Achievement

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Research findings indicated that the role of school principal is important for schoolwide change and an effective principal can successfully lead the change in the school context. Kotter (2002) Pierce and Stapleton (2003) and Masci, Cuddapah and Pajak (2008) also support this notion and suggest that the effectiveness of leadership within the modern organization is a key factor in successful change. While Thai schools face pressures for implementing school and educational reform, principals are responsible for their continued efforts to improve.

The role of principals in reform that increases student achievement is a topic with a long and evolving history (Siu, 2008; Addi-Raccah, 2009). Principals play a critical role in school reform because they have the potential to impact on all aspects of school vision, school policy, decision making concerning curriculum and instruction, school administration and evaluation, assignment of students to teachers and after-school programs. This study contributes to growing library of literature about the role of principal in school reform and improvement and the degree to which the principal's leadership and management can improve students academic achievement (Good, 2008; Bottoms and Fry, 2009).

Previous research has consistently affirmed the importance of the school principal in initiating, implementing and sustaining school improvement (Hart, 2000; Wattanachai, 2001; Fullan, 2006; Slater, 2008). Thus, a fundamental leverage point for meeting the challenges facing the Thai nation's schools is effective campus leadership. In fact, initiatives of the Office of National Education Commission (ONEC, 2000) and other educational reform reports concluded that Thai schools cannot achieve excellence without excellent leaders.

Feedback from participants indicated the need for school principals to possess sufficient knowledge and capability in order to lead the educational reform. Likewise, Kotter (2002) and Pierce and Stapleton (2003) suggested that the core issue for many organizations is that they lack the leadership they need. It follows, then, that preparing school leaders who possess the skills necessary to meet the challenges facing schools today is critically important. Preparation of high quality principals is a key element to the success of the educational reform system in Thailand (ONEC, 2002).

In the past, schools were simpler organizations and little accountability for student achievement existed. The principal could learn his profession effectively on the job by trial-and-error approaches (Apibankul, 2002). Little if any formal specialized preparation was needed (Murphy, Moorman and McCarthy, 2008). Once the educational reform spotlight was directed to the preparation and skills of the school principal and the need for principals to function as instructional leaders, many insufficiencies surfaced, such as dysfunctional training and the absence of accountability (ONEC, 2000; Apibankul, 2002; Salazar, 2007; Steiner and Kowal, 2007).

Principals facing new roles and heightened expectations require new forms of preparation and training (Sparks, 2004; Fullan, 2006). It is not only in the areas of curriculum, instruction and assessment, but also in developing their knowledge, skills and understandings of being a leader capable of leading reform in schools.

6.6 Summary

The findings in this study revealed the principals' and teachers' perceptions regarding elementary and secondary principal roles. The data from participants indicated that school principals employ various role practices in their school operations. At the same time, the principals adopt appropriate roles depending on the circumstances facing their schools. Principals and their teachers identified eleven specific roles of principals that they perceived were evident in schools during school reform.

Finally this research indicated there was a need for principal professional development, since school principals are expected to be capable and knowledgeable about their key roles in leading change and supporting ongoing improvement in schools.

CHAPTER VII

CONCLUSION AND RECOMMENDATIONS

7.1 Introduction

This case study offered a valuable insight into educational reforms in Thailand and the ways in which they were implemented and sustained through the leadership of the school principal. In examining the educational reform processes, this research has been the source of some outcomes that run counter to common assumptions about the nature of school leadership roles in implementing school change.

This study examined how elementary and secondary school principals in a selected Thai province influenced change. The researcher focused on six school sites and gained the perceptions of the principals' and teachers' views about leadership roles and how principals can support change during periods of educational reform. Data were collected through a series of interviews, observations and through access to principal diaries. This data enabled the researcher to identify key themes and patterns of principal roles. Attention to current theories of practice, processes and the needs of people in schools were highlighted to gain a better understanding and in-depth knowledge of how the change impacted in these schools.

7.2 Conclusion

7.2.1 Roles of School Principals

Change is an integral part of the modern educational world. It is encountered in the classrooms, in the faculty lounges and in the principals' offices. It is evident in both the professional and personal lives of those involved in school reform. While change cannot and should not be prevented, it is important to ensure that the needs, interests and realities of all stakeholders are recognized.

The importance of the principal's leadership role has become increasingly significant as standards-based reform initiatives and accountability policies have been implemented in an endeavour to improve the quality of schooling for all students (ONEC, 2000). Principals are expected to strike a balance between leadership and management within this context.

The principal's leadership must promote, facilitate and support improvements of the instructional process, resulting in increased student achievement (Good, 2008). Simultaneously the principal is required to manage the day-to-day details vital to maintaining the organizational routine necessary for school effectiveness. In effect, the principal is responsible for ensuring that all aspects of the educational process are achieved.

The objective of this study was to explore the roles of the school principal in implementing change in elementary and secondary schools. Thus, I investigated what it was that principals were practising that contributed to emerging school reform programs in three elementary and three secondary schools. In turn, the data gathered from this study were analysed and the following conclusions arose from this study.

The study identified three broad areas that the school principal influences in supporting school change: Management and Control, Leadership and Innovation and Human Development. Within these three broad areas of influence were eleven role types identified by the participating principals and teachers that were evident in the practices of the six Thai school principals. They were:

1. Team building
2. Professional development
3. Curriculum leadership
4. Establishing community partnerships
5. Administration
6. Creating school vision
7. Maintaining effective communication
8. Collegial support
9. Delegating tasks
10. Monitoring
11. Evaluation

As described in the previous chapter, these eleven roles involved a broader range of related tasks thus emphasizing the breadth and depth of the principal role. Further analysis identified three areas in which school principals play a key role in supporting school

improvement: 1) improved collaboration between stakeholders; 2) innovative curriculum and 3) improved teaching methods and teacher professional development. Finally this research indicated there was a need for principal professional development, since school principals are required to be highly skilled, capable and knowledgeable about their key roles in leading change in schools.

7.2.2 Principals Implement School Change

This study presented an investigation of the roles of school principal and their influence on change in schools. The themes that emerged from collected data were grounded in the practices of those who participated in the study. The findings of this research indicated that the principal was recognized as the primary change agent and the force behind successful of change in schools (Fullan, 2001; Buchanan, 2008; West, Pennell and Hind, 2009).

This research study examined how principals influenced change within and across their schools and local communities. The school principals as change agents were required to see the 'big picture' in terms of change and improvement in their schools. They, therefore, were required to apply a set of specific roles to facilitate engagement with other key members of the school: the teachers, the parents, the district educational offices and the broader community. The six school principals in this study were required by the New Education Act,1999, to lead their schools, teachers and the community in the process of improving school student achievement.

This research presented the impact of change that was required in schools as a result of the adoption of the New Education Act, 1999. Responses to the requirements of the act varied between the teachers, principals and parent members of each school. There was evidence of some resistance to change and a number of change obstacles appeared in each school. As the educational leaders in the schools, the principals were responsible for supporting teachers in developing new practices that involved the development of new curriculum and adopting new ways of teaching and supporting learning. The outcomes of this research and that of other related research, highlights the critical role that the principal plays in managing, guiding and channelling the collective energies of their respective school communities. Without this leadership, school change can end up resulting in no real change at all.

Principals in this study demonstrated responsibility for providing direction for their school communities. Teachers reported that the vision of their principal was to provide a guiding light for the school community as a whole in helping them to achieve their goals and objectives. Respectively, the mission for this group of principals was to always be fostering in others the drive to grow professionally and strive for continuous improvement. This type of energy level created an atmosphere and school climate that invited risk taking and encouraged innovative thinking.

The responsibility of the principal was to act as a visionary and a guiding light and provide direction that empowered their staff, parents and students to become active participants. Thompson and McKelvy (2007) highlighted the importance of developing a collaborative culture in which participants build a vision together. This could encourage individuals and teams to develop a common set of ideas and projects for improvement that complemented the broad framework created by the principal.

The principal provided the opportunity for school and community members to interact with each other. Participants identified the ability of the principal to articulate new information and methods as a catalyst for stimulating change. Through varied and different forums principals were able to reach, open and begin to influence different school community members and groups. Principals provided opportunities for teachers to participate in school decision making. This created an increased commitment to change amongst the teachers. The research participants reported the importance of the principal in communicating and involving the school community in the planning and implementation phases of the reform effort.

Improving education requires a strengthening of families and schools. Families are responsible for raising children and parents are their childrens' first and most important teachers. Schools are responsible for providing children with a quality education. However, schools and families cannot always do this job by themselves. They need to collaborate with each other and with other members of the community; volunteer groups, clubs, service organizations and agencies, museums, religious groups, community leaders, retirees, businesses and every caring citizen. Contributions from these groups can enable young people to grow and become productive, responsible members of the community.

This study indicated that one of the first priorities of a school principal is to build a community partnership that can support their schools and the learning of students.

Teacher teams in this study consistently identified the school principals' professional concern for their respective faculty and staff as important. With that in mind, teachers in these schools were encouraged to continue their professional training, especially as it related to school reform. In this study, principals led, facilitated and communicated with staff about the need for ongoing learning and professional development. The level of concern and interest a principal exhibited about his teachers both at a professional and personal level was also considered important. Teacher groups who reported that their principals took a personal interest in them felt that this interest strengthened their relationships with each other. The principals in this study also reported a need to get to know their teachers both as professionals and as individuals. These participants felt that it was important for school principals to know what was going on in the lives of their teachers and staff members because of the potential influence on their job performance. Another essential humanistic characteristic was the drive and passion a principal demonstrated about his or her work. Henning (2006) and Wong et al. (2009) also addressed this constant drive of principals looking for new and better ways of improving their schools

In this study, school principals promoted a collaborative working environment. Since the process of change is personalized by members of each school community, the school principal empowers or delegates staff members to develop knowledge and understanding of how new ideas and methods for change will be addressed. The principals also provided a format for individuals, departments and groups to take on leadership roles and work together. Teacher teamwork tended to make complex tasks more manageable, stimulate new ideas and promote coherence in the school's curriculum and instruction.

Groups of teachers explained how the principal encouraged them to identify and try new things that they felt might be beneficial to students. The teachers were more willing to take risks due to the support of their principals. Staff relationships were also nurtured through improved communication both formally and informally via networks such as lunchroom sharing and social dialogue.

Regardless of other circumstances, effective leadership will always bring a new spirit to an institution. Even in this particular case of educational reform, where there was a continuity of vision, many new ideas were added and school performances were upgraded. The results of this study provided evidence of the importance of leadership roles of principals in supporting educational reform. The eleven leadership roles provided specific examples of day-to-day leadership behaviour that should be practiced by school principals whose ultimate goal is to enhance their schools improvement in relation to New Education Act, 1999.

7.2.3 Thailand's Professional Administrative Standards

ONEC suggested that professional administrative standards can serve as guidelines for school principals working within the New Education Act, 1999. As stipulated in the New Education Act, 1999, there are four key areas of principal behaviour that support educational reform in schools (Apibankul, 2002):

1. Academic administration including:
   - curriculum leadership
   - academic and instructional leadership
   - ability to solve academic problems and concerns
   - possess innovative ideas and concepts
2. School administration including:
   - the effective management of services, programs, operations, and resources.
   - the facilitation and management of the school budget and resources to support their school communities
   - acting as both a moral and ethical leader.
3. Human resource development including:
   - the possession of skills and competencies in people management and development
   - leading by example (acting as a role model)
   - developing and maintaining good relationship with teachers and school communities
4. Being a strategic leader including:

- establishing a vision for school improvement and change
- facilitating the development, articulation, implementation and
- management of the organization's mission
- acting as an analyser and decision maker and giving appropriate orders
- understanding and managing information technology
- implementing and maintaining positive and proactive communication
- developing strategies for effective parent and community involvement
- the ability to delegate responsibility

This research study's outcomes address the majority of these professional administrative standards. The results of this study suggest that it would be beneficial for ONEC to include a set of standards for leadership practice. The principal leadership roles described in this study could provide a comprehensive set of indicators for these standards that would address research-based leadership behaviour. The District Educational Office, as well as ONEC, continues to place increased emphasis on standards. School principals must develop and practice leadership skills which will promote a commitment by the school community to continuous educational reform and student academic improvement. ONEC must recognize the important roles that leadership plays in achieving this goal.

7.2.4 Principal Leadership Development Programs

Facing new roles and heightened expectations, principals require new forms of preparation and training, especially in the areas of curriculum development, instruction and assessment matters (Sparks, 2004; Fullan, 2006). Standards-based accountability challenges traditional assumptions about the principalship. Nevertheless, despite general agreement that educational leadership is a critical skill, few principals have in-depth training for that role, especially in a standards-based environment. School leaders need deeper and broader knowledge of innovation in both instruction and in subject matter content (Gerard, Bowyer and Linn, 2008; Larson, Miller and Ribble,2009).

The principals' work is complex and affects all aspects of school success, particularly the instructional program (Full, 2006; Salazar, 2007), organizational learning and change (Senge, 2000). Despite recent reforms in improving the knowledge and skills of classroom

teachers, principal training has been reduced (ONEC, 2002). This reduction in principal professional development in a time of increased accountability is in conflict with Peterson (2002) who points out that with professional development, leaders can be more effective in the ways they learn and develop their school workplaces.

With professional development, leaders can develop the knowledge and skills necessary to become effective school leaders (Fullan, 2006; Steiner and Kowal, 2007), thus, enhancing the educational program. There was agreement that the need for career long learning by school administrators can no longer take a back seat to skill development of other educational professionals, such as teachers. Principal learning is elevated in importance, in part, by research stating that principals control the educational restructuring program; they affect learning opportunities for teachers and students (Williams, 2006; Kose, 2007; Roberts, Oakey and Hanstock, 2007). Principal professional development is therefore, imperative for the continuance of educational leadership, teacher growth and student academic programs.

Improving the quality of school (leaders) principals is the most feasible way to make a significant difference in Thai education (ONEC, 2002). Beyond the fact that improving principal performance provides great leverage over school achievement at limited cost, school systems owe it to their communities to ensure that all principals meet high standards of performance and that they are engaged in sustained and serious study of the most effective ways for school change. Without a sustained focus on improving the quality of school leadership, educational reform efforts will falter (ONEC, 2002).

This study pointed out that principals focus much of their time on staff development, helping teachers assist all students in reaching high standards. Instructional leaders do challenge staff members to examine traditional assumptions about teaching and learning and help provide opportunities for them to share information and work together to plan curriculum and instruction. For principals to learn how to do those things, they themselves need professional development.

The results of this research have implications for school leadership development programs in higher education. Institutions of higher learning have a responsibility for grounding principals (and aspiring principals) in strong, research-based theory and practice related to school wide change efforts. The link between research-based effective leadership

behaviours and school change and improvement has been strengthened by this study and provide school principals with better understanding on their leadership roles. The leadership development programs should start with a general background of research-based leadership theory with school leadership at the centre. Additionally, a focus should be placed on analysing and interpreting research, specifically related to leadership roles and school improvement.

This study has added to the body of research which confirms that the leadership roles of principals 'do' impact on school reform initiatives. It established a connection to the theoretical practices of effective leadership roles and school improvement and it suggested that these practices could contribute significantly to sustaining school reform in the long term. It is essential that school principals understand how their roles can influence the school environment and to selectively adopt appropriate roles while school change moves through different stages.

7.3 Recommendation for Further Research

The purpose of this research was to ascertain an understanding of the roles of school principal from the perspectives of the principals and teachers. This study raised several questions that were beyond the scope and methodology of this research design. Additional research in the following areas could strengthen the growing body of literature pertinent to principal leadership and organizational change.

In line with the philosophy of best practice of teaching and learning, it is recommended that follow up research be conducted on one or more of the six schools, in order to explore their progress in future reform initiatives and to identify their capacity to innovate. The study could potentially provide information on the role of school principals during this period.

This study was conducted in a limited geographical area and the sites were identified from a limited pool of schools. Additional insights might be gained from expanding the number of schools in each category type to determine whether the principal leadership roles' perceptions matched those from the schools in this study.

This study could be replicated using schools from different areas: urban, suburban and rural, as well as in elementary school and secondary schools. The study could be more focused on individual groups of schools that have similar characteristics as listed above. Further studies could focus on how school principals work with teachers to drive a phase of school change. At a time when schools are being pressured from many constituencies to change, it is important to better understand how key change agents within a school can facilitate change successfully.

While this study revealed that most teachers were experiencing heavy workloads both before and after the New Educational Reforms, there was an indication from some participants that working collaboratively was constructive. An investigation could be conducted on how collaboration between Thai teachers could enhance their teaching and learning quality but within a manageable workload.

A review of action research frameworks could be used for further study in relation to the roles of school principals and school reform. The study focus on the relationship between the outcomes of the roles of school principals and educational reform. School principals could use their school change initiatives to form the basis for a practical application of leadership theory. The principals could develop a form of self-reflection enquiry undertaken in their school educational setting in order to improve the rationality and justice of: 1) their own practice, 2) their understanding of these practices and 3) the situation in which their role practices are carried out.

As educational reform throughout the Thai nation continues, educational leaders will have to continue to play a major role if such reform is to be successful. This places the principal at the center of these school improvement efforts. The principal is central to a school's success in enhancing student learning. Though all public schools have much in common with the many challenges of New Education Reform, there are differences in the issues that principals face due to their geographic isolation or other variables. Considering the significant link between teacher quality and student achievement and therefore, school improvement, the needs for specific and unique professional

development for school principals becomes more pronounced. Participating principals in this study felt that providing more specialist support would assist in making their schools more responsive to the ongoing challenges facing them. Collaborative research between a university and an educational district or schools could provide an ongoing professional development program for school principals.

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APPENDIX A – LETTER TO DIRECTOR OF EDUCATIONAL DISTRICT OFFICE

The Director of Educational District
Nakhon Si Thammarat, Thailand

Dear sir,

My name is Natcharin Sakulsumpaopol, and I am undertaking research as part of my Doctor of Education degree at Victoria University, Australia. My study focuses on the roles of the principal in implementing change in elementary and secondary schools during adopting New Educational Act-1999 in the schools.

The aim of project is to investigate the role profiles of school principal along the continuum of school wave change. This study will seek to explore the nature of the role of principals as seen by themselves and school teachers. The project will investigate teachers and principals' understanding of the principal roles, school change and school effectiveness.

The research project will be conducted in six (6) selected elementary and secondary schools in Nakhon Si Thammarat. The data collection involves principals and teachers' interview, teachers questionnaire, principal observation, and school documentation reviews.

The principals and teachers' participation in this study is completely voluntary. They have the right to withdraw from this study at any time, and data collected will be discarded.

In order to complete my research study, I am seeking your kind support and approval to conduct the research project at those selected schools under your good office.

Faithfully Yours,

Natcharin Sakulsumpaopol
Student ID. 3573618

Any queries about this project may be directed to the researcher (Natcharin Sakulsumpaopol, Ph. 66 2373 2057, Hp. 66 9923 6091 or Dr. David Maunders, Ph. 61 3 97 18 2506 or Dr. Bill Eckersley, Ph. 61 3 97 47 7453). If you have any queries or complaints related to this research project, you may contact the Secretary, University Human Research Ethics Committee, Victoria University of Technology, PO Box 14428 MC, Melbourne, 8001 (Telephone no: 61 3 9688 4710).

APPENDIX B – LETTER TO PRINCIPAL

My name is Natcharin Sakulsumpaopol, and I am undertaking research as part of my Doctor of Education degree at Victoria University, Australia. I would like to invite you to be a part of a research project to evaluate the role of school principal in implementing change in a school organization.

The aim of project is to investigate the role profiles of school principal in relation to the school change. This study will seek to explore the nature of the role of principals as seen by principals and school teachers. The project will investigate teachers and principals' understanding of the principal roles, school change and school effectiveness. Respectively, this is entirely voluntary and is not a requirement of your current employment. There is no right or wrong answers. My hope is that you will answer the questions in the way you feel-the way things appear to you personally.

I anticipate that the interview will last approximately 1 to 1.5 hours. My purpose is to try to describe the various components of the school principal including the school practices. Besides the interview, I would like to ask your permission to observe at your school for another 1-2 days.

Data gathered from the individual principal will remain confidential and removing names (if any) when data is analyzed. No information supplied will be used in relation to any appraisal in your work place. Pseudonyms will be used for each school when reporting results of the research, No information provided by you will be seen by anyone except myself and my supervisors - Dr. Bill Eckersley and Dr. David Maunders. You may withdraw for this research at any time and your responses will not be included in the data unless already analyzed.

Natcharin Sakulsumpaopol
Student ID. 3573618

Any queries about this project may be directed to the researcher (Natcharin Sakulsumpaopol, Ph. 66 2373 2057, Hp. 66 9923 6091 or Dr. David Maunders, Ph. 61 3 97 18 2506 or Dr. Bill Eckersley, Ph. 61 3 97 47 7453). If you have any queries or complaints related to this research project, you may contact the Secretary, University Human Research Ethics Committee, Victoria University of Technology, PO Box 14428 MC, Melbourne, 8001 (Telephone no: 61 3 9688 4710).

APPENDIX C – LETTER TO TEACHERS

My name is Natcharin Sakulsumpaopol, and I am undertaking research as part of my Doctor of Education degree at Victoria University, Australia. I would like to invite you to be a part of a research project to evaluate the roles of school principal in implementing change in school organization.

The aim of project is to investigate the role profiles of school principal in relation to the school change. This study will seek to explore the nature of the role of principals as seen by principals and school teachers. The project will investigate teachers and principals' understanding of the principal roles, school change and school effectiveness. Respectively, this is entirely voluntary and is not a requirement of your current employment. There is no right or wrong answers. My hope is that you will answer the questions in the way you feel-the way things appear to you personally.

The data collecting will be conducted in two parts. The first part involves a group discussion. I anticipate that the discussion will last approximately 1 to 1.5 hours. My purpose is to try to describe the various components of the school principal including the school practices. The second part involves data collection using a questionnaire. You are also invited to complete this questionnaire. Completion of the 28 item questionnaire will take approximately 20 minutes.

Data gathered from individual teachers will remain confidential and removing names (if any) when data is analyzed. No information supplied will be used in relation to any appraisal in your work place. Pseudonyms will be used for each school when reporting results of the research, No information provided by you will be seen by anyone except myself and my supervisors - Dr. Bill Eckersley and Dr. David Maunders. You may withdraw for this research at any time and your responses will not be included in the data unless already analyzed.

Natcharin Sakulsumpaopol
Student ID. 3573618

Any queries about your participation in this project may be directed to the researcher (Natcharin Sakulsumpaopol, Ph. 66 2373 2057, Hp. 66 8 9923 6091 or Dr. David Maunders, Ph. 61 3 97 18 2506 or Dr. Bill Eckersley, Ph. 61 3 97477453). If you have any queries or complaints about the way you have been treated, you may contact the Secretary, University Human Research Ethics Committee, Victoria University of Technology, PO Box 14428 MC, Melbourne, 8001 (Telephone no: 61 3 9688 4710).

APPENDIX D - Principal Interview Protocols:
The following questions will be asked as part of the Principal Interview. As each interview develops, additional questions may be asked.

I. General
1. Could you describe one or more challenging issues you are facing today as the school principal?
2. In your role as a principal and leader, describe some of the leadership strategies that you have successfully employed in your school?

II. School Principal Roles
1. Can you describe your role as a leader in this school?
2. How would you describe an effective principal?
3. Describe some of your more common tasks that you perform in your current situation?
4. List four adjectives you would use to describe your current principal

III. School Wave of Change
1. Is your school involved (or been involved) in any educational restructuring programs and if so could you describe the current situation?
2. Can you describe your experience and role with regard to change in your school?
3. Can you describe any role(s) that you have taken in this restructuring project at your school?
4. Can you describe any challenges that you and / or your staff have faced with respect to restructuring and change in your school. What has been your role in addressing these challenges?

IV. School Practices
1. What do you believe are the key characteristics of an effective school?
2. How can you assess effectiveness in your school?
3. In what areas do you think that need to be addressed in order to increase your school effectiveness?

APPENDIX E - Semi-structured protocols for teacher group discussion:
The following questions will be presented to the teachers during focus group discussion.

Part I. School Practices
1. What do you believe an effective school looks like?
2. How are they different to other schools?
3. Is your school an effective school? Please explain.
4. Could you describe the differences or similarities between neighboring schools and yours, in terms of school effectiveness?
5. In an effective school, what would the teaching practices look like? Can you describe some effective teaching practices in your school?
6. In your school, how would the professional development be coordinated; and who decides what PD is required? What types of PD, when and where have PD been offered to school teachers?
7. What does a principal do in your school to support school effectiveness?
8. How is curriculum developed/formed in your school? Who is responsible for co-ordination of the program/process?
9. What do you think quality education looks like in an effective school? (You might look in terms of teaching, learning and academic progress, etc.)
10. What roles do parents and other members of the school community play in your school?
11. What do you understand about school-based management and how could it work and support school effectiveness?

Part II. Change in school
1. Is your school involved (or been involved) in any educational restructuring programs and if so, what has been your experience with it?
2. Can you describe how you, your colleagues, your school copes with or reacts to change?
3. Can you describe the role of the principal in supporting change in your school?

APPENDIX F - Personal information Questionnaire

Please provide the following information. (All information will remain confidential)

A. Name of School   :...

B. School Location   :...

C. Level of School   : Elementary/Secondary

D. Your position in the School   : ....

E. Age   : ....

F. Experience as a principal or teacher at the end of this school year:.......................

G. Year of working with the current principal at the end of school year : ....

H. Teacher Training   :.......................................

Name of College/University   :.......................................

Qualification attained   :... Years attended...

APPENDIX G - List of Schools in Nakhon Si Thammarat Province

I. Elementary school

ที่	ชื่อโรงเรียน	ผู้บริหารโรงเรียน	รวมทั้งสิ้น	
			นร.	ห้องเรียน
1	วัดพระมหาธาตุ	นายอมร เพิงใหญ่	2,406	52
2	บ้านทวดทอง	นายศรศักดิ์ หนูรัตน์	2,167	58
3	บ้านคลองดิน	นายอภิชาต ณ ระนอง	721	23
4	ชุมชนบ้านบางโหนด	นางจินตนา แจ้งใจ	768	22
5	บ้านชะอวด	นายสนอง นาคกราย	1,680	44
6	ราชประชานุเคราะห์ 8	นายเชวงศักดิ์ ผ่องแผ้ว	954	30
7	ท่าศาลา	นายจำรูญ สุพรรณพงศ์	1,572	43
8	วัดท่ายาง	นายสมพงศ์ จินา	886	24
9	บ้านห้วยหาร	นายสมพร ไหมบุญแก้ว	958	30
10	วัดประทุมทายการาม	นายณรงค์ จงบุรี	1,521	42
11	หัวไทร(เรือนประชาบาล)	นายมณี อ่อนจันทร์	1,502	38
12	สังวาลย์วิท 7	นายไพโรจน์ อิ๋ววังใส	931	28
13	วัดท้ายสำเภา	นายบุญฤทธิ์ วิมลทรง	744	25
14	บ้านในถุ้ง	นายธงชัย นิสวงค์	734	23
15	วัดท่าแพ	นายจีระศักดิ์ บุราภักดิ์	434	14
16	ฉวาง	นายพรชัย วิยาพันธ์	471	13
17	วัดไม้เสียบ	นายทวี จริยานุกูล	419	16
18	วัดบ่อล้อ	นายประสิทธิ์ ศรีทอง	426	16
19	วัดสระประดิษฐ์	นายนิยม รอดนวล	540	16
20	วัดโมคลาน	นายทนงค์ สายทอง	530	19
21	วัดยางทอง	นายพนธกร จรเสนอ	428	15
22	ปทุมานุกูล	นางอรไท มะลิแก้ว	444	15
23	บ้านหนองหว้า	นายประเวช พรหมปาน	574	17
24	สหกรณ์นิคมกสิกรรมทุ่งสง	นายสมศักดิ์ ชอบผล	617	18
25	ชุมชนบ้านไทรห้อง	นายวิโรจน์ รัตนบุรี	506	16
26	บ้านกลอง	นายณรงค์ อนุชาติ	420	13
27	บ้านเขาฝ้าย	นายสุวิทย์ ใจซื่อ	491	15
28	วัดหน้าสตน	นายสาคร จันทร์ทองอ่อน	513	17

29	วัดพระพรหม	นายอำนวย อนันทนุพงศ์	511	16
30	วัดคงคา	นายสุนันท์ จันทร์วงศ์	437	14
31	วัดทางพูน	นายอำพล เพ็ญตระการ	531	18
32	วัดดอนตรอ	นายประพันธ์ นาคแก้ว	491	16
33	วัดสระใคร	นายมนตรี โยธารักษ์	455	16
34	วัดพังยอม	นายนิรัตน์ เมืองจีน	401	14
35	บ้านห้วยไทร	นายปราโมทย์ ถาวรพราหมณ์	285	12
36	วัดศรีมงคล	นายวิโรจน์ บุญเรือง	312	13
37	บ้านโคกมะขาม	นายสาธร วัฒนา	329	10
38	วัดไม้เรียง	นายทรงวุฒม จรจรัส	274	12
39	วัดหาดสูง	นายทรงวุฒิ เพ็ชรอาวุธ	364	14
40	วัดมะปรางงาม	นายปรีชา หยูทองอินทร์	322	10
41	บ้านท่าสูง	นายอุดม สีนวล	356	14
42	มหาราช 3	นายวุฒิศักดิ์ ศรีสุขใส	387	14
43	บ้านชายคลอง	นายไสว รัตนพันธุ์	304	10
44	วัดเกาะจาก	นายศักดิ์ชาย ตันเฉลิม	308	12
45	ร่อนพิบูลย์	นายปริญญา เณรานนท์	386	15
46	วัดสุชน	นายเรวัตร ดำมี	343	11
47	วัดเขาน้อย	นายไพโรจน์ สังข์ทอง	336	12
48	บ้านหน้าศาล	นายช้อน ดำศรีใหม่	329	12
49	วัดบูรณาวาส	นายเชวง ศรีคงแก้ว	302	11
50	วัดหัวค่าย(พิศาลอุปถัมภ์)	นายชาญชัย สายสีทอง	361	12
51	วัดบ่อโพง	นายเจตนา เจียรบุตร	296	8
52	บ้านไสยาสน์	นายจำนงค์ แก้วสองสี	370	16
53	บ้านหนองแจ	นายนัฐพล เพ็งเมือง	376	14
54	บ้านสำนักไม้เรียบ	นายสุจินต์ แก้วกับเพชร	381	12
55	บ้านไสหินตั้ง	นายไพโรจน์ ลาชโรจน์	290	9
56	วัดนาหมอบุญ	นายเกียรติ หิรัญกาญจน์	298	9
57	วัดเปียน	นายอภินันท์ หนูณะ	292	8
58	บ้านตลาด	นายจำนงค์ จันทร์ด้วง	474	11

II. Secondary School:

ลำดับ	ชื่อโรงเรียน	รวม ม.ต้น	รวม ม.ปลาย	รวม ทั้งหมด
1	ท่านคร	827	248	1075
2	จุฬาภรณ์	511	387	908
3	ลานสกา	779	409	1188
4	เชียรใหญ่	973	485	1458
5	ชะอวดวิทยา	654	616	1270
6	ทุ่งสงวิทยา	833	244	1077
7	นาบอน	685	306	992
8	ทุ่งใหญ่	487	456	943
9	เสาธง	513	266	779
10	สิชลประชาฯ	726	196	1037
11	หัวไทร	741	387	1128
12	บางขัน	619	354	973
13	พิปูน	549	250	799
14	ก้างปลา	622	143	765
15	ปากพูน	325	204	529
16	ตรีนิมิตร	394	116	510
17	ละอาย	313	198	511
18	สระแก้ว	429	179	608
19	ราชประชา	436	212	648
20	กรุงหยัน	391	180	571
21	ขนอมวิทยา	412	238	650
22	ทรายขาว	509	224	733
23	เขาพังไกร	306	154	460
24	เฉลิมราช	522	163	685
25	พระพรหม	521	118	639
26	คงคา	439	268	707
27	นบพิตำ	390	213	603
28	ทางพูน	485	251	736

29	ควนเกย	327	89	416
30	วิเชียร	176	123	299
31	เชียรใหญ่สามัคคี	234	144	378
32	ขอนหาด	276	51	327
33	ทุ่งสงสห	248	78	326
34	ฉลองรัฐ	264	96	360
35	นพคุณ	251	108	359
36	ไม้เรียง	235	68	303
37	ท้องเนียน	251	138	389
38	แหลมราษฎร์	166	91	257
39	โศภณคณา	229	63	292
40	ชะอวดเคร่ง	191	55	246

VICTORIA UNIVERSITY OF TECHNOLOGY

มหาวิทยาลัย วิคตอเรีย

เมืองเมลเบอร์น, ออสเตรเลีย

วันที่ 14 กรกฎาคม 2547

เรียน อาจารย์ใหญ่ / ผู้อำนวยการโรงเรียน

กระผมชื่อ นาย สาครินทร์ สำภาพล ขณะนี้กำลังศึกษางานวิจัย ซึ่งเป็นส่วนหนึ่งของการศึกษาในระดับปริญญาเอก ณ มหาวิทยาลัย วิคตอเรีย, ประเทศออสเตรเลีย ในหัวข้อ "บทบาทของผู้บริหารโรงเรียน ต่อกระบวนการเปลี่ยนแปลงในองค์กร กรณีศึกษาในโรงเรียนชั้นประถมศึกษา และมัธยมศึกษา ในประเทศไทย" โดยจะทำการศึกษาโรงเรียนกลุ่มตัวอย่าง ใน จังหวัดนครศรีธรรมราช กระผมจึงขอเรียนเชิญ ท่านอาจารย์ใหญ่/ผู้อำนวยการ ได้กรุณาเป็นส่วนหนึ่งในการศึกษางานวิจัย ครั้งนี้ด้วย

วัตถุประสงค์ และเป้าหมายในงานวิจัยนี้ เพื่อที่จะศึกษารูปแบบบทบาทของผู้บริหาร(องค์กร)โรงเรียน ณ ช่วงเวลา และ สถานการณ์ต่างๆ ในกระบวนการเปลี่ยนแปลงที่ดำเนินไปใน(องค์กร)โรงเรียน การศึกษาในครั้งนี้จะค้นหารูปแบบของบท บาทดังกล่าวของผู้บริหารโรงเรียนซึ่งมองโดยตัวของผู้บริหาร และครู โดยจะศึกษาความเข้าใจของผู้บริหาร และ ครู ในบท บาทของผู้บริหารที่มีอิทธิพลต่อกระบวนการเปลี่ยนแปลง และประสิทธิภาพของโรงเรียน

งานวิจัยในครั้งนี้จะมีการเก็บข้อมูลซึ่งจะประกอบด้วยวิธีการดังต่อไปนี้

1. การสัมภาษณ์ผู้บริหาร
2. การสัมภาษณ์กลุ่มครู
3. การกรอกแบบสอบถามของครู
4. การกรอกข้อมูลพื้นฐานของผู้บริหาร และ ครู
5. การบันทึกข้อมูลประจำวันของผู้บริหาร
6. การสังเกตการณ์ของผู้ดำเนินการวิจัย

โดยที่การสัมภาษณ์ดังกล่าว ทางผู้วิจัยจะขออนุญาติบันทึกเทป เพื่อจะใช้ในการวิเคราะห์ข้อมูลอย่างถูกต้อง และได้ โปรดรับทราบว่า การเข้าร่วมในงานวิจัยครั้งนี้การสมัครใจ และไม่ได้การเกี่ยวข้องใดๆกับการปฏิบัติหน้าที่ของท่านผู้บริหาร อีกทั้งจะไม่มีผลกระทบใดๆ ต่อการประมวลผลใดๆในหน่วยงานของท่าน

ผู้ดำเนินการวิจัยรู้สึกซาบซึ้งในความกรุณา และสนับสนุนในครั้งนี้ และขอกราบขอบพระคุณมา ณ โอกาสนี้

สาครินทร์ สำภาพล
Student ID. 3573618

VICTORIA UNIVERSITY OF TECHNOLOGY

12 กันยายน 2546

เรียน ผู้อำนวยการสำนักงานเขตพื้นที่การศึกษาจังหวัดนครศรีธรรมราช เขต 1

      กระผมชื่อ สาครินทร์ สำภาพล, และในขณะนี้กำลังศึกษางานวิจัย ซึ่งเป็นส่วนหนึ่งในการศึกษาระดับปริญญาเอก ณ มหาวิทยาลัยวิคตอเรีย, ประเทศออสเตรเลีย ซึ่งหัวข้อที่ทำการวิจัยจะเป็นการศึกษาบทบาทของผู้บริหารโรงเรียนต่อการเปลี่ยนแปลงในโรงเรียนระดับประถม และมัธยมศึกษา

      วัตถุประสงค์ในการวิจัยนี้ เพื่อที่จะศึกษาบทบาทของผู้บริหารในองค์กรการศึกษา(โรงเรียน) ในกระบวนการการเปลี่ยนแปลงในโรงเรียน โดยจะวัดจากมุมมอง และความเข้าใจของครูอาจารย์ และตัวผู้บริหารเอง ซึ่งโครงงานวิจัยที่ศึกษาในครั้งนี้ จะประกอบด้วยส่วนสำคัญอยู่ 3 ส่วน คือบทบาทของผู้บริหาร, ลักษณะการเปลี่ยนแปลงในโรงเรียน และประสิทธิภาพของโรงเรียน

      งานวิจัยจะแบ่งออกเป็น 2 ช่วง และจะทำการสุ่มเก็บข้อมูลจาก 15 โรงเรียน (โรงเรียนระดับชั้นประถมและมัธยม) ในเขตจังหวัดนครศรีธรรมราช ซึ่งในช่วงแรกของการวิจัยจะเป็นการเก็บข้อมูล โดยการสนทนาของกลุ่มครูอาจารย์ เพื่อจะนำข้อมูลที่ได้มาออกแบบเครื่องในการวิจัย ทั้งนี้เพื่อที่จะได้ความถูกต้องและเหมาะสมกับรูปแบบขององค์กรทางด้านการศึกษา ในช่วงที่สองจะเป็นการเก็บข้อมูลโดยใช้แบบสอบถาม ที่ได้จากการศึกษาและออกแบบในช่วงแรก โดยเก็บจากโรงเรียนที่ถูกสุ่มตัวอย่าง

      ดังนั้น เพื่อที่จะให้งานวิจัยสำเร็จลุล่วงตามความมุ่งหมาย และข้อกำหนดของการศึกษา อีกทั้งเพื่อเป็นประโยชน์ต่อการพัฒนาบุคลากรในอนาคต กระผมจึงกราบเรียนมาเพื่อขออนุมัติทำการวิจัยในโรงเรียนดังกล่าวที่อยู่ในเขตการศึกษาของท่าน

โดยความเคารพอย่างสูง

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สาครินทร์ สำภาพล
นักศึกษาระดับปริญญาเอก
หมายเลข 3573618

อนึ่งถ้าท่านมีข้อสงสัยในการศึกษาครั้งนี้ โปรดติดต่อผู้ดำเนินการวิจัย โทร 0 2373 2057, 0 9923 6091 หรือติดต่อ Dr. David Maunders โทร 61 3 97 18 2506 หรือ Dr. Bill Eckersley โทร 61 3 9925 7915 ในกรณีที่ท่านมีข้อสงสัยหรือร้องเรียนในเรื่องที่เกี่ยวข้องกับงานวิจัยนี้ ท่านสามารถติดต่อโดยตรงไปที่ สำนักเลขา คณะกรรมการควบคุมจรรยาบรรณงานวิจัย, มหาวิทยาลัยวิคตอเรีย, PO Box 14428 MC, Melbourne, 8001 (โทร : 61 3 9688 4710).