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LEARNING THE ROLE: THROUGH THE EYES OF BEGINNING PRINCIPALS

by

Gary Raymond McColl O’Mahony
T.P.T.C (Toorak), B.A. Hons. (Monash), M.Ed. (Monash)

A thesis submitted to the Faculty of Education in fulfilment of the requirements for the degree of Doctor of Philosophy

Deakin University
June 2002
I certify that the thesis entitled:

Learning the Role Through the Eyes of Beginning Principals

submitted for the degree of:

Doctor of Philosophy

is the result of my own research, except where otherwise acknowledged, and that this thesis in whole or in part has not been accepted for an award, including a higher degree, to any other university or institution.

Full Name: Gary Raymond Mc Coll O'Mahony

Signed: [Signature Redacted by Library]

Date: June 2002
ACKNOWLEDGEMENTS

I am indebted to the beginning principals who willingly participated by giving of their valuable time and ideas to make this study possible. The compilation of a thesis can be a long, arduous and lonely journey and I wish to express my thanks and gratitude to those who supported and encouraged me through this time.

My doctoral work has been conducted under the supervision of Robin Matthews and Geoff Beeson who have patiently guided me through the process of completing this research and thesis writing. I wish to thank them as I have gained much from their advice, direction and encouragement.

One is fortunate to be surrounded by friends and colleagues. I wish to thank Elaine Harrison for her assistance in typing, Ian Miller and Bruce Burnett for their critical and timely advice regarding editing and formatting of the thesis. My warmest thanks are expressed to my wife Brenda for her love, support and forbearance in supporting me and proof reading part of my work.
Table of Contents

List of Tables xi-xv
List of Figures xvi
Abstract xvii-xviii

Chapter 1

Statement of the Problem 1

Introduction 1

Definition of key terms 2
Literature survey 3
Research focus 3
Research problem 4

Discussion of the problem and its context 5

Key research questions 7
Research question 1: What are the sources of learning for beginning principals? 7
Research question 2: What is the impact of sources of learning in developing the principal’s role? 8
The Australian context 9
Chapter 2

Literature Survey

1. Defining a role as a principal
   Recent developments in the principal’s role 12
   What is the role of the principal in the new millennium? 14
   Some images of the role of the principal 15
   Leader and manager 15
   The principal as an instructional leader 17
   The principal as a cultural builder 18

2. An overview of the sources of learning and socialization experiences which impact upon the role development of beginning principals
   Learning as the acquisition of role expertise by beginning principals 21
   Developing expertise and the role of learning 25
   Stages of learning 29
   Learning and knowledge required for the role of a principal 31
   The knowledge base for principals 31
   A map of professional knowledge 34

3. The processes of socialization and their impact on learning the principal role
   Professional socialization for beginning principals 35
   On the job training in the first year as a principal 37
   Phased role development over time 38
   Organizational socialization for beginning principals 41
   Role making 42
4. The sources of learning and socialization processes and their impact on the role development of beginning principals

Quadrant 1: Work experience: Work role

   Individual work role learning experience and self-directed learning
   System work role experiences
   What works in principal induction programs

Quadrant 2: Work experience: Work relationships

   Mentoring, coaching and counselling
   The key role of the mentor
   Mentoring for beginning principals
   Training principals to become mentors for beginning principals

Quadrant 3: Training and development

   Teaching people to lead a school
   The contribution of various training and development program designs

1. The conceptual approach
2. Skill building
3. Personal growth
4. Feedback

Quadrant 4: Formal management education

   The Prescriptive Era 1900-1950
   Behavioral Sciences
   Dialectic Era-Promising practices
Chapter 3

Research Methodology  

Design of this study  

1. The Idea: Research questions  
2. Literature survey  
3. Design of the research  
   - Deriving a qualitative framework for this study  
   - The use of a qualitative research approach  
   - Case study method as a chosen research methodology  
   - Strengths and limitations of the case study methodology  
4. Data collection and organization  
   - Interview data and compilation of case studies  
   - Sample  
   - Selection of interviewees  
   - Protocols adopted to support the study  
   - Sources of data collection  
   - Data collection: conducting the research  
   - Structured interviews  
   - Setting guidelines  
   - Survey data  
   - Analysis of data  
5. Data display and analysis  
   - Limitations of the study  
6. Data discussion and verification  
   - A question of ethics  

An analysis of the characteristics of beginning principals in this study - state comparisons  
   - Distribution of principals’ positions throughout Victoria  
   - Distribution by years of service  
The characteristics of beginning principals in this study  
   - Interview group  
   - Pen-pictures of the interviewees  

iv
Chapter 4

Phase 1: Idealization phase

Prior impressions-looking at the role

1. Sources of learning for beginning principals
   - Interview analysis

2. The impact of sources of learning in developing of the principal role
   - Interview analysis
   - Survey analysis
   - Interview analysis

Work experience: Work role
   - Interview analysis
   - Acting principal role
   - Assistant principal role
   - Collaborative learning experiences
   - Assigned role in a leadership team

Work experience: Work relationships
   - Principal mentors
   - Other mentors
   - Collegial links

Training and development
   - Selected leadership courses

Formal management education
   - Survey analysis
   - Phase 1 summary
Chapter 5

Phase 2: Immersion phase

First impressions- 'learning- the- ropes'

about the role

1. Sources of learning for beginning principals

   - Interview analysis

2. The impact of sources of learning in developing the principal role

   - Interview analysis

Work experience: Work role

   - Task focused learning

      Learning the technical aspects of the job

      Learning about a new cultural and contextual issues of the school

      Learning from the staff and the leadership team

Work experience: Work relationships

   - Principal mentors

   - Other mentors and coaches

   - Regional Principal Consultants

   - Local collegial group

Training and development

   - Regional induction training

   - Principal and School Development program

   - Regional conference

Formal management education

   Phase 2 summary
Chapter 6

Phase 3: Establishment phase

Mid impressions - defining the role

1. Sources of learning for beginning principals
   - Interview analysis

2. The impact of sources of learning in developing the principal role
   - Interview analysis

Work experience: Work role
   - Task focused learning
   - Technical learning
   - Outsourcing of key school tasks
   - Facilities
   - Learning about people
   - Addressing school policy
   - Time management

Work experience: Work relationships
   - Principal knowledge mentors
   - Regional Principal Consultants
   - Local collegial group

Training and development
   - The role of the Department of Education, Employment, and Training orientation program for beginning principals

- Professional development learning programs
  - Principal and School Development program
  - PRISM: Peer leadership program
  - Covey Seven Habits Program

Formal management education

Phase 3 summary
Chapter 7

Phase 4: Consolidation phase

Post impressions: feeling accepted in the role

1. Sources of learning for beginning principals
   - Interview analysis

2. The impact of sources of learning in developing the principal role
   - Interview analysis

Work experience: Work role
   - Interview analysis
   - Task focused learning: Technical tasks
   - Handling difficult issues and people

Work experience: Work relationships
   - Principal mentors
   - Collegial links and support

Training and development
   - Regional skill workshops
   - Principal and School Development

Formal management education

3. Sources of learning in developing the role over the year
   - Survey analysis

Preparing for the role

1. Desired experiences in preparing for the role
   - Interview analysis
   - work experience: work roles
   - work experience: work relationships
   - Survey analysis

2. Sources of learning used over the year
   - Interview analysis
   - work experience: work roles

Learning about the demands of the role
Learning about the demands of the role
Learning about the role through managing issues and people
-Survey analysis

3. Sources and types of learning experiences in preparing for the role
- Survey analysis

Phase 4 Summary

Chapter 8
Discussion of issues

A review of the research design used in this study
- The Cattegno and Millwood (1995) research model
- Conceptual features of the model
- Usefulness as a concept
- Applicability of the model framework
- Use as a research tool
- Strengths of the model
- Limitations of the model

A professional socialization learning framework for beginning principals

Professional socialization phases in learning the principal role
- Socialization career phases
- Phases in role socialization
- Role learning phases in principal professional socialization
Professional socialization learning phases

Phase 1 Master and the apprentice
- The effects of learning in professional role socialization
- Sources of learning about the role
- The effects of learning in developing the role of the principalship

Phase 2 The dependent learner within a community
- The effects of learning in professional role socialization
- Sources of learning about the role
- The effects of learning in developing the role of the principalship

Phase 3 The dependent task focused learner within a collegial group
- The effects of learning in professional role socialization
- Sources of learning about the role
- The effects of learning in developing the role of the principalship

Phase 4 The independent learner within a collegial community
- The effects of learning in professional role socialization
- Sources of learning about the role
- The effects of learning in developing the role of the principalship

The significance of trends in specific sources of learning impacting on socialization and role development
- The significant growth through self-directed role learning
- The role of stages in self-directed role learning
- The significance of mentors in role learning
Chapter 9

Implications of the study

Implications for further research
  -Research recommendation

Some implications for practice
  -Recommendation 1
  -Recommendation 2

Bibliography

Appendix
LIST OF TABLES

Chapter 2
Table 1 A model of skills acquisition and learning (Adapted from Dreyfus and Dreyfus, 1986) 24
Table 2 A composite picture of cras and metaphors in school administration preparation programs (adapted from Murphy, 1992) 66

Chapter 3
Table 3 An overview of the research design considerations for this study (based on Berg’s headings, 1995) 74
Table 4 An overview of the research design for this study of beginning principals using Berg’s (1995) headings 75
Table 5 Phases of the research 84
Table 6 Overview of data collection and process of organization 89
Table 7 Characteristics of seven beginning principal case-study interviewees 100
Table 8 Pen pictures of beginning principal interviewees 101-110
Table 9 Distribution of characteristics of a state wide survey group of beginning principals. 111

Chapter 4
Table 10 Phase 1: Sources of learning identified by interviewees. 116
Table 11 Phase 1: Sources of learning identified as important by interviewees. 118
Table 12 Phase 1: Impact and influence of sources of learning in role development for the survey group. 121
Table 13 Phase 1: Perceived effectiveness of sources of learning identified by the survey group 122
Table 14 Phase 1: Impact and influence of sources of learning for interviewees in role development. 124-125
Table 15  Phase 1: Significant learning experiences identified by
the survey group in developing their role. 135

Table 16  Phase 1: Useful learning experiences in developing
the principal role identified by the survey group 136-138

Table 17  Phase 1: Effectiveness of sources of learning
reported by the survey group 139-140

Chapter 5

Table 18  Phase 2: Sources of learning identified by interviewees 147

Table 19  Phase 2: Sources of learning identified as important by
interviewees 150

Table 20  Phase 2: Impact and influence of sources of learning
for interviewees in role development 152-154

Chapter 6

Table 21  Phase 3: Sources of learning identified by interviewees 172

Table 22  Phase 3: Sources of learning identified as important by
interviewees 174

Table 23  Phase 3: Impact and influence of sources of learning
for interviewees in role development 176-177

Chapter 7

Table 24  Phase 4: Sources of learning identified by interviewees 196

Table 25  Phase 4: Sources of learning identified as important by
interviewees 198

Table 26  Phase 4: Impact and influence of sources of learning
in role development for interviewees 201-202

Table 27  Perceived effectiveness of sources of learning in
preparing for the role reported by the survey group 215
Table 28 Survey data on important sources of learning in developing the principal role 216
Table 29 Sources of learning indicated by the survey group in preparing for the role 220
Table 30 Sources of useful learning experiences in preparing for the principalship reported by the survey group 221-222
Table 31 Sources of learning experiences about the role over the year reported by the survey group 227-228
Table 32 Sources of best learning experiences about the principal reported by the survey group 229-230
Table 33 Sources of learning experiences reported by the survey group in preparing for the role 232-233

Chapter 8

Table 34 Learning socialization framework for beginning principals 249
Table 35 Phase 1 Socialization and learning for beginning principals 260-261
Table 36 Phase 2 Socialization and learning for beginning principals 265-267
Table 37 Phase 3 Socialization and learning for beginning principals 272-273
Table 38 Phase 4 Socialization and learning for beginning principals 277-278

Chapter 9

Table 39 An example of a planning model for beginning principal development 299

Appendix

Table 40 Number of principal class members by sex and age group ii
Table 41 Number of principal class members by region and sex iii
Table 42: Years of service of principal class members
### LIST OF FIGURES

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Figure Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chapter 2</td>
<td>Figure 1 Planning model of work based learning for management development</td>
<td>43</td>
</tr>
<tr>
<td></td>
<td>(Cattegno and Millwood, 1995)</td>
<td></td>
</tr>
<tr>
<td>Chapter 3</td>
<td>Figure 2 A model for designing qualitative research (Source: Berg, 1995)</td>
<td>73</td>
</tr>
<tr>
<td>Chapter 4</td>
<td>Figure 3 Phase 1 Idealization phase: sources of learning</td>
<td>114</td>
</tr>
<tr>
<td>Chapter 5</td>
<td>Figure 4 Phase 2 Immersion phase: sources of learning</td>
<td>146</td>
</tr>
<tr>
<td>Chapter 6</td>
<td>Figure 5 Phase 3 Establishment phase: sources of learning</td>
<td>169</td>
</tr>
<tr>
<td>Chapter 7</td>
<td>Figure 6 Phase 4: consolidation phase: sources of learning</td>
<td>194</td>
</tr>
</tbody>
</table>
ABSTRACT

This study examines how first year principals learn their roles and provides the picture through their eyes. As there is no formal preparation requirement to become a principal in Victorian government schools, new principals must seek out and direct their own learning for the role. The study describes the informal and formal sources of learning that are sought by beginning principals to help them learn about their new role. The focus is on identifying what sources of learning were used through different phases of the study and how some became more critical than others in shaping and developing the role of a principal in the school.

This thesis is a story of continuous professional socialization and learning of a group of seven beginning principals using case studies and interviews over four phases of learning in their first year in the role as they proceed from appointment, entry, establishment through to consolidation of the role.

The process of socialization underpins the study and is conceived as a process of learning in which the participants actively direct and participate in their own socialization. However, greater emphasis is placed on the developing nature and reliance on learning in role development. Previous studies of professional socialization of beginning principals have identified licensure programs as significant in the preparation and ongoing development process, whereas this is not the case in Victoria where no such requirements exist. This study adds to existing studies through the finding that there are similarities in the stages of professional socialization process in the Australian context, but also explores new aspects about professional learning by identifying various phases and sources of learning for Victorian principals. These ranged from dependence upon an apprenticeship arrangement, through self-directed task learning, to that of becoming an independent learner within a professional community of equals. Some of the themes identified and explored in this study included examining phases of learning, sources of learning, and their effect on role development.
The study was initially based on identifying and exploring some of the key issues and the significance of learning experiences suggested by the beginning principals rather than researching predetermined hypotheses. This grounded and qualitative approach involved data collection over four different time phases in the first year in the role and allowed flexibility in the construction of case studies and the cumulative development of data through the study. The greater part of the data were collected through interviews in each of the four phases of the study along with the collection of survey data for comparison and contrast in the first and final study phases.

The research raises many issues that can serve as a basis for further exploration of the complexity of the role of learning within professional socialization for beginning principals. As well, it suggests a number of implications for the organization of professional learning and socialization in beginning principal socialization for the first year in the role.
Chapter 1

Statement of the Problem

Introduction

The role of a beginning principal has been portrayed as one of fulfilment and of hope that the leadership opportunity can make a difference to the lives of children in their school. Those who have aspired to the role have been required to make an occupational transition from that of a teacher to that of an educational leader and manager. But, at the same time, school principals are becoming an endangered species around the world (Barnett, 2001). As many principals are taking early retirement, fewer people are applying for the position, and this phenomenon of leadership shortage is worldwide and a growing concern (Renihan, 1999).

The role has certainly changed, with the reform movements of the 1980s and 1990s making the role more complex and demanding (Parkay and Hall, 1992). Whilst Evans (1996) has noted that there have always been chronic tensions in the principalship between leading and managing, and between resources and demands, these pressures are not new but have been further intensified. It is clear that currently societal and educational demands are impacting on how principals perform their work (Weindling, 1998; Renihan, 1999). Providing leader efficacy for schools is a complex activity, at any time, regardless of the experience of the administrator (Leonard, 1999).

What then happens to new and inexperienced principals taking up the role for the first time? They may lack the necessary knowledge, learning and support in developing their role and may be at risk of failing in their role due to actions, events or outcomes over which they may not always have direct control (Sergiovanni, 2001; Deal and Peterson, 1994). The precariousness of
taking up the principalship reinforces the need for research about finding ways of supporting principals in the early years of the job. A study conducted by Daresh and Male (2000) reveals that principals have concerns about the support, or the lack thereof, that they receive in their first year in the role. A recommendation emerging from this study suggests that support must be actively sought, and be provided by peers, but not necessarily from within the same school or same district.

It seems that we know very little about the lives of beginning principals (Hughes and Ubben, 1994; Parkay and Hall, 1992; Daresh and Male, 2000; Wiendling, 2000). The more we learn from neophyte principals about how they learn to develop and construct their new roles, the better we will be able to support them and help structure and develop learning opportunities in their role development.

The present study attempts to do this focusing on trying to understand the sources of learning for new principals and how these have significantly impacted on the development of the role.

The following is presented as a guide to this research in outlining: 1) terms used in this study, 2) literature survey, 3) research focus, and finally, 4) the key research questions guiding this study.

**Definition of key terms**

In this thesis the following definitions are used:

Principal: (There are many definitions of the principal’s role reported in the literature (as reported, for example by Murphy, 1999; Duke, 1987). As Hart and Bredeson (1996) contend, there is no shortage of verbiage when it comes to describing what, how and why principals do as they do). The definition chosen for this study of beginning principals is one who takes a leading formal administrative role as a manager and leader within a school (Hart and
Bredeson, 1996). In this definition, is the original notion of a head teacher in a school, but also a formal authority figure as a manager and leader in schooling. The focus in this study will be to see how this role of principal is learned and defined and professionally visualised by newcomers as they take up their roles as new principals.

Learning: The notion of learning has been defined as a process of change in an individual as a result of engaging in different informal and formal sources of experience of training, education and development (Hart, 1993; Merriam and Caffarella, 1999). In this study the focus of the investigation will be on the impact of learning on principal role development.

**Literature survey**

What is the role of learning in influencing the role development of the principal, and, how has this learning been influential in preparing and developing principals to lead today's and tomorrow's schools? The pressures of world change have impacted upon schooling and education within a global educational context resulting in subsequent changes in the nature of schooling through reform, restructuring, renewal and re-culturing which have been deemed necessary. The responses to new demands have implications for developing leaders with new habits and minds to lead schools in the next millennium. The role of the provision of training in the current sphere is extensively examined in a new paradigm of professional learning for school leaders.

Fittingly, the literature survey will explore these issues in two related sections. Section 1: The role of the principal and learning required to fulfil the role, and, Section 2: The sources of learning and their impact for beginning principal role development.

**Research focus**

This qualitative study reports on data gathered over time from fifty-four first-time government primary and secondary principals in the State of Victoria, (Australia) who had taken up their positions in January 2000. Data were
collected in seven beginning principal case studies through structured interviews in each of the four phases of the research, and, was supported by collection of comparative data through the use of questionnaires with the remaining cohort principal group of forty-seven during the first and fourth phases of the research. All participants were appointed to new principal positions at the same period as a cohort group in a late-year intake and were in their first year in the role. The study is both descriptive and interpretative in nature, as it portrays the learning experiences of principals prior to taking up the appointment, after the appointment is taken up and subsequent periods of development in settling into the new role. The main area to be researched are the sources and impact of learning as new principals as they developed their role.

The research problem

The essence of this study is to examine how the role of the principalship is developed by new appointees and how the role is constructed through the impact of different sources of learning in supporting their role development. This study has been influenced by an earlier research study conducted on Beginning Principals (Parkay and Hall 1992) which explored role development, socialization, and concerns of beginning principals in the North American context, and the related Australian work on beginning principals of Beeson and Matthews (1993). Little definitive research is available in the Australian context on how roles are constructed in the principalship over time. This is an attempt to add some qualitative analysis to this topic of how the conception of the principalship changes over time, and the way that learning impacts on developing conceptions and actions within the principalship role. One conceptual tool to be used in this is a model drawn from a management perspective by Cattegno and Millwood (1995) which emphasises that learning is holistic and a series of life-long pathways. To test the validity of the elements of this model, the authors used questionnaires with managers in over eighty organizations. The present study will attempt to examine the impact, and relationships of the different sources of learning identified by Cattegno
and Millwood and to see if these can be related to how new principals shape their roles over time.

It is the intention of this study to use qualitative and quantitative data sources to construct a series of "photographs" of beginning principals, collect their ideas about how they construct and develop their leadership role, and, to seek recommendations from them on how their professional practice and learning could have been improved.

Discussion of the problem and its context

Since 1992, under the Victorian Schools of the Future policy initiated by the Liberal Government of Victoria (Caldwell and Spinks, 1998), the role of the principalship has changed dramatically. The then traditional image of the principal as an instructional head teacher has given way to demands for better leadership and management using industry models (Caldwell and Spinks, 1998). These demands have brought their own set of dilemmas related to changes in the role and expectations about the principalship.

The role presented in the literature of beginning principals is one of neophyte or novice, compared with more experienced principals in terms of expertise and performance skills. This is best illustrated by Murphy (1992a) who makes the distinction that beginning leaders differ from more experienced principals in the knowledge they possess, in their patterns of thinking, and in their performance. It is these differences which provide the substance for designing problem-based approaches to leadership development for new school leaders, and how the characteristics of expert leaders can be incorporated in training to develop new leaders.

Evidence from studies of problem-solving, comparing novices and beginning principals and experts from fields other than school leadership, have identified
at least seven differences (Ohde and Murphy, 1993; Leithwood, Begley and Cousins 1994).

These differences indicate that experts, when compared with novices:

- are better able to regulate their own problem-solving processes (Berliner, 1986): this control appears to be what Schön (1983) refers to as ‘reflecting-in-action’ and ‘reflecting-on-action’
- possess more problem-relevant information (Berliner, 1986; Norris, 1985) and have it stored in memory in a better organized, more richly linked manner, thereby increasing its accessibility and extending its application (Bereiter and Scardamalia, 1986)
- represent problems using more abstract categories (as opposed to more superficial features of the problem) with reference to more basic principles (Berliner, 1987; Chi, Feltovich and Glaser, 1981; Voss et al., 1983). They also have better and faster pattern-recognition skills (Bereiter and Scardamalia, 1986; Berliner, 1986).
- identify and possess more complex goals for problem-solving, and goals related to action plans (Bereiter and Scardamalia, 1986; Berliner, 1986)
- spend more time at the beginning of problem-solving, planning their initial overall strategies. They are also more flexible, opportunistic planners during problem-solving, and are able to use a greater variety of approaches to a solution (Berliner, 1986; Norris, 1985)
- have developed ‘automatic’ responses to many recurring sequences of problem-solving activity (Norris, 1985)
- are more sensitive to the real requirements for solving the problem, and social contexts within which problems are to be solved (Berliner, 1986)

However, what we do not know is what beginning principals actually bring to the job in terms of the role of the principal, and in the abilities to carry out the job
The notion that the expertise of beginning principals is limited in appropriate leadership skills and expertise needs to be challenged. Newcomers to the role do bring a range of knowledge, skills and expertise to the job, and this study will examine what the nature of this expertise is, and how it changes and develops as beginning principals construct their roles in their new schools.

**Key research questions**

Two key research questions were identified in this quest and are now outlined below.

**Research Question 1: What are the sources of role learning for beginning principals?**

The first research question will attempt to locate and catalogue the ranges of formal and informal learning used by beginning principals in developing their role from their time of appointment through to the end of the first year in the role. This question will focus on identifying and cataloguing the various sources of learning available to new principals using the Cattegno and Millwood model (1995). These sources of learning about the principalship are of great interest in determining how newcomers, prepare for, and develop the role. This is particularly the case in the State of Victoria, as principals are not required to have any formal preparation or licensing program to undertake the role.

Weindling (2000) reminds us that to fully understand the professional socialization processes of principals we must first discover what previous informal and formal learning experiences contribute to their development from teacher to school principal. Some research attests to the fact that academic staff from university preparation programs and school district leaders are forming partnerships to recruit and train quality educators to become principals (Whitaker and Barnett, 1999). In addition, Barnett (2001) reports that school systems are grooming future leaders using "succession planning"
programs intended to provide meaningful leadership experiences for teachers who aspire to the principalship.

**Research Question 2: What is the impact of sources of learning in developing the principal role?**

The second research question focuses specifically on the significant impact of sources of learning on beginning principal role development. The importance of the workplace as a primary source for learning about roles has been well highlighted (Marsick, 1987; Resnick, 1987; Scribner, 1999). Marsick and Watkins (1990) provide a model for understanding workplace learning by suggesting that there are three important domains to be considered. These are instrumental learning which is job focused and is aimed at skill development; dialogic learning which includes learning about the school and one’s relationship to it; and, self-reflective learning where one seeks to increase understanding and competence.

It is argued here that all first time Victorian principals fulfil a teaching role prior to their principal appointment, and that a substantial amount of informal learning about the principal’s role occurs within the school workplace. More formal learning is often undertaken off-site by individuals on their own volition to help support this development.

This study seeks to find out how beginning principals access and use both formal and informal learning to develop their roles. To help achieve this end, this study applies the model developed by Cattegno and Millwood (1995) to examine sources of learning and knowledge a beginning principal may be exposed to in the process of becoming a school leader over time. It has also been chosen as providing a way to examine what beginning principals actually bring from all of their previous learning to the new role and how learning and leadership are shaped by different and new sources of learning once in the role. It will also enable the researcher to examine what are the influential
factors in learning experiences, which help shape and are used in principal role development. The question is to determine which is considered the most important and influential at different stages of the socialization process. Which has had the greatest impact and influence on the image of the principalship and how the newcomer constructs his or her role in the school?

*The Australian Context*

Hewitson (1995) provides an Australian perspective in his study of first time principals in Queensland. The study recommended in its conclusions that employing authorities should explore ways to provide release time for new appointees to learn about the job both in pre-entry and stages of early entry. The study also suggested that a preparatory practical orientation program should be devised to support newcomers. One interesting finding in Hewitson's data indicated that ten primary principals in the study (43%) felt they were not prepared for the principalship, which is a major concern in Australia where there are no requirements for compulsory licensure or accreditation for becoming a principal. One can become a principal merely by successfully applying and being locally selected for the position with minimal entry requirements to the principalship. This is indeed a concern for the profession.

Hewitson concluded that there was a need to advocate for the provision of ongoing professional induction programs for first-year principals to help alleviate and address the many problems faced in initial appointments. This is further supported by Bowman (1996) who suggests that all new principal appointees undergo specialised in-depth induction programs whilst Hewitson (1995) further maintains the importance of a preparatory professional development orientation program for principals-elect. In fact, both forms of development, pre-entry and post, are vital in career development and
supporting a transition to a new career. Harvey (1988) also supports this in research conducted in Western Australia.

How beginning principals learn to take charge, as a new principal is vital. This study of career transitional phases and changes in image of the leadership role of principal, occur as part of a role innovation in becoming a principal for the first time. All Government schools Victorian State System of Education are self-managing schools under the 1992 School of the Future program. Schools are given devolved responsibility for management and decisions about staffing, resource acquisition, maintenance, buildings, and school direction within State guidelines so that resources can be deployed in meeting school charter and local school improvement initiatives. The role and impact of different sources of learning and learning during the first year induction process will form interesting lenses through which to view the changes a beginning principal makes in taking charge of a self-managing school and constructing a new principal role.

It has been pointed out that the role of the beginning principal has indeed changed from the past. Most of the research has concentrated on changes in socialisation and role image and has focused on the problems in conception of the role, and skill acquisition in the development of expertise. This study is an attempt to present a view of how principals learn their principal role, and subsequently modify it through various sources of learning as they begin to lead a new school. An examination will also see how they learn the role in relation to their values, intent behaviour and knowledge, and, and use their sources of learning in school policy role development.
Chapter 2

Literature Survey

The literature survey will first focus on identifying some of the key issues in adult role learning that can be applied to this study of beginning principals. This will help establish an image of the role that newcomers are expected to learn. Second, it will focus on defining the principal sources of role learning for beginning principals as found in the literature on professional and organization socialization. Third, the focus will be the processes of socialization and their impact on learning the principal role. Finally, it will shift to examining the impact of sources of learning contributing to the role development of the beginning principals.

This first section will focus on determining how the role of the principal has been described in the literature and can be applied in this study. It will examine a definition for learning as it applies to the way beginning principals become socialized into their new role. The simple dictionary definition states: 'Learning is the gaining of knowledge or the gaining of a skill.' (Chambers Dictionary, 1990, p. 268). This places the definition in the realm of skill or knowledge acquisition as an end product. However, it is much more than that. Merriam and Caffarella (1991) note that although learning has been defined in various ways, the most useful definitions of learning include some reference to the use and application of any knowledge or skills within the role. The focus of the research questions for this study centre on not just how principals learn to acquire knowledge and skills but how they integrate and use them to carry out their new roles. Therefore, beneath this definition of learning is a process, as distinct from an end product, which focuses on what happens when learning takes place. If the key to this study is going to centre on the impact of sources of learning, some investigation of the necessary skills and knowledge to be learned for the role of a school principal, is required.
1. Defining a role as a principal

This section will focus on defining the role of the principal in terms of what they do. It will concentrate on determining what role a principal undertakes in leading a school, and, then review the research to determine the sources of learning in principal socialization and role development.

The transition of principals into the role has been pictured in socialization theory as the process in which new members of an organization learn to deal with the realities of the job. Weindling (2000) has pointed to the need to understand how professional and organizational socialization learning experiences contribute to this role development. Duke (1987) reminds us that becoming a school principal is an ongoing process of learning and socialization. This section of the literature survey will focus on how the role of the principal has been developed, and how socialization and learning experiences have been developed to assist beginning principals to learn their role.

To help position this review and study in some contextual perspective, this section begins with first, some consideration of establishing how the role of the principal has been described in the literature, and what expectations have been held for beginning principals as they enter the role. The second consideration will focus on sources of learning and influences on beginning principals on the way they have gained and applied understanding and knowledge about the principal role. The role of professional learning is seen as significant in shaping the role of beginning principals and in developing capacity to carry out the role.

Recent developments influencing the principal's role

The sweeping reforms in Victorian education, in particular, in the last few years have been described by principals as 'change on an unprecedented scale', with the scope and pace of change in the Victorian Schools as nothing short of breathtaking (Caldwell and Spinks, 1998). Researchers' sentiments
related to the changing nature of the principal’s role have echoed this the world over.

What new role has been conjured up for the leaders of the future where the principalship is in transformation? As one principal noted:

Twenty years ago, being a principal was like conducting an orchestra playing an unfinished symphony - there was always something to do.

(Weindling 1992)

Perhaps the following sums up the best conception of the challenges of the new principalship role:

Having a vision of what they would like their schools to be in the future is critical for school leaders; it may even put them in front of the band. But it is the creation of a shared vision among those playing the instruments that determines what song is being played, and whether it is one or many.

(Leithwood, Begley & Cousins, 1994)

At this time, this still remains the case, even if some elements of the orchestra have changed substantially as well. Is it reasonable to then ask whether the front of the band is the best place for the leader to be? It may be that the rear of the band and the midst of the band will offer opportunities that are equally as important for the principal as opportunities available at the front.

This literature survey will begin by examining how the principal’s role has been dramatically transformed and will examine some of the vantage points to see where the beginning principal should be in leading and managing schools.

What these statements signal, with accompanying changes and decentralisation, is the complex environment confronting principals and demanding changes in the principal role. Attention now will be focused on what conceptions there are of a perceived role for a new principal.
What is the role of a principal in the new millennium?

The concept of the principalship presented herein is part of a search to determine what actually is the role of the principal in school leadership. Once this has been established then the implications for learning will be examined to see how training for this new role has developed.

The infatuation with leadership, and especially good leadership, pervades the psyche of business, industry and school settings. It is viewed as a necessary component for workplace reform and productivity, and regularly the media declares the need for more leadership like a clarion call for overcoming all evils of society. Perhaps it is a yearning for the past when the image of post heroic figures in history occupied and strode the world stage but it does raise the question ‘Is leadership a good thing?’ No matter how frequently it is raised, it must be asked, are those leading and managing enterprises, such as schools, any better at it? There exists a real danger that trying to define the leadership role for principals will remain a meaningless inert concept surrounded by a miasma of platitudes. Those who have written on the subject, such as expert scholars, certainly provide the rhetoric to support its extensive research but perhaps as a concept it has been rendered relatively meaningless.

Bennis reminds us that despite the extensive research, ‘Probably more has been written and less is known about leadership than any other topic in the behavioural sciences.’ (Bennis, 1959, p.259). The more the mystique remains; the elusive search for what the school leader is to become is further blurred. If there are so few subjects that have been extensively researched as leadership, why does it seem to have had so little effect in practice? The repeated study (and the search for its essence) is the very elusiveness, which helps fuel the ardour. The romantic and heroic qualities surrounding its demeanour are noble but of little real value in determining whether leadership can be developed and actually taught. This is the essence of this search about leadership for principals in this thesis.
Some images of the role of the principal.

Some of the role conceptions emerging in the literature will now be examined to determine what principals actually do. An emerging picture suggests that the formal leadership roles for the principal are best described as a leader and manager, instructional leader, and culture builder (Hart, 1993; Murphy, 1999;). The first step will be to explore how accurate this picture is.

Principals as formal leaders, in any complex organization, have four major responsibilities: goal attainment for student development; participation in maintenance of cultural development of the school as a social institution; maintain and develop resources to achieve school goals; and, act as a mediator to protect the school from external forces whilst being responsive to the needs of children and the school (Hughes and Ubben, 1994; Hart and Bredeson, 1996). As formal leaders, principals are viewed as responsible for coordinating and addressing perennial organizational problems. Inherent in all these descriptions is clear images of roles that principals are expected to fulfil. The three major roles as described in the literature are: a leader and manager, instructional leader and culture builder, will be examined to see how adequate they are in describing the principal’s role for today’s schools.

Leader and manager

It must be established that trying to pinpoint the characteristics of successful leaders and mangers in the principalship is a controversial and debatable enterprise at the best of times. Capturing the essence of principalship is to burrow behind popular misconceptions where a single figure, almost a godlike hero in status, is revered. To seek some clarification it must be first stated that in the principalship, leadership and management do not mean the same thing. Leadership and management are best described and distinguished by Kotter (1992, p.6). The two concepts are not mutually exclusive - good leaders can be good managers, or vice versa. Each concept is concerned with creating an agenda, developing a human capacity to plan, implement and
achieve outcomes around an agenda. Leadership is concerned with establishing direction, aligning commitment and responsibility for change and achieving an agenda, whilst management concentrates on planning, budgeting, organising resources and solving problems. Put simply, leadership is concerned with bringing about intended change while management focuses on producing predictability and order. As the old maxim implores that management is about 'doing things right' while leadership is about 'doing the right thing' (Drucker, 1993).

This somewhat simplistic dichotomy actually fails to capture the complexity and the diversity, which are encompassed in the role of the principal. Image is everything but what does this role encapsulate? Principals have been conceptualized as both managers and leaders (Deal & Peterson, 1994; Duffie, 1991; Strange, 1993) but the constructs have different connotations as each construct frames the work of principals in a different way (Deal & Peterson, 1994; Duffie, 1991). This requires some exploration of how the conception of the principal can best be described and defined for examining beginning principals.

Cascaden (1998) suggests that one way to differentiate between leadership and management is to focus on how philosophical questions of beliefs, values and goals are addressed. Management can be seen as focusing on the 'how' of doing something and leadership as focusing on the 'why'. Zaleznik (1977) was one of the first writers to contrast the constructs of leadership and management, and concluded that: 'managers and leaders are very different kinds of people. They differ in motivation, personal history, and in how they think and act' (p.69). In contrast to managers, leaders are 'active instead of reactive, shaping ideas instead of responding to them. The net result of this influence is to change the way people think about what is desirable, possible and necessary' (p.71). So what are we left with? It is argued that both are needed in the construction of what makes an effective principal role. As Warner (1983) argues, the principal oscillates in a role where management is necessary, and focuses on questions of efficiency and effectiveness. But it is
not sufficient without the complementary construct of leadership which is
value-laden and focused on questions of ‘why’ and concerned with goals and
ends that affect outcomes about what ‘ought to be’.

_The principal as an instructional leader_

Instructional leadership remains one of the more controversial characteristics
associated with effective schools research (Lezotte, 1996). The authors note in
their research that there are very few principals who can be described as
instructional leaders. The reasons are complex including a resistance to change
and ‘learning for many’. There may also be a tendency to hire principals who
predominantly use traditional management techniques, and perhaps the most
pervasive question of all is whether the principal can implement all of the
tasks associated with both management and leadership. Jacobson (1990)
actually question whether any one person can equally be an effective manager
and instructional leader, and whether the instructional role is a dimension,
which is too difficult to fulfil. While Krug (1992) has identified some of the
domains of effective instructional leadership as guides for defining it, Heck,
Larsen and Marcoulides, (1990) underpin these with some needed
competencies which seem apparent and include the need for visionary
leadership, strategic planning, communication, role modelling, nurturing and
disturbing others. In essence, these become important contextual variables
which influence the dynamics and decision-making in schools (Greenfield,
1986 : Scott, Ahali, and Krug, 1990), but it must be established that for
beginning principals, instructional leadership, student outcomes, and school
effects are complex, multi-dimensional, interactive phenomena that are not
easily separable into discrete variables for conceptualization analysis or
interpretation (Hart and Bredeson, 1996).

Much of the literature is resplendent with the influential role of the principal as
an instructional and educational leader. Is this deserved as an image worth
preserving? It is self-evident that the principal’s influence on student outcomes
is vital and necessary and the emphasis though should be on what principals
do to make a difference in student and school outcomes, not the idea that
specified leadership behaviours cause predictable outcomes. This would prove to be a spurious journey of disappointment because what is argued is that principals do help to create conditions for learning which influence student and school outcomes.

**The principal as a cultural builder**

Without doubt leadership values and beliefs help shape thinking and images of what constitutes the principalship and informs action. That values and beliefs seem essential to successful leadership seems self-evident and a truism (Hart and Bredeson, 1996). Yet there would seem to be a drift away from these in leadership programs which seem to be excluded through omission rather than design (Murphy, 1992; Tomasello and Ratner, 1993; Sergiovanni, 1994). It is here that Walker (1998) argues that there is an urgent need to revisit this area which he maintains is the essence and unchanging core of leadership practice. In the world of unprecedented change in schooling there is a need for principals as educational leaders to create and manage stability and consistency, and maintain a sense of equilibrium for teachers and children. While the principal may be conceived as fulfilling a series of multiple roles, the fundamental core and compass remains maintaining a personal set of values and beliefs as any underestimating of their importance devalues any notion of what it takes to be an effective leader. In addition, values shape and inform thinking while serving as guides for action. Values influence and shape the image of beginning principals in their learning as expert thinkers, and by extension their behaviour, as lenses for viewing problems of practice and as substitutes for professional knowledge in the face of novel problems (Leithwood, 1994).

In Sergiovanni's (1994) view, since all principals face similar demands and constraints, it is then a matter of the choices principals make which define ethical leadership. This decision-making in leadership in terms of role, behaviour and style, and expressions of values through actions, distinguishes ordinary principals from highly successful ones (Leithwood, 1994; Sergiovanni, 1992). The findings of Bredeson (1994) provide empirical
support for values and beliefs as building blocks underpinning principal role making. Bredeson (1994) describes the leadership values for principals on helping principals understand their role as formal leaders as they move from traditional leadership behaviours to more group-centred behaviours and values.

As leadership responsibilities and control are shared among teachers and principals, the traditional role of building principal continues to be redefined ... Bradford's description for group-centred leadership behaviour emerges requiring others to make final choices in appropriate kinds of decision-making and purposes. (p. 219)

Walker (1998) makes an interesting observation when he suggests that there is an unchanging core of leadership, which reflects some fundamental governing commitments that must be constantly reaffirmed and manifested in everyday behaviour. In doing so they constitute basic integrity in leadership. Furthermore, Walker highlights four essential commitments to leadership which focus on: developing common ethical principles; supporting a professional code of ethics; exercising a professional conviction, and to listen to the voice of personal conscience. Some examination of Walker's beliefs in the above commitments provides an image of what the integrity of leadership should embrace. An interesting question, to be addressed later, is whether training in leadership can impact upon these beliefs and principles.

Murphy (1992) sums up this new leadership role challenge for new principals as a complex and challenging requirement where principals must don the cloak of leadership changing from implementers to initiators, from a focus on process to a focus on concern for outcomes, from risk avoiders and conflict managers to risk takers - but similarly they must also adopt leadership strategies and styles that remain in central harmony with the tenets of the hierarchical school organizations they seek to manage (Clark and Melroy, 1989; Louis and Miles, 1990; Deal, & Peterson, 1990). They must learn to lead not from the apex of the organisational pyramid but from the nexus of a web
of interpersonal relationships as participatory leaders (Chapman and Boyd, 1986), with people, rather than just through them (Clinton, 1987).

What conclusions then can be drawn about the role of the principal? The view presented of leadership can represent a colourless and insipid image of what constitutes a dynamic and important role. Some four hundred definitions of leadership are currently listed in the literature (Bennis & Nanus, 1985) and any consensus in determining what constitutes leadership fails once there is an attempt to define and operationalize the various leadership conceptions. Hart & Bredeson (1996) conclude that the remnants in developing a conception of the principalship are one of either a half-empty or half-full glass of water. The half-empty perspective suggests that conceptual confusion is vindicated by so many competing definitions of leadership thwart any efforts to construct a strong conceptual and empirical knowledge base of school leaders. In contrast, the half full perspective provides an opportunity to examine leadership through multiplying lenses focusing less on conceptual problems and more on heuristic possibilities offered by different lenses. Metaphors and analogies abound and are rich and provocative vehicles to describe the heart of leadership (Bredeson, 1988). Analogies provide cognitive-linguistic devices that allow the transfer of coherent chunks of characteristics. The extent to which the principal's role is clearly defined and articulated rests with the demands of the type of leadership required to lead schools today, and the requirements of the employer authority. The question remains as to how newcomers learn their role. What are the sources of learning for new principals to learn about the job and how is professional training presently organized to skill them to undertake the role? These questions will be examined through a framework developed by Cattegno & Millwood (1995) and discussed in the final section.
2. An overview of the sources of learning and socialization experiences which impact upon the role development of beginning principals

The previous section discussed differing and competing role conceptions that exist for principals. Leithwood, Jantzi and Steinbach, (1999) have suggested that role conceptions are dependent upon the socialization influences of the times and the place in which they are found:

Each developed in a context of organizational and broader social goals, needs, norms, ideas and expectations, which allowed one or several approaches to leadership to dominate, as an ideal, until such time as that context changed sufficiently as to more clearly favour yet another approach or approaches.

(Leithwood, Jantzi and Steinbach, (1999, pp. 22-23)

Although the previous section examined different role conceptions, the question remains as to how principals can learn their role. As part of the research questions defined for this study, some examination of the literature is required to determine how principals have been depicted in learning their role. An examination of what the research says about the sources of learning for the role and how they have been used to define and shape the role will now be undertaken. This will help give clarity to the future research and lay a foundation for later review of the findings. This begins with an examination of the processes of learning and developing expertise in role socialization.

Learning as the acquisition of role expertise by beginning principals

If one argues for a definition of role expertise, which is based solely on the learning and acquiring of a set of technical skills, or behaviours, for the requirements for a role position, then the definition would be restrictive. This is not to say that particular skills are unimportant to expert practice; principals without technical knowledge or skills would be considered incompetent (Hart and Bredeson, 1996). What is argued here is that technical skills and
proficiencies are necessary, but not sufficient, for successful leadership in the principalship. It is maintained here that expertise is the sum of developing knowledge and skills. What is required is to gain proficiency in when it is appropriate to learn, understand, apply and use these skills in a variety of contexts and situation. Accordingly, the definition of what constitutes expertise should be seen as more fundamentally linked to the broader context of life-long professional learning. It also establishes that professional role learning remains as an ongoing, developmental, meaningful and indeed necessary element when considering any progression beyond competence and proficiency to developing skilled expertise.

Hence a discussion of learning in relation to the development of what constitutes competence and expertise for beginning principals will be valuable. The Dreyfus and Dreyfus (1986) model of skill acquisition and knowledge through different phases of learning has considerable interest when exploring the development of learning expertise. They offer their model as a perspective and a general theory to defend the contemporary experiential approach to philosophy against the rational tradition of analytical reasoning and formulation of rules, arguing that perception and understanding are developed, not on the capacity for picking up rules, but more through the use of flexible and interpretative behaviours. It is here that Eraut (1994) points out that the Dreyfus brothers rejection of the term ‘picking up’ stands in marked contrast to behaviourist learning theories which emphasize direct instruction, behavioural modelling and coaching. It is clear that Dreyfus and Dreyfus endorse their view when they suggest:

Human understanding was a skill akin to knowing how to find one’s way about in the world, rather than knowing a lot of facts and rules for relating to them. Our basic understanding was thus a knowing how rather than a knowing that,

(Dreyfus and Dreyfus, 1986, p.4)
At the same time, many questions remain when considering the value of this model. Is it sufficiently comprehensive to provide the learner with the ‘knowing how’ rather than a ‘knowing that’? Some consideration of these questions needs attention.

The Dreyfus and Dreyfus model (shown in Tables 2) shows five stages of learner skill acquisition with the emphasis placed on perception, constructivist thinking and decision-making rather than recognizing and measuring routinized action. The authors identify five levels of learners from novice to expert learner and as an individual moves from one level to a higher level so their skills are seen to become more refined. The question remains about how applicable is this model for helping to understand the development of beginning principals. Part of the answer to this is that it offers a process map in which to view the development of learners, especially beginning principals.
Table 1: A Model of skills acquisition and learning
(Adapted from Dreyfus and Dreyfus, 1984)

<table>
<thead>
<tr>
<th>Level 1 Novice Learner</th>
<th>Level 2 Advanced Beginner Learner</th>
<th>Level 3 Competent Learner</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Beginning awareness of the subject area</td>
<td>* Guidelines for action based on attributes or aspects (aspects are</td>
<td>* Coping with crowdedness</td>
</tr>
<tr>
<td>* Rigid adherence of skills to taught rules or plans</td>
<td>global characteristics of situations recognizable only after some</td>
<td>* Now seen action at least partially in terms of longer-term goals</td>
</tr>
<tr>
<td>* Little situational perspective</td>
<td>prior experience)</td>
<td>* Conscious deliberate planning</td>
</tr>
<tr>
<td>* No discretionary judgement</td>
<td>* Situational perceptions still limited</td>
<td>* Standardized and routinized procedures</td>
</tr>
<tr>
<td>* Purdy in an intellectual understanding of concepts and ideas</td>
<td>* All attributes and aspects are treated separately and given equal importance</td>
<td>* Intellectual exposure to full array of knowledge of an area</td>
</tr>
<tr>
<td>* Cannot easily recognize problems clearly enough to diagnose</td>
<td>* Learners can perform acceptably in some situations</td>
<td>* Can move beyond applying rules and procedures</td>
</tr>
<tr>
<td>* Can follow steps of a process as long as the situation matches cases studied or encountered</td>
<td>* Becoming aware of the breadth of subject areas and can acknowledge their own lack of knowledge as a whole</td>
<td>* Can adapt skills to circumstances because they have begun to internalize skills</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Level 4 Proficient Learner</th>
<th>Level 5 Expert Learner</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Sees situation holistically rather than in terms of aspects</td>
<td>* No longer relies on rules, guidelines or maxims</td>
</tr>
<tr>
<td>* Sees what is most important in a situation</td>
<td>* Intuitive grasp of situations based on deep tacit understanding</td>
</tr>
<tr>
<td>* Perceives deviations from the normal pattern</td>
<td>* Analytical approaches used only in novel situation or when problems occur</td>
</tr>
<tr>
<td>* Decision making less laboured</td>
<td>* Vision of what is possible</td>
</tr>
<tr>
<td>* Uses maxims for guidance, whose meaning varies according to the situation</td>
<td>* Fully internalized practice and exercises sound professional judgement</td>
</tr>
<tr>
<td>* Direct experience with continued practice in a range of settings and develops ingrained skills and the beginning of judgement</td>
<td>* Continues learning through interaction with other experts in mentoring relationships, internships and apprenticeships</td>
</tr>
<tr>
<td>* Can apply tools of practice to meet any situation and grasp a whole problem</td>
<td></td>
</tr>
<tr>
<td>* Still acting at a primarily conscious level</td>
<td></td>
</tr>
</tbody>
</table>


Developing expertise and the role of learning

Further, Ohde and Murphy (1993) point to some of the dilemmas in analysing expertise when they suggest that past discussions of the development of expertise have centred only upon the differences rather than similarities between novices and experts (Shuell, 1986; Merriam and Caffarella, 1991). On one hand, this analysis may have been necessary in order to understand how experts think and act as well as to develop learning techniques to facilitate the development of expertise in more novice-like individuals. On the other hand, such an analysis dichotomizes expertise into extreme polarities. The development of expertise has been defined as a gradual process that is characterized by the development and integration of a well-organized knowledge base with experiences in applying that knowledge (Ohde and Murphy, 1993). This suggests, for purposes of this study that, expertise is best defined as a sum of the knowledge and skills developed by beginning principals in learning their roles. But, the real question is whether it has some application and can be operationalized in practice.

Ohde and Murphy (1993) note that there is a growing body of knowledge developing around the concept of expertise which can be applied to beginning principals. Research into the nature of expertise has been drawn from many related fields in comparing the differences in performance between novices and experts (Berliner, 1986; Chi, Glaser and Rees, 1983; Frensch and Sternberg, 1989; Leithwood, Begley and Cousins, 1994). While, as described above, it may not be a revelation to find that experts differ from novices, what is of interest here is what sources of learning and expertise do beginning principals possess on entering the role and how is learning and knowledge acquired and developed as expertise early in the new principalship role.

Kolodner (1983) explains that the role of learning, thinking and knowledge in the development of role expertise is vital as the intertwining of learning and experience as a novice tries to gain a more proficient status in action as a
leader. As Kolodner (1983) suggests it is an evolution and accumulation of a storehouse of learning which requires accommodation and integration by the learner:

Two things happen in that evolution. First, knowledge is built up incrementally on the basis of experience. Facts, once unrelated, get integrated through occurrence in the same episodes. Second, reasoning processes are refined and usefulness and rigidity of rules is learned ... Because experience is vital to the evolution from novice to expert, experience is organised in long-term memory, and guides reasoning processes ... When a person has only gone to school and acquired book knowledge, he is considered a novice. After he has had experience using the knowledge he has learned, and when he knows how it applies both to common and exceptional cases, he is called an expert ...

Experience serves to turn unrelated facts into knowledge. (p. 498)

As the knowledge base is acquired and expanded, as domain specific skills are performed and refined, changes take place in the ways an individual thinks which add sophistication to expertise (Berliner, 1986). Consequently, experience actually helps transform three cognitive components integrally linked to the development of a knowledge base: perception, memory and specific thought processes. The development of expertise involves the learning and acquisition of a knowledge base that is both extensive and accessible (Berliner, 1986; Lesgold, 1984).

In attempting to understand how beginning principals develop expertise, the research has indicated that learning requires two types of knowledge that must be developed and utilised in role formation, declarative and procedural. Declarative knowledge, "knowing what", is domain specific knowledge about a particular area of expertise and includes concepts, facts, information and generalisations (Van Sickle & Hoge, 1989), whereas procedural knowledge is considered "how to" knowledge (Voss, 1989) which is applied on the job. Levels of expertise are best seen through the ability of new principals to learn and transform declarative knowledge into procedural knowledge. These are
key aspects in attempting to understand the types of sources of learning and the use made of that learning by beginning principals in developing the role of the principal. The value that this study offers is to see how the Dreyfus model can be used as a general process model to examine beginning principals' progress, through targeted training, to build an identified knowledge base through the stages from novice to advanced learner in their first years in the role, to hopefully achieve expert status later in their career development. The development through the first year will be the focus of the study. Ohde and Murphy (1993) argue that the Dreyfus and Dreyfus model does provide a set of five categories that more precisely identify the various levels of expertise. They suggest that by breaking down the expertise into these five steps, the theory can not only clarify the "fuzzy" areas that occur as a novice is transformed into an expert, but also provides a framework for explaining why all novices do not become experts. All of this suggests that it can then help provide a general strategy for building competence (Kim, 1999). Some questions remain debatable about attainment and demonstration of competence through these stages though. Is the model restrictive in providing the learner with the 'knowing how' rather than the 'knowing that'? Not all people can be classified in terms of experience, position or age. One can be considered a novice in the classification but have specific amassed knowledge, in psychology, for example. An expert learner may be an expert in school budgeting but only show proficient competencies in staff management practices. Thus, Kim (1999) warns that such labels, as those indicated in the Dreyfus model, can be often dangerous and misleading unless they are self-assigned. This also suggests that variations can exist within labelled categories indicating that some principals, for example, may consider themselves proficient in all areas when they are misleading themselves about their level of skills and performance as a principal. When labels like these are applied to beginning principals these must not be seen as gradations accomplished by all at the same time. What emerges is that individual variations and rates of growth are
significant when considering the progress of the learner and must be recognized, as reported by Parkay and Hall (1992).

The two aspects related to cognition in relation to beginning principals in this study, and that of Dreyfus and Dreyfus (1986), and Kim (1999), are in the impact of the amount and nature of prior experience, and the existing knowledge learners bring to the new role (Caffarella and Barnett, 1994). Clearly, a key assumption here is that learning is cumulative and a result of life experiences, where the cognitive changes, as a result of these life experiences, may have more to do with the development of judgements, attitudes and beliefs rather than just with the development of skills and information (Salthouse, 1988). As Merriam and Caffarella, 1991, p.173) point out:

In terms of the amount (of knowledge) one possesses, the difference between those who have a great deal about a subject (experts) and those who know very little (novices) is a key distinction (in learning).

It appears that experts not only have a greater storehouse of knowledge, which is well organized (Berliner, 1986) and developed over time (Frensch and Sternberg, 1989) but also think in different ways from novices, as Dreyfus and Dreyfus contend. A further distinction between a novice and an expert is that they have common learning processes which they share, but rather than these being universal, some may be specific to certain domains or subject matter-thus making the transfer of learning skills across these domains very difficult, if not impossible for some people (Glaser, 1987; Chi, Glaser and Farr, 1988; Shuell, 1986; Merriam and Caffarella, 1991). An observation often made is that being an expert in one area, does not necessarily translate into being an expert in another, which suggests that experts may remain merely ‘knowledge experts’, for example, in some areas but not in all areas. Much recent research has been written about this area by Murphy and Ohde (1993) where they list the characteristics of the nature of expertise between the two states about the way each thinks and interpret their experiences. Basically, they suggest that experts have a more extensive well organized data base which is easily
accessed and proceduralized when addressing problems of practice (Berliner, 1987; Chi, Glass and Rees, 1983). This suggests that, if this expertise is considered necessary, then there is a need to consider what this knowledge base should be comprised of, and how it should be developed for novices. Some of these issues will now be explored in the following section on the learning and knowledge which is considered necessary for the role of a principal.

Stages of learning

Caffarella and O’Donnell (1989) indicate that the emergence of self-directed learning has begun to attract serious attention in the research. Given this, debate still rages as to whether this concept is really an independent pursuit (Tough, 1987; Knowles, 1980; Caffarella and Caffarella, 1986), or a personal attribute (Knowles, 1980; Brookfield, 1988; Candy, 1987) couched in the view that everyone learns, or, conversely, is a form of organizing instruction and growth in adult education (Knowles, 1975; Caffarella and O’Donnell, 1989). The stance taken here, in this review, is that it still remains important to investigate sources of learning that take place within the environment and context of everyday life. This confined emphasis is placed on determining how adults deliberately learn by themselves and discover how they go about doing this. This places importance on the influence and impact of the learning process itself.

This area has received its fair share of criticism due to the absence of a theoretical base and cumulative knowledge about the phenomenon and the slippage in research in identifying what self-directed learning really is (Candy, 1987; 1989). Some researchers have attempted to remedy this. Long (1989) suggests that ‘adult self-directed learning has a number of conceptual dimensions’, including the sociological dimension which captures the learner’s social isolation and independence; the pedagogical dimension which emphasizes the learning needs and resources identified by the learner; and, the psychological dimension which refers to the degree to which the learner maintains active control of the learning process. Although this framework has
not been empirically tested, it does provide food for thought for this study when considering principal role learning. The conceptual model that attracts some interest in this study is that proposed by Grow’s (1991) Staged Self-Directed Learning model. Although originally designed for teachers to assist students to become more self-directed in their learning process within the formal school classrooms, it provides four distinct stages of learners:

Stage 1: Learners of low self-direction who need an authority figure (a teacher) to tell them what to do

Stage 2: Learners of moderate self-direction who are motivated and confident but largely ignorant of the subject matter learned

Stage 3: Learners of intermediate self-direction who have both the skill and the basic knowledge and view themselves as being both ready and able to explore a specific subject area with a good guide

Stage 4: Learners of high self-direction who are both willing and able to plan, execute, and evaluate their own learning with or without the help of an expert

Within each of these stages Grow outlines possible roles for the teacher or facilitator depending on the learner’s stages. The emphasis in Grow’s model is upon the role of the teacher or facilitator in directing and facilitating the learner’s growth. There is a certain dependency that seems to arise. When transferred to the situation of adult learning, what are the levels of self-direction and how does a beginning principal go about directing their own role learning? It will be interesting to explore this dimension in the research.

In summary, approaches to individual learning, especially those related to cognitively oriented explanations, have focused on definitions of knowledge and learning, which occur in people’s heads. A number of frameworks, particularly those suggested by Dreyfus and Dreyfus (1986) and Eraut (1994), are extremely useful in providing background for this study. Eraut’s categories of learning and knowledge required for head teachers in the United Kingdom offers a useful means of comparison for beginning principals in this study. What unites these various approaches is the focus on internal mental processes
of knowledge, learning and understanding which are seen to lie within the learner’s control. Di Vesta (1987) sums up this area by concluding that the focus on the individual learning has resulted in attention being directed towards specific facets of cognition and learning, such as ways of understanding learning, the nature of schemata and the development of cognitive skills. In essence, both Dreyfus and Dreyfus (1986) and Eraut (1994) offer some possible interesting frameworks in which to view how and what individual principals learn in their role development. Whether this can be used in examining the learning of beginning principals is still to be proven. The contextual worlds in which the learning is just as meaningful as what goes on in people’s heads and this will now be explored as contextual learning.

Learning and knowledge required for the role of a principal

What are the kinds of knowledge that beginning principals need to carry out their roles effectively? There is little doubt that knowing about the principalship and what principals do is not enough. Some prominent authors have challenged the way that knowledge is presented and developed in more formal settings. Schon (1983), for example, viewed the experience of the learner as an important ingredient in learning to use and reflect upon acquired knowledge in the learning process. He coined the terms ‘knowing-in-action’ and ‘reflection-in-action’ to capture the process of learning. Knowing-in-action, often referred to as common sense, allows people to carry out actions and judgements without really having to think about them prior to or during an experience, such as driving a car. Consequently, reflection-in-action is very different, in that people think about and change what they are doing while they are doing it. In essence, ‘their thinking reshapes what they are doing’ (Cervero, 1988; Caffarella and Barnett, 1994).

The knowledge base for principals

Hart (1990) has highlighted that there are three major forms of knowledge required as a professional knowledge base for all principals-theoretical, empirical and experiential. “Theoretical knowing encompasses the general or
abstract principles of a body of facts, a science, or an art” (Hart, 1990, p.156), while empirical knowledge is framed through confirming or disconfirming evidence collected through data-based studies. Experiential knowledge, according to Hart, is characterized as using one’s own personal experience and experiences of others to inform the process of knowing. She highlights advantages of this form of knowing “as vividness, immediacy, and relevance” (Hart, 1990, p.159). Beneath this professional knowledge base, Hart argues that these forms of knowledge help meld an integrated framework for the development of expertise, which has many similarities to those proposed by Eraut (1994).

Eraut (1994) takes this a stage further by indicating that if a map of professional knowledge could be constructed for professionals, and especially for educators, it would need to have reference to the development of: propositional knowledge, procedural knowledge, and, personal knowledge. Some distinction needs to be made between these terms to achieve some understanding of what they mean, and where they appropriately fit into this study.

The first step in this process is to determine what are the differences between these forms of knowledge. Anderson (1982) helps here by making a distinction between propositional (declarative knowledge) and procedural knowledge. He defines propositional or declarative knowledge, ‘knowing what’, as explicit knowledge that represents conceptual understanding of phenomena, whereas procedural knowledge ‘knowing how’ is the tacit knowledge representing the skills required, either mentally or physically, to do something.

There are many similarities between the work of Anderson and Eraut. The point of real difference lies in their research. While Anderson is primarily interested in the theoretical acquisition of cognitive skills in the development of expertise, Eraut is concerned with developing a more generic map of professional knowledge that can be applied to school principals. Similarly, Eraut (1994) also includes the area of personal knowledge and experiences as
contributing to the development of professional expertise in a role, which Anderson does not.

Eraut suggests that learning to achieve the appropriate balance between explicit and tacit knowledge in the development of role expertise, is important. In the school workplace, just learning propositional (explicit) role knowledge needed to manage a school, or leaving management procedural (tacit) knowledge to be learned by "trial-and-error", would indeed be a mistake. It is in the merging and integrating of the explicit and tacit knowledge, as roles are developed, that is critical in this process (Polanyi, 1967; Reber, 1989).

Anderson (1982) again provides some help here in suggesting that the synthesis of learning and knowledge occurs in three stage-like phases, with each building on the previous one. During the initial stage of learning, propositional or declarative knowledge is utilized to build or direct performance. Performance at this stage is slow, often repetitive and subjective. A considerable amount of training is a required investment. The second stage is that of the knowledge compilation where rules are learned as step-by-step procedures to be applied to perform specific tasks. In the third stage, the procedural stage, problem-solving procedures replace trial-and-error exploration with learners beginning to refine and tune their procedures with greater insight and judgement. Stages of learning and time for application then become vital when developing expertise.

Determining what should be part of a knowledge base required for the role of a principal remains a conjectural exercise as researchers cannot seem to agree on what it should contain and what principals actually do in carrying out their role (Hart and Brodcson, 1996; Kennedy, 1987). This will be taken up later when the role of the principal is discussed in detail, but the focus here remains on the individual development of professional competence and expertise. To help try and clarify this dilemma two aspects will be now examined. Firstly, an attempt will be made to determine what form of knowledge base should be available to principals as learners, and secondly, examining how knowledge has been constructed and applied to the area of beginning principals.
A map of professional knowledge

Eraut (1994) argues for a more extensive map of professional knowledge for school principals which can act as a more powerful heuristic way of thinking about the type of knowledge that school principals should acquire in management training and education. Eraut suggests that his examples may offer a starting point to begin codifying knowledge and devising training for principals and so he provides five key categories of necessary knowledge. Within this base of professional knowledge that Eraut believes necessary for school heads are: knowledge of people (focusing of how people learn to read the situation in which they find themselves); knowledge of educational practice (emphasizing the professional role of the principal as an educational and instructional leader); conceptual knowledge (defined as a set of concepts, theories and ideas a person has consciously developed and has available for use in addressing issues of practice); process knowledge (for getting things done effectively); control knowledge (focusing on developing relationships not associated with power but related to developing others through self-awareness and self-development in carrying out the role). While Eraut suggests that these are necessary knowledge components he also recognizes they may not be sufficient to create good principals. They need extensive development and training to help foster and cultivate them which is a view also supported by Kennedy (1987).

Kennedy puts forward a view about the types of knowledge and expertise that principals must rely on. Of particular significance to her concept of professional expertise, Kennedy argues that there are really four operating definitions of expertise needed by school leaders. These are: the performance of technical skills; the utilization and application of theory and general principles; the prescription of critical analytical skills for examining and interpreting situations of practice; and deliberate action that stresses reflexivity among skills, analytical processes, actions and situations. She argues that principals learn to choose and exercise all of these as they go about learning
their role. Kennedy also provides a good warning in maintaining that the exercise of these by the principal requires reflective thinking and contextual knowledge to be useful and effective.

There are also those who argue for a consideration of expertise through the use of knowledge in role performance. Broudy, Smith, and Burnett (1964) describe four uses of knowledge: replicative, applicative, interpretive, and associative. Knowledge received didactically and used unreflectively is an example of replication. Application occurs when knowledge is used or applied in circumstances similar to those previously experienced. Interpretative use of knowledge suggests that learners have achieved some level of understanding and judgement based on a growing set of experiences. However, interpretive knowledge typically accumulated unreflectively, limits its use across contexts (Erut, 1994). Finally, associative modes of knowledge use reflect an intuitive understanding resulting from the distillation of experiences and the ability to select from those ideas or procedures those that are appropriate to other contexts (Scribner, 1999).

3. The processes of socialization and their impact on learning
the principal role

The processes of socialization and learning play a vital role in helping newcomers gain greater knowledge, skills and behaviours associated in developing a role. In a generic way socialization refers to the processes through which one acquires knowledge, skills and dispositions needed to adequately perform a social role (Greenfield, 1985 a). This notion is predicated on the original work of Brim (1966) who suggests that there are developmental socialization processes that affect individuals through their lives. This personal socialization is important in the way personal values, beliefs and attitudes are formed by individuals but naturally influence the process of becoming a principal because of the influence of life experiences, family, friends and the context which play important roles in the individual's life and development.
Other researchers have also noted that when it comes to socialization into a particular role, the process occurs before the appointment to the role, during the beginning stages of learning the role, and after becoming established in the role (Merton, 1963; Miklos, 1983; and Peterson, 1987). Indeed, "there are predictable stages in the socialization process and ... the perspectives and needs of people differ depending upon the stage in which they find themselves" (Leithwood, Begley, and Cousins 1994, p.290). Thus the socialization learning process can be seen as a developmental progression that reflects the various ways in which people learn the aspects associated with the role to which they aspire, enter and ultimately maintain over time. Since the focus in this study is on how beginning principals learn their roles the pivotal influences of professional socialization and organizational socialization will now be discussed.

Role conception is directly linked to the ways individuals choose to enact their roles. Levinson (1959), Newcomb (1971), and Ortiz and Marshall (1988) all contend that role conception is actually an intervening variable between a job description and performance, whereas Sergiovanni (1991) maintains it is that intention (one's vision), actions, and the resulting realities which are integrally intertwined in developing a role. Therefore, learning to understand the elements and processes involved in developing a new conception of the principal's role is also significant for identifying which socialisation and training strategies will facilitate the developing of effective leadership for schools. Crow (1990; 1993) argues that most research on role socialization has tended to focus on entry stages to the career of principals which also emphasises role conceptions which are static and a given. Seldom have investigations been undertaken in the way roles have been changed at mid-term entry stages, or later stages for beginning principals (with the exception of Parkay, and Hall. 1992; Leithwood et al., 1990; Hart 1991). For that reason, this remains a primary interest for this study.

However, in determining the role of training in the workplace to support the changing conceptions of the principalship, there is some need to examine some
of the images inherent in the role socialization of the principalship. Crow (1993) states there are two critical images to be considered, the social perspective and the individual, which influence this image. This is similar to the view expressed earlier by Merriam and Caffarella (1991) on the need to integrate individual learning about how certain information will help to perform the role within a social workplace context. From this social perspective, role socialization refers to an image or set of images of the profession held by members of an occupational culture or community (Van Maanen and Bailey 1984), and the shared beliefs about the meaning and mission of the occupational group in relation to society (Birnbaum and Somers, 1989). Research on the role socialization of individual principals’ work has emphasised four roles: role set relationships; task priorities; language; and values (Schlecty, 1990).

From the individual perspective, role socialization, and subsequent conception, can be seen in terms of helping construct a person’s identity which develops in conjunction with the work role and socialization experiences that affect the acquisition of knowledge, skills and dispositions which includes values, attitudes and identify components. (Brim 1966; Hall 1987). As Hall (1987) maintains: ‘to function effectively in a new role, a person must develop a way of viewing themself in that role - a sub identity which is influenced by others around the principal who have similar and different images of the role (Hughes, 1958). Some work role socialization learning approaches will now be discussed along with how individuals use different sources of learning to develop their principal roles. The role of learning in professional and organizational socialization as especially outlined by Hart and Bredeson (1996) will now be examined.

Professional socialization for beginning principals

For entry into a particular professional role, such as a school principal, the professional socialization process and training can help newcomers gain entry into a professional group. Professional socialization refers to the staged role of entry in which one becomes a member of a profession and over time, develops
an identity within the profession (Parkay, Rhodes, Currie and Rao, 1992). Hart and Bredeson (1996) suggest that there are two interrelated dimensions that include professional role socialization: on-the-job training and phased role development. They explain how this occurs in the development of new principals.

**On the job training in the first year as a principal.**

Van Maanen (1978) discusses the concept of rites of passage to the principalship where the early stages include both the need for preparation and apprenticeship prior to taking up the role. Actual entry into the principalship is a significant stage of professional socialization where principal induction has been described as a process by which novice principals make their role transition from theoretical to operational leadership (Andrews, 1989). This has been described in the first year as made up of ‘learning and doing’ the job (Roder and Pearlman, 1989). Duke (1987) reported that the typical on-the-job socialization experiences were often intense, short-lived, and predominantly informal rather than planned and formal.

**Phased role development over time**

Another way of examining beginning principal socialization has been described through the literature as stages of socialization. The research of Ronkowski and Iannaccone (1989) had indicated that much of the socialization research could be envisaged to be encompassed within different but related stages of development. They identified these stages as initiation, transition and incorporation.

A similar picture was painted by Day and Bakioglu (1996) who identified a set of developmental career stages for beginning principals from taking up the position until retirement. These stages were phase 1: initiation; phase 2: developmental phase; phase 3: autonomy; and phase 4: disenchantment. The interest here, in relation to the present Victorian study, is specifically on phase 1, the initiation phase, described by the authors as a period of idealism, uncertainty and adjustment. Although this initiation phase was seen to have
lasted for about a three year period in the Day and Bakioglu research (which takes it well beyond the parameters of this research of the beginning principals’ first year), some interesting points arise. As identified phases of context and circumstances in which learning in professional and organizational socialization is occurring, Day and Bakioglu found that there were two key processes associated with both learning and socialization in this first initiation phase. One was learning on-the-job, and the second was realizing that the new ideas of beginning principals had to be accommodated and adjusted within a framework and structure of leadership within a school.

The immersion stage, identified by Gabarro (1987) in his research on stages of socialization (from approximately six months to a year), became an important period of deep learning where new managers developed a better understanding of their role in learning and handling basic issues and problems. What is relevant here is that Gabarro suggested that new managers worked through socialization stages in waves. The first wave occurs in the taking hold stage and the second during the reshaping stage. This is typically the largest stage of natural succession into the role. Some examples of the way British heads described their initial handling of the first wave of ‘taking hold’ is outlined in his study.

Weindling and Earley (1987) found that principals often experienced frustrations and strains accompanying entry into the role of the principal. Studying first year head teachers in the United Kingdom, they reported that during the entry stage, principals experienced feelings of professional isolation and expressed a desire to have support and consultation in technical areas and have a central listener outside the school available to them. However, despite these initial concerns and anxieties, the researchers found head masters believed the positives of the principal’s role far outweighed the negative factors related to entry. Parkay, Rhodes, Currie, and Rao (1992) have further supported their study of first year principals by suggesting the need for a ‘tripod of support’ consisting of training, networking and coaching, which would be available to help in survival and transitional stages.
From preparation to taking up appointments in the principalship, professional socialization processes help novices transform abstract ideas and aspirations into personalized definitions of their professional role (Hart and Bredeson, 1996). Parkay and Hall (1992) identified five stages of professionalization for first year principals: survival, control, stability, educational leadership, and professional actualization. These provide a set of reference points where training and development were seen as integral to each stage. The researchers found that not all principals managed to move beyond the survival stage at the same rate, and many remained in the control or stability stage. The data indicated four general patterns: (1) principals begin their administrative careers at different stages of professional development; (2) they move through stages at different rates; (3) the staging of a principal's professional development depends upon individual and situational characteristics; and, (4) beginning principals tend to operate at more than one stage of professional socialization at a time.

Greenfield (1985) argued that the two main purposes driving the acquisition of professional expertise through different stages or phases of professional socialization are moral socialization and technical socialization. Moreover, moral socialization endows new principals with the values, beliefs and attitudes of the profession shared by members of the existing group. It provides mechanisms of learning for new entrants to embrace the norms of practice. Technical socialization provides ways to learn the knowledge, skills, and techniques needed to perform well as a new school leader. Furthermore, technical socialization does not assume the mastery of all the technical knowledge to become a successful leader for an entire career. It refers to the acquisition of technical knowledge needed to perform at a basic and competent level.

Hart and Bredeson (1996) maintain that professional socialization involves the decision to seek greater role knowledge through different sources of learning, (as well as the influence of intentional strategies and the unexpected and unplanned experiences). Consequently, as an individual begins to learn more
about the role to which they aspire, there develops within the individual a core set of beliefs and learnings associated with the role itself. Professional socialization processes in the form of preparation programs, training, or modeling, can help novices transform abstract ideas and aspirations into personalized definitions of their professional role (Hart and Bredeson, 1996)

Organizational socialization for beginning principals

Organizational socialization refers to the process by which a person learns the values, norms and required behaviors of a role (Van Maanen, 1978). Like professional socialization, organizational socialization begins prior to a person occupying a new role. This anticipatory socialization helps prepare and shape individuals as they begin to learn and internalize the values and orientations associated with the role. This process of learning allows the knowledge, skills and dispositions of the role to be learned and absorbed in the workplace while carrying out the role. Furthermore, it can occur in different ways: it may be deliberate learning, or this learning may occur informally and without intent by the individual (Brim, 1966). What is paramount in this process is that the individual is able to access and acquire the needed information about the role through the provision of formal learning such as coursework and training, and through informal sources of learning such as observation and peer group discussion networks (Greenfield, 1985). According to Jones (1986) there are such mechanisms to assist socialization which can include: seriality (the use of social forces to influence outcomes), context (the situation in which a beginning principal must operate), and content (the knowledge to be gained and used by the new principal) which all impact on role development and performance. Moreover, taking on a new organizational role helps to define particular dimensions of a role in an organization’s culture. For new leaders, entering a new position, and a new organizational school setting, the learning curve is extremely steep. Deal and Peterson (1994) described the new principal as learning what it means to be a principal, but also being a student of a new organizational culture.
Since organizational and school culture is a phenomenon socially constructed over time, by those who work in those settings, organizational socialization becomes a learning process that is 'ubiquitous, persistent and forever problematic' throughout one's entire professional career (Van Maanen and Schein, 1979, p. 213). This learning is a dynamic tension between personalization and organization socialization. As new principals move from one school to the principalship role in another, the intensity, importance and visibility of a given passage will vary across a person's career. Jentz (1982) recommended that new principals actually develop a plan of entry into a school to increase the likelihood of a smooth transition into both job and the school.

There is in fact a large degree of individual role making and professional visualization for new leaders, which occurs at different rates and levels of growth described by Parkay and Hall (1992). What in fact occurs, is that both role making and professional visualization are the tools that new principals actually use to nurture their own personal and professional growth and that of others (Hart and Bredeson, 1996). They go on to provide a detailed expose of how this is developed through a process of role making and professional visualization.

Role making

This forms the basis for making a transition from a teacher to an administrator. Nicholson's (1984) modes of social role adjustment, replication, absorption, determination and exploration, form transition phases. Hart and Bredeson (1996) maintain that role discretion (opportunities to alter such facets as goals or interpersonal relationships) and job novelty (the degree to which the role permits some reliance on prior knowledge, skills and experiences) affect role-making processes. Further, Bredeson (1991) reported that aspirant principals in a principal preparation program were attracted to the principalship because they perceived they could make a difference as a school leader rather than as a teacher. Nearly one-third believed that in becoming a principal, they would
have greater power 'to effect changes, to influence and lead others, to make important professional decisions, and to take action on one's ideas' (p.513).

The discrepancies between the image of the role of the principal they want to make, and what organizational and others expect and demand of them creates an interesting dynamic interaction and tension in role making and role taking.

The role of training in providing opportunities for reflection is critical in these early stages. Reflection becomes critical in role making in turning learning back on itself to help encourage active participation in the learning and the creation of social roles (Schon, 1983). As Hart and Bredeson (1996) suggest, the social learning processes of becoming a principal are not a tabular rasa on which new individual experiences and social learning are etched. Through reflection, principals transform what has been learned from prior experiences into opportunities for further growth, and development in their personal and professional roles.

4. The sources of learning and socialization processes and their impact on the role development of beginning principals

This section will examine how sources of learning and socialization processes contribute to the role development of beginning principals. The discussion will centre around the work of Cattegno and Millwood (1995), which will help illustrate some of the different forms of professional learning available to beginning principals, and the impact they have had, as reported through the literature and research on role development. It is argued that the role conception of the principal is partially influenced by different types of experiences in professional learning, and the way these have been used by new principals as they construct a role. While not developed specifically with educational leaders in mind, the model presents a useful way in which to examine informal and formal sources of learning in this study.
Figure 1: Planning model of work based learning for management development (Cattegno and Millwood, 1995)

The model presents four quadrants which are considered influential and having an impact on the role development for the principal. These are:

Quadrant 1: Work experience: Work role - Learning from the work role and its challenges

Quadrant 2: Work experience: Work relationships - Learning from work relationships (immediate managers/peers/team/group/mentors/role models/networks/experts)

Quadrant 3: Training and development - Learning from training and development opportunities that are skills based or competency based

Quadrant 4: Formal management education - Learning from formal management education programs.

The influence and impact of all of these sources of learning in a principal's development are considered vital and worth exploring for this study. The discussion about each quadrant starts with a theoretical analysis of its application to beginning principals and is followed by a description of current
practices related to beginning principals. These descriptions exemplify the application of the theoretical constructs.

**Quadrant 1: Work experience: Work role**

The challenge of continuous reform has greatly affected schools, and subsequently leadership. Two ideas related to how beginning principals have been socialised into their new role conception, and, how professional learning and socialisation has been used to support this role development will now be examined.

The need to develop a range of work-based learning experiences that is applicable to support beginning principals is essential (Duke et al, 1984). This includes using the experience gathered over time and proactively planning to develop skills to remain most relevant as a leader. As Kotter (1992) has noted: "It may be rather obvious that if people spend 98-99% of their work time on the job, and only 2% (at most) in formal training, that most learning must occur on the job."

To an extent this view supports the belief that the enterprise where we work is far and away the most significant business school that managers (and leaders) ever attend (Margerison, 1993), and the most effective learning flows principally from the job of being the principal itself. The following description of work experience and work role learning has been adapted from Marsick (1987):

> Ways in which individuals or groups - through daily interaction and experience within an organisation - acquire, interpret, reorganize, change or assimilate related clusters of information, skills and feelings. As the primary way in which people construct meaning in their shared organisational lives, such learning - whether or not it has been structured by trainers - emphasizes enhancement of a variety of skills and
perspectives through constant interaction with the organisational whole. (Marsick, 1987, p.25)

Work-based role learning is frequently self-directed and self-monitored, and includes informal modes such as role learning, and participation in working groups focused around specific tasks. These can be conscious, trial-and-error, apprentice-like observational experiences, or, more formal system-wide induction programs to assist the entry and orientation into the new workplace with learning alongside a trained mentor. A study conducted by Daresh and Male (2000) reveals that principals have concerns in the support, or the lack thereof, in their learning in their first year in the job. Weindling (2000) indicates that to fully understand the professional role socialization of beginning principals there is a need to discover what previous formal and informal learning experiences have contributed to their development.

What is argued here then is that there needs to be developmental pathways for individual principals, and the workplace is the practice ground, where learning from other training spheres is applied and honed. It becomes the testing ground for the “fit” in terms of applicability, usefulness and appropriateness for professional development training. Both these individual and system pathways will now be examined as part of a professional socialization network in work role learning for the principalship.

**Individual work role learning experiences and self-directed learning**

The first major element considered important for the development of role conceptions and learning is exposure and developing experiences in the role. Often these are devised by system groups as strategies to help provide succession training, or, as opportunities for observation and coaching, in principal role development. Individuals interested in gaining knowledge and experience about the principalship are offered opportunities to participate in
these developments. Several approaches related to individual work role learning will now be considered. These approaches allow participants to immerse, sample, and observe the principal role in action.

Cognitive apprenticeship is a method which is used to develop understanding about role learning through using problem-solving approaches to address problematic situations in schools (Collins, Brown and Newman, 1989). This has been epitomized as a useful vehicle for tapping of existing knowledge and that of adults who have effectively handled similar tasks and problems. Like the medieval craft guilds, a novice is apprenticed to the expert craftsman to learn skills, ways of thinking, and gain conventional wisdom through observation, approximation, assistance and coaching through guidance and self-directed learning.

Another approach has been the use of administrative internships. Cordeiro and Sloan (1996) point to the need to use this approach in line with workplace conditions and harness it to workplace learning. This is reinforced by other researchers (Bandura, 1972; Barnett, 1990; Murphy 1994) who argue that internship periods of one or two months provide field based experiences which assure future leaders opportunities and time to acquire those skills considered necessary to lead and improve schools. In their opinion, the internship is a form of indenture and apprenticeship which engenders workplace learning and grounds issues in the dilemmas and realities of leadership in the everyday life of the school. Coy (1993) and Goody (1993) describe this as learning 'to know' and learning 'to see' which delves significantly into observed leadership and application of leadership in practice.

Lave and Wegner (1991) introduced their concept of 'legitimate peripheral participation' as a useful way for learners to engage in talking about issues of leadership by being engaged within the practice as an active participant in the role. Questioning about what lies behind, beneath and embedded within practices of leadership are the essence of the search by the intern. The Peer Assisted Leadership Program (Barnett, 1990) for example, included the use of: shadowing, reflective interviews, guided observation and interviewing around
the theme of developing effective instructional leadership practices. This program was developed around the use of reflection on practice.

Recent research emanating from the United Kingdom by West-Burnham and O'Sullivan (1998) point to the developmental nature of shadowing as a useful work role learning strategy where one colleague tracks another in the course of a normal school day. Shadowing can be seen at its most minimal as a means of obtaining information about the shadowed person's job, but also, it is an opportunity to clarify the nature of the job, identify the skills and knowledge required to do it and possibly help the shadowee determine if this is the job for them. The comparisons and contrasts involved through the learning make it a reciprocal process involving active participation, identified learning outcomes, and opportunities for reflection and analysis. The authors also point out that there is always the danger of shadowing being, at worst, voyeuristic and at best 'interesting'. They conclude that if shadowing is viewed as a technique for increasing understanding through reflection, supported by coaching, then it can be used to generate powerful learning.

Another element considered here centres on development of self-directed work-place role learning by the individual themselves (Cafarella and Caffarella, 1986; Cady, 1991). While it could be argued that this is the central piece shown in the Cattegno and Millwood model, it is how this learning is translated by the individual into practice that is important. Here the work role learning provides one of the most appropriate ways for individuals to plan and direct their own learning. The following focuses on some possible areas of self-directed individual role learning including self-development where the implication here is that better leadership can only be achieved through people taking responsibility for their own development through workplace role experiences. Gardner, Callar and Terry (1996) argue for future leaders developing individual professional development plans as part of a leadership portfolio. The belief that self-development is embedded in the constructs of self-awareness (Ashkanasy and Weiter, 1996) and cultural self-examination (Clegg and Gray, 1996) is apparent for others. These offer opportunities for
individuals to build knowledge about leadership development as authentic learning through volunteering to undertake acting assigned roles. These opportunities to explore workplace leadership through approaches to self-learning (Dickensen, 1996), organizational learning approaches (Avolio, 1996), or learning about leader role clarity approaches (Parry, 1998), should be further encouraged in the workplace learning.

**System work role learning experiences**

A second major form of work role learning for beginning principals is through the provision of a more formal induction process as a form of professional and organizational socialization for beginning principals. This is seen as a system's initiated set of required or mandated learning experiences to help support new principals in their role. This form of both professional and organizational socialization provides a smorgasbord through which beginning principals are supposed to gain some of the learning of technical and moral socialization deemed so important by Greenfield (1986). Although the term "professional induction" does not appear in any educational administration literature prior to 1985, considerable attention had been given to induction-related concepts in the literature that focused on bureaucratic role and professional socialization in the mid-twentieth century (Holyfield and King, 1991).

The belief that beginning principals need some kind of specialised system support is not a novel one. Evidence can be found of on-going induction periods which may last over an extended period of time (Duke, 1987). Some attempt will be made to define and examine some of the assumptions of induction. The definition of induction has been adopted from the Ohio Administrative Entry Program (Daresh and Playko, 1989). It states:

> Induction is defined as... a process for developing among new members of an organization the knowledge, skills, attitudes and values essential to carrying out their roles effectively. The aim of induction is to create conditions so those new members internalise
the norms in a new way so that the primary locus of control is self-control.

What works in principal induction programs

In a study of the types of induction programs and subsequent workplace training practices which helped (or hindered) the first year of the principalship in Washington and Oregon public school districts, Anderson (1990) identified practices which influenced and impacted on learning and socialisation. Induction practices hindering school leadership included ‘sink-or-swim’ approaches where little assistance, or support, was received from veteran principals in key task skill areas; unanticipated challenges and changes helped complicate the first year, resulting in a great deal of time and energy spent in learning about the rigours of the new job; and, inadequate feedback on performance from superiors helped promote anxiety, tentativeness and unease about how principals were doing their job. Anderson also identified induction strategies that beginning principals considered as needed or helpful. These were: a need for a planned, well thought-out school and district orientation of the central office to district goals, processes, expectations and district procedures which were ongoing through regular meetings; the assignment of a veteran ‘buddy’ to assist in ‘learning-the-ropes’ during the first year was considered critical; feedback, both formal and informal, from superiors throughout the year would have been helpful; and the facilitation of regular peer/group problem-solving and sharing of ideas related to solving school-specific concerns. This was considered extremely beneficial and helped build a sense of collegiality and support for the principal.

Cale (1990) compared the literature on, and current perceptions of, the induction of newly hired employees in business, teaching and school administration. For purposes of the study, induction was defined as those efforts initiated by the hiring employer to familiarise the new principals with his or her school community and organisation, and to develop the knowledge and attitudes necessary to contribute productively to that school and community. Induction was seen as a longitudinal process initiated by
supervisors or peers, individually, or within groups, and must have occurred from appointment until the completion of a probationary period. Using this definition as a guide, Cale identified seven distinct facets of an induction process. These were: job specific induction content; profession job-specified induction content; personal aspects of induction; time periods of induction; induction focus; mentoring during induction; and sequencing of induction activities. Cale's findings can be summarised as follows:

1. Job specific induction content survey indicated that the provided induction program failed to include many of the elements listed in the literature as highly important. Noticeably absent were a review of district forms and handouts, exposure to specific job skills unique to the new position, and review of district organisational information and goals.

2. Profession job-specified induction content was defined as topics addressing job-related aspects required by all principals. The four components most frequently recommended in the literature were: understanding multiple instructional techniques; utilising a variety of classroom management techniques; assessing available professional resources; and receiving continuous assistance with profession-specified topics. None were included in the top sixteen components principals said they received the most in their induction. Among the topics perceived important but least effectively addressed by Missouri school districts were time management, multiple management styles, stress management, and paperwork management.

3. Personal aspects of induction were defined as those topics, which addressed the novice's personal needs and adjustments. A total of twenty-one components were identified and while those most recommended in the literature were personal counselling and learning to handle difficult people, little training was offered.

4. Assistance with family problems, reduction in basic workload and regular assistance with personal adjustment were often mentioned in the first year.
These three components were perceived as most overlooked in the actual induction program.

5. Time period of induction referred to the timing, length and the period of the induction process and one of the most frequently recommended in the literature involved the continuation through the full probationary period. Of those surveyed only twelve per cent claimed that the ongoing program did not take place and they had expected this to occur.

6. Induction focus was defined as opinions related to the structuring of induction around the needs of the system, the organization and the expectations for individuals within the system.

7. Induction mentoring addressed the question of not just who should mentor them but when as well. Ten components were identified from the literature. The involvement of administrators as peers and the formal assignment of mentors were highlighted and sought by beginning principals. The survey indicated that this did not occur.

8. Induction sequence was defined as opinions involving the presentation of induction as a planned and sequential procedure, rather than a random unplanned one. Six components were identified from the literature. The second most frequently recommended sequence component was the arrangement of induction activities in advance of hiring new employees. This component was perceived as least present among those surveyed, and the conclusion drawn by Cale (1991) was this could be a result of a general lack of attention to the induction process.

It can be seen that in this section on work role learning beginning principals can select from individual or system wide opportunities to develop their learning about the role of the principal. These are seen as voluntary and often selective, with the onus placed on the individual to determine what is necessary and required for the role (Andrews, 1989; Walker, Sackney, and Cassavant, 2001). This places an enormous responsibility on the individual to determine what they need or require for the role.
**Quadrant 2: Work experience: Work relationships**

In this section, the focus will centre on learning which emanates from individual work based relationships. Informal discussions would indicate that many present principals particularly early in their careers, were supported by someone as a coach, mentor, or role model, and thus helped create and stimulate opportunities for learning about becoming a principal. While coaches provided skill development, mentors provided long time guidance, and role models provided ideals to emulate. These too are a valuable source of learning in professional socialization but more so, particularly in the organizational socialization, for beginning principals. (Duke et al 1984). What will be examined here will be the evidence as related to school leaders and the effectiveness of some of these approaches.

While Kram's (1985a) relationship constellation model is based on a corporate setting, and may not fit particularly well in the educational context, some of its features may be useful in examining work relationships which have assisted the learning of beginning principals.

The key point here is that while the relationship constellation may change over time, it may also provide the suitable and timely learning and socialization experiences which are often needed and desired. The term 'constellation of relations' (Shibutani, 1961) signifies relationships which are developed whenever the same people come together and they form common sentiments towards each other and form a distinct type of grouping.

According to Kram (1985b), career and psychological functions, which help support the development of others throughout their career, can be assisted by the development of a constellation of relationships. Furthermore, these relationships can support an individual’s development at any given time if effectively applied. Kram (1985b) observed that there are different types of relationships that may become more appropriate and critical at different times of a person's career. She divided these times into early, middle and later career
years and suggested that people tend to have vastly different needs within these time frames. The importance of social learning and being supported by significant others cannot be underestimated for beginning principals. Who are the significant others who are seen as important to the development and socialization of beginning principals in this study?

Pitner (1987) has pointed to the relative isolation of school principals from their peers as one of the inhibitors in developing effective socialization of school principals. Any form of networking is then a vital form of support where principals are brought together in meaningful ways as a form of socialization, but the term ‘socialization’ has come to convey quite different interpretations. Leithwood, Begley and Cousins (1994) point out that some identify the term as almost synonymous with a form of brainwashing. The recipient is pictured as uncritically accepting the purposes and procedures of an organization, or a group of colleagues, where the individual becomes a mindless bureaucrat without any sense of personal empowerment. This particular view is rather confined to one of a caricature and requires broadening.

New principals will need to possess, articulate and deliver a detailed vision of their school’s future using imagination and new forms of professional socialization. What kinds of socialization experiences will be provided, with the help of others, which contribute to the development of such visionary qualities in school leaders?

Mentoring, coaching and counselling

Mink, Owen and Mink (1993) help clarify the confusion that surrounds the many terms used to describe aspects of the leader growth through the support of associates or peer relationships. The distinction becomes instructive when the sub-roles of coaching, counselling and mentoring are clarified by examining how they differ and help contribute to an understanding of the ways they can be applied to role development and training. The authors believe that one way to classify the differences in these roles occurs when the variable of
time is introduced. Coaching usually occurs over relatively short time spans and can be used for skill development, or the training of a neophyte into a particular job, and counselling involves usually short term interventions, designed to remedy problems that may interfere with the principal’s job performance. These short-term problems have often been classified as attitudinal or motivational in character. Little research was found to singularly support the effects of coaching and counselling on beginning principal socialization, whereas mentoring was found to have a profound role. This required some attention to assess its contribution to this field. Mentoring has been used to describe processes occurring over a longer time span, where a mentor is most helpful in facilitating career growth and personal advancement. The mentor influences the associate by virtue of the ability to open doors to opportunities. The effective mentor, in fact, helps deal with the work life span and life issues of the mentee including those involving the family, career and current work role.

What is important to recognise is that the growth of new leaders is supported by associates (who act as significant others) charged with the responsibility of helping the new appointees to realise their potential to learn new skills and develop new roles and values. The development of the individual work based relationships by school leaders occurs through formal and informal training as newcomers are provided with tools for personal growth. The extent to which these have been harnessed and honed to support the development of school leaders will now be examined through a review of the prominent individual relationship approach of mentoring, and how it has been developed in leadership training. Mentoring has been a noted and significant theme in the literature in discussions about the nurturing of neophytes. The intention is to discuss how this might be best applied to the learning of beginning principals.

The key role of the mentor

Lester and Johnson (1981) defined mentoring as ‘a one to one relationship between an older person and a younger person which is based on modelling behaviour and extended dialogue between them.’ However, subsequent
reviews of literature on mentoring often comment on the absence of a widely accepted operational definition of mentoring which has initially increased the difficulty of any study. Jacobi (1989) reproduced fifteen definitions of mentoring from the fields of education, business and developmental psychology and found that the common threads among these many definitions included a reciprocal, one-to-one peer supporter and trusted sage. These threads provide little help.

Realizing the organizational value, several companies have formalized the process as a means of formalizing the induction of newcomers into the organisational culture. Caldwell and Carter (1993) include a description of mentoring in the fields of health, education and industry indicating the widespread use in training for competency development and laying the foundations for building organizational culture, but Daresh and Playko (1990) contend that it is inappropriate to apply the mentoring schemes used in business education to the world of beginning administrators and may be fraught with difficulties.

**Mentoring for beginning principals**

Mentoring programs have often been advocated for a variety of educational settings. The review of the literature suggests that there may be a lack of consensus in definitions of mentoring resulting in difficulties with evaluation of mentoring programs, and, this will require some systematic approach and examination of the key issues as they apply to school principals.

The designation of experienced principals to serve as mentors to principal preparation programs is well established in the United States. School leadership development has modelled itself on widely held assumptions drawn from private sector management (Kram 1985; Ley, 1981) by suggesting that experienced managers should offer support as part of the professional development of aspiring and beginning managers. However, the real question is whether there is a suitability of fit, or not. Are schools the same as businesses? Some would have us believe so but this remains contentious.
The concept of mentoring has at least two potential applications as identified by Daresh and Playko (1989) as a method to improve school administrators. The authors point to the critical need to identify and select individuals as appropriate role models for beginning administrators. Frequently the term 'mentor' has been assigned to the experienced administrator who happens to be available to answer questions from novice colleagues. Being a sponsor or role model is by no means the same thing as being a true mentor (Wasden, 1988). However, novices may learn best and prefer support from mentors who have only recently become administrators (Beeson and Matthews, 1993).

A second potential value of the concept can be found in the process of professional formation, which draws together the academic training with fieldwork mentoring. Bolam, McMahon, Pocklington and Weindling (1995) provide some dimensions of the experience of mentoring for new English head teachers. As part of the nationwide restructuring of schools, the School Management Task Force (SMTF) initiated a pilot-mentoring scheme. The research rationale was to test the SMTF recommended model of mentoring, which suggests that it should be both non-evaluative and non-presumptive and it should encourage new head teachers (as mentees) to take responsibility for solving their own problems.

**Training principals to become mentors for beginning principals**

The practice of mentoring has been seen to serve a very important component of planned efforts associated with providing support for entry-year programs and beginning administrators. Those who are designing these programs will find it necessary to develop specialised training activities to assist potential mentors to perform effectively and to overcome problems. It is erroneous to assume that a simple willingness to serve as a mentor predetermines success.

Daresh and Playko (1989) have offered an interdependent model underpinning a training program for mentors, in the Administrator Entry Year Program at the Ohio LEAD Center which provides a vehicle through which this form of mentor training can be examined. They believed that mentoring relationships
in education are likely to focus almost exclusively on promoting personal and professional development, rather than career development (Daresh and Playko, 1990). As a result, mentoring programs for school administrators need to focus on an entirely different set of objectives, namely those associated with the personal and professional growth of individuals. Mentors work with protégés during a period of personal transition from one role to another. Emphasis in this respect needs to be placed on mentoring skills of encouraging (demonstrating confidence in a protégé's abilities), counselling (discussing a protégé's fears, anxieties and uncertainties), and assisting the protégé to perceive himself or herself as a colleague, peer, or friend whose assistance and ideas are valued.

If it is to be established that a key function of mentors is to assist protégés become expert problem solvers, then there is a need to determine how administrators think and act when facing new problems. Leithwood, Cousins & Smith (1990) conducted research with teachers and administrators to determine their strategies for processing information and making decisions. Scholars like Boudy (1981) argue that only the most complex, higher order thinking results in the formation of mental constructs that help frame the learners' experience. Costa and Garmston (1994) argue that the most complex form of thinking or problem solving occurs when learners are forced to draw on structures already stored, expand existing structures or develop new structures.

However, Barnett (1996) concludes the information processing of experienced expert administrators is significantly different from that of novice beginning administrators. This naturally, is not unexpected or revolutionary, as expertise requires a knowledge base that is extensive and accessible (Ohde and Murphy, 1993). The conclusion is that expert experienced administrators have well developed multiple models, experience and flexibility when solving problems in contrast to novices who rely on surface features not underlying principles when analysing problems.
**Quadrant 3: Training and development**

This section will present an overview of recent research related to training and development of practising school administrators. In the United States, administrative training has been seen as synonymous with formal, university coursework, rather than less formal modes of preparation such as structured non-credited activities, apprenticeship learning or peer socialization (Murphy 1994). What is dominant in the review of literature on administrative development in education (as shown in the discussion on formal management education training in the next section) is the nearly singular focus on preparation for administrative work and pre-service education (Miklos, 1983; Murphy 1994), rather than the inclusion of continuing professional education of beginning and established principals. This area, along with formal management education, has been the domain of professional socialization. Recently, more organizational socialization experiences have begun to be included in these areas in an attempt to merge some of the gaps which have been reported between leadership theory and practice (Murphy, 1999).

There is indeed a degree of discomfort and risk for school leaders to admit that to be a learner is to admit imperfection, and that they don’t ‘know-it-all’. The burden of ascribed omniscience is one a school leader can carry. Drawing on his work at the New Jersey Principals’ Institute, Barth (1997) describes the conditions that enable school leaders to embrace their own learning. He suggests these are: significant others as mentors and coaches; recognition of craft knowledge and experience; principle-centred on self-reflection embedded in a culture of fun; risk-taking; establishing learning as a priority; constructing one’s own knowledge; inventive irreverence for convention; collegiality; reflection; and merging of personal and professional learning as all vital to self-growth. Barth identifies the principal learner as a ‘works in progress’ in his analytical case study of principals over a four-year period. The headings that follow provide touchstones for this review.
Teaching people to lead a school

However, the question which remains unanswered is, Can you actually teach people to lead? Conger (1994) has suggested that the answer in the United States is a positive 'yes' where in academia alone, an estimated 600 or more institutions offer some form of approach or course in leadership. Is it just hype as Drucker (1993) maintains? Despite Drucker's scepticism that leadership is nothing more than hard work and conscientiousness, the controversy rages over its nature and proper inculcation. The real question remains as to what impact different forms of training and development programs have had for principal role development. What is needed is some examination of the content and design of training programs, to see how they have been applied to school administrators.

The contribution of various training and development program designs

Conger (1994) provides a useful starting point when he suggests that there are different paradigms of principal training programs, maintaining that arbitrarily they can be grouped under four main categories: conceptual awareness; skill building; personal growth; and feedback programs. The intention here is not to simply provide a weighty catalogue of professional development and leadership programs. That has been extensively done elsewhere in the work of Murphy and Hallinger (1988); and Murphy, (1994). Some examination will need to be undertaken of these category designs as they apply and impact on different forms of role development and learning for beginning principals.

1. The conceptual approach

The conceptual awareness approach is theoretical based on the simple tenet: if you can grasp the concept, you can act upon it. Mostly intellectual in approach this analytical framework to training has long been dominant in MBA and university preparation and principal development programs. Theory oriented, by nature, business school programs use the traditional tools of conceptual learning, case studies, lectures, films and discussions, to explain leadership to managers. The purveyors are the academics who often rely on contrasts
between concepts of leadership and management. The advantage of this approach is that it helps to understand intellectually that there are important differences between the behaviors, which help distinguish leaders and managers.

2. Skill building

Skill building is an area that has been extensively explored in principal development programs. The simple belief that beginning principals should be trained to have a set of defined skills pervades much of the literature (Kennedy, 1987; Hart and Bredeson, 1996). These skill frameworks represent a particular view about school administration and changing knowledge bases for principals. The problem with the learning of a set of skills is that they are often not linked to situations of practice in which knowledge, beliefs, values and professional practice (Hart and Bredeson, 1996). Schon (1983) also notes that skill building may not reflect the situations of practice often characterized by complexity, uncertainty, instability, and uniqueness. From their studies of the professional development of teachers, Joyce & Showers (1983; 1988) identified some elements which may enhance and contribute to effective training programs which also can be applied to skills training and development for school administrators.

- Adults have much to contribute from the rich resources provided by their experiences. This makes experiential techniques such as discussion or problem solving important to adult learning.

- Professional development should provide opportunities for the development of job related skills through a) the demonstration of the skills or its modeling in settings which simulate the workplace; b) opportunities for practising the skill; and, c) receiving production performance based feedback.

- Effective training design also provides opportunities for adults to share their expertise and experience. Affiliation - joining with others in a common endeavor - can be a strong incentive for participation and
involvement. When the development of interpersonal relationships is encouraged and adults talk with one another about their work, feelings of isolation are reduced.

- Adults who share their experiences in contexts where they will be valued rather than evaluated, report feeling energized, empowered, supported and validated (Levine 1985).

- Institutional support for professional development should be supported by mechanisms for assistance, and follow-up as participants return to the workplace. This may include peer support, peer coaching, calling on observation, shadowing and reflection. Participants must have continued support as they learn to apply a repertoire of new skills and ideas.

3. **Personal growth**

Personal growth programs are popular based on the catch-cry ‘passion is the pathway to leadership’ (Greenfield, 1986). It is a simple premise which underlies these programs of personal development. The theory maintains that effective leaders are deeply in touch with their personal dreams and feelings are then confident enough to realize them. They are unafraid of the risks and dilemmas. The logic is therefore the need to put managers and leaders in touch with their passions, values and power through challenging emotional and adventure experiences that become metaphors for risk-taking, emotional expressiveness, empowerment and vision. Habermas (1970) and Cranton (1996) remind us that people have three basic interests in acquiring knowledge for personal growth. Underpinning these are the need for instrumental knowledge, or information about the job: communicative knowledge to understand the social norms and social knowledge in the role; and, emancipatory knowledge as growth in self-awareness and transforming of perspectives.
4. Feedback

This theory focuses on developing self-awareness where the assumption is that leaders cannot fully see themselves, and so are only partly aware of their leadership styles. The feedback programs assume, rightly or wrongly, that school principals have leadership skills in varying degrees and strengths. The use of a mirror to reflect those strengths and weaknesses is necessary for individuals to act with confidence on strengths and seek ways to overcome weaknesses. Feedback can indeed be very positive for some in learning to focus efforts on specific developmental issues, but at the same time can be overwhelming with information. Concentrating on leadership style, coaching style, conflict style, decision-making style and communication style can be a recipe for overload.

No definitive answers can be derived for this review and leaves us often with more questions than answers. Perhaps, in the end, developing a more effective training design rests in integrating a number of the above perspectives. Each approach considered - conceptual awareness, feedback, skill building and personal growth - makes certain assumptions about how leadership is learned, and in turn shapes the learning methods that support their development. Ultimately, no single approach is sufficient and each remains too narrow. To design learning experiences that work, leadership training will need to incorporate all four approaches within the design of principal development programs at the pre- and in-service levels. Some of the research on cohort learning, cooperative, and collaborative group learning approaches (Cranton, 1996; Basom, Yerkes, Norris and Barnett, 1996) has been seen as a promising attempt to marry these strands into single and coherent professional training programs in some adult learning and university settings (Berg and Caffarella, 1997). The litmus test of any evaluation of training effectiveness lies in whether it makes any qualitative difference in school leadership in the workplace. Berg and Caffarella (1997) in their research at the University of Northern Colorado have indicated the need to integrate and personalize all
elements of a training design so the design and delivery are matched to needs and expectations of participants. This has not always been a consideration for those designing professional development for new school leaders.

This section has focused on the role of training and development in contributing to role development for beginning principals. While there is a plethora of programs in leadership development, it would seem that some rationalizing of their value is required. The principles in developing adult learning programs, highlighted by Berg and Caffarella (1997), suggest that this area needs some review. It is not good enough merely to provide and fund programs of development for new principals. What is required are structured and systematic ongoing programs which help provide impact and transfer learning into the work place. It would seem that this issue has not been fully explored and taken seriously by those responsible for planning professional socialization programs for beginning principals.

**Quadrant 4: Formal management education**

The preparation and formal training of school administrators rests on the notion that the past provides a legacy for the future. An exploration of this evolution provides some of the pieces of an historical puzzle of stages in administrator preparation and these are indicated in Table 2. At the outset, some caveats need to be established. This is not intended to be a detailed historical review of all administrator training, but focuses primarily on the formal preparation experiences offered in university-based programs (what Halpin (1960) calls “technical learning”) because the experience of most school administrators is informal at the school or district level (Silver, 1987). Formal training programs are only a recent phenomenon (Cooper & Boyd, 1987) and an area where a repository of information, research and knowledge is quite meagre. History establishes that there is a time lag between the emergence of new ideas in educational administration and their application in graduate study. (Murphy, 1999).
For this discussion, the evolution of preparation programs in the United States will be examined as there is no reported research in the Australian context from which to make comparisons. These have been divided into three broad eras: the era of Ideology; the Prescriptive era; and the predominant Behavioural Science era. In examining each era the focus in this study will be an analysis of the implications for professional development with more emphasis being given to developments emerging in the 1980s to the present day. Embedded in these historical antecedents is sufficient evidence to be aware of the former images of leadership and schooling that may guide ideas about the future. It is also clear that some of the influences of the past can be found in different leadership styles exercised in schools of the present. Both these questions provide beginning points in examining the present and future formal training of school administrators.

Research has isolated two doctrines of leadership before 1900 that, to some extent, influenced thinking about the content administrators were exposed to in the United States (Callahan and Button, 1964). Administration was simply supervision and limited to areas of curriculum and instruction; as Button (1966) points out the emphasis was of the school administrator as one who applies eternal wisdom and moral judgement in leading schools.
Table 2: A composite picture of eras and metaphors in school administration preparation programs

<table>
<thead>
<tr>
<th>Historical Eras</th>
<th>Dominant Metaphors</th>
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<tbody>
<tr>
<td>1820-1900</td>
<td>Administrator as Philosopher Educator</td>
</tr>
<tr>
<td>1900-1945</td>
<td>Administrator as a Business Manager School Executive and Social Agent</td>
</tr>
<tr>
<td></td>
<td>Researchers/learning of scientific facts and prescriptive knowledge</td>
</tr>
<tr>
<td>1946-1985</td>
<td>Administrator as Social Scientist and Professional</td>
</tr>
<tr>
<td></td>
<td>Implications for Professional Development</td>
</tr>
<tr>
<td></td>
<td>Features</td>
</tr>
<tr>
<td></td>
<td>1. Learning focus would be on individual growth and interpersonal skills</td>
</tr>
<tr>
<td></td>
<td>2. Organizational concern for developing efficiency and effectiveness</td>
</tr>
<tr>
<td></td>
<td>3. Focus on continuity in learning through different phase of development</td>
</tr>
<tr>
<td></td>
<td>4. More instructional variety and activity oriented programs</td>
</tr>
<tr>
<td></td>
<td>5. Use of field based experiences with classroom learning</td>
</tr>
<tr>
<td>1986-2000</td>
<td>Administrator as a change agent and instructional leader</td>
</tr>
</tbody>
</table>
The Prescriptive Era 1900-1950

It may be true that the prescriptive era saw preparation programs for school leaders as shaped by forces external to education and educational management where the social, political and historical forces embedded in world wars and an economic depression, demanded a new modern school leader. This role saw the principal conceived of as a business manager and a social agent (Callahan and Button 1964). Murphy (1994) notes researchers indicated scholarship that informed course content through this period was little more than 'naked empiricism' (Griffiths, 1966), producing a 'mere encyclopaedia of facts' (Griffith 1988), and knowledge was comprised merely of folklore and testimonials of reputedly successful administrators. The promulgation of countless 'war stories' attempted to raise the status of experience into the realm of accepted research.

Behavioural Science Era 1945-1985

This interdisciplinary, social science approach to training focused on the model of the school administrator as a decision-maker (Cuthbertson, 1965). According to Crowson and McPherson (1988), this behavioural sciences period was the so-called theory movement which resulted in three prominent legacies which have had important effects on the research and preparation in educational administration. First, the emphasis on general conceptual knowledge removed from 'fragmented practice', allowed the development of the cognitive style that helps the administrator to make sense out of everyday behaviour and use rationalistic problem-solving processes. Second, the theory movement changed the type of research from blind empiricism and a theoretical counting and sorting, to an emphasis on discipline-based enquiry. The theory movement did, however, provide and support the perspective that theory, research and practice are related. Third, Crowson and McPherson maintain the theory movement contributed valuable understandings to educational administration and problems of practice although there is no clear understanding as relationships have been ignored in research. What is clear is that the theory movement freed the development of principals and their roles
from theory-versus-practice to making theory-and-practice relationships possible.

Another powerful endowment of the Behavioural Science Era was the legacy of the ‘one best model’ which emerged in the late 1950s to train administrators as applied social scientists (Cooper and Boyd, 1987). Current programs can find their derivations in this model. While the model has its philosophical rationale in the abiding belief in empiricism, predictability and science, the content is grounded in applied social sciences. Cooper and Boyd (1987) report that by placing formal preparation programs in the mainstream of social research, it did not solve the dilemmas of what to teach practitioners. The question of ‘which knowledge?’ and ‘what application can be made?’ when developing school leaders, remains paramount.

Murphy (1994) indicates that the current situation symbolises the dialectic era, and is in fact in a period of transition from 1986 to the present. The period of choice has resulted in questioning the content and delivery of preparation programs and a subsequent movement to reform them to align to the needs of schools and professionalization of the schooling and leadership. Some of these issues are explored which lead into an examination of some of the promising practices that are reshaping formal preparation programs.

Murphy (1992) argues that in the area of educational administration the worrying fact is that little progress has been made in resolving the deeply ingrained weaknesses, which have plagued training systems for so long.

Murphy (1994) points to the concept of curriculum in preparation programs in educational administration and concludes it is neither intellectually challenging nor useful to practitioners. This is indeed an indictment. It is supported at a general level of analysis by the fact that there is a profound lack of agreement and an unending unwillingness on behalf of the professionals to address the issue (Goldhammer, 1983; Griffith, Stout and Forsyth1988; McCarthy et al, 1988). This highlights the fragmentation and complacency underlying this problem resulting from an absence of ‘over-arching gesalt
conceptions in shaping preparation programs’ (Cuthbertson and Farquhar, 1971) and an impoverished knowledge base. These serious flaws suggest that a major deficiency exists. The absence of a collective vision about the purposes informing training experiences for school leaders has been overlooked on the belief that a program vision will naturally flow from the codification of an appropriate knowledge base (Boyan, 1988). The reality is, in fact, the opposite. The knowledge base for training should be constructed from a blueprint that specifies what the role of the school leader is and ought to be. The problem with the above, when considered in the Australian context rests in the slavish way that educational administration in often conveniently transferred from overseas to become ‘the way’ to now train school administrators. This remains a real concern for future training.

*Dialectic Era - promising practices 1986-2000*

Significant changes in program content have been identified in the literature as having impacted upon training designs in formal settings. Those which have placed increased emphasis on findings of educational effects research and these more knowledge-oriented and based on descriptive and grounded theory (Murphy and Hallinger, 1988) have begun to emerge and find favour in preparation programs (Murphy, 1999). The authors note, that, in general, there is a shift away from frameworks borrowed from the social sciences and towards the information contained in the educational effects literature.

Literature emphasizing effective schooling, school improvement and the principal as an instructional leader has provided a research base and benchmark on which to develop course content and merge them into formal training as points of departure.

Leithwood, Begley and Cousins (1994) have maintained that a preparation program, which fails to adequately address the full-scope of the leader’s role, is flawed. While it is unrealistic to expect a preparation program, given constraints of time, to fully prepare aspirants for the role of a school leader, a balanced program is required. There is still a need for a strong knowledge base and content which emphasises - professional knowledge (Silver, 1987) and
administrators' effects on organizational outcomes; the principles of effective change; staff development which will support school improvement and reform (Murphy and Hallinger, 1992); and a need to build new and improved avenues between theory and practice. In past programs some content has traditionally been over-represented while other content has been totally ignored. For example, knowledge and skills related to building functions, acts, regulating, and timetabling have been well represented. Leithwood, Begley and Cousins (1994) are critical of these programs. They argue that this reflects the 'rear-view' perspective of many course designs that are based on traditional practices, knowledge and expectations rather than current organizational needs. Moreover, such traditional content is perceived to be easier to teach than some of the more proactive, open-ended, high order skills such as implementing an entry plan when entering a new school, or developing a positive school culture.

In terms of theoretical structure, the new approaches to training contain content which is heavily grounded in descriptive analysis. The acceptance of the use of the inductive process to inform training content has become prevalent. While this may not be ideal due to a tendency for more problems to arise in the search of solutions, it does not make clear that there are fewer established truths and maxims which can be accepted as the basis for training. The growing interest in experiential learning and naturalistic studies highlights administration action, as guided by the demands of the situation and then by theory that is 'inexplicit, inarticulated and unconscious', draws heavily on intuition or on stored memory and experience (Marsick and Watkins, 1990). Concern for the new training content is to have experiences provide more useful frameworks for administrative action.

The nature of the content being problematic and socially constructed in webs of meaning means that descriptive theory has the chance of 'turning vision' of what ought to be into realities, by linking empirically based understandings of schooling in its context (Leithwood, Begley and Cousins, 1994). The perspectives on formal training indicate that these approaches have been
viewed, at best, as variable, in preparing principals to lead schools. What is daunting in the Australian context is that there is very little or no formal training and education required to become a principal. No mandated training or formal qualifications, except that any applicant must be an experienced teacher, are required to become a principal of a school. The need for some formal training in areas of financial or legal management are examples of new skills required to lead schools in the future. Formal training and development are both necessary but not sufficient to support the development of school principals in facing new demands of school leadership.

This section has examined the sources of learning of beginning principals as they go through socialization processes in which new members of an organization learn to deal with the realities of the job.

It was the intention of this literature survey to help position this review and study in some of the individual and contextual perspectives which impact on the learning and socialization of beginning principals. Then the role of the principal was described from the literature, to try to determine what expectations have been held for beginning principals as they enter the role. The final consideration focused on identifying the sources of learning in professional and organizational socialization which may influence and impact on the way beginning principals have gained and applied understanding and knowledge about the principal role.
Chapter 3

Research Methodology

This chapter describes the research methodology used in this research of the impact of sources of learning on principal role development. First, it outlines the adopted research design process in exploring the study’s key research questions. Second, the chapter establishes the rationale for choosing a predominantly qualitative approach using the development of case study records with interviewees as a means of capturing data around beginning principal role development. This strategy of interviewing, along with the employment of questionnaires with a wider beginning principal group, provides data for comparison and review of similarities and differences which appear between the interview data and the survey group. The chapter then examines the elements of the research design and the use of different data collection strategies and methods adopted for this study of the key research questions. Finally, it presents a review of data regarding the participants in this study.

Design of the study

Berg (1995) has described research methodology as a comprehensive set of descriptive tools about how researchers collect, analyse and interpret data while typically describing the actions and process of the research. Questions related to how the research was to be accomplished, which data would have to be collected, with what methods, and how the data were organised and analysed, formed the basis for construction of this research design (Leedy, 1993). This framework helped provide meaning and relevance in a more precise manner. Therefore, any attempt at defining a research project and determining a research methodology began with devising a conceptual perspective or overview. This will now be explored.
The study was designed to collect and analyze data around the two key research questions related to the sources, impact and use of learning in principal role development for a cohort group of fifty-four beginning principals who were appointed as principals in government primary and secondary schools in the final term (Term 4, October-December) of 1999 by the Victorian Department of Education, Employment and Training (DEET).

This section of the chapter examines the thinking and construction behind the development of a research design for this study. Berg (1995) suggests that there are in fact, different models when designing qualitative approaches to discover answers which involve the application of systematic procedures. This is shown in Figure 2 as a model for designing and developing any qualitative research (Berg, 1995, p.17) and has been further delineated in Table 3 indicating how this model has been applied to this research study of beginning principals.

This framework provided a useful way to begin to consider the features of any research design, especially considerations related to what was going to be done in researching the key research questions, and how they would be explored. To help in this process Berg's model was further used to list key areas considered vital in developing the research for this study. This is shown in Table 3 and indicates the progression of the researcher's thinking in constructing this research.

<table>
<thead>
<tr>
<th>Figure 2: A model for designing qualitative research (Source: Berg, 1995)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Idea → Literature Review → Design → Data Collection &amp; Organization</td>
</tr>
<tr>
<td>→ Analysis &amp; Findings → Dissemination</td>
</tr>
</tbody>
</table>
Table 3: An overview of the research design considerations for this study (based on Berg’s 1995 design headings)

<table>
<thead>
<tr>
<th>Idea</th>
<th>Literature Review</th>
<th>Design of Research</th>
<th>Data Collection and Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identification of study parameters, themes and ideas</td>
<td>1. Identification of key themes related to • principalship • sources of learning for the principalship • role socialization</td>
<td>1. Development of research questions based on a review of literature on beginning principals</td>
<td>1. Employ protocols for study approval Dept of Education Employment &amp; Training</td>
</tr>
<tr>
<td></td>
<td>2. Delineation of significant study area of beginning principals and key research themes and issues</td>
<td>2. Development of a research design and framework 2.1 ethical considerations 2.2 limitations of the study</td>
<td>2. University Ethics Committee and sample group</td>
</tr>
<tr>
<td></td>
<td>2.1 The role of learning and its impact on leadership</td>
<td>3. Conduct of a pilot study to ground research questions and techniques and case record approach</td>
<td>3. Initiate Research 2.1 Phase 1 2.2 Phase 2 2.3 Phase 3 2.4 Phase 4 Use techniques of: • Survey instruments • Interviews • case records</td>
</tr>
<tr>
<td></td>
<td>2.2 Role socialization</td>
<td>4. Ethics approval</td>
<td></td>
</tr>
</tbody>
</table>

Data Discussion & Verification

Compilation of interpretation of data around listed key themes of image, change and learning and link with literature compilation of findings and key ideas related to the key themes on beginning principals

While this model was useful for thinking about research, the researcher found that a further iteration was needed which would both ground and direct how this current study was to be designed and implemented. The key questions underlying this consideration centred on determining how best the research questions would be investigated and through what means. The answers to these questions are indicated in the study design shown in Table 4 below.
and this table requires some explanation and elaboration to help understand how this study was operationalized.

Table 4: An overview of the research design for this study of beginning principals using Berg's (1995) headings

<table>
<thead>
<tr>
<th>1. Idea</th>
<th>2. Literature Survey</th>
<th>3. Design of Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gathered from researcher's emerging interest in principal learning through principal induction programs</td>
<td>Developing key research questions and issues found in the extant literature</td>
<td>-Qualitative research -use of triangulation -Case study methodology</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Determining sample for interviews and survey protocols -Collect interviews and surveys</td>
<td>-Data analysis steps Codify and track trends and differences in the data in the four phases -Use of the Cattegno and Millwood model (1995) for examining sources of learning</td>
<td>-Review patterns of similarities &amp; differences with -extant literature -examination of new knowledge emerging from study</td>
</tr>
</tbody>
</table>

1. Idea: Research questions

The research questions were derived from the literature research and through the researcher’s work with beginning principals as a project director at the Australian Principals Centre and with DEET State Principal Induction programs. Interest was generated by the researcher in how new principals learned about their role. It was found that the ways principals integrated and used different sources of learning to develop their role was a neglected area of Australian research (Beeson and Matthews, 1993; Bowman, 1996; Hewitson, 1995). This led to the development of the two key research questions that
focused on attempting to catalogue and examine the impact of sources of learning in developing a principal role.

2. Literature survey

The two key research questions related to sources and impact of learning were thoroughly examined in the literature survey with some possible comparative research being noted in the key research areas on beginning principal role socialization and sources of learning.

3. Design of the research

In this section of this chapter, an examination was made of the rationale behind the selection of a qualitative approach with the incorporation of a quantitative method of surveying for this study. It began by taking a broad perspective.

Deriving a qualitative research framework for this study

This section examines a number of fundamental questions in deriving a conceptual framework and helped determine that a qualitative research methodology was the most appropriate for a study over time of the transitional role changes and learning of beginning principals.

There are alternative views of the world, which simply put, suggest that different researchers see the world differently. Qualitative researchers, (usually within the social science disciplines), have adopted a different ontological approach to research from those interested in quantitative research.

While their goal is to understand some form of human phenomenon, qualitative type of research views the individual research project more as a riddle to be solved, posing a question and considering a multitude of ways to answer it (Baird, 1988). Riddles can have many different answers depending upon who is telling them.
The answer as to which is the best form of research design remains problematic. It depends upon what is being researched and why. Leedy (1993) suggests a quick answer is seen if methodology is viewed as an operational framework (within which facts are placed so that their meaning can be seen more clearly) representing a continuum which is ever changing and ever developing. As argued in this section, qualitative and quantitative research stances, rather than representing separate realities, actually complement each other depending on the research undertaken. Their stances stress the need for a research methodology which uses both quantitative and qualitative research methods and to choose what appear to be the best elements from each to contribute and help contrast and verify some of the results of the study.

The concept of triangulation was important here. Triangulation has been defined as a process of collecting data about a particular phenomenon from different viewpoints so that the perspectives can be measured against each other for consistency (Leedy, 1993). To gain needed confirmation, to increase credence in the interpretation, to demonstrate commonality of an assertion: some form of triangulation provides a point of reference on the continuum represented.

In this study, the primary method of data collection was through structured interviews and the development of case studies backed up by the use of group surveys and review of school documentation. The use of surveys from the wider cohort group was done in order to be able to make comparisons between the interview data and survey data to note any similarities and differences that may occur. This approach tried to ensure that the interview group data did not remain unique and reveal data that are only relevant to a particular interview group.

The adoption of an approach that facilitated multiple interpretations to questions being explored assisted in unravelling the data to construct meaning and reality. With multiple approaches, the research was likely to illuminate or nullify extraneous influences. With the employment of methods, such as a
case study methodology along with the use of interviews and document review, data could be cross-checked and examined. To regularly employ different methods to question, consider, confirm or reject interpretations around the research questions posed was imperative. As Stake (1995) reminds us, triangulation regularly sends us back to the drawing board and this must always be kept in mind in considering research data, but Flick (1992) sounds an ominous warning. The stronger one's belief in constructed reality, the more difficult it is to believe that any complex observation or interpretation can be triangulated. For Denzin (1984), and many qualitative researchers, the protocols of triangulation have become a search for additional interpretations more than the confirmation of a single meaning (Flick, 1992).

**The use of a qualitative research approach**

This study was conceptually viewed as a series of case studies over time so the selection of a qualitative design was favoured to achieve this purpose. The intention was to gain an understanding of the learning, thinking and action of beginning principals in the workplace. The development of grounded theory begins with the collection of the articulated experiences and multiple realities of a limited selection of field study participants (Bogdan & Biklen, 1992, Glaser & Strauss, 1967).

This naturalistic inquiry allowed the researcher and the respondent to construct and negotiate meaning based on the shared experience and gather the interpretations of beliefs, values, knowledge, ideas and intentions of the respondent. It can be argued that much of the theory of a qualitative investigation therefore evolves and begins to take shape and form as the study unfolds, and becomes more focused as more data are collected and analysed. As Guba and Lincoln (1981) point out, the qualitative process results in a holistic and life-like description similar to that of the experiences of the real world rather than abstractions of experience. The explanations of beginning principals, and descriptions of their roles of school leadership, their concerns, and how they have learned about the role of the principalship, contributed to a
general understanding and demystification about how neophyte principals enact their role over time.

In many cases, it has been argued that qualitative research can remain merely descriptive, rather than prescriptive, in nature. It is the gathering of descriptive interpretations about key issues concerning the role of the principalship, how this changed over time, and the influence of professional development which provided a mosaic of diverse role images in this research. Conversely, common themes emerged in the analysis of data generating some ‘working hypotheses’ which, while not generalizable to large populations, may be transferable to principals in similar contexts. (Lincoln & Guba, 1985). These hypotheses then become transferable and useful in comparative replicative studies. Moreover, data generated through qualitative research provided impetus for further research and additional mosaic making.

*Case study method as a chosen research methodology*

Rather than being just an impressionistic and naturalistic means of gathering data during fieldwork, the use of the case study as a chosen research tool requires discipline. It is the unique contribution that this approach offers which makes it attractive in this research on beginning principals. The use of this design of a case study helped provide a profile of beginning principals which allowed the collection and convergence of a range of phenomena about those who were learning to lead in new schools. Yin (1994, p.15) has defined a case study as ‘an empirical inquiry that investigates a contemporary phenomenon and context within its real life context where the boundaries are not clearly evident and in which multiple sources of evidence are used to try and make sense of the phenomena studied’. The essence of this study on beginning principals was to study temporal changes made by selected new principals, and examine different interpretations of changes in the leadership role. Therefore, the unique strength in using this approach lay in the ability to gather a comprehensive range of data through documentary sources, questionnaires, interviews and observation during different time phases of the
induction year and the transitions made by new principals. The decision to choose a case study approach was seen as the most comprehensive means of gathering data around the key research questions identified in this study. In addition, case data collection was flexible enough to allow the researcher to pursue and explore new leads as a result of finding something through perusing a document, or conducting an interview which could then be cross-checked and triangulated (Yin, 1994). Subsequently, it was subsumed and aggregated through each of the research phases into an overall picture of all of the case studies using the Cattegno and Millwood (1995) model. Some of the characteristics of research using the case study method are noted here. Several researchers have advanced different definitions of the case study, which are congruent with the design of this study. Wilson (1977) conceptualised the case study as a process, which attempts to describe and analyse some entity in qualitative (and sometimes complex and comprehensive terms), as it unfolds over time.

McDonald, Adelman, Kushner, and Walker, (1982) identify the case study as a true 'instance of action', and this is also supported by Guba and Lincoln (1981, p.371) who suggest that the purpose of a case study is to reveal 'properties of the class to which the instance being studied belongs.' So it is these elements that are important to this study of capturing change over time and asking new principals to articulate about their learning of their new role of the principalship. It is important to arrive at an on-going comprehensive understanding of the group under study and be able to add to the jigsaw to develop general theoretical statements about the emerging patterns and the processes. The case study provided this dimension which is not always possible with other research approaches.

The special features, which also made a case study approach the most appropriate for this research on beginning principals, allowed the researcher to chronicle events, to render, depict, characterise and test a variety of data against a framework of the themes of professional role visualization, skills about the role of the principalship, and learning over time. Prolonged contact
in this approach added credibility to the research as it could be linked by the
triangulation of data gathered through using a variety of methods. This also
helped establish some authenticity and trustworthiness to the ongoing research
in trying to understand the phenomena (Yin, 1994).

Eliciting the special features that have been compiled from different sources
can further refine the case definition. These helped highlight its unique
contribution to research. It was the lure of many of these characteristics which
made it an attractive research device on which to construct a framework of the
learning and transitions of beginning principals. Specifically these
characteristics are that it is: grounded, holistic and life-like, conversational in
style and format, able to illuminate meaning (Guba and Lincoln, 1981);
flexible in design (Helmstader, 1966); able to be used to describe key issues
(Hoaglin et al., 1982); is inductive, descriptive and specific (Yin, 1994); and,
is holistic and qualitative (Wilson, 1977).

While it can be found that the number of characteristics and terminology
identified may vary, what remained constant for this study was the belief that
the four characteristics which form the essence of this qualitative case study
research on beginning principals remained constant. These characteristics
indicated that case studies are particularistic, descriptive, heuristic and
inductive (Merriam, 1988). Attempts to define what a case study actually
contributes often revolve around the delineation of its uniqueness as research
design, and it is this, which needs to be emphasised. This uniqueness does not
reside so much in the methods employed, although these are important and can
be extended to other qualitative research methods, but rather in the questions
which are asked and how they are related to the end product. The use of the
Cattegno and Millwood (1995) planning model provided suitable ways to help
capture, display and analyze case study data gathered over the four phases of
the research.
**Strengths and limitations of the case study method**

The reasons for adopting a case study approach have been discussed above. It is important that the limitations of the approach also be recognized.

It has been argued that the selection of a case design is appropriate because the nature of the research problem and the questions to be addressed are best answered through this particular format. Merriam, (1988) would argue that its strengths outweigh its limitations. In this study, it was chosen to help capture role images of leadership, changes in role and professional development influences because it anchored these areas in real life situations which are socially constructed by the respondents. Furthermore, it allowed the collection of a rich tapestry of information and concepts and provided an aggregated, cumulative and holistic account of the phenomena, and provided insight and helped illuminate meanings around the research questions investigated. This, in turn, offered insights as tentative hypotheses, which may help structure future research, as well as contributing to advancing the knowledge base about changes and perceptions of beginning principals. Processes and problems can be examined as they help contribute to an understanding of principal practice.

Merriam (1988) contends that the special features, which support the adoption of case methods, can also be limiting. Although rich in data and thick in description for analysis, as a research method it can also be time consuming and expensive. Moreover, criticism related to cases as being too lengthy, too detailed or too complicated to be read or used (Guba and Lincoln, 1981) have been often quoted to raise concerns about the sole use of this method as a research tool. They state that this method can oversimplify and exaggerate a particular situation resulting in the presentation of erroneous conclusions about the real or whole state of affairs. The warning is clear: ‘They (case studies) can tend to masquerade as a whole when, in fact, they are only representing a part a - mere slice of life only.’ (p.241)

The researcher, in attempting to gather data at different points of time, collected different and changing views of beginning principals and connected
these slices to the larger framework and themes. The above criticisms were noted in framing the design.

The selection of the planning management model (Cattegno and Millwood, 1995) was chosen as a means to develop case studies for individual principals and develop an aggregated view of the themes. One of the criticisms of case study research is that it could become limited and only represent an idiosyncratic and unique presentation of seven different school principals. This case study approach best depicted a snapshot of the learning and role development over the four different phases of the study, rather than the intensive description of just one phenomenon or property.

Jacob (1987) reminds us that both the sensitivity and the integrity of the investigator can limit the use of qualitative case studies. Since the researcher was the primary instrument of data collection and analysis, there was a need to be aware of effective interviewing techniques. The role of the researcher needed to be signalled and established, as well as communicating the relevance and applicability of the research. It is also recognised that issues of reliability, validity and generalizability are often raised as debatable issues when applied to interpreting case studies.

4. Data collection and organization

The design of the study is summarised in Tables 4 and 5. Data were collected through interviews and surveys in a series of aggregated and cumulative case studies along with survey data from a state-wide cohort of fifty-four newly appointed principal class members. The focus of the study was to collect data from seven beginning principal case studies from the original group of fifty-four over four separate time periods (phases 1, 2, 3 and 4) over their first year in the role with the inclusion of comparative data collected in two surveys (phases 1 and 4) from the remaining potential group of forty-seven beginning principals. This is best illustrated in Table 5 below. The table identifies the
research phases, sources of data, analysis of information requested, research instrument used and time period in which the instrument was applied.

<table>
<thead>
<tr>
<th>Phases</th>
<th>Interview Time Period</th>
<th>Data Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Qualitative</td>
</tr>
<tr>
<td>Pre take-up</td>
<td>December 1999</td>
<td>Piloting of structured interview questions</td>
</tr>
<tr>
<td>1. Idealization Phase</td>
<td>January 2000</td>
<td>Conducting of 7 case records through interview</td>
</tr>
<tr>
<td>Prior to take up of</td>
<td></td>
<td>Piloting of survey format</td>
</tr>
<tr>
<td>position</td>
<td></td>
<td>Questionnaire survey of 47 principals about the role and learning about the principalship</td>
</tr>
<tr>
<td>(Term 4 1999/ Term 1,</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2000)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Immersion Phase</td>
<td>February/ March,</td>
<td>Conducting of 7 case records through interview</td>
</tr>
<tr>
<td>Settling in and</td>
<td>2000</td>
<td>Questionnaire survey of 47 principals about the role and learning about the principalship</td>
</tr>
<tr>
<td>taking up the position</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Term 1 &amp; 2, 2000)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Establishment Phase</td>
<td>July/ August 2000</td>
<td>Conducting of 7 case records through interview</td>
</tr>
<tr>
<td>(Term 3, 2000)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Consolidation Phase</td>
<td>November, 2000</td>
<td>Conducting of 7 case records through interview</td>
</tr>
<tr>
<td>(Term 4, 2000)</td>
<td></td>
<td>Questionnaire survey of 47 principals about the role and learning about the principalship</td>
</tr>
</tbody>
</table>

**Interview data and compilation of case studies**

The main source of data emerged from a series of case studies of the transitional phases of beginning principals in the light of the previously identified research questions. Yin (1994) has described the approach as
exploring the ‘multiple replication of an experiment.’ By holding data analysis constant across the case studies, the researcher examines the extent to which the findings of each case study could be replicated in each subsequent case study. Yin (1994) has explained that with a case study each is ‘a whole study’ in itself where convergent evidence is sought regarding the facts and conclusions for the case. Each case’s conclusions can be considered to be information needing replication by other individual cases.’ (p.52). Using this ‘pattern matching’ technique enabled the researcher to identify patterns of concerns and themes which appear across all cases and those which do not. These patterns were used to develop a prototypical model of the early transitions and developments of new principals. The following areas are outlined as part of the study design: study sample, protocols adopted for the study; sources of data collection; and the justification of the case study methodology and methods of data collection for this study and the subsequent limitations of this research project.

Maykut and Moorehouse (1994) state that ‘the goal of qualitative research is to discuss patterns which emerge after careful observation, careful documentation, and thoughtful analysis of a research topic’ (p.21). This research design adopted for this study was multi-method in focus which involved an interpretive, naturalistic approach while trying to make sense of, or interpret, phenomena in terms of constructed meanings people bring to them.

**Sample**

The sample identified for this study was drawn from fifty-four locally selected applicants who were promoted to principal class positions in the Victorian State Department of Education, Employment and Training in Term 4, 1999. Principals’ positions are advertised state-wide each term during the year and successful applicants are locally selected by schools to take up these positions at the beginning of each term. This study group was a typical group appointed to principal class positions in the final term (Term 4) at the end of the previous year taking up the position in the first term (Term 1) of the new school year.
Excluded from this sample for purposes of this study were those appointees who had previously been substantive principals and were merely upgrading their position to a higher classification. Also excluded were those who had gained principal appointments within their own school.

Selection of interviewees

The purpose was to select a random stratified sample group of seven interviewees from a cohort group of fifty-four using maximum variations in a sampling pattern strategy (Patton 1980; 1989) to ensure a representation across the principal class. This strategy was employed ‘to capture and describe some of the central themes or principal outcomes or effects which also cut across a great deal of participant variation’ (p.172). Using this cohort group as a reference group, fifty-four first-time principals were identified through the Department of Education, Employment and Training Term 4,1999, Principal Class appointment list.

A review of the cohort group based on the criteria of gender, location, previous position, school type and school size, identified twenty possible interviewees as meeting the criteria as representative of principals in different school types throughout the state. The twenty were contacted by letter and invited to involve themselves in the research. Eight agreed to participate but one subsequently withdrew.

The remaining group of forty-seven, not involved in interviews and case studies, was then used in the study to provide data on some of the key themes of role learning and socialization. This was seen as allowing some anchoring of case study findings against a wider background to gain a more comprehensive and useful picture. As Lincoln and Guba (1985) maintain, a maximum of sample variation can be achieved by combining these approaches with data collection procedures of interview and questionnaire. Then analysis was made of the population sample of fifty-four principals appointed in Term 4, 1999, by location, school type, gender and experience. This included, in the
first phase, a detailed comparative review of participants, including a collection of demographic data, and characteristics of beginning principal class members with the larger cohort group. An outline of this information is presented in a later section of this chapter as an analysis of the characteristics of beginning principals in this study (page 98).

Protocols adopted to support the study
Prior to the commencement of this study permission and approval was sought from the Victorian Department of Education, Employment and Training (DEET) and the Deakin University Ethics Committee. An outline of the procedures adopted is shown on page 88.

It should be noted that new principals are appointed a term (three months) before they take up their positions in their schools. These phases were derived from the previous research on beginning principals. Data were also gathered from interviewees as they described the characteristics and context facing them in their role development, and this provided a means for the researcher to compare and contrast the expressed depictions of the nature of each phase with the previous research on beginning principals. The research in this area did indicate that such stages are a natural progression in any career socialization and this was seen as influential in developing the phases in this study (Parkay and Hall, 1992; Day and Bakioglu, 1996; Weindling, 2000). The phases depicted in this study (Table 6, page 89) especially the latter phases, approximated to the school terms (each of which are usually three months duration with a two week vacation break between each term). This would normally indicate a natural progression of three-monthly terms along with term breaks from appointment (immersion) to consolidation in Term 4. But this was not the case in this study as the time of taking up the position (phase 2 immersion) was in Term 1, 2000, which meant there was a short period in the role and then phase 2 continued following a school vacation into Term 2. This meant that the immersion phase occurred in both Terms 1 and 2, Term 3 was a time of establishing the position (phase 3 establishment), and Term 4 a chance
to consolidate the role (phase 4 consolidation). Table 6 (page 89) clearly indicates the data collection and analysis phases in this study.

In January/February, 2000, the new principal class officers appointed in Term 4, 1999, by the Department of Education Employment and Training, were forwarded a package of information outlining the aims of this study.

Outline of package of information forwarded to study participants

- a letter from the researcher offering congratulations, an outline of the rationale and phases of the research, and inviting and encouraging appointees to become involved in the study;
- letter of approval from Deakin University Ethics Committee;
- a letter from the Deakin University supervisor indicating support for the study and a guarantee of confidentiality and anonymity;
- a letter of support and permission from the Department of Education, Employment and Training;
- a stamped addressed envelope for return of the initial questionnaire;
- a planned follow-up reminder letter and repeat questionnaire mailed three weeks after the initial letter of invitation and distribution of the questionnaire;
- an invitation for participants to become involved in case study research.
### Table 6: Overview of data collection and the process of organization

<table>
<thead>
<tr>
<th>Overview of Areas</th>
<th>January</th>
<th>March</th>
<th>August</th>
<th>November</th>
</tr>
</thead>
<tbody>
<tr>
<td>School Year</td>
<td>Phase 1</td>
<td>Phase 1/Phase 2</td>
<td>Phase 3</td>
<td>Phase 4</td>
</tr>
<tr>
<td>Sample size: 54 beginning principals</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Research Program

1. Data collected in structured interviews conducted with 7 beginning principals through the year (Phase 1, 2, 3 and 4)

2. Case Records compiled with aggregated data from 7 beginning principal interviewees (Phase 1, 2, 3 & 4)

3. Survey Questionnaires
   Data collected from 47 beginning principal cohort appointed at the same time period (Phase 1 and 4)

#### 3. Phases of the Study

- **Learning and envisioning the role**
- **Taking-up appointment and learning to develop the role**
- **Learning to shape and refine the role**
- **Learning to consolidate and feel accepted in the role**

#### 4. Time Line of data collection

- 3 months
- 3 months
- 3 months
- 3 months

89
Sources of data collection

Data were collected in four distinct phases over a period of a year. In the initial phase 1, it involved interviews with new principals in their original workplace and subsequent phases involved conducting interviews in their new school settings.

Analysis occurred according to the approach to qualitative methodology known as grounded research theory (Bogdan and Biklen; 1992; Glaser, 1978; Glaser and Strauss, 1967; Hutchinson 1995; Spradley, 1979) which suggests that authentic data is best derived from the articulated experiences and multiple realities of those involved in the research. This attempted to provide a holistic view of the lives of beginning principals, and to see how they had constructed their reality about their leadership roles. Capturing data on perceived values, intent, behaviour and knowledge helped with the construction of practice pictured and later applied by beginning principals. Because qualitative analysis must be regarded as a ‘dynamic and creative process’ (Taylor and Bogdan, 1984, p.130), no clear demarcation exists as to where data collection ends and analysis begins (Patton, 1989). Dobbert (1982) has further recommended the need to view the recording, validation and analysis of data as three aspects of one spiralling independent process. The researcher followed the three steps in the Miles and Huberman (1984) model for qualitative analysis: data collection and reduction, data display, and data conclusion and verification.

Data collection: conducting the research

Conducting research can be a vicarious and lively experience for the researcher. The need to continually evaluate the structure and design of the study is a constant concern. Stake (1981;1995) has established that there are several useful organisers, which offer support to the researcher through any journey into research. He argues that these should be used to offer constant reminders about grounding any research and these include: referring data back to the respondents for review and clarification; the use of ordinary language to ensure that the research questions are understood and clear; the need to
provide different ways to explore the points raised by interviewees; and the
need to outline to interviewees the structure, timing, and methods being used
to maintain integrity, confidentiality and sensitivity. This was achieved
through the researcher continually reviewing interview data with respondents
concerning learning and role development to check authenticity against the
quadrants in the Cattegno and Millwood (1995) planning model. In this study
one of the factors to be cognizant about was the role of the researcher, who
was also employed as a former principal in a Principals’ Centre, when this
study was conducted. Whether this role could be considered as either limiting
or influencing what people might say, or influencing what people might wish
to say, needed to be considered. Some may have felt restricted by feeling that
the interviewer may have been representing the Department of Education,
Employment and Training, or a project director of a Principals’ Centre. It was
hoped that if these concerns were raised, they would be allayed during early
contacts. It was noted and minimized both in the forwarding of initial
information and through each of the interviews. Furthermore, the research role
was one to ask focused questions to obtain the ‘world’ view from beginning
principals- not his view of the world.

**Structured interviews**

The first interview schedule was based on constructing questions around
identifying areas of informal and formal learning and their impact on role
development and specifically role learning. All the questions were listed with
identified key questions and sub questions. They were then arranged with
structured descriptive questions identifying informal and formal sources of
learning used by new principals to more open-ended analytical questions on
the impact and influence of some of the identified sources on role
development. The interview schedule is shown in the Appendix on pages vii-
viii.

Questions asked in interviews in Phases 2 and 3 followed a similar format as
those listed in the initial interviews but then concentrated on identifying and
cataloguing the informal and formal sources of learning used by newcomers in
each phase in learning their principal role, and the impact and influence of the key sources of learning in developing the role. In Phase 4 interviews, questions were similarly phrased, as in previous interviews, to help maintain some consistency for comparison, but also included some more reflective questions related to sources of learning over the year, as well as, any advice that could be offered to future beginning principals about learning and preparing for the role. These are shown in the appendix on pages xv.

Structured interviewing was the primary source of data collection during this study. These generally ranged from one hour to two hours with the intention to develop an interview technique, which was both familiar and unobtrusive to participants, so that candour and frankness would emanate from interviews, interactions and observations. Applying Yin’s (1994) approach, data were collected and analysed over time. In the real world of collecting data, informal interviews and extended conversations are often interwoven. It was the combination of these two which brought greater depth and understanding to this research study.

Setting guidelines

The establishment of suitable guidelines for interview construction for this study was heeded from the advice above. The guidelines incorporated included determining a structure which best suited the research problem, where interviewer and respondent interaction were constantly examined. Merriam (1988) argues that there are key variables in every interview structure, which can help determine the nature of the interaction. These are the personality and skill of the interviewer where the subjectivity and complexity of being human is inescapable and ever present in the interview encounter. The process of interviewing is also a social phenomenon in itself, which can be profitably examined and reflectively analysed (Dexter, 1970).

A research format must consider not only the content of what is elicited and volunteered in an interview, but also what is evaded and ignored - what the respondent does not say – is also important. Otherwise omissions can result with significant data being missed. Copies of the structured interview
questions and those used in the questionnaires are shown in the Appendix on pages vii-xx.

The object was to use Merriam's (1988) methodological concept of taking interview data and interpretation back to the people from whom they were derived and asking them if the results were accurate and plausible, and work to restrict and reduce the possible subjectivity or possible biased judgement of the researcher. As the themes and patterns emerged they were shared with the informants for feedback. With consent, all interviews were recorded on audiotape for later transcription and analysis.

In order to strengthen the research, triangulation was conducted by combining 'dissimilar' methods of data collection such as interviews, reviews of physical evidence of reflective accounts of previous interview data, and reviews of critical incidents, in the same analysis. (Merriam, 1988, p.69). Once all the data were collected it was necessary to organize the data into patterns so that themes emerged and could be followed to see the links to the present study.

Survey data

The questionnaire schedule was based on having the cohort group respond to similar questions to those asked of interviewees, related to sources and impact of role learning. They were based on the way beginning principals prepared for their role, and attempted to identify the key sources of their learning in role development. Questions were grouped around gathering background data for the study (Section A), the role of the principal (Section B) and specifically on the sources and impact of informal and formal learning in preparing and developing the principal role (Section C). A copy of the first questionnaire is shown in the Appendix on pages ix-xiv. In Phase 4, survey questions were used to gather data gained from the formal and informal learning experiences undertaken over the year. These asked respondents to become reflective and give advice to new principals about to take up their role for the first time at a nearby school. Advice was asked concerning preparation for the role, types of learning experiences to develop the role and the values and impact of different
sources of learning. This final questionnaire is shown in the Appendix on pages xvii-xx.

**Analysis of data**

Denzin (1984) provides another dimension for this study for the analysis of interview transcripts. He argues that these transcripts can be assessed by trying to understand meaning, intention and knowledge. These assessment measures were used in the study as rigorous criteria for evaluating the interview schedule and data collection. This can also be balanced with Lofland's (1974) perspective in designing interviews. He suggested that constructing an effective interview design be like solving a puzzle. Researchers play with the pieces, collect as many pieces (questions) as possible, and organise them in alternative patterns, then, use the answers obtained in a pilot of the interview plan to help provide feedback and revise the major interview schedule used. This thinking has been incorporated into this research design where a review of questions was undertaken with some previous beginning principals drawn from the 1999 intake to further ground the questions and framework.

Berg (1995) has suggested that development of systematic procedures of design and analysis are essential. This was achieved by examining the research questions derived for the study of beginning principals and linking their investigation to the most appropriate means of data collection through interviewing and questionnaires and linking them to the case study frameworks on sources of learning and role development (Cattegno and Millwood, 1995). This is pictorially represented in Tables 4 (page 75) and 5 (page 84) and indicates the steps and the thinking which influenced the development of a research design for the study.

**5. Data display and analysis**

As indicated in previous studies (Hall, 1990; Bogdan and Biklen, 1992) relevant data can be gathered for the seven case studies by first clarifying and narrowing the research questions and then carefully selecting the data to be analysed. Data reduction occurred throughout the inquiry by means of
selecting, summarising and synthesising raw data from the seven transcribed interviews, review of documents and selected entries for each phase, examination of critical incident reviews and collected field notes. This enabled the entire data set to be recorded on audiotape and transcribed. It was then notated around study themes which were: a) suggested by the literature on professional transitions on beginning principals specifically values, behaviour and intent and professional learning of leaders; and b), related to the previously stated key research questions concerning the impact on learning and role development.

Results were presented in two sections: a) a narrative description which includes principals' stories collected from structured interviews (hermeneutic representation), and, b) analysis (dialectic) where transcriptions of interviews and other forms of data can be content analysed from the common themes and patterns emerging from the literature or research questions. The distillation of the principals' stories from the interview transcriptions was a first level reduction and display of data. A second level reduction and display was accomplished by using the two sub areas of the research questions as the framework in which to explore the data. Similarities and differences between participants were explored and commonalities generated from the analysis in the form of themes and issues that could be investigated using data collected from surveys with the cohort group. These themes were compared with relevant literature on the principalship, changes and the role of professional learning in the principalship. The literature was accessed to examine merging themes and anchor data against common trends in research. Review of documents such as newsletters, and internal communications, helped provide more information and helped serve as a means to position the research with regard to analysis of data. Data analysis was displayed using the Cattelano and Millwood (1995) research design tool to display and analyse the trends in each phase. This is portrayed in chapters 4, 5, 6, and 7 as ongoing cumulative records of the sources and impact of learning on role development.
Limitations of the study

Yin (1994) argues that, because a research design is supposed to represent a logical set of statements regarding a series of research questions, then the quality of any design can be judged according to tests of trustworthiness, credibility, conformability and dependability. The time constraints involved in the nature and short length of the study over the twelve months does not provide a longitudinal view of how principals adapt to their new role. The case studies developed here only reveal those perceived changes and issues that have been identified as important by the select group of seven new principals in their first year of the principalship. This may prevent any generalizability and representativeness of views consistent with the research literature. But, as Yin (1994) suggests, the answers that case studies provide offer little as a basis for scientific generalizability or theoretical propositions to populations or the universes. Case studies provide certain generalizations which can emerge over and over that may be described as 'petite-generalizations' (Yin, 1994). On the other hand, the use of a case study approach design is justified as a means of drawing the researcher toward understanding what is important about the case studied within its own world, not so much the world of the researcher.

5. Data discussion and verification

The data were aggregated and arranged under the headings outlined by Cattegno and Millwood (1995) for each phase, to look for similarities and differences in each of the four phases. Data collected from questionnaires from the cohort group were used as a comparison to look for similarities and differences between the two sets of data. It was found that while some differences began to emerge, most of the interview data and findings were very similar. The interview and case study data allowed intensive probing of some key areas which emerged in each phase as they arose. Chapters 4-7 provide the display and subsequent discussion of trends in the data as they link to the main research questions in this study. A verification of the findings
consistent with, and different from, existing research is extensively undertaken in Chapter 8.

A question of ethics

In conclusion, the choice of a research design incorporating qualitative case studies raised some ethical concerns, which emerged through the different phases of data collection and the dissemination of findings. The researcher was aware of these problems which can be encountered through this process. The need for a heightened awareness of problems which are potentially ethical in nature are the concern of every researcher. Walker (1980) warns of the problems of the researcher becoming too involved in the issues and situation surrounding the research. He suggests that there should be an awareness of the following: maintaining the confidentiality of the data; avoiding any interference, or involvement of different interest groups in attempting to control or distort the data collection; the preservation of anonymity for the subjects; and problems of the audience subsequently being unable to distinguish between data and the researcher's interpretation. All these have the potential to impact and affect any research. This research design was developed to consider the best use of qualitative methods that help construct the world of beginning principals as they change over time. The methods were chosen to appropriately capture the essence of these changes in thinking and action as they undertake a new role through the eyes of those undergoing change in a new role. The best way to help manage these above issues was constantly checking for meaning and interpretation of issues with participants at the beginning of each of the phased interviews.
Analysis of the characteristics of the beginning principals in this study: state-wide comparisons

The following presents an overview of the characteristics of the beginning principal participants in this study to help ground some of the aspects above, as well as help provide a pen-picture of the interviewees and survey group. This helped to bring this study from the realms of the theoretical into the nature of some grounded reality.

Distribution of principals' positions throughout Victoria

The Victorian Department of Education, Employment and Training statistics shown in Table 40 indicate that at 16th December, 1999, there were 1727 principal class members, which included principals and assistant principals in this classification by the Department of Education, Employment and Training (DEET). Confidential data provided by DEET indicated that 1555 primary and secondary principals were employed in Government schools. Of this group 68.8% (1070) were males and 31.1% (485) were females. The distribution of principal class members throughout the state of Victoria is shown in Table 41 which indicates large proportions in metropolitan regions (Eastern MR: 245; Northern MR: 198; Southern MR: 244; and, Western MR: 144). These combined figures gathered from data indicate that 52.6% (828) of principal class members are in schools in the Melbourne metropolitan area, and a distribution of principals in varying group sizes between 123-162 in country regions. A number of these principals (15%) in rural areas are in 250 smaller schools classified as Principal 1 schools with a school population of between 25-125 children.

Distribution by years of Service

This is shown in Table 42 as years of service of principal class members and indicates that 72.8% of principal and deputy principals were between 45-54 years of age with 40.6% of principal class members between 50-54 years of age and 10.2 between the age of 55 and 59. The figures indicate that there is an ageing workforce of principals and deputy principals who may or will retire.
within the next five years. Also of alarm is the number between 45-49 (32.3%) who will be eligible to retire in the next ten years.

Set against these background trends, it was considered important to investigate how new principals learn the role of the principal (a DEET role statement is shown in the Appendix as page i). The characteristics of the group chosen to explore this issue are indicated in the next section.

The characteristics of beginning principals in this study

Interview group

During Phase 1 census and biographical data were collected on the seven beginning principal interviewees of five women and two men from varying sized government schools throughout Victoria, predominantly primary. These are presented in Tables 7 and 8. Trends in the characteristics shown in Table 7 indicate that that there were a higher proportion of women selected for interview because they were representative of the criteria used for identifying a stratified random sample. The average age range of the interviewees indicated that appointees gained their position while in their 40s and 50s, predominantly in urban and metropolitan primary schools. Only two interviewees, Madeline and James, had completed any postgraduate study. It was interesting to note that there was only one first-time secondary principal in the interview sample. She had had a meteoric rise from being a Leading Teacher to that of an appointment as principal in a large secondary school. This was not typical as most secondary principal appointees first fill roles as assistant principals. The other similar appointee was Kay who had also been appointed as a primary principal while she was a Leading Teacher.

Table 8 presents a series of pen-pictures as interviewees were asked in the initial phase 1 interview to provide a thumbnail sketch or pen-picture about themselves and how they saw their new role as principals. The researcher used these initial interviews in phase 1 to build a view of how they saw themselves and how they saw, at this stage, the position of principal. This was akin to Sergiovanni's (1994) concept of mindscapes, which offers a useful way to
examine how individuals define their roles. Mindscapes become 'mental images and frameworks through which administrative reality and one's place within this reality are envisioned by the person'. (Sergiovanni, 1994, p.45). The elements act as road maps to help determine and guide actions and behaviours because they are rooted in beliefs concerning how schools work, the purpose of schooling and the nature of leadership and the principalship.

Table 7: Characteristics of seven beginning principal case study interviewees
(To ensure anonymity, the names and identifying characteristics have been changed)

<table>
<thead>
<tr>
<th>Name</th>
<th>Sex</th>
<th>Age</th>
<th>School setting</th>
<th>Type</th>
<th>Enrolment</th>
<th>Previous Position</th>
<th>Qualifications</th>
<th>Years of Teaching Experience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Andrea</td>
<td>F</td>
<td>mid-50s</td>
<td>Rural/Country</td>
<td>Primary</td>
<td>301-400</td>
<td>Assistant Principal</td>
<td>TITC, Dip Gen Studics</td>
<td>28</td>
</tr>
<tr>
<td>Des</td>
<td>M</td>
<td>early-40s</td>
<td>Urban/Metro</td>
<td>Primary</td>
<td>101-200</td>
<td>Assistant Principal</td>
<td>Dip of Teaching B.Ed.</td>
<td>19</td>
</tr>
<tr>
<td>James</td>
<td>M</td>
<td>late-40s</td>
<td>Suburban Regional</td>
<td>Primary</td>
<td>301-400</td>
<td>Assistant Principal</td>
<td>Dip of Teaching Grad., Dip Spec.Ed.</td>
<td>30</td>
</tr>
<tr>
<td>Kay</td>
<td>F</td>
<td>late-40s</td>
<td>Rural/Country</td>
<td>Primary</td>
<td>101-200</td>
<td>Leading Teacher 3</td>
<td>Dip of Teaching B.Ed.</td>
<td>19</td>
</tr>
<tr>
<td>Kris</td>
<td>F</td>
<td>early-40s</td>
<td>Urban/Metro</td>
<td>Secondary</td>
<td>400-500</td>
<td>Leading Teacher 3</td>
<td>B.A. Dip Ed.</td>
<td>20</td>
</tr>
<tr>
<td>Madeline</td>
<td>F</td>
<td>early-50s</td>
<td>Urban/Metro</td>
<td>Primary</td>
<td>101-200</td>
<td>Assistant Principal</td>
<td>Cert of Teaching B.Ed Grad. Dip Ed Adm</td>
<td>25</td>
</tr>
<tr>
<td>Marisa</td>
<td>F</td>
<td>early-40s</td>
<td>Suburban Regional</td>
<td>Primary</td>
<td>201-300</td>
<td>Assistant Principal</td>
<td>Dip of Teaching B.Ed.</td>
<td>24</td>
</tr>
</tbody>
</table>
Table 8: Pen pictures of beginning principals

ANDREA

Andrea is in her mid-fifties and is married with adult children. She comes across as warm, friendly and extremely caring. Andrea is thoughtful and always attentive when speaking with people. She lives two hours away from her new school, which is a primary school of 200. She indicated that she had 28 years of experience with the last four being spent as an assistant and, at times, as acting principal. She described how she developed her image of the principal role:

Being really honest, I saw my present principal as two opposite people. He was originally an autocrat of the highest order who left the school and returned a different man. Before he left he taught me how not to do things. He was a negative role model. When he returned, he came back with wonderful ideas about team leadership and teamwork and which worked so well. This time he was a positive influence on me. It has been like learning from Dr. Jekyll and Mr. Hyde but I learned that as a principal, at this school, I need to be a person who works through people, has integrity, and works in a team atmosphere. You have to earn people's respect and give them ownership so much of my time will be building an image like that.

When asked to describe herself as a learner in her new role, Andrea said:

I have a passion for learning by reading, talking and watching. The ideas, the feelings and the people excite me when we learn together. Being in a group and discussing ideas is stimulating, and a great way to share problems and ideas and the best way for me to learn about my new role and where it fits into this school.

Andrea, Phase 1 Interviews
DES

Des is a male in his early forties and is married with two children. He has been teaching for twenty years, mostly in primary schools in the eastern metropolitan area of Melbourne. His motivation in applying for his school was the reality of being geographically closer to home, and a desire to balance his new role with meeting the needs of a young family. Des describes his manner as an easygoing person who tries to work with everybody. He likes to set the tone and lead by example in things that he does and loves being involved with children in the life of the school. He indicated his new role was full of promise:

It is a beautiful looking school. It appealed to me as well as a nice opportunity too. They've been doing the same thing here for a long while. It was a good opportunity to move in as someone with different views.

Des described why he wanted to become a principal:

The last few years I went down the advanced skills teacher track. It was a good chance not to go anywhere. My previous principal gave me a push on and upwards in my career rather than just let me stay in my comfort zone. I applied for an assistant principal job and was acting principal for part of the year last year. I knew I could be a principal and I just hope a damn good one at that here.

When asked to describe himself as a learner in the principal's role, Des replied:

I'm a bit of a risk-taker really. I like to look at new ideas and boldly go forward, sometimes where others have not been before. Sometimes in the past, I have been too far ahead of others but I also like to work ideas through and learn with others.

Des, Phase 1 Interviews
James is a male in his late forties. He is married with two children and his wife is a primary principal in northern Melbourne. James describes himself as a quiet achiever. He has a warm and friendly manner but likes to think about his responses and action. After thirty year’s experience, James has become a principal of a primary school of over 300 children with a staff of 28 in the northern Metropolitan area of Melbourne. Before this he had been an assistant principal for the last eight years. When asked about what skills he brought to the job and his reason for wanting to become a principal, he said:

I believe I have some good people skills, which are so important to this job. I have good leadership skills, a strong knowledge of curriculum and a love of children. If you can combine all of these together to help children, you will be successful.

James was asked why he decided to become a principal and replied with some reluctance:

I suppose it was a matter of feeling ready for the role. There was a period where I couldn’t see myself wanting to become a principal. There were a few things that happened last year that changed my mind. Attending the Early Years’ Conference, a theme that kept coming through strongly was the effect a principal could have on teaching and curriculum programs, and the benefit children can get. The database compared a number of like schools with similar populations—some schools had made dramatic changes, some had not. The research indicated that the key person in the successful schools was the principal. I thought about that and knew that I wanted to be a principal and do it to make a difference.

He also indicated another influence:

I also did the Covey program. That also led me to believe that as a principal, you can design the job that suits yourself. We all have our strengths, which means I don’t have to sacrifice them to become just a
manager. To me, I suppose I came to see through this the strong leadership role that a principal can play.

When asked about his learning style as a principal, James said:
I like to describe myself as a learner in transition in this role. I haven't really worked out what and how I will do it here. Most of it will be watching and observing and then I will put some ideas together and work out how I will do things. I like to reflect and observe before I do.

James, Phase 1 Interviews

KAY

Kay indicated in her first interview that she was going to find being a new principal both a challenging yet a positive and stimulating experience. She describes herself as a doer who likes to be in charge of her own destiny. She describes herself as pragmatic but able to find humour in things. Kay admits she is thoughtful and decisive in her manner but tries to always take people with her. Kay is in her mid forties having been a classroom teacher for the last fourteen years. Her promotion to the principalship was somewhat an unusual occurrence as she had moved directly from a teaching position to that of a principal. This was not achieved too often as most principals have served their time as assistant principals first. She is married, with two adult children. Her husband is also a principal of a nearby rural primary school, and over the years she indicated that they have always supported each other in their career choices.

Kay described her new school and her new role:

My school is in rural Victoria, on a split site, nine kilometres apart, with 87 students on one site and 57 students on the other. That, in itself, causes problems for me. The staff in the two schools made the choice to become one school, but it hasn't been easy, which is reflected in the fact that I'm the fifth principal in this multi-campus set-up.

It was obvious to me when I applied for the job that they were looking for someone to pull the two schools together to make one unified school. At the moment it is like two schools on two sites and there lies
my challenge and destiny. I’ve lived in this area for a while and so I have some background. It tells me that this is a delicate and antagonistic issue that I’ll walk into when I start.

When asked about why she wanted to become a principal, Kay replied:

In my last school, I was already a leading teacher, and part of an active leadership team of five. In that role I learned a lot about leadership. Most decisions went through the leadership team. At that level I think I got a good picture of what it takes to run a school. I did more than I was asked to do. The more I was asked to do, the more I learned, and the more involved I got. Gradually, instead of thinking in the last four or five years of my career that I would like to maybe become an assistant principal, I came around to thinking that I actually would rather become a good principal instead.

Kay describes her defining moment when she decided to apply for the principalship:

I went to the principals’ conference and I basically mingled with a lot of principals who had become principals just recently, or had been principals for quite a long time, and I got a feel for something, and I liked it. I came home in the car thinking, and said to myself: ‘I can do that!’ So here I am five years later about to start doing that.

When asked how she would describe herself as a learner in the principal’s role, she indicated the following:

I guess I need others to learn and share with. Having others to feed off and learn from was good for me in the leadership team at my last school.

Kay, Phase 1 Interviews
Kris is a confident, friendly woman of great humour in her early forties. She is married with two teenage children—a Year 9 son, and a Year 7 daughter. She indicated that most of her teaching experience had been in secondary schools in the western suburbs of Melbourne. Kris describes herself as somebody who has been around and through the traps (She is articulate, has presence and poise). Kris has a vision for the school that suggests that the school may be turned on its head but she realizes that changes come through measured leadership. She maintains she can only achieve this by leading from the front as she always has. Her rise to a senior principal IV had been described as meteoric. It had been considered difficult for teachers to become principals without first serving as an assistant principal. She had moved from a leading teacher position to principal. Kris talked of her decision to become a principal:

I was a leading teacher, and acting assistant principal for a period, in my last school. I have had a number of higher duties positions too. I wanted to reassess where I wanted to go. I walked in the door as a teacher and wasn't eligible for a leading teacher 3 because I had been on Family Leave. I'd done all the jobs though, then my job had been combined and I was disenfranchised. Then I applied for the LT3 position and filled it for the last two years and then in my third year I was acting assistant principal for two terms. I grew into this job and knew I could do it well.

Kris, Phase 1 Interviews

Kris indicated that others had recognized her ability and encouraged her to apply for a principal's position:

Then, with some pushing and prodding, some of the key women in my region encouraged me to apply. I got four short listings and picked up this position. That was fairly quick acceleration to go from a L.T., a.p. to a principal in a small secondary school.
When asked about the strengths she brought to the position, Kris said:
My greatest strength is my people skills, and the fact that I am able to
manage and work with people with a diverse range of philosophies.

The supportive role of her family was also a strength and support to Kris as
she thought about her new job:
Having my family support has been essential. My daughter went
through her early education in a special setting. I became exposed to a
branch of education that other people haven't seen. Combined with my
teaching background, it has allowed me to sit on both sides of the table
- as a teacher and as a parent. I felt that has helped me prepare to do
this job.

Kris, Phase 1 Interviews

Kris described herself as a learner in her new role:
I like to integrate things as I learn. I have to have a vision and know
what things about from start to end. Once I have clear ideas, I like to
learn from others and visit people who are doing things. That's what I
want to promote here - that you need a new perspective that can be
used with things going on here.

Kris, Phase 1 Interviews

MADELINE

Madeline is married with one daughter who is engaged in tertiary study. She is
in her early forties and describes herself as having been in and out of teaching
for the last thirty years. Madeline describes herself as conservative but with a
passion to work with adults and children. She confesses great enthusiasm and
liking for her job, and especially says she enjoys a challenge. Madeline
describes herself as:
I'm really an ideas person. I like to work with people and for the last
threes years at my last school, I have spent time with staff, parents and
children in helping build a school that came through a merger. I
learned well from those three years. I learned I was ready to be a principal so I applied and got the job here.

Madeline had twenty-five years of experience in previous leadership roles as a leading teacher, network leader, and as an assistant principal. Some of this time as an assistant principal involved her in either part time, or full-time teaching responsibilities. She now takes up a new principal’s position in a metropolitan primary school with 175 children and a staff of fourteen.

Asked why she wanted to become a principal, Madeline replied:
I like to work with people. Over the last three years, it has definitely been pretty traumatic. Helping staff, parents and children survive and move on after a school merger was difficult but it was also rewarding for me personally. I found I could do it and then wanted to do it.

Madeline also emphasized that her motivation and forward planning to eventually become a Principal had been in her mind for a long time:
I planned my career about fifteen years ago to work towards this goal, and now I achieved it. I always wanted to become a principal in my time under my rules. Now I can put my ideas to use in helping others and helping develop and nurture this.

When asked about how she would describe herself as a learner in her role, Madeline said:
I’m quite confident and goal-oriented in the way I learn. This makes me self-sufficient. I have found in previous schools that I learn best by myself. I need to be alone sometimes to sort things out but also with others to learn from as well.

Madeline, Phase 1 Interviews
Marisa is a female principal in her early forties. She is a vibrant and enthusiastic person with great passion for her job. Marisa is a proactive, energetic and infectious person who is totally committed to her new job. She has been an assistant principal for four years and then acting principal for a term. Marisa is a single parent with a ten-year-old son in primary school. She is acutely aware of her need to maintain a balance in her life between school and her son.

The school she has inherited is a primary school of 298 in a bush setting surrounding the perimeters of the Melbourne metropolitan area. The school has a staff of 25 and Marisa describes her greatest challenge as trying to build trust and integrity within the school community. She is aware that the school has been through a difficult and traumatic time and she sees her role as helping 'to heal the hurts and allowing the staff to move on'. She relates:

I was asked by the region to be acting principal at this school. I did not know, or was not told, what I was about to walk in to. It was a caretaker role until the present principal retired. I was never told the full story, which was hard to second guess at times, but after I took on this challenge I knew I wanted to and could be a good principal. I'm now working really hard on becoming competent, informed and skilled. With my people skills I'm going to work really hard to be the best I can be.

When asked to describe herself as a learner in her new role, Marisa said:

I love learning. I'm a hands-on and reflective learner who just loves going to professional development. I'm a professional development junkie really. I like to hear new ideas and bring them back and present them to staff. I have to be involved with others in putting them into practice because I am a doer too.

Marisa, Phase 1 Interviews
Some commonalities were found among the interviewee group. Most were mature-age appointees in the forties to fifties. They had served a long apprenticeship as teachers of over twenty to thirty years. All but two have served as substantive assistant principals in schools while the other two had acting experience in the position. The women reported interest in the position because their ‘families had grown up and they now had time to commit themselves to this job’ (Kay). It is interesting to note that there was only one first-time secondary woman principal appointed in the whole round.

**Survey group**

The cohort survey group of the original 54 was reduced to 47 with the identification of seven beginning principals for interview only. This cohort group was used for a questionnaire survey in phase 1 and phase 4 to contrast and compare data gathered from interviewees to see if there were any common trends and patterns. An analysis of the data gathered from the cohort survey group of beginning principals indicated that within this group, the average respondent age was in the forties, in smaller rural, primary schools, who had principally been assistant principals or classroom teachers, or had experience as assistant principals, before being selected for a principal’s position.

Questionnaires were forwarded to the target group of 47 and 27 (57.4%) completed questionnaires were returned in phase 1. By contrast, in phase 4, 20 (42.5%) questionnaires were returned. Information collated from the biographical coversheet indicated the following data in Table 9.

Data collected from the first survey during phase 1 indicated a number of interesting trends. Participants’ returns were predominantly female (59.2%) compared to 40.7% from males, with the average age between the 40s and 50s similar to that of the interview group. Nineteen of the returnees (70.3%) had previous experience as assistant principals which was also similar to the data reported by the interview group.

Two trends that were not reflected in that of the interview group were that 16 (59.2%) of the 27 returnees had some postgraduate qualification and 16 (59.25) were in rural locations compared to two in the interview group.
Table 9: Distribution of characteristics of a state-wide survey group of beginning principals

<table>
<thead>
<tr>
<th>Total survey participants: 27</th>
<th>Male: 11 (40.7%)</th>
<th>Female: 16 (59.2%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Early 30s: 1</td>
<td>Early 40s: 6</td>
<td>Early 50s: 8</td>
</tr>
<tr>
<td>Mid 30s: 1</td>
<td>Mid 40s: 3</td>
<td>Mid 50s: -</td>
</tr>
<tr>
<td>Late 30s: 1</td>
<td>Late 40s: 7</td>
<td>Late 50s: -</td>
</tr>
<tr>
<td>Total = 3 (11.1%)</td>
<td>Total = 16 (59.2%)</td>
<td>Total = 8 (29.6%)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Years of Experience</th>
<th>10-19: 7 years</th>
<th>20-29: 13 years</th>
<th>30-39: 7 years</th>
</tr>
</thead>
</table>

| Qualifications               |               |               |               |
| Teaching Certificate         |               |               |               |
|                               | Masters' Degrees: 3 | Grad Dip. Ed. Admin.: 7 |
|                               | Doctorates: 0  |                 |               |

<table>
<thead>
<tr>
<th>Previous Experience as an Assistant Principal</th>
<th>Yes: 19</th>
<th>No: 8</th>
</tr>
</thead>
</table>

| Previous Classification                     |         |
| Leading Teacher 2: 7                       | Assistant Principal: 15 |
| Leading Teacher 3: 2                       | Head Teacher: 3         |

| Previous Role                               |         |
| Full Time Classroom Teacher:                |         |
| Part-Time Teaching as Assistant Principal: | 3       |
| Full Time Assistant Principal:              | 8       |

| School Location                             |         |
| Total: 27                                    | Suburban: 7 |
| Rural: 16                                    | Urban: 4  |

| School type:                                 |         |
| Total: 27                                    |         |
| Primary: 20                                   | Secondary: 5 |
| Secondary: 5                                  | Special: 2 |

| School Size based on number of children:      |         |
| Less than 50: 4                               | 201-300: 4 |
| 1-100: 5                                     | 301-400: 4 |
| 101-200: 6                                   | 401-500: 3 |
|                                               | 501-600: 1 |
It is interesting to note that a large number of the beginning principal study group had full-time or part-time classroom teaching roles, which they indicated often precluded them from access to some administrative training opportunities. Some had completed some form of certificated courses or graduate courses, not necessarily in educational administration, or in management training, with a small number opting to complete graduate courses. Only three have Masters’ Degrees.

To conclude, this chapter on research methodology set the foundations for this research in the following ways. Firstly, it helped establish the thinking for the adoption of a generally qualitative approach, as well as the incorporation of some quantitative methods. Second, it established a rationale for the use of a qualitative approach using the development of case study records with interviewees as a means of capturing data around principal role development. This strategy, along with the employment of questionnaires with a wider beginning principal group, provided data for comparison and review. The chapter then examined the elements of the research design in an attempt to determine adequacy of the use of different data collection strategies and methods adopted for this study. Finally, it presented an overview of the characteristics of the interview and survey group to help provide an understanding of the Victorian beginning principals in this study.
Chapter 4
Phase I: Idealization Phase

Prior impressions-looking at the role

The following chapter will focus on examining the sources of learning in the role development of beginning principals using the Cuttengo and Millwood (1995) Work based Learning Management Model. Next it will review the impact and influences of the identified sources of learning on the preparation and development of a role conception for beginning principals.

To provide some context to this study, phase 1 was seen as a time of waiting, prior to these new principals actually taking up their official appointment at the school. It was also a time of familiarization and hiatus when they took up residence in the school during the Christmas vacation. While they had taken initial steps to familiarize themselves with the school before the interviews, they had also begun to learn about the school through casual conversations with locals, reading of documents and planning new approaches, before staff and children officially began at the start of the new school year. Overall, it was a time of hope and dreaming where these new principals could begin to think and craft their vision of the principalship.

As there are no formal accredited courses or prescribed training required for becoming a principal in Victorian schools, the focus in this first section, and through each of the phases, is on identifying the sources of learning for beginning principals. The aim is to catalogue the reported sources of learning which were accessed and utilized in developing their new principal role. The second section will examine the impact of these sources of learning in developing the principal role. It will focus how some of specific sources of learning were more influential in shaping the principal role through different phases of this study. The intention here is to help distinguish between the
variety of formal and informal sources of learning utilized and identify how some were more critical on role development.

1. Sources of learning for beginning principals

Data were collected through interviewing the seven beginning principals and through using a written survey with the cohort group of beginning principals. An analysis is now provided of the sources of learning used.

![Diagram: Phase 1 Idealization phase: sources of learning]

**Figure 3: Phase 1 Idealization phase: sources of learning**

**Interview analysis**

Important sources of learning for interviewees in the preparation and development of their role were sought. Using the Cattegno and Millwood framework (as shown in Figure 3 as sources of learning for beginning principals during the idealization phase), interviewees were asked to articulate how they learned and developed their image of the principalship. Table 10
indicates the distribution of responses about sources of professional learning for interviewees where the question asked was: In preparing yourself for your role as a principal, what experiences have helped you prepare and develop your image of the role? (Question 1). Table 10 below indicates the picture gathered from the data collected from interviewees regarding which areas of learning were perceived as having the greatest impact and influence on how new principals developed and prepared for the role of principal. The data gathered indicate that the interviewees used a wide variety of both formal and informal learning opportunities, predominantly work based and through work relationships, especially in assigned roles or through contact with previous or other principal contact in other schools, along with some training through professional development.
Table 10: Phase 1: Sources of learning identified by interviewees

<table>
<thead>
<tr>
<th>Work role experience</th>
<th>Andrea</th>
<th>Des</th>
<th>James</th>
<th>Kay</th>
<th>Kris</th>
<th>Maudling</th>
<th>Mariss</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acting role</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>leadership team roles</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Self learning</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Assistant principal</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
<td>✓</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Work relationships</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal mentors</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Other principals</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Collegial groups</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>✓</td>
</tr>
<tr>
<td>Significant others</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Training and Development</th>
<th>Andrea</th>
<th>Des</th>
<th>James</th>
<th>Kay</th>
<th>Kris</th>
<th>Maudling</th>
<th>Mariss</th>
</tr>
</thead>
<tbody>
<tr>
<td>PD: Being a Principal</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
</tr>
<tr>
<td>VPPA Conference</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
</tr>
<tr>
<td>Networking</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
</tr>
<tr>
<td>Regional Activity</td>
<td>x</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>✓</td>
<td>x</td>
<td>x</td>
</tr>
<tr>
<td>DEET P.D.</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
</tr>
<tr>
<td>APC : PD</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Formal Management Education</th>
<th>Andrea</th>
<th>Des</th>
<th>James</th>
<th>Kay</th>
<th>Kris</th>
<th>Maudling</th>
<th>Mariss</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate Diploma</td>
<td>x</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>Master of Education</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
</tr>
</tbody>
</table>

(Key: ✓ indicate sources of learning  x indicate no response)
2. The impact of sources of learning in developing the principal role

The data were examined to find those factors that were considered important as having impact and influence as sources of learning. This was an attempt by the researcher to identify the forms of learning and the influence and impact they had in helping to develop an image of the principalship. These will now be examined to see the perceived effect and type of effect they had on how new principals built their role.

Interview analysis

The sources of learning designated as having being significant sources of learning are depicted in Table 11. Interviewees were asked: How have some of the following formats (each area of workplace learning, the role of work relationships, training and development and formal educational studies was listed) influenced your training and development for this new role? (Question 2). The sources of learning seen to have significant impact and influence are shown in ranking order in Table 11. As shown, informal learning work experiences in the work role and through work relationships were dominant. Work experiences included the role as an acting principal (13.3%), past school principals in previous schools (13.2%), other school principals (13.2%), and assigned roles in a school leadership team (9.4%) as accounting for 49% of identified sources of learning. Other influences deemed important were the assistant principal role (7.5%) and significant others (7.5%).

It would seem that from the data that any formal learning was not considered as significant by any of the interviewees even though two had been involved in post graduate studies. The other interesting feature is the low significance given to professional development and succession planning programs provided by either the employer, or other external providers, as important sources of learning for the principalship. Perhaps this could be explained by the fact that
not many of the interviewees had participated in self-chosen programs and therefore the influence was not widespread in the group of seven interviewees.

**Table 11: Phase 1: Sources of learning identified as important by interviewees**

*Responses reported in interviews*

<table>
<thead>
<tr>
<th>Sources of learning</th>
<th>Area</th>
<th>mentions*</th>
<th>% of interviewees</th>
<th>% of all sources of learning</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Acting principal role</td>
<td>Wk role</td>
<td>7</td>
<td>100</td>
<td>13.2</td>
<td>1</td>
</tr>
<tr>
<td>2 Principal mentors</td>
<td>Wk relsh.</td>
<td>7</td>
<td>100</td>
<td>13.2</td>
<td>1</td>
</tr>
<tr>
<td>3 Other principals</td>
<td>Wk relsh.</td>
<td>7</td>
<td>100</td>
<td>13.2</td>
<td>1</td>
</tr>
<tr>
<td>4 Leadership team roles</td>
<td>Wk relsh.</td>
<td>5</td>
<td>71.4</td>
<td>9.4</td>
<td>2</td>
</tr>
<tr>
<td>5 Assistant principal</td>
<td>Wk role</td>
<td>4</td>
<td>57</td>
<td>7.5</td>
<td>3</td>
</tr>
<tr>
<td>6 Significant others</td>
<td>Wk relsh.</td>
<td>4</td>
<td>57</td>
<td>7.5</td>
<td>3</td>
</tr>
<tr>
<td>7 Collegial support</td>
<td>Wk relsh.</td>
<td>3</td>
<td>43</td>
<td>5.6</td>
<td>4</td>
</tr>
<tr>
<td>8 VPFA Conference</td>
<td>Tr. &amp; dev.</td>
<td>3</td>
<td>43</td>
<td>5.6</td>
<td>4</td>
</tr>
<tr>
<td>9 Self learning</td>
<td>Wk role</td>
<td>2</td>
<td>28.5</td>
<td>3.7</td>
<td>5</td>
</tr>
<tr>
<td>10 PD: Being a Principal</td>
<td>Tr. &amp; dev.</td>
<td>2</td>
<td>28.5</td>
<td>3.7</td>
<td>5</td>
</tr>
<tr>
<td>12 Networking</td>
<td>Wk rels.</td>
<td>2</td>
<td>28.5</td>
<td>3.7</td>
<td>5</td>
</tr>
<tr>
<td>13 Regional activities</td>
<td>Tr. &amp; dev.</td>
<td>2</td>
<td>28.5</td>
<td>3.7</td>
<td>5</td>
</tr>
<tr>
<td>14 DEET P.D.</td>
<td>Tr. &amp; dev.</td>
<td>2</td>
<td>28.5</td>
<td>3.7</td>
<td>5</td>
</tr>
<tr>
<td>15 Aust. Prin. Centre PD</td>
<td>Tr. &amp; dev.</td>
<td>1</td>
<td>14.3</td>
<td>1.8</td>
<td>6</td>
</tr>
</tbody>
</table>

**Survey Analysis**

When interview data were contrasted with the larger survey group, some interesting trends and comparisons emerge. The data are shown in Table 12. Respondents were asked to comment on the question: *People learn in different*
ways through informal and formal learning, which listed form of learning (work role, work relationships, training and development, and formal management or postgraduate training) have helped you prepare for the principalship? (Question 9). It should be noted that the percentages recorded in the ‘importance’ column titled refers to the importance within the listed quadrant area; and the column titled ‘importance in all four areas’ refers to the importance when compared with all four quadrants.

In the data, respondents indicated that significant sources of learning for them were also more informal. It is interesting to note that the same experiences were represented as they were for interviewees. The noticeable difference is that the relative order of importance had changed where now the role of the assistant principal and being a member of a school leadership team had taken on a greater importance compared to that of the acting role. This may be explained in that many respondents had not been able to have the opportunity of involving themselves in this role in their school location or area.

While work relationships also was important with significant roles being played by previous principals (10.9%) or networking (8.8%), little importance was given to the nurturing role of mentoring by this group. One would have thought that this would have been more influential and significant in developing new leaders. Once again, similar to the interviewees, a low significance was given to more formal sources of learning that of training and development (17.5%) and formal management education (9.8%). This makes for an interesting observation given the substantial amount of money invested in professional development and training for future leaders.

When the data are examined against the Cattegno and Millwood framework, some interesting trends emerge. These trends indicate that: work role learning has a high predominance of administrative role experiences (assistant principal, team member or acting roles); work relationships predominantly relied on learning from previous principal mentors and networking; training
and development centred on learning from selected professional development programs; and, formal management education through the completion of post graduate studies, were all seen as valuable within their own quadrant, but not necessarily significant if compared to the importance given to each when contrasted across the whole four quadrants as shown in Table 12.
Table 12: Phase 1: Impact and influence of sources of learning in role development for the survey group

<table>
<thead>
<tr>
<th>Area</th>
<th>Mentions*</th>
<th>Importance within each quadrant</th>
<th>Importance in all four quadrant areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work role experiences</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assistant principal experience</td>
<td>10</td>
<td>25%</td>
<td>10.9%</td>
</tr>
<tr>
<td>Leadership team role</td>
<td>10</td>
<td>25%</td>
<td>10.9%</td>
</tr>
<tr>
<td>Acting principal role</td>
<td>8</td>
<td>20%</td>
<td>8.79%</td>
</tr>
<tr>
<td>Assigned teaching roles</td>
<td>8</td>
<td>20%</td>
<td>8.79%</td>
</tr>
<tr>
<td>Teaching experience</td>
<td>4</td>
<td>10%</td>
<td>4.39%</td>
</tr>
<tr>
<td>Total</td>
<td>40</td>
<td>100%</td>
<td>43.9%</td>
</tr>
<tr>
<td>Work relationships</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Principal mentors</td>
<td>10</td>
<td>38.5%</td>
<td>10.9%</td>
</tr>
<tr>
<td>Networking at meetings</td>
<td>8</td>
<td>30.7%</td>
<td>8.79%</td>
</tr>
<tr>
<td>Regional Assistant Principal Conference</td>
<td>3</td>
<td>11.5%</td>
<td>3.29%</td>
</tr>
<tr>
<td>Contacts with principals/friends</td>
<td>2</td>
<td>7.6%</td>
<td>2.19%</td>
</tr>
<tr>
<td>Mentoring</td>
<td>2</td>
<td>7.6%</td>
<td>2.19%</td>
</tr>
<tr>
<td>Regional Principal Consultant support</td>
<td>1</td>
<td>3.8%</td>
<td>1.09%</td>
</tr>
<tr>
<td>Total</td>
<td>26</td>
<td>100%</td>
<td>28.57%</td>
</tr>
<tr>
<td>Training and development</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional leadership development</td>
<td>8</td>
<td>50%</td>
<td>8.79%</td>
</tr>
<tr>
<td>Women in Leadership program</td>
<td>3</td>
<td>18.7%</td>
<td>3.29%</td>
</tr>
<tr>
<td>Covey: Seven Habits Program</td>
<td>2</td>
<td>12.5%</td>
<td>2.19%</td>
</tr>
<tr>
<td>Regional conference</td>
<td>1</td>
<td>6.25%</td>
<td>1.09%</td>
</tr>
<tr>
<td>DEEt accreditation</td>
<td>1</td>
<td>6.25%</td>
<td>1.09%</td>
</tr>
<tr>
<td>Reading</td>
<td>1</td>
<td>6.25%</td>
<td>1.09%</td>
</tr>
<tr>
<td>Total</td>
<td>16</td>
<td>100%</td>
<td>17.58%</td>
</tr>
<tr>
<td>Formal management education</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Post Graduate study</td>
<td>8</td>
<td>99.96%</td>
<td>8.79%</td>
</tr>
<tr>
<td>Deakin Financial Program</td>
<td>1</td>
<td>11.4%</td>
<td>1.09%</td>
</tr>
<tr>
<td>Total</td>
<td>9</td>
<td>100%</td>
<td>9.89%</td>
</tr>
<tr>
<td>Total responses*</td>
<td>91</td>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>

Responses are mentions reported in questionnaires.
Table 13 indicates the perceived effectiveness for the survey group of different sources of informal and formal learning when combining effectiveness levels 4 and 5. Work role experiences are regarded as a highly effective source of learning (88.5%) and work relationships (82%) which was almost seen as equally important (82%). The influence of more formal learning sources such as training and development was seen as effective in many cases (49.6%) whereas formal management education was seen as less effective (32%) in its influence.

Table 13: Phase 1: Perceived effectiveness of sources of learning identified by the survey group* Responses are reported mentions in questionnaires

<table>
<thead>
<tr>
<th>Perceived Levels of Effectiveness of Sources of Learning</th>
<th>Ineffective</th>
<th>2</th>
<th>Effective</th>
<th>4</th>
<th>Very Effective</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 School work role experiences</td>
<td>1 (1.3%)</td>
<td></td>
<td>7 (13%)</td>
<td>26 (34.6%)</td>
<td>41 (53.9%)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N=75</td>
</tr>
<tr>
<td>2 Work relationships</td>
<td>1 (2%)</td>
<td>1 (2%)</td>
<td>6 (13%)</td>
<td>10 (23%)</td>
<td>20 (56%)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N=44</td>
</tr>
<tr>
<td>3 Training and development</td>
<td>4 (12%)</td>
<td>2 (6%)</td>
<td>10 (31%)</td>
<td>11 (34%)</td>
<td>5 (15.6%)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N=32</td>
</tr>
<tr>
<td>4 Formal management education</td>
<td>5 (20%)</td>
<td>7 (29%)</td>
<td>4 (16%)</td>
<td>4 (16%)</td>
<td>4 (16%)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N=20</td>
</tr>
</tbody>
</table>

Interview analysis

Specific interview questions asked about the influence of learning experiences on role development included: What sources of learning have had the greatest impact? Why? (Question 3.3) or What sources of learning have had the most influence? Why? (Question 3.4). As indicated in Table 14, a larger picture emerges where work role experience centred on role learning through the
provision of understudy roles and collaborative roles where a feature of this development was the growth of self knowledge and contextual learning. Whereas learning through work relationships came from principal mentors and teams, it focused on knowledge from imitative, contextual and collaborative learning gained through interaction and assistance from others. Training and development was seen as influential in expanding knowledge about leadership rather than the principalship and formal management education was perceived as being influential in developing different perspectives about leadership and establishing a peer network. While Table 14 provides an overview of the identified sources and the types of learning used, it offers only a sketch of those factors influencing novices’ images of the principalship. It does provide some answers to some of the key questions in this study as to what impact and influence did these experiences actually have and how influential they were in developing the principalship. These questions will now be examined in greater detail to determine the effects of these sources of learning on role development.
<table>
<thead>
<tr>
<th>Source of learning</th>
<th>Types of learning</th>
<th>Impact and Influence</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Work role experience</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Acting principal | Apprenticeship/ self-knowledge/ internship  
self-learning / contextual learning  
Some selected propositional and procedural role knowledge gained through work role experiences | Development of some experienced based propositional and procedural knowledge:  
I was in charge and it gave me a totally different insight (Madeline)  
I think I can take on the principal’s role in my own right (Andrea) |
| Assistant principal role | contextual learning/ cultural learning |  
I see it as an apprenticeship (Kris) |
| Collaborative learning | group learning / shared information/ shared values and ideas  
co-operative learning / cultural learning |  
It gave me a different dimension from the classroom (Kay)  
Learning together in team projects helped me learn about how people behave and react. (James, Dot) |
| Assigned role in leadership team | co-operative learning / cultural learning  
contextual learning / cultural learning |  
Having an active role in strategy planning team to look at where your wanted your school to be at a given time, and how you were going. (Kris) |
<table>
<thead>
<tr>
<th>Work relationships</th>
<th>Features:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>self-knowledge/initiative learning/mentoring/</td>
</tr>
<tr>
<td></td>
<td>coaching/peer assisted learning/role modelling</td>
</tr>
<tr>
<td>Principals mentors</td>
<td>contextual learning/cultural learning</td>
</tr>
<tr>
<td></td>
<td>Some selected propositional and procedural role knowledge gained through people</td>
</tr>
<tr>
<td></td>
<td>cultural learning/co-operative learning</td>
</tr>
<tr>
<td></td>
<td>cultural learning/contextual learning</td>
</tr>
<tr>
<td></td>
<td>cultural learning/co-operative learning</td>
</tr>
<tr>
<td>Listening to the voice of the learned others. (Marisa)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Her organization her strategic planning and her ability to respond to things amazed me. (Marisa)</td>
</tr>
<tr>
<td></td>
<td>Learning from my principals and became a ware of knowing about what good principals do. (Des)</td>
</tr>
<tr>
<td></td>
<td>How not to do as well as how to do things. (Marisa, Andrea, Des)</td>
</tr>
<tr>
<td>Other mentors</td>
<td>cultural learning/co-operative learning</td>
</tr>
<tr>
<td>Collegial support</td>
<td>cultural learning/co-operative learning</td>
</tr>
<tr>
<td>Training and development</td>
<td>Just-in-time learning topic focused learning/off-the-job learning/single focus without follow-up/cultural learning</td>
</tr>
<tr>
<td>Self-selected professional development programs</td>
<td>The Covey Program ideas influenced me a lot in learning to handle people. (James)</td>
</tr>
<tr>
<td></td>
<td>The Leadership Teams program was useful in learning to understand the dynamics of the team you have. (Madeline)</td>
</tr>
<tr>
<td>Formal management education</td>
<td>University designed learning courses/ongoing learning to award status/theoretical learning with some contextual learning and co-operative learning</td>
</tr>
<tr>
<td></td>
<td>Mainly propositional knowledge about leadership</td>
</tr>
<tr>
<td></td>
<td>It took me beyond the classroom into different realms about running a school. (Madeline)</td>
</tr>
<tr>
<td></td>
<td>It was about becoming the leader you wanted to be in theory and in practice. (Madeline)</td>
</tr>
</tbody>
</table>
**Work experience: Work role**

**Interview Analysis**

The features of learning initiated by beginning principals were identified as informal self-learning and self-knowledge gained through experiences as acting principals, assistant principals and members of leadership teams. This is clearly shown as Work experiences: Work roles in Figure 3. What is evident in the data is that the level of learning about the principalship occurred both formally, and informally, in an attempt to build a wide repertoire of skills for the job in the future. The experiences identified were understudy roles much like that served by an apprenticeship and internships. The knowledge gained from these forms of experiences was both propositional ('knowing what') and procedural ('knowing how'). The experiences defined in this area are: acting principal role; assistant principal role and as members of a school leadership team. Interviewees outlined the impact and influence of these experiences and what they learned about the principalship.

**Acting principal role**

Interviewees saw the importance and impact of this ‘like being an intern in a hospital going into the wards and seeing what happens without having to make the life and death decisions about what goes on’ (Marisa). Others expressed the essence of this experience: ‘There is only one way to learn this job and that’s by doing it. You have to get in there and put on the cloak of principal and then raise yourself into the role’ (Kay). Asked what she learned about herself during this time, Madeline replied that she felt some authenticity in filling the role. Kay was more forthright in assessing her brief time as an acting principal. On the one hand, it was a meteoric rise and elevation into the role, and on the other, it was a test which resulted in tremendous personal growth and self-learning about the role. She described it as like undergoing a baptism by fire when she said:
I think I had come to terms with so much, as so much had happened to me, and I had coped reasonably well that I got past wanting to go back to the classroom.

Kay. Phase 1 Interviews

Assistant principal role

This role was often described as a shadowing role through which to ‘model and observe their current school principal ‘warts and all ’ (Andrea). Kris indicated the importance of the learning through the understudy role of the assistant principal role. She defined it as ‘an apprenticeship to be served and should be considered necessary for everyone before they stumble into school administration’:

I'm a firm believer. I see the assistant principal’s role as an apprenticeship, and I think it is really important that people serve an apprenticeship.

When asked what it did for her in her preparation for the principal, Kris remarked:

It gave me a different dimension from the classroom. That was the stepping stone. I call it ‘jumping the fence’ because for the first time you were exposed, and privy to, these are things that other staff are not exposed to because they don’t need to be.

Kris. Phase 1 Interviews

The knowledge gained here was both propositional and procedural learning about the role under the guidance of a principal as a role model.

Collaborative learning experiences

Collaborative learning experiences were also identified as ways that beginning principal interviewees learned about the job. Learning is best seen as a collaborative and co-operative experience with others in a group, or in a team, where school management issues and experiences could be shared,
discussed and resolved within the group. The value of the experience came through the identification with the group and the influential role of significant others within the groups where significant learning occurred for the individual interviewee. Interviewees nominated assigned roles in a leadership team and collegial learning as influential.

**Assigned role in a leadership team**

Interviewees indicated the importance of their learning in and through the leadership team role where they were exposed to the raw issues and problems that faced the school administration and how they could be led through it. Some were more actively involved by being asked to take responsibility as a team member, others watched how principals either deftly or ineptly worked their way through it. It was also a valuable opportunity to learn about the facts, knowledge and information that was needed to run a school. This was the propositional and procedural knowledge that must be amassed and absorbed in leadership that was learned and discussed together for the sake of the school.

Kris illustrates what the experience did for her and other interviewees:

> I learned new skills by watching and working in a team. The reality was that all the work was done at the top end of the school and then fed back to staff to help fit the pieces together. It was group learning at its best but it gave me an idea of the type of principal I wanted to become.

Kris, Phase 1 Interviews

Previous leadership teams were seen as significant by most interviewees in their development of their own knowledge and self.

**Work experience: Work relationships**

It was apparent that the beginning principals interviewed for this study were influenced by significant others who they indicated played a major role in their development and in forming an image of the job. This is shown as Work experience: Work relationships in Figure 3. By offering advice, support, and conventional wisdom, these significant others became role models for these
beginning principals. Sometimes it was learning the wisdom that cannot be
gleaned from a textbook, other times it was learning about how to address and
handle issues, and even learning through watching how the selected role
models demonstrated and modelled both appropriate and inappropriate
behaviour. All of these experiences taught beginning principals a great deal
about the job in terms both of what they needed to be done and some ways as
to how it could be done. The beginning principals saw it as sensitising process
under the tutelage of a valued colleague.

*Principal mentors*

All interviewees gave enormous credit to the role played by previous
principals in their professional life and preparation for the principalship. They
discussed the role of other principals as 'listening to the voice of a learned
other' (Marisa, Phase 1 Interview); or 'Learning from my principals became a
way of knowing about what good principals do' (Des, Phase 1 Interview).
Receiving knowledge about what principals do, and using it to develop an
image of the principalship role was expressed in different ways. Andrea
indicated that her best way of learning about the principalship was asking
other principals whilst she was in her acting role:

I think asking questions of others at nearby schools like John, and
other principals, to find out how things work, and where to go for
information. I think in 1996, in my first acting role, I was never
frightened to ask. I think you take on a board a network where you can
go for information.

Andrea, Phase 1 Interviews

Marisa indicated the powerful effect her principal played on her as a mentor,
especially after her feeling that she did not want to work with a female
principal and especially a female mentor. She explains it: 'For some strange
reason, I hadn't seen any of them in a terribly positive light, and, there were
not many around.' She illustrated this by relating how her mentor skilfully
handled her role:
Her organization and her strategic planning, the way she went about developing staff relationships, and her ability to respond to things were first-class. I really learned a lot from her in watching her in that way in that role.

Marisa, Phase 1 Interviews

Marisa indicated that her experience was shaped by how she saw excellent and poor role models:

From previous schools, I've been lucky I guess in being exposed to both fantastic and some very ordinary principals as role models to teach me about the job.

Interviewer: What have you learned from them that you are going to bring to the job?

Lots, I've got bits and pieces really. Going back to when I was at a previous school, the principal there was a real strength, and what I learned from him was he knew you, he knew his stuff and his staff. If you had a bad day, he was there to support you. He was wonderful in that way. He gave me every opportunity. The next principal was highly organized, a capable principal who was extremely articulate and presented well to all community groups. He was a really good role model for those elements of the of the people things. You pick on things but I know I had to have an operation at one 'You bastard!' It’s those little things that can make all difference as a principal. I thought to myself that I'm never going to be like him.

Marisa, Phase 1 Interviews

When asked about how people have directly helped him prepare for the principal role as a young classroom teacher, Des indicated the role was best illustrated in the ways previous principals related to others:
The thing that stuck in my mind from both of them-Gary and Kevin- as previous principals, was their ability to work with people. Again, I see this area that is the most important part of the job-it's a people job.

Des, Phase 1 Interviews

Other mentors

Some interviewees reported the significant influence that friends within the school had played on their lives in preparing them for the principalship. These people acted as confidantes and close friends who helped nurture the interviewees. Kay indicated the importance of having someone, significant others, to turn to, and rely on in her preparation for leadership when she said:

As a teacher, my assistant principal was my mentor, confidante and friend. He and I had a lot of water go under the bridge. You want something done, he knows who to get to do it. He taught me a lot over the years about 'giving and taking'. You can't expect to come into a situation and expect to be taking before you are giving something yourself.

Kay, Phase 1 Interviews

Collegial links

This link was seen as providing a network of resources that could help provide information as required to beginning principals. They were seen not necessarily as mentors, at this stage, as the newcomers were beginning to seek out whom they might trust and use. The collegial group was seen as a useful reference group for learning about propositional and procedural knowledge. After all, that had been the way that they had gained information in the past. New principals felt that the group would welcome and support them should they need it. The group was seen as an important influence and body for them in the future. As Madeline confided, summarizing what the other interviewees believed:
If I have a problem, or, if I was in doubt, I'd ring a previous principal (who is now retired) and seek his assistance. I have another colleague I've known since Teachers' College, and, I've found I can always confide in her as a sounding board, when in doubt, as what to do in certain situations for me personally rather than the school.

Madeline, Phase 1 Interviews

Training and development

This was identified through particular professional development programs that interviewees had attended but were not seen as greatly influential in helping them form an image of the principalship. This is shown in figure 3 as Training and development.

Selected leadership courses

Professional training and development was seen has having some impact and influence for Andrea although this was not shared by others. Kris indicated that she had been selective in choosing her professional development activities she believed would enhance her leadership development, rather than just her development for the principalship. She regarded its impact and influence as part of her 'general growth experience in leadership'. Others cited conferences and cluster professional development as being useful without having specific impact or influence on how they developed an image of the principalship. It was interesting how some interviewees had planned to use generic professional development program ideas. James provided an illustration along with Madeline: 'The Covey Program influenced me a lot in learning how to handle people' (James); 'The Leadership Teams program was useful in learning to understand the dynamics of the team you have. I can use that is sussing out my new school' (Madeline). Andrea indicated how a program had led to an insight for her as a new principal:
The Women in Leadership, and Australian Principals Centre's: 'Being a Principal Program', gave me confidence to take on leadership roles. I learned that women have different ways of being a leader and I could use my abilities to do that.

Andrea, Phase 1 Interviews

**Formal management education**

Four of the interviewees had completed different forms of postgraduate study in preparation for being a principal and perceived this pathway as having little relevance or of value. This is shown as Formal management education in Figure 3. Each of the interviewees gave interesting rationales. Marisa regarded her study in her Bachelor of Education as of 'not enough of value to use it now', whilst Des said he saw it just 'as a subject to complete my Bachelor of Education.' James was a little more reflective when he attributed his studies in Special Education as helping him now form theories about teaching and learning.

It was Madeline who talked at length, and with great passion, about the importance and the influence of a specific post-graduate study in educational administration. She indicated its personal role in her development as a future leader and principal:

I did the Educational Administration Course as Hawthorn Institute. I think that was a turning point in my career.

Interviewer: What did it give you to help your leadership skills?

It was about becoming the leader you want to be both in theory and in practice. It established within my mind that there is a management side of being a principal, and, a leadership side of being a principal.

Madeline, Phase 1 Interviews
Survey analysis

Survey data collected from the survey group reveal specific examples of perceived effectiveness of sources of learning and their impact and influence on their development of an image of the job. These provide greater depth of understanding about how the typical learning experiences were considered illuminating, and had some influence and impact upon beginning principals. The survey data also offers a chance to compare and contrast the findings from the interviewee data to see if there are emerging common themes in both sets of data. Listed in Table 15 are the sources of learning with specific examples of how they were perceived as helping them prepare for the principalship.

It was again evident that survey respondents saw many of the same sources of learning as influential as did interviewees. These centred on informal work-based learning sources such as internship and understudy roles in the work-role learning, and in, work relationships with principal mentors, and through significant networking contacts. This was also a trend reported by interviewees. The importance of self-directed learning through these roles and those work relationships developed with significant others and professional collaborative networks were also seen as influential for this group as they were for the seven interviewees. The social role of learning cannot be underestimated where many reported they had learned together in a group or with someone else.

These responses support the data collected from interviewees and give some further dimension to the type of qualitative impact that these experiences had. In the area of more formal learning sources, some examples of different forms of training and development were cited as useful, along with some formal management education. Moreover, these were not seen as overly significant by most of this group, but rather more by individuals within the survey group.
Table 15: Phase 1: Significant learning experiences identified by the survey group in developing their role
Responses are those reported in questionnaires

<table>
<thead>
<tr>
<th>Learning Experiences</th>
<th>Frequency of mentions*</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observation modelling and mentoring of immediate past principals or principals in other schools</td>
<td>24</td>
<td>27.9%</td>
</tr>
<tr>
<td>Working as a member of the school leadership team</td>
<td>14</td>
<td>16.3%</td>
</tr>
<tr>
<td>Working with a variety of people in different school types and settings</td>
<td>14</td>
<td>16.3%</td>
</tr>
<tr>
<td>Acting principal experience</td>
<td>8</td>
<td>9.3%</td>
</tr>
<tr>
<td>Attending principal and assistant principal</td>
<td>8</td>
<td>9.3%</td>
</tr>
<tr>
<td>Attending leadership course (Being a Principal; Eleanor Davis Program) as an individual</td>
<td>7</td>
<td>8.1%</td>
</tr>
<tr>
<td>Post Graduate Study</td>
<td>4</td>
<td>4.6%</td>
</tr>
<tr>
<td>Regional succession planning programs</td>
<td>3</td>
<td>3.1%</td>
</tr>
<tr>
<td>Attending professional development with the school leadership team</td>
<td>2</td>
<td>2.3%</td>
</tr>
<tr>
<td>Experience as a head teacher</td>
<td>1</td>
<td>1.65%</td>
</tr>
<tr>
<td>Visiting other schools</td>
<td>1</td>
<td>1.65%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>86</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

What have been the sources of learning experiences nominated by survey respondents that have contributed to their development of their role of the principalship? It must be remembered that in this phase, beginning principals have not taken up their position and have been asked to reflect back upon those experiences that they believe have helped them develop their role. They are reflecting upon those experiences and asked to visualize and project
themselves into their new role at this stage. What was sought was to ascertain which experiences were helpful sources of learning and in what way they were helpful in both preparing for the job and developing an image of the role. The questionnaire item to probe this area centred on the experiences which have helped shape their image and prepare them for the role (Question 8: What experiences have helped you develop an image of what you will do as a principal?). This was an open-ended question encouraging respondents to list key experiences they regarded as significant to them developing an image and preparing for becoming a principal. The responses are shown in Table 16 and have been aggregated into key significant experiences in developing the role of the principalship according to frequency mentioned. Table 16 indicates the grouping of some of the reported illustrative qualitative comments related to some common experiences that have contributed to the development of the role of the principal.

Table 16: Phase 1: Useful learning experiences in developing the principal role identified by the survey group

<table>
<thead>
<tr>
<th>Work role experiences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Working with a variety of people in different school settings</td>
</tr>
<tr>
<td>I have worked in a lot of different settings so mixing with colleagues, listening to others, and, attending principal in-service have helped.</td>
</tr>
<tr>
<td>Prior experiences in multi-campus schools was powerful</td>
</tr>
<tr>
<td>Participating in a wide range of school development initiatives and hands-on experience.</td>
</tr>
<tr>
<td>Experience as an acting principal</td>
</tr>
<tr>
<td>Being an Acting principal in a rural setting was illuminating to me.</td>
</tr>
<tr>
<td>Being a leading teacher in the past helped prepare me.</td>
</tr>
<tr>
<td>Just the experience of being an acting principal was powerful.</td>
</tr>
<tr>
<td>Acting as an on-site principal and being able to plan for the day when we were a school with a discrete global budget</td>
</tr>
<tr>
<td>The past six months as an acting principal taught me a lot about the job.</td>
</tr>
<tr>
<td>Working as a member of the school leadership team</td>
</tr>
<tr>
<td>Running my own team for ten year</td>
</tr>
<tr>
<td>Being part of the thinking of a leadership team and working for and with some excellent principals.</td>
</tr>
<tr>
<td>Past principals who have delegated jobs to me and trusted me to deliver.</td>
</tr>
</tbody>
</table>
Listening to members of a leadership team and experiencing what principals can do to make schools nice places to work in.
Working with a variety of principals with different leadership styles.
Experience as a head teacher
Running my own school for ten years prior to Schools of the Future taught me.
I learned how to manage the demands of teaching and running a school.
I could see someone else doing the job
Visiting other schools: That gave me an insight into how principals lead schools and create the climate of change.

Work Relationships

Observations and modelling of previous principals in past schools and principals in other schools
Modelling on a previous principal who was a sound administrator and had a good leadership style;
Observation of a previous past principal and identifying how to do it differently;
Principals' Shadowing Program in Western Metropolitan Region in 1995.
Watching and working with leaders with different styles.
Seeing how other people have performed in the role and deciding what has/has not been effective
Observation of a variety of principals and how they dealt with certain situations and presented themselves. Probably, taken a little from each and infused into my ideas, and personally into the role.
Having principals as mentors or role models to depend on
A previous principal—how I was to be treated and how a principal gains most from his staff.
Observations of principals who excel and those who didn't
Working with some excellent principals as role models.
Knowing who to turn to in time of need.
Having someone to contact and trust about the role who will understand me.
Attending Principal and assistant principal network meetings
Listening to others and how you can make a difference.
Learning the craft
Succession planning offered by the principal network. An interesting component was listening to principals from the region discuss how they ran their schools, and what their priorities were.
Swapping stories and ideas over lunch
Teaming-up to address 'in-the-basket' issues and 'how to's'
Visiting schools for principal meetings to plan a conference was very useful. I could see how others did it.
Listening to how other principals have dealt with particular issues
Having a collegiate group to advise and assist was great.
Doing professional development together, discussing issues, and having time to explore with the principal, taught me about the need to use time with people.
Training and development

Attending special professional development in leadership as an individual
My experience in the Eleanor Davis Program and listening to others was useful. Watching other principals.
I also took a place in the Women in Leadership APC course: Being a Principal. I found the most valuable session was when successful principals spoke about their work and success.

Being a mentee in the Eleanor Davis Program and being challenged by a principal mentor.
Regional succession planning
Professional development when practising principals shared their experience taught me a lot.
Watching and learning from other principals as succession planning meetings.
Professional development with school leadership team.

Formal Management Education

Post Graduate Study
Helped prepare me and gave me an administrative overview.
Met others in similar positions.
Studying leadership for M.Ed. and Grad. Dip. Gave me insight into leadership issues.

It was interesting to note that within the data that the most significant experiences that helped provide a role image of the principalship were observation, modelling and mentoring. These were seen as predominantly shaping experiences in providing clear images of what principals do. But this should not be seen in isolation but considered along with experiences within a cultural context where working in a leadership team and working with different people, accounted for a large total of the reported experiences.

Conversely, little significance was given by either survey respondents, or the interviewees, to either professional development experiences, or, any formal study. Furthermore, they suggested they had learned at close-hand having someone to learn from, trust and help them develop their ideas. The role of collaboration and co-operative learning was also deemed as important in the leadership team and working with others, where some reported about 'being part of the thinking', 'being delegated and trusted to do jobs' 'listening and
working with others' were significant experiences. Overall, it appears that the role of principal is best developed within a school by observing a principal or by sharing and learning through the leadership team, with little value given to professional training or formal management training. The common thread throughout all the data related to the value of significant others in supporting and encouraging growth and developing a role image of what principals actually do. This is best seen in the workplace in an authentic setting. The number of examples which cite interpersonal influences are spread throughout all of the specific comments gathered together in Table 17, which supports learning from experiences and being supported in that learning (Question 9, appendix page xiii, asked respondents to consider both to the importance and relevance of forms of professional learning which have helped them prepare for the role). These examples correspond closely to those cited by interviewees as extremely effective learning sources about the principalship.

Table 17: Phase 1: Effectiveness of sources of learning reported by the survey group

<table>
<thead>
<tr>
<th>Work role experiences</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Acting principal role</strong></td>
</tr>
<tr>
<td>When I took over as acting principal I was familiar with the role.</td>
</tr>
<tr>
<td>Trouble-shooter as assigned Acting Principal in a primary school with a request to go into schools and assist school communities in working together for benefit of the schools.</td>
</tr>
<tr>
<td>Time just spent as an Acting Principal.</td>
</tr>
<tr>
<td><strong>Assistant principal role</strong></td>
</tr>
<tr>
<td>Over the past eighteen months the principal “wound down” so my workload took on many new principal role tasks.</td>
</tr>
<tr>
<td><strong>Leadership team membership</strong></td>
</tr>
<tr>
<td>Being a member in curriculum development initiatives</td>
</tr>
<tr>
<td>Presenting to others and gaining confidence</td>
</tr>
<tr>
<td>Experiences gained in working in a variety of leadership teams.</td>
</tr>
<tr>
<td><strong>Teaching role and assigned roles</strong></td>
</tr>
<tr>
<td>Curriculum role in the early year’s co-ordination gave me great insight into leadership issues Managing change through the introduction of a learning technologies plan-developing, implementing and evaluation.</td>
</tr>
</tbody>
</table>
Critical incidents
Death of a teacher and abduction of a child taught me a lot about managing.
Handling problems with students and parents.
Handling difficult staff morale problems. Death of two students. I learned a great deal about handling stress.

Work Relationships

Influence of previous principals
Good working relationship as assistant principal with the principal. We were a leadership team (although she was bossy and interfering!)
When a situation arises and the principal asks what we should do, and then acts on your advice negatively, or positively, it works!
Close working relations with previous principals who allowed me many opportunities to demonstrate initiative and leadership.
Working with leaders within the schools I have been in to learn.
Being a member of various groups and nurtured by the principal.
Past principals shared all information with me, trusted me to make decisions and never questioned.
Professional contacts
Talking to other principals and assistant principals and principals at network meetings.
Being able to speak to friends and at professional association functions with principals.
Guidance and advice from other principals.
Interaction with other principals and assistant principals both informally and formally.

Training and Development
Participation in many Women in Leadership programs
Some regional activities useful but not significant
Leadership conferences and mixing with other principals.
Focused special workshops like the APC Michael Fullan workshop on learning communities helped me clarify my ideas.
Regional professional development in cv. writing was useful and helpful
A school of the Future Training for principals was the best I’ve had.

Formal Management Education
Financial Management modules from Deakin University gave me confidence and knowledge about the system
Some Masters of Education units were helpful- others not so helpful
Formal study when it was related to real live case studies
Doing a Graduate Diploma gave me good insights but not much depth
Great to learn with but not really relevant to what goes on in schools- really - ‘out-of-touch”
During Phase 1, which was a time between their appointment and starting their jobs, beginning principals reported using many informal and some formal source of learning for preparing and beginning to develop their new role. The most significant sources of learning indicated in the Cattegno and Millwood (1995) model was work role experiences through acting or apprenticeship roles, and learning from work relations, particularly learning from former informal principal mentors. Little significance seems to have been attributed to either training, or formal management education, during their preparation for the role. It was interesting to notice these similarities in data reported by both interviewees and the survey group regarding the development of their new role.

**Phase 1 summary**

This chapter focused on learning that is derived for role development in the workplace by examining the sources of learning on the role development of beginning principals using the Cattegno and Millwood (1995) Work based Learning Management Model. The data gathered in this first phase indicated that informal sources of learning were predominant and more influential than formal sources. The data indicated that previous principals and assigned roles were very significant in helping new principals prepare and develop their future role. There was a great similarity in views regarding this development shared by both interviewees and the survey group.

Newly appointed beginning principals were asked to describe their conceptions of their principalship role and it was found that these role images were idealized because they had not officially taken up their appointment. This phase was a time of great reflection about their new role which included times of great excitement about their appointment, hope for the future, and, some anxiety and anticipation about their role.
Past sources of learning which were highly regarded in Phase 1 for all principals were those which had emanated from the work role learning in the workplace. Learning through assigned roles was seen as valuable in providing propositional and procedural knowledge about running a school and being involved with others, especially previous principals. This pattern influenced personal learning about what principals do well, and do not do well, but it also provided opportunities to learn the art and the craft of being a principal. Work relationships were also seen as significant keys and highly influential. Significant others, whether they be past principals, or members of staff, helped provide the wisdom, learning, coaching, and mentoring to help nurture these future principals in their growth and understanding of the principalship. It was interesting to note that both interviewees and the survey group did not give a strong and influential role to any professional development in learning or in the preparation for the principalship, despite the enormous spending that has been invested in this area by employer groups. The effect of any significant formal management training was seen as inconsequential as there was no expectation or requirement for beginning principal learning in developing their roles.

Learning that has any significant impact or influence that leads to changes in the way that a role is taken can be described as transitional. Beginning principal interviewees mentioned that taking on acting roles and obtaining the support of others also influenced how they might develop their role in the future.

It can be seen at this stage that no one area can meet all the learning requirements in becoming a principal and contributed to the development of the role. It is interesting to see the way that the forms of learning have been integrated and contributed to the development of the role. Each has played a part in helping develop an image of the principalship and helped prepare those for the role. It appears that the sources of learning can be seen as like a huge
template with important sources of learning having differential impact and influence upon how principals develop an image of the role. In this phase, it has been the influence of the informal sources of learning—the work role and work relationships—which have been paramount. More formal sources play minor roles. Whether these pieces remain a distinct and definite pattern, or the sources become interrelated in the process of becoming a principal may become clearer in the later phases, will become an important issue examined later in chapter 5, 6 and 7 in this study.
Chapter 5

Phase 2: Immersion Phase

First impressions - 'learning the ropes' about the role

The focus in this chapter will be on the learning new principals experience as they take up their jobs. This will involve a review of the Phase 2 sources of learning using the Cattegno and Millwood (1995) Work based Learning Management Model, and then an analysis of the impact and influences of these sources of learning on the role development. The aim is to catalogue the reported Phase 2 sources of learning which were accessed and utilized in developing their new principal role. The second section of will examine the impact of these sources of learning in developing the principal role in Phase 2 and, it will also focus how some of specific sources of learning were more influential in shaping the principal role.

In Phase 1 of this study (idealization, beginning principals discussed their idealized image of the role before they had taken up their position. These hopes, desires and dreams were centred in depicting the role as one of vision-setting, aligning, modelling and empowering of others. The following section, in Phase 2, explores how principals learned and developed their roles once in their new schools and how they carried their ideal roles into practice.

Each term in Victoria new principals actually take-up their new position of principal usually a term after their appointment. This can be as long as ten weeks or as little as six weeks with little time to prepare for the role. Phase 2 has been described for this study as the immersion phase of role entry. It should be noted that this immersion phase is somewhat different in timing from all of the other phases depicted in this study. Most others approximate to the school terms. This phase saw beginning principals taking up the position late in January (Term 1) for a shortened time period of entry then continue
after a vacation into second term. The immersion period in this study therefore lasted for approximately two terms but interviews were conducted early in the first term after several weeks in the role. The vast majority of these beginning principals enter the school for the first time with two distinct sets of emotions: excitement of having been locally selected into the principalship, and also some anxiety about their ability to actually meet the demands of the new job. They move into the school as the designated ‘new principal’ and must now establish themselves and begin to build credibility and competence in their role by contacting, visiting and being available to people. The hopes, aspirations, uncertainties, and fears expressed in the beginning of this second phase are best portrayed by Marisa on her entry to her new school:

The challenge brought to the fore all my hopes and desires about what I could do for children. It rekindled that spark I had as a teacher about making a real difference to a school. I have to learn this new role and I believe my dreams and aspirations can be fulfilled, but I also know that they can also be dashed just as well. My anxieties have been heightened when I think about coming into a new group an experiencing of an initiation of ‘baptism by fire’ without being ‘torched’ by a new staff and parent group.

Marisa, Phase 2 Interviews

In this section the impact and influence of sources of learning shown in Figure 4 will be examined to see how they have helped develop the role. The following description will examine the sources of learning for beginning principals and in this phase through revisiting and examining the Cattegno and Millwood framework to determine the impact and influence of these sources on principal role development. It should be noted that the most significant changes noted were in the area of task-focused learning about mastering the technical aspects of the role. Learning to manage, handle the people, and deal with school related issues in the role required different the types of learning to assist in their development.
1. Sources of learning for beginning principals

<table>
<thead>
<tr>
<th>Work experience: Work role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task focused learning about:</td>
</tr>
<tr>
<td>- technical aspects of the role</td>
</tr>
<tr>
<td>- understanding the school culture and contexts of issues</td>
</tr>
<tr>
<td>- Learning from staff and the leadership team</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Work experiences: Work relationships</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Principal mentors</td>
</tr>
<tr>
<td>- Individual local principals</td>
</tr>
<tr>
<td>- Other mentors</td>
</tr>
<tr>
<td>- Regional Principal Consultants</td>
</tr>
<tr>
<td>- Local collegial group</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Formal management education</th>
</tr>
</thead>
<tbody>
<tr>
<td>None reported</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Training and Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Regional induction development courses</td>
</tr>
<tr>
<td>- Self selected Professional development</td>
</tr>
<tr>
<td>- Conferences</td>
</tr>
</tbody>
</table>

Figure 4: Phase 2 Immersion phase: sources of learning

Interview analysis

Data were collected from interviewees and analysed using the headings of learning from work role, work relationships, training and development, and formal management education. Data gathered have been displayed in Table 18 showing the sources of learning used by beginning principal interviewees in Phase 2. The interview questions were the same as those posed in Phase 1 and the data gathered from the seven interviewees have also been aggregated to examine any trends that have emerged through the data. It is also interesting to note that in their early entry stages, many interviewees relied heavily on informal learning sources within the school or with external colleagues for their learning. More formal sources of learning in the region, training or
formal study were not highly favoured or pursued. Of the interviewees, only Andrea and Madeline used a large range of sources of learning (i.e. five or more strategies) in developing their role.

Table 18: Phase 2 Sources of learning identified by interviewees

<table>
<thead>
<tr>
<th>Sources of Learning</th>
<th>Area</th>
<th>Andrea</th>
<th>Des</th>
<th>James</th>
<th>Kay</th>
<th>Kris</th>
<th>Madeline</th>
<th>Marisa</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Task Focused learning</td>
<td>Wk role</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>2. Staff and leadership team</td>
<td>Wk role</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>3. Principals mentors</td>
<td>Wk rels.</td>
<td>x</td>
<td>✓</td>
<td>x</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>4. Other mentors</td>
<td>Wk rels.</td>
<td>✓</td>
<td>x</td>
<td>✓</td>
<td>x</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>5. Collegial group</td>
<td>Wk rels.</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>7. Regional Principal consultant</td>
<td>Wk rels.</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>7. Regional Induction</td>
<td>Tr.&amp;dev</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>✓</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>8. Principal and School Development</td>
<td>Tr.&amp;dev</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>9. Cluster Conference</td>
<td>Tr.&amp;dev</td>
<td>x</td>
<td>✓</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td>x</td>
</tr>
</tbody>
</table>

(Key: ✓ indicate sources of learning  x indicate no response)

2. The impact of sources of learning in developing the principal role

Table 19 indicates the importance of each type of learning to the interviewees. Data emerging in Table 19 indicate some changes have taken place since
Phase 1. Naturally, the influence of being acting principal, or assistant principal, have been replaced as these roles were no longer seen as significant. This could be expected as the beginning principals have moved on from Phase 1 where these roles were seen as initially influential in their preparation and development of an image of the role.

In Phase 2, while the sources of learning which were identified as significant as those in Phase 1 remained so, what noticeably changed was the nature of the source of learning. This is indicated in Table 19. In the area of work role learning experiences, task focused learning (20.5%) became a priority along with the importance of learning about the school from staff and leadership teams (20.5%). Real learning comes only from doing and learning the job itself. As Roder and Pearlman (1989) suggest "The first year of the principalship is really made up of two jobs-'learning it and doing it'" (p.70). Interviewees were well aware of that they commonly expressed it was a matter 'learning the job from the inside and then doing it properly' (Marisa). Data, information and knowledge were being gathered where principals could begin to make sense and give meaning to the role within the school context.

In the area of work relationships, particularly previous principal mentors, and the local collegial network of principals, were still seen as important. Work relationships—both internal and external—continue to be seen as significant and just as an important sources of learning, as were work role learning experiences. Interviewees felt they needed to have, when required, a lifeline of support in which to turn for advice and wisdom. These important sources were identified as: other principals (14.7%), collegial support (11.7%), and other mentors (11.7%). The citing of previous principal mentors was not as evident in Phase 2 as interviewees indicated that now they turned to a variety of people for advice and support when needed. Turning to these significant others helped provide some connections to practice and the job whilst meting out some wisdom and home spun philosophies about the job. Once again, little importance was given by the interviewees to the role of training and
development as an important source of learning. Interviewees indicated that they were selective in what they chose as important in the learning they undertook. When combined its total accounted for only 14.5% of important sources of learning where regional induction (5.8%), Principal and School Development Program (5.8%) and cluster conference (2.9%) were identified. As in Phase 1, no formal management education was identified as an important or needed source of professional learning in this second phase. Interviewees indicated that all their time was predominantly spent in developing their role and handling school tasks, and that any long-term commitment to any formal management education at this stage was neither a consideration nor an option. They indicated that this could be reconsidered at a later stage of their development when new horizons and new challenges are sought with renewal in the job.

As in Phase 1, interviewees were still school focused in their learning about their role as they learned more about the school context and culture in which they now worked. The demands of the school dominated their time as they tried to establish credibility within their school role. They turned to others when they felt the need of help and information to learn to cope with the demands of becoming a principal in Phase 2.
Table 19: Phase 2 Sources of learning identified as important by interviewees

<table>
<thead>
<tr>
<th>Sources of learning</th>
<th>Area</th>
<th>%</th>
<th>Ranking</th>
<th>mentions</th>
<th>% of whole</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Task focused learning</td>
<td>Wk role experiences</td>
<td>100</td>
<td>1</td>
<td>7</td>
<td>20.5%</td>
</tr>
<tr>
<td>2. Staff &amp; leadership team</td>
<td>Wk role experiences</td>
<td>100</td>
<td>1</td>
<td>7</td>
<td>20.5%</td>
</tr>
<tr>
<td>3. Principal mentors</td>
<td>Wk rels.</td>
<td>71.4</td>
<td>2</td>
<td>5</td>
<td>14.7%</td>
</tr>
<tr>
<td>4. Local collegial group</td>
<td>Wk rels.</td>
<td>57</td>
<td>3</td>
<td>4</td>
<td>11.7%</td>
</tr>
<tr>
<td>5. Other mentors</td>
<td>Wk rels.</td>
<td>57</td>
<td>3</td>
<td>4</td>
<td>11.7%</td>
</tr>
<tr>
<td>6. Regional Principal Consultant</td>
<td>Wk rels.</td>
<td>28.5</td>
<td>4</td>
<td>2</td>
<td>5.8%</td>
</tr>
<tr>
<td>7. Regional Induction</td>
<td>Tr &amp; dev</td>
<td>28.5</td>
<td>4</td>
<td>2</td>
<td>5.8%</td>
</tr>
<tr>
<td>8. Principal &amp; School Development</td>
<td>Tr &amp; dev</td>
<td>28.5</td>
<td>4</td>
<td>2</td>
<td>5.8%</td>
</tr>
<tr>
<td>9. Cluster Conference</td>
<td>Tr &amp; dev</td>
<td>14.3</td>
<td>5</td>
<td>1</td>
<td>2.9%</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>100%</td>
<td>34</td>
<td></td>
<td>100%</td>
</tr>
</tbody>
</table>

**Interview analysis**

To determine the impact and influence of sources of learning on the role of principal, interviewees were asked, as in Phase 1, to identify how different sources and types of learning helped them learn and develop their role. Their responses are summarized in Table 20 with sources of learning, types of learning and examples of impact and influence in phase 2. As indicated in Table 20, a larger picture can be delineated where work role learning centred on the emergence of task focused learning as the necessary learning of knowledge about new areas of expertise related to budget, staffing, policy, resources, and other administrative matters. These arose, along with the need to collaboratively learn about the context and the culture of the new school from staff and leadership teams. Technical and social knowledge were seen as
both important and necessary by new principals in developing their roles. Learning through *work relationships* now focused on *peer-assisted learning* and some collaborative learning of knowledge gained from peers. On the whole, new principals attributed little importance to any existing forms of *training and development*. Their relevance was seen in offering some form of collaborative and co-operative opportunities to listen and to help gain some contextual knowledge. No *formal management education* was cited as influential by any of the interviewees in this phase. This phase was an important part of the learning on-the-job for interviewees where they had to gather cognitive knowledge ('knowing what') for developing some basic mastery about the job as well as to learn to advance their skills ('knowing how') through applying these skills of the job to real-school problems. This is best illustrated in Table 20, which denotes different sources of learning and their impact and influence on role development.
Table 20: Phase 2: Impact and influence of sources of learning for interviewees in role development

<table>
<thead>
<tr>
<th>Work role experiences</th>
<th>Features:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>self-knowledge/ skills</td>
</tr>
<tr>
<td></td>
<td>acquisition/</td>
</tr>
<tr>
<td></td>
<td>self-learning/contextual learning</td>
</tr>
<tr>
<td></td>
<td>Learning of propositional and procedural knowledge through role requirements to master</td>
</tr>
<tr>
<td>Task focused learning</td>
<td>contextual learning/ cultural learning</td>
</tr>
<tr>
<td>Staff &amp; Team Learning</td>
<td>group learning / shared information/ shared values and ideas/ co-operative learning/ cultural learning</td>
</tr>
</tbody>
</table>

I'm doing lots of training. I need it now (Andrea).
I needed to know and was prepared to ask questions and push to learn (Kay).

Understanding the global budget is like looking into a black hole as everything disappears down it. I need to know about it (Kris).

Just dealing with people is a lesson in itself (Andrea).
You have to learn to be flexible (Des).

152
<table>
<thead>
<tr>
<th>Work relationships</th>
<th>Features:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>self-knowledge/ imitative learning/ mentoring/</td>
</tr>
<tr>
<td></td>
<td>coaching/ peer assisted learning/ role modelling</td>
</tr>
<tr>
<td></td>
<td>contextual learning/ cultural learning</td>
</tr>
<tr>
<td></td>
<td>Exposure to a range of propositional and procedural role requirements through others</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Principal mentors</th>
<th>contextual learning/ cultural learning</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>She told me not to worry about it. It will happen (Andrea)</td>
</tr>
<tr>
<td></td>
<td>They just sometimes ring up and say: Did you see this and it alerts me about what to look for (Kris)</td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>Other mentors and coaches</th>
<th>contextual learning/ cultural learning</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>He's taught me as a coach to be consciously skilled with difficult situations that crop up (Marisa)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Collegial support</th>
<th>collaborative/ shared information/ shared values</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>cultural learning/ co-operative learning/contextual learning</td>
</tr>
<tr>
<td></td>
<td>I talk to people who are new in the job because we can ask each other stupid question but I've and ideas also I've got Anne who has twenty year's experience to fall back on (Kris)</td>
</tr>
<tr>
<td></td>
<td>Helped me address a problem and was there when needed (Marisa)</td>
</tr>
<tr>
<td>Training and Development</td>
<td>Just-in-time learning topic/ Focused learning/ off-the-job learning/ single focus without follow-up/ cultural learning/ self-knowledge</td>
</tr>
<tr>
<td>--------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Regional Induction</td>
<td>Some gaining or knowledge about role requirements collaborative/ shared information/ shared values</td>
</tr>
<tr>
<td>Principal &amp; School</td>
<td>cultural learning/ co-operative learning/contextual learning</td>
</tr>
<tr>
<td>Development</td>
<td></td>
</tr>
<tr>
<td>Cluster Conference</td>
<td>self-knowledge/collaborative</td>
</tr>
<tr>
<td>Formal management</td>
<td>None reported in this phase</td>
</tr>
<tr>
<td>education</td>
<td></td>
</tr>
</tbody>
</table>

**Work experience: Work role**

Making a transition and creating a new principal role can be an ambiguous and demanding task in itself without the need having also to cope with placating a new school community. It can create further pressures by expecting new principals to be founts of wisdom about almost everything that happens in school. Furthermore, there was no breathing time for the principal to stop and learn. From the moment a new principal walks in the front door of the school there is an expectation that he, or she, is competent and knowledgeable about most issues as a school principal. How did new principals handle this expectation about their perceived infallibility and competence?
Marisa was quite candid:

In trying to develop this new role, how do I know what I don't know?
All I can do is answer their questions, and when I don't know the
answer tell them. I'll find out for them and let them know!

Marisa Phase 2 Interviews

Interviewees indicated that their learning was sporadic, often alone in finding
answers to a constant stream of inquiries, with them struggling to try and make
connections between school tasks areas or administrative tasks. Other
interviewees indicated how they used work role learning experiences to help
inform them about what they would do as a principal. This is shown in Figure
4 as Work roles: Work experiences. It was also learning in isolation with little
systematic development, or reflection, and more of a response to read and be
informed about matters effecting the school. The areas of workplace role
learning which emerged as helpful in providing knowledge about the role of
the principalship were defined by the interviewees as provision of self-
directed, task-focused, just-in-time learning in learning to deal with a range of
people. How did they learn and what was significant for them at this second
phase of taking up the principal’s position? The experiences of task-focused
learning provided demands to learn both the types of propositional knowledge
required to be knowledgeable about specific areas of school management, and
acquiring procedural knowledge about managing it in practice. Interviewees
indicated they were expected to be omniscient, omnipresent and omnipotent as
‘all-knowing in my new role’ (Marisa).

Task Focused Learning

Some of the interviewees indicated in previous interviews that some of the
management areas were causing quite a bit of angst. They had indicated that
this would remain an intolerable situation as they began a principalship. Some
took the initiative to learn and up-skill themselves even as they were settling
into the new role. This was sometimes described as a task of aligning
themselves to the new cultural needs and context in which they found
themselves. They had to make sense of the massive information overload they were experiencing in trying to understand different key areas within the school. This was a ‘steep upward learning curve’ (Kay) for each of the interviewees when trying to learn some new aspects the job and developing an image of the role. They were learning propositional knowledge about the job (‘know-what’) and struggling with learning advanced procedural management skills (‘know-how’) while, at the same time, learning to run a new school. Each had their own personal challenges in developing their role. For example, Kris indicated that her greatest dilemma was coming to grips with the intricacies of handling a sizeable budget. In the following section, the dimensions of these challenges in learning and developing their role in some of the task focused areas are reported.

*Learning the technical aspects of the job*

Des indicated the role that technical training had in increasing his expertise in the job and what he felt he had learned:

I have done the Human Resource Management System Training at the school with the Bursar. It has been pretty demanding and the four days were pretty intense for me as they were on either side of the school camp. The timing was terrible. Helen (the Bursar) is doing most of the implementation, but it’s good for me to have an understanding and overview I suppose to be able to support her. It has been really worthwhile.

*Des. Phase 2 Interviews*

Andrea indicated how she accessed learning about the Budget in her role by visiting a respected local principal for assistance. Peter, a principal from a nearby school, arranged for her and the regional representative to visit his school:

I took my global budget and Ready Reckoner with me, and was prepared to ask questions, and push for answers.

*Andrea. Phase 2 Interviews*
Many of the interviewees expressed some concern about knowing where to find information and what to do about certain issues. Marisa indicated her frustration: 'Finding access to information (and) being able to carry out and do the job is damn hard work!' (Marisa, Phase 2 Interviews). They felt bereft of knowledge about some of the more fundamental aspects of their job and weren't sure where to turn. Kris illustrates her need to align this in her role:

One of the things I've learned is the lack of knowledge I had workforce planning. I found I had to ask questions, try and piece in together, get the data, and then start thinking about the options.

Kris, Phase 2 Interviews

Learning about the new cultural and contextual issues of the school

Handling the new cultural and contextual issues, interpersonal relationships and trying to get the mixture right was a challenge. The interviewees indicated how they felt in this role: 'Everyone wants me to solve their problems but do it their way!' (Des). 'Hey I'm in charge and the buck stops with me'. (Andrea). 'I need to flex my muscles but comes with the new territory. I'm not going to be pushed into making a decision without calling time out or am I going to be tested and come up short' (Marisa). Often it was seen as simply setting expectations in the role for themselves and others. Kris described her transition as what she envisaged what she would do to what she is now doing, but with some reservations:

I don't see it very differently. I still believe in being a collaborative and consultative leader, but there have been some school situations that people have tried to test me out!

Kris, Phase 2 Interviews

Learning from the staff and the leadership team

Any role requires modification and shaping with those in which one works. This had been a source of satisfaction and significant learning reported by
interviewees during Phase 1. It could be expected that they would draw on this positive influence in developing and learning about the nature of the leadership team to help guide and inform them as they led. The type of role to be enacted was finely balanced depending upon the nature of the task and how they handled it. Interviewees gave some idea of how they learned from others in the school:

Learning with staff and a leadership team has helped me develop my role. I have learned about the history and the procedures that have been in place and how people feel about them. It has helped me sit back and get a handle on what has been going on here over time.

Des, Phase 2 Interviews

Some interviewees indicated that their best on-the-job role learning came through their experiences in learning how to deal with members of staff, people, and difficult issues which had emerged for the leadership team. This reflects contextual learning about the job while developing co-operative learning with others. Des indicated that his best learning about the principalship occurred every day:

It's the biggest area of learning for me, because whether they are staff, parents or students, you come to work on Monday, and you've got your work planned out. Then, all of a sudden, an incident occurs with a child, or an irate parent comes in about something, you just have to learn to be flexible. That dealing with people, you learn so much every time you deal with a different person. You learn something about how you might better deal with the next one. You try to reflect each time and ask yourself: I did this bit...maybe, just maybe, I could have done this a little better.

Des, Phase 2 Interviews
**Work experience: Work relationships**

Kram (1988) has highlighted the importance of learning from a range of relationships through people. She refers to this relationship constellation as a series of people available to an individual in their development at any given time. When applied to beginning principals, interviewees began to undertake new and developmental tasks where they began to search out those relationships that would help them address tasks and help develop their roles. Some of these relationship constellations outlined in Figure 4 as Work experience: Work relationships will now be explored.

**Principal mentors**

The most significant ways that interviewees reported that they learned about the image that was required for different aspects of the job came from the advice, support, informal mentoring and coaching received from other principals and others who supported them in times when they needed knowledge or faced a crisis. The growing importance of using principals in the new collegiate group began to emerge, but the need to use previous principal mentors for advice and wise counsel still was evident. These past mentors were seen as providing wisdom and judgement to help the newcomers make connections with required information, tasks, and the role for systems-wide understanding (‘know-how’ and ‘know-why’). The role developed by interviewees was shaped through the provision of shared information and wise advice about new issues, and this provided help in aligning and managing the role to be undertaken by interviewees in their courses of action. The interviewees discussed this form of development, especially Marisa, who had actually hired a coach to help her model her behaviour in addressing issues of conflict resolution.

In contrast to developing work role learning, which was often learned on the run and was fragmented and sporadic, this area provided the life-lines for new
principals. It was the extended professional and personal networks that were established by new principals that kept them afloat in a sea of uncertainty and wariness in their new schools. Beginning principals indicated how they built their new role with the support of others. The importance of relying on a trusted colleagues and friends within a relationship constellation (Kram, 1988) cannot be underestimated during this phase. Accordingly, the role of social learning was a key area for beginning principals. Interviewees indicated they relied heavily on this means of support to learn about what needs to be done and how to keep up as a new principal. Some interviewees indicated the vital skill required of a new principal was to simply begin asking for advice, and keep asking questions whether they were considered basic or not did not really matter. Furthermore, they all have to start finding out about how to develop a new role somewhere. Andrea indicated how she used other principals, and especially those she had confidence in and trusted: ‘I relied on those principals I had faith in to guide me and I gave them my trust.’ Kris indicated that she felt supported and comforted by others through asking questions to learn about her role in aligning and modelling:

I have always been forthcoming when I have asked about things. Ann, Brett and Peter have been very helpful at different times. They sometimes just ring and ask if I’ve seen the latest memorandum, or, this is going on, follow it up. Most of the time I have sighted it but this process does alert me as a new principal in what to look for.

Kris, Phase 2 Interviews

Marisa joked about the role her former principal had as a mentor always providing some conventional advice and wisdom about handling a difficult school area:

Half the time when I ask for help, I know what she’s going to say anyway. She always says once you make a commitment to something you must stay with it. If it is perceived by staff as backing down you
just go right through to the end and I have followed this pearl of wisdom in this school.

Marisa, Phase 2 Interviews

Other mentors and coaches

Interviewees depended on others to provide some support at this time. The people they relied on were often friends from the past or other colleagues. While most interviewees talked about the roles of significant others, Marisa hired her own personal coach who became a significant other in her growth as a principal. She relates how this was an interesting experience:

Using a personal coach helped me build my capacity as a principal, role model, and learn to cope with conflicts that I faced.

Marisa, Phase 2 Interviews

Marisa indicated she was progressive and innovative when she hired a personal coach to support her in her learning, entry and transition into the school in her new role. She provides a vignette of how this was useful to her in her role development:

I don’t think there are any new pearls of wisdom that I have gained from Roger being my personal coach, but he has reinforced some of the old ones that I have identified. Roger has been the best support there in re-enforcing those concepts to do with conflict resolution, and which says ‘behaviour not challenged is behaviour encouraged!’

Interviewer: What does he do to coach you?

I’m a visual person. He says in handling a difficult staff member that I should draw the triangle with the persecutor and the victim, and suggest that we turn it around so we both become learners about the situation. I’ve got to practise that before I do it with her first. The visuals are very important. I probably need to access and use them and present them at planning of things when it is most strategic.

Interviewer: How often does he meet with you?
He only has done it once this term, but he'll probably do it once or twice next term with phone-calls in between.

Interviewer: Can you mention some of the public things that you would be willing to share?

He'll be working with me in personal coaching supporting my personal health and well-being, which is important to keep me on track balancing the stresses and overload.

Interviewer: What will you put into practice to improve?

I will be looking at modelling and my actually becoming a stronger role model with staff, and, becoming consistent so that I'm using the same sorts of words with staff whether it be quality teaching and learning is what we're on about as our core purpose. This is quite powerful.

Interviewer: Did he pick up anything in the way you did or say things as a principal?

This is a way of doing more the big picture whilst looking at a clear process and planning staff development. He will be helping me more with team-building, supporting team leaders, and spending time with the staff, and talking to him about problem areas I see as issues, and how I can build those into a wider school approach, not just an individual approach. Then I will be looking at the leadership team, and with a new assistant principal to be appointed, building the team together as a caring and sharing unit. A speaker talked about care, commitment, compassion and courage are things leaders need.

Interviewer: What are you going to build into your role through this?

That's a good one to ask about here. The courage is pretty hard some times because the courage demands that the destiny or the future needs to be emphasised all the time. You can be caring and compassionate, but having the courage to see forward and see it through can be hard for any principal.

Marisa, Phase 2 Interviews
Regional Principal Consultants

Regional Principal Consultants were mentioned as a sometimes useful reference and support, 'especially to ask questions' (James) or 'help me address a problem' (Marisa). They were not seen as influential on the learning of the interviewees; however, Kris was more emphatic in her view when she said the impact was very useful for her: 'She would just ring up and say I'm coming for lunch. She would arrive and we would go off and talk about a range of things. I found that great.' Perhaps the importance for Kris was 'having someone at times who would talk things through.'

Local collegial group

Interviewees reported that the role of this group was variable, but still important for their future development. While initial contact and welcoming had been made though the local principal collegial group’s monthly meeting, the relative importance and usefulness of this contact differed. They indicated that it was often dependent contacting local individuals to discuss their role and work in their schools. Although there were offers of overt help made by collegial group members, interviewees found that there were no existing formal ways that this group could offer them any suitable assistance. There were no provisions established within the collegial group for orientation or formal mentoring for newcomers. They felt that they had to suffer in a 'conspiracy of silence' by not indicating that they needed help as everyone expected them to be able to cope in their new role. Kris provided an illustration of how she overcame this problem:

The local group has been good when I ring them. I've been really fortunate, and it is probably the way I am, that I don't have any problems in ringing someone up and asking them something. We get together with Barb regularly once a month in an arranged meeting just to have coffee outside the school and discuss informally my new role and how I am coping. It is very supportive and great for me to share with these experienced campaigners I trust!

Kris, Phase 2 Interviews

163
Madeline indicated the special way her local cluster group offered help, support and assistance in her development of her new role with individual principals:

We have a local collegiate group that meets every Thursday morning and they go to the gym and then have breakfast together. I made a point of going even though it was very hot and I didn’t feel like exercising, but I felt that this contact was extra important. That was the best thing I’ve done because it got me in contact with people I need to phone up.

Interviewer: Were they of help?

They have been very helpful and very supportive. Well, it provided me with a support line, but I will be tentative with them at first. I don’t know them and just who I feel comfortable with yet.

Madeline, Phase 2 Interviews

The impact and influence of this group was emerging, but interviewees indicated that they would prefer to reserve judgement at this stage on the importance of this group. In Phase 2, it appeared to be individuals within the group rather than the group itself which could exercise some importance for new principals, but interviewees were not sure how this might happen at this early stage.
Training and development

The various impact of training programs are represented in Figure 4 and is shown as Training and development.

Regional induction training

Interviewees indicated that most of their training and development was either 'foisted upon them as they began to settle into their school' (Kay) or was 'self selected as it fitted in with their current needs.' (Andrea).

Kay indicated that one of her complaints had been addressed after her school had been selected for technical training for the office in computer Human Resource Management Training and talked about its impact for her as a new principal:

We were selected into the Human Resource Management System Training and that means we've been to two days this week and 2 days next week. That's been a huge learning curve for me. I now know things about that system that I wanted to know.

Interviewer: How will you be able to apply the ideas?

The format of two days then another two days and commissioning of our system has been quite a good process. It's probably one of the better learning things that I've done. I've also begun asking a lot of questions when I haven't known things in other areas.

Kay, Phase 2 Interviews

Des indicated his need to concentrate on learning about the key issues of the here-and-now, focusing on mastery of budgetary and workforce management in order to make decisions about the school’s structure for 2000. He indicated that it was a pragmatic and necessary decision to focus on the immediate, delaying some of his own personal development needs for later.

Principal and School Development Program

Andrea indicated that she had been proactive and enrolled in the Australian Principals Centre course: the Principal and School Development Program. She
indicated what she hoped to get from the program which would assist her learning and in her role of the principal:

I am hoping that when it is talking about whole school improvement, there will be more strategies there for me to address the issues, say through the school council and at the school level for parents and staff to work on. I don’t care how good a school is, it can always be made better. I think of systematic programming development and working on that will be useful to me as a new person in the role.

Andrea. Phase 2 Interviews

Regional Conference

The regional cluster conference proved invaluable for Marisa. She indicates this influence on her growth in the following discussion:

Interviewer: What did you bring back to your school from the regional conference as a principal that will impact upon this school?

Oh! That’s a really good question. I suppose that leadership is important. This school needs a principal who will support people and provide them with time to use their wisdom and help create a new destiny.

Marisa. Phase 2 Interviews

Formal management education

No mention was made to this area as a source of learning as shown in Figure 4 as Formal management education. Interviewees indicated that they lacked the time and the incentive to begin any on-going management study program as the demands of the school were paramount and all embracing at this time. They did suggest that it could be valuable after a few years in the role.
Phase 2 Summary

This chapter focused on learning in Phase 2 that derived for role development in for the workplace as new principals took up their roles. This analysis began by examining the sources of learning for interviewees on the role development of beginning principals using the Cattegno and Millwood (1995) Work based Learning Management Model. The Phase 2 data indicated that new principals only had time for task focused learning about their role. They had to establish and first prove they could do the job. The next section examined the impact and influences of the sources of learning on their role development as they begin their job. Again, informal sources of task related learning with the support of past principal mentors was crucial with little time for more formal sources of learning. It was apparent that the role of new principals was one of predominantly learning to manage the school and changes associated with this role. This is not entirely untypical of the picture painted in the research of the entry role of beginning principals. They were listening and learning to understand what was important as they began their role in their schools.
Chapter 6

Phase 3: Establishment Phase

Mid impressions - defining the role

This chapter will review the Phase 3 sources of learning on the role development for beginning principals as they begin to define and establish their roles using the Cattlegno and Millwood (1995) Work based Learning Management Model. It will then examine the impact and influences of the identified Phase 3 sources of learning on the development of their role during this phase. The aim is to catalogue the reported Phase 3 sources of learning which were accessed and utilized in developing their new principal role. The second section will examine the impact of these Phase 3 sources of learning in developing the principal role, and, it will focus on how some of the specific sources of learning were more influential in shaping this role.

Once they had survived the onslaught of the demands of settling into a new school in Phase 2 (Late Term 1 and Term 2), principals were less frantic and were more confident in handling school-related matters. In the interviews during this phase, principals exuded a certain calmness and manner which indicated that they were comfortable with themselves in this new role. Phase 3 is shown as the establishment phase in Figure 5 with sources of learning for beginning principals. This is a time that interviewees described as the least stressful of phases, when issues like parent reporting, written reports and staff surveys and staff stress levels, were not as demanding of their time and requiring constant attention as in the previous phase. The interviewees signalled that while Phase 3 (Term 3) was perhaps a quieter phase of the year, it was also when 'we can get some solid work done in the school' (Marisa, Phase 3 Interviews). They were also beginning to put in places structures and
processes that would form the basis of their work in the following year. They had overcome the difficulties of settling in and were now ready to press forward with developing their plans in their new role within the school.

1. Sources of learning for beginning principals

![Diagram showing sources of learning]

Figure 5: Phase 3 Establishment phase: sources of learning
Interview analysis

What was significant about learning and developing of a role in this phase that was different from other phases? It was still evident that informal experiences through learning task-focused job requirements with the support of other principals outside the school dominated their learning time. This could be expected because the principal was expected to be knowledgeable and a leader on a vast number of school management and leadership issues. Learning was seen in Phase 2 by Marisa as ‘occurring in the isolated cloisters of the school office, and often chunked and sporadic without any real systematic development or pattern. I learn to keep up and often am just in front of the staff, or school, in understanding the area I’m supposed to know about’ (Marisa). In Phase 3, the sources of informal learning identified by interviewees as important and influential still focused heavily around learning in the Cattegno and Millwood framework areas of work role learning and work relationships. It was apparent that interviewees made their knowledge about the job more visible. They began to articulate mental models that they brought with them in the form of experiences, hunches and insights they had about the role, and, how they might marry these practical applications with the more codified explicit knowledge evident in the school in documents and established processes. This would suggest that there had been a shift where knowledge about the job had become more grounded, socialized and shared with the staff. The knowledge gained in becoming a principal had been successfully learned and absorbed. They had begun to internalise, convert, and combine their knowledge into clearer and more focused roles and actions. They moved from selective cognitive propositional knowledge (‘knowing what’) about the role in a number of key areas to a broader advanced knowledge of propositional and procedural skills (‘knowing how’) where they had gained the ability to apply problem-solving approaches and their knowledge to real-world problems. What was beginning to emerge, for some, was expertise in understanding their school and its place in the state school.
system in the ‘big picture’ (‘knowing why’) and developing a deeper role
knowledge of cause-and-effect relationships about their school. Until this
phase, they were unable to look beyond the learning that would help them
surviving in and managing their own school. They felt they were also able, in
times of need, to draw knowledge from a community of practitioners, either
through a trusted colleague, or an identified member of the local collegial
group, who had the expertise and were willing to share them with them. The
sources of learning for Phase 3 are indicated in Table 21.
Table 21: Phase 3: Sources of learning identified by interviewees

<table>
<thead>
<tr>
<th>Source of Learning</th>
<th>Area</th>
<th>Andrea</th>
<th>Des</th>
<th>James</th>
<th>Kay</th>
<th>Kris</th>
<th>Madeline</th>
<th>Marisa</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Task Focused Learning</td>
<td>Work role experiences</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>2. Other Principals</td>
<td>Work relationships</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>3. Orientation Program</td>
<td>Training, &amp; development</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>4. Cluster Collegial Group</td>
<td>Work relationships</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>X</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>5. Others</td>
<td>Work relationships</td>
<td>✓</td>
<td>✓</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>6. Principal and School Development</td>
<td>Training &amp; development</td>
<td>✓</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>✓</td>
<td>X</td>
</tr>
<tr>
<td>7. Peer Leadership Program</td>
<td>Training &amp; development</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>✓</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>8. Covey 7 Habits Program</td>
<td>Training &amp; development</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>✓</td>
</tr>
</tbody>
</table>

(Key: ✓ indicate sources of learning x indicate no response)
2. The impact of sources of learning in developing the principal role

In phase 3, a consistent pattern begins to take shape and emerge. These trends are reflected in Table 22. While task focused learning (20.6%) was significant in work role learning, interviewees indicated the increased importance of the role of work relationships through contact with other principals (20.6%), and within the local collegial group (17.6%) and learning with others (8.8%) became highly significant sources of influence. Interviewees indicated that they turned to local principals with noted expertise in the local collegial group. These were new contacts the interviewees felt they could trust when solving problems or addressing task focused learning issues and problems. It is also interesting to note the role of staff and the leadership team in learning in this phase. The role of others (8.8%) is greatly reduced in phase 3, compared to phase 2. Perhaps, this is due to the fact that both valuable sources of learning and information about the culture and context on entry into the school, but were no longer considered as key elements in learning and developing the role. During phase 3, the interviewees had moved on in their development and knowledge about the school. This may suggest that the focus now is more towards ‘the role of principal’ rather than just learning to ‘understand about the school’?

The summed main role of training and development (32.4%) in this phase was the compulsory Orientation Program (20.6%) which was regarded by interviewees as useful in developing networking and collegial contact. The other main sources of learning in this area was through other available self-selected professional development courses (11.8%) No formal management education was cited during the interviews as undertaken during this phase.
Table 22: Phase 3: Sources of Learning identified as important by interviewees

<table>
<thead>
<tr>
<th>Sources of Learning</th>
<th>Area</th>
<th>Mention</th>
<th>Percentage</th>
<th>Percentage of Whole</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Task focused learning</td>
<td>Work role experiences</td>
<td>7</td>
<td>100</td>
<td>20.6</td>
<td>1</td>
</tr>
<tr>
<td>2. Other Principals</td>
<td>Work relationships</td>
<td>7</td>
<td>100</td>
<td>20.6</td>
<td>1</td>
</tr>
<tr>
<td>3. Orientation Program</td>
<td>Training &amp; development</td>
<td>7</td>
<td>100</td>
<td>20.6</td>
<td>1</td>
</tr>
<tr>
<td>4. Cluster Collegial Group</td>
<td>Work relationships</td>
<td>6</td>
<td>85.7</td>
<td>17.6</td>
<td>2</td>
</tr>
<tr>
<td>5. Others</td>
<td>Work, relationships</td>
<td>3</td>
<td>42.8</td>
<td>8.8</td>
<td>3</td>
</tr>
<tr>
<td>6. Principal and School Development</td>
<td>Training &amp; development</td>
<td>2</td>
<td>28.5</td>
<td>5.9</td>
<td>4</td>
</tr>
<tr>
<td>7. Peer Leadership Program</td>
<td>Training &amp; development</td>
<td>1</td>
<td>14.3</td>
<td>2.9</td>
<td>5</td>
</tr>
<tr>
<td>8. Covey 7 Habits Program</td>
<td>Training and development</td>
<td>1</td>
<td>14.3</td>
<td>2.9</td>
<td>5</td>
</tr>
</tbody>
</table>
Interview analysis

To determine the effect of the impact and influence of sources of learning on the role of the principal, interviewees were asked, as in the previous two phases, to identify how different types of learning helped them develop their role. Their responses are reflected in Table 23 with sources of learning, types and learning and reported illustrated examples of impact and influence in Phase 3. As indicated, a more integrated approach to learning was beginning to occur where interviewees were drawing together various sources of learning and data. Task focused learning was supported by drawing on the knowledge of colleagues or sharing ideas and seeking assistance in the local collegial group. These are best illustrated by some of the interviews: I’ve learned to delegate areas so I am able to manage and keep my eye on the important and main things as a principal. (Kay); I’ve now got other secondary principals that started around the same time and we’ve developed a close relationship. I make time to tap into their experience and ask the dumb questions. but I also have principals I can call on with twenty years of experience if I need them. (Kris)
<table>
<thead>
<tr>
<th>Sources of Learning</th>
<th>Type of Learning</th>
<th>Impact and influence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work role experiences</td>
<td>Learning and integrating propositional role knowledge in role/Some beginning of system’s knowledge about the role</td>
<td>When I needed to find out about things I listened to others in and outside of the school. I just kept asking questions to try and get a handle on the area. (Andrea)</td>
</tr>
<tr>
<td>Task focused learning</td>
<td>self-knowledge/contextual learning/ cultural learning/skill development/ technical learning</td>
<td>I’ve learned to delegate areas so I am able to manage and keep my eye on the important and main things as a principal. (Kay) Learning to outsource things has been a boon. (Matisa, Andrea, Kay)</td>
</tr>
<tr>
<td>Work relationships</td>
<td>self-knowledge/imitative learning/coaching/knowledge mentors/networking/Mostly gained procedural role knowledge from others</td>
<td>I’ve now got other secondary principals that started around the same time and we’ve developed a close relationship. I make time to tap into their experience and ask the dumb questions, but I also have principals I can call on with twenty years of experience if I need them. (Kris)</td>
</tr>
<tr>
<td>Principal knowledge mentors</td>
<td>self-knowledge/contextual learning</td>
<td>Visiting some other principals in their school has allowed me to watch and learn from people in nearby schools. (Andrea) The regional principal consultant is very approachable. You can all her if needed. (Andrea, Des, Kris)</td>
</tr>
<tr>
<td>Other mentors and coaches</td>
<td>cultural learning/problem solving</td>
<td></td>
</tr>
<tr>
<td>Local collegial group</td>
<td>Collaborative learning/networking/shared information/problem solving</td>
<td>I still call on my friend when I need to discuss the things that are hard and sensitive. (Madeline)</td>
</tr>
<tr>
<td>----------------------</td>
<td>------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Training and development</td>
<td>self-knowledge/ contextual learning/ cultural learning</td>
<td><strong>Too late it should have been held when I took on my position because I could have found out the things which I needed to know. (Ken, Des, Madeline, Andrea)</strong></td>
</tr>
<tr>
<td></td>
<td>Some collection of selected propositional and procedural role knowledge</td>
<td>Good to hear the focus on values and management of people. I took that back to the staff. (Andrea)</td>
</tr>
<tr>
<td>DEET Orientation Program</td>
<td>Cultural learning</td>
<td>The networking and meeting and sharing with others was the best part. (James)</td>
</tr>
<tr>
<td>Principal and School Development</td>
<td>Collaborative learning/networking/school visitation/group learning/shared information</td>
<td>It has been fabulous for discussion, visiting, and listening to others in my collegial group (Andrea)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>It has been useful in expanding my contacts with similar like schools to contact. The only thing is that there is never an enough time. (Madeline)</td>
</tr>
<tr>
<td>Peer Leadership Program PRISM</td>
<td>Collaborative learning/networking/shadowing/shared information</td>
<td>Ross and I formed a really strong bond in terms of professional support. You need support like that but probably wouldn’t have asked for it. (Ray)</td>
</tr>
<tr>
<td>Covey 7 Habits Program</td>
<td>Group learning and skill development</td>
<td>Values are important in the program. I need to revisit mine and have a good look at what I do (Marisa)</td>
</tr>
<tr>
<td>Formal management education</td>
<td>None reported</td>
<td></td>
</tr>
</tbody>
</table>
Work experience: Work roles

Growth of understanding and confidence and the development of a more sophisticated understanding of the role of the principal helped direct the learning. This is shown in Figure 5 as Work experience: Work roles. Connections and linkages to the bigger picture and cementing the fragmentary pieces of learning, which were apparent and unconnected in Phase 2, were now being replaced by better developed expertise and knowledge about the job and the school. As Kay indicated:

Last term I had to live through it. You can only learn a job by doing it, experiencing it, and learning about it. Whilst some of the tasks seemed beyond me, I was determined to ‘roll up my sleeves’ and learn it. I now am able to link it, connect it, and understanding where the pieces fit in to the bigger picture. That’s my job to lead from the front and now I can lead from the back too. Now I’m more confident and understand the job, I can learn to let go more. That is real learning for me too.

Kay, Phase 3 Interviews

The interviewees had established themselves and were now feeling accepted and competent in what they were doing.

Task focused learning

In this phase, the emphasis shifted more to the interviewees using their growing confidence and competence. Interviewees reported that the sources of learning for them mainly centred on handling school issues or demands that arose within the job of principal. They referred to the need for help in task focused learning to become a more effective principal. As James summarized: ‘I need to concentrate on the main things that come up, and then find out about them, handle them and resolve them, then I can begin to feel more competent about them. It is really about learning about how to arrange things at once and you need to become an expert in all.’ (James, Phase 3 Interviews).
Learning about school-related issues became a priority and emerged as expected or unexpected parts of on-the-job related learning opportunities, and often become a focus for interviewees. The accumulation of knowledge about the context and culture of the school provides challenges for new principals who have to learn, lead and manage new areas about their job. Interviewees discussed new areas in on-the-job learning, focusing mainly on learning about managing people and time, outsourcing of expertise to try and help them develop themselves in the job, and addressing school issues. It was clear that the interviewees were beginning to make connections and adopt some 'smart strategies' (Kay) with their experiences in carrying out task administrative roles and developing of expertise in administrative areas. They indicated that the gathering of data, information and knowledge allowed them to give meaning and socially construct their roles.

The multitude of experiences they had undertaken in the role also produced some growing awareness and wisdom, and allowing them see where their values and purpose now resided. Naturally, experience can be a very effective learning vehicle as it occurs in the everyday world of the school; it is not artificially removed, but part of the work itself, and is relevant. Learning that results from any experience is highly likely to be applicable to the work situation from which it arose. Learning in the workplace is then a critical link between thinking and doing. In Phases 1 and 2, beginning principals had been concerned with knowledge acquisition about their role and the development of skills, insights and relationships. In Phase 3, however, there was a shift sharing their knowledge about the school, its processes and their leadership; learning to integrate these processes; and making the knowledge available for use by others in the future. Developing experience and reflection had taught the interviewees a great deal about the role in half a year. They moved from more 'shallow' learning in mastering required basic knowledge about what being a principal was about to more advanced application and 'deeper' learning of causes and effect relationships about the school and their role (Bowring-Carr
and West-Burnham, 1997). Some interviewees were also aware that their learning affected the higher order development of will, motivation and adaptability in their role in the school community. They knew they had to be successful and this would be challenging.

**Technical learning**

Technical tasks were seen as learning both propositional and procedural knowledge and finding ways to operate with little training and support (in phase 2). During Phase 3, however, interviewees had worked out their own solutions about learning and mastering these new skill areas:

Last term I completed Human Resources Management Systems Training and Finance Training. Both were needed, but I found it difficult being out of the school as much as I have. I've found that since I have focused on not being out of the school as often, that the school is running much more smoothly.

Kay, Phase 3 Interviews

**Outsourcing of key school tasks**

Understanding issues about the global budget were seen as a necessary part of their role development and they had to find help to master these financial challenges. As James said: 'It was a killer trying to get my head around it in the last term, but it has become clearer this term.' Interviewees describe how they produced this clarity in their learning and understanding:

Outsourcing has enabled me to employ someone and get people in to handle the budget. That has also been good professional development for me. I can ask questions, watch, and have us all work together in the office on getting the budget right

Marisa, Phase 3 Interviews
Facilities

For Kay, it was not only the budget, but also handling facilities problems, that demanded her time and stretched her. She talks about how she helped solve her dilemma:

Last term I thought I should change jobs and become a full-time facilities officer in the school and become a part-time principal. I have learned to be very flexible and I'm better at that than I used to be. I've even learned to delegate the facilities area that nearly drove me mad last term. Now I am spending my time on the important things in my role.

Kay, Phase 3 Interviews

Learning about people

Handling and managing interpersonal relationships is a key role for principals and developing facilitation skills is central to success. Dealing with the content and the accompanying emotions that surround working with people is a key learning in itself as Andrea indicated: ‘It taught me to do my homework and keep all the bases covered when looking at issues. I had to learn to feel out people and become sensitive to their needs, and feel out when they were ready to learn.’ Principals became aware of the need for the balancing of their emotions and creating a balancing act:

I think the biggest learning shift for me this term has been the review process with staff, having to deal with those instances of senior staff whilst letting them know what my expectations were, and that they weren't really meeting the standards of what their school positions involved, was tough. It has been more about learning how to handle people, especially senior staff, and, that has tested me. I expected them to set the example because they were experienced and should have. I learned from that never again. I tackled it head-on in my role as a principal.

Des, Phase 3 Interviews
Listening to people and their needs and where they wanted to go taught me a lot. Listening to the parent body has been an eye-opener. There has been a thing that’s come out left field in relation to school uniform and has been full of interesting politics and intrigue.

Interviewer: What has it taught you about being a principal during this term?

It has taught me to make sure I do my homework and keep abreast when looking at policy issues which may be potentially explosive. I have to be prepared and have a flexibility in my leadership style with issues like that one with school uniform.

Andrea, Phase 3 Interviews

**Addressing school policy**

Policy issues, especially those related to student management, were key areas still to be adequately addressed by interviewees. Marisa indicated the view of many interviewees when she said it was taking much of her time and energy as a principal to both monitor and help lead this important area:

Student management is a big issue here and has been even bigger this term. Some children still have huge anger management problems. I have had to work really hard with staff to help turn it around. I’ve found that it is much bigger area than I ever realized or was told.

Marisa, Phase 3 Interviews

**Time management**

Time was seen as a constant enemy for all interviewees in Phase 2, but in phase 3, Marisa and Madeline indicated how they had learned to use it more effectively. ‘It was my enemy in the beginning but now I am very conscious about how I allocate my time.’ (Marisa).

I suppose the major thing has been learning about time management and how to get the job done. I still have a way to go yet. I guess it’s
like handling a bit of a jigsaw. The pieces are there and I am getting them in place and I have to learn to put them there.

Madeline, Phase 3 Interviews

Andrea indicated that it was time for her to reflect upon what she had learned in Phase 3 and she had come to the conclusion, like many of her counterparts, that this phase was also a time for taking stock about what she had learned:

I want to do some personal professional development on organizing for less stress and less mess. But I do have an awful problem with organizing myself.

Andrea, Phase 3 Interviews

**Work experience: Work relationships**

**Principal knowledge mentors**

Some interviewees had indicated that they returned to previous or past principals for assistance or support in this phase as they had done in the first two phases, but it was also evident that a new trend was also appearing. This is shown in Figure 5 as Work experience: Work relationships. Some interviewees were breaking with the past and creating new contacts with principals as informal mentors. They needed new mentors who could be trusted and also pass on the craft knowledge they needed as ‘knowledge mentors’. Interviewees indicated that these were new relationships based on expertise, proximity, mutual interest, familiarity and comfort. They were beginning to identify those who could act as ‘knowledge mentors’ to assist their growth. Des indicated how local principals had impacted him during the term:

Kevin, one of the principals, in my area, has been very helpful on a couple of staff issues. He was very helpful on those sticky issues. I used him as a sounding board with those very hard issues. For instance, if I had followed my initial gut reaction, I don't think the results would have been very good. I've also begun to contact local principals who I
feel can assist me in my learning about specific issues. They have the knowledge and can pass it on.

Dex, Phase 3 Interviews

Kris indicated that she had not contacted her self-appointed mentor this term as she was doing it on her own:

I've left Anne alone this term. I've tried to work things through myself. I do ring her on issues where I need a wise and cool head to prevail and to advise me. I've contacted Joan, a nearby principal, as a local support as she is in a similar position to me. We meet regularly for coffee and mentor each other.

Kris, Phase 3 Interviews

It was interesting to note that the interviewees had begun to extend their networks. Whilst they still called upon other principals, especially those past principals they trusted and valued, they also began to establish contacts with those they felt could provide them with information, support or advice about the job. The interviewees sought out these mentors as they felt that some kind of reciprocal relationship existed. Madeline talked about her close friend 'to lean on', and Kris talked of her friend from another school in the area that 'offered help in the times of darkness.' As Andrea explained:

Julie, a friend at a nearby school, has become a good friend and a confidante when I need one. She is a local principal and going through the same dilemmas I am. It is good to share. A problem shared is a problem halved is my philosophy.

Andrea, Phase 3 Interviews
Regional Principal Consultant

Some respondents participated in their local collegial groups and others worked with the Regional Principal Consultants in their regions. Opinions were divided but most agreed the Regional Principal Consultant (RPC) was available if required and requested. Des and Kris summarized how many interviewees assessed the RPC’s influence on their Phase 3 learning:

A couple of times I have phoned the RPC to ask an important question. When I do ring they are quite helpful, but they don’t visit or contact you otherwise.

Des, Phase 3 Interviews

The RPC has been good. He comes out and visits or I’ll phone him. He helped me with a parent who went mental and reassured me that my gut feeling was right in the way I was handling it. It could have exploded in my face as it was all about the possible expulsion of a 14 year-old kid.

Kris, Phase 3 Interviews

Local collegial group

It was reported that the support of other principals in the cluster group had grown in Phase 3. New principals were creating new contacts and turning to surrounding colleagues for their support and information. This group was becoming a valuable source for informal coaching when requested, which was different from the past as they created new identities and sought to develop their own personalities within a new cluster of principals. Des talked about his growth in confidence whereas Andrea and Madeline discussed the close bond and wealth of information available to them should they need it. The role of this network, where the wealth of knowledge and potential source of information was valued, also provided a range of new people interviewees were getting to know, and felt comfortable with, when times of real need arose. Seeking out new people was a proactive learning strategy that
interviewees felt they now could use. This was principal networking at its best. These contacts were not seen as playing the role of ongoing ‘knowledge’ mentors, as outlined earlier, but as someone to briefly and regularly contact about a circular or Departmental issues. This group was now seen as a valuable source of learning that had slowly been cultivated by interviewees. As Kris related:

I have found that I now like to mix with principals who are like me, either a few years ahead, or a beginning principal just like me. I can go to them, ask dumb questions, and share my load. I know I won’t be seen as incompetent and will receive a warm hearing. I can rely on those around me in a similar position to my quality circle when I need help and a kind ear.

Kris, Phase 3 Interviews

Several respondents talked about how they had grown in confidence and had to develop new contacts within their cluster group:

It is a bit like sink or swim though with the local network. There should be a mentor appointed to help me. The local area network has regular meetings for information dissemination. It is probably too big to talk about real issues, but if you stay for lunch afterwards you can discuss things and get advice from experienced people. The local collegial group has six to eight schools and we say we must meet each term.

Des, Phase 3 Interviews

I’ve really valued my collegiate group. It’s more an information session than the sharing of ideas.

James, Phase 3 Interviews
The cluster group has helped. When I'm talking with them, I can ask an innocent question and then get an answer, and I think: Am I meant to be doing that too? It can be asking them what they are doing back at school, at this time, and they indicate they are doing staffing plans for next year. How am I supposed to know? Then the penny drops, I have to advertise my staffing. I suppose being exposed to that and hearing what they're saying is important. You can ask them and they will tell you answers, but I'm not sure I know enough to ask the right questions.

Madeline, Phase 3 Interviews

**Training and development**

The impact of different sources of learning in this area are shown in figure 5 as Training and development, each of which will be discussed.

**Department of Education, Employment and Training (DEET) Orientation Program for beginning principals**

The one and a half day mandatory Orientation Program (as part of the Department of Education, Employment and Training ongoing Induction program) was conducted during Phase 3 (Term 3). Most agreed that it was a useful collegial program, but all interviewees agreed that the timing was too late. They needed it earlier in their development. Opinions regarding the impact and influence of this program were divided. Some indicated that they gathered different things from the programs based on their needs and stages of development, and the programs really had a variable impact upon them. Interviewees indicated how they saw this program and how it influenced upon their role development:
The Planning for People workshop was very good and really on about setting up a project with some sort of strategy and structure for a small school. The first day was very good, unifying for me all of the things which will need to be addressed at the end of this term and the first month of next term with staff selection issues.

Des, Phase 3 Interviews

When asked if the Orientation Program was of value, Andrea replied:

Sessions were pertinent and addressed issues that face new principals. I would have liked it to be earlier.

Andrea, Phase 3 Interviews

It was Des who indicated that he had gained most from the Orientation Program when he said:

I came away from the session on: 'Working with the Team You Have' with lots of ideas to use with different people on staff. I’ve now tried to give the leadership team a more shared role rather than me always being the person who leads.

Des, Phase 3 Interviews

Kris was emphatic about the variable nature of the Orientation Program for her:

It was five months too late. I needed it when I started even during the holidays. I think networking in the program was difficult for secondary schools from my region.

Kris, Phase 3 Interviews
Professional development learning programs

The listed professional development programs (Principal and School Development, Peer Leadership Program, PRISM, and the Covey Seven Habits Program) cited by a few interviewees were seen to have been very beneficial for those involved. Andrea, Madeline, Kay, and Marisa describe in the following how significant these programs were in helping them develop as principals during this phase.

Principal and School Development

Two of the principals, Andrea and Madeline, had enrolled in a collegial leadership program entitled: The Principal and School Development Program around the theme Developing Quality Schools. This was a peer-supported cohort program involving regional and residential professional development components, including regular meetings, school visits and exchanges of ideas around a nominated school project. Andrea was more enthusiastic in her view of the impact of the program on her development than Madeline who was in the same collegial group:

The Principal and School Development Program has been fabulous for discussion and listening to others, but I don't think we have put as much on paper. It's quite a diverse group. There's a mixture of Madeline and myself, who are new, with a group of experienced principals. It has been useful in learning strategies about how to handle things and through the interaction more so. School visits have also been fabulous.

Andrea, Phase 3 Interviews

It has been good and it has taken me beyond my region and given me another reference group of small schools to contact.

Madeline, Phase 3 Interviews
PRISM: Peer Leadership Program

This professional development program was significant for Kay who had reservations before she began. Kay talked about the impact it had upon her and the development of her principal’s role. At first, she felt intimidated and out of her depths, but her apprehension changed as she immersed herself in the program:

Perhaps the biggest learning for me has been through the Peer Leadership Program, PRISM, where I partnered up with Ross, a local principal.

Interviewer: How has that worked?

Ross and I formed a really strong bond in terms of professional support for each other. I was very tentative when I started the program. Here I was a beginning principal in a room with so much wisdom and experience gathered there. It was scary. But Ross has been a principal for three years and he looked after the ‘new kid on the block’ and we both talked about what we could offer. I thought it was going to be one-sided, but I don’t think so now and I’m sure that Ross doesn’t think that either. We made a point, as part of our joint school improvement plan and agreement, that we would keep in contact by email or phone each week, and meet once or twice a term. We visit each other’s schools for half a day so we could shadow each other.

Interviewer: How did that work?

Better than we thought actually. Ross is a bit more relaxed about it.

Interviewer: What do you think you learned from this program?

It is really that the support you get as a new principal. I can’t speak more highly of him. He and I surely would professionally have regularly touched base. Just to know I have a backstop, confidante and sounding board is comforting. Both of us have used ideas from the program. I guess we might have been lucky that we hit it off like that.
You need support. I realized I did, but I probably wouldn't have asked for it. It has been more valuable than I ever thought it could be.

Kay, Phase 3 Interviews

Covey’s Seven Habits Program

Marisa indicated that the Covey Seven Habits Program had a great impact upon her and what she would do as a principal and a person:

I’m refining it in my head as to what I will and must do to be a better mother and to set aside time for family. I like the way it was run and there were things to use with the staff in the future about the way we will be doing things around here.

Marisa, Phase 3 Interviews

Formal management education

There were no reports of any of the interviewees wishing to undertake this form of training during this phase and this is shown in Figure 5 as Formal management education. They indicated that whilst it may have been helpful to them as a principal, they did not have the time or inclination to attend.

Phase 3 summary

This chapter focused on learning derived for principal role development. This analysis began by examining the phase 3 sources of learning on the role development for beginning principals using the Cattegno and Millwood (1995) Work based Learning Management Model. Data indicated a dependence on informal task learning with the support of others with little interest in more formal learning. It next section examined the impact and influences of the identified sources of learning on the development of a role conception for beginning principals during this phase. Data indicated that interviewees were still dependent on learning technical and administrative aspects of their role.
but were beginning to utilize knowledge mentors in the collegial group to assist them.

It was evident in this phase that several transformations had occurred. No longer were these beginning principals just dependent learners. They had begun to emerge from the earlier onslaught of the demands of the job that were taking much of their personal and professional time. There was a sense of control and role clarity that had been developed about the role. Growth in understanding the requirements of the job had been mastered and refined where interviewees could begin to build their own role as they first envisaged it.
Chapter 7

Phase 4: Consolidation Phase

Post impressions: feeling accepted in the role

The emphasis in this chapter will centre on Phase 4 role learning where interviewees reported that there was a growing manifestation of wisdom. Beginning principals felt they had reached a milestone as they had begun to realize that they had survived and completed almost a year in the principal’s role. They had begun to expand their sources of learning and this is illustrated in Figure 6. Reflection and hindsight proved to be significant ways for interviewees to revisit and review some of their learning experiences over the year.

This chapter analysis begins by examining sources of learning on Phase 4 (consolidation) role development using the Cattogno and Millwood (1995) model. The aim is to catalogue the reported Phase 4 sources of learning that were accessed and utilized in developing their principal role. The second section will examine the impact of these Phase 4 sources of learning in developing the principal role. It will also focus on how some of specific sources of learning were more influential in shaping the principal role through this phase of the study, and then review the significance of identified sources of learning on the development of their roles throughout the year.
1. Sources of learning for beginning principals

![Diagram showing sources of learning]

Data were collected through final interviews with the original seven beginning principals and written surveys with the same group of beginning principals who participated in Phase 1.

Phase 4 interviews continued with the same format as in previous phases, but with the additional inclusion of some selective questions (in both final interviews and the group survey) on the significance of sources of role learning over the year. An examination of Phase 4 sources of learning for interviewees will now be undertaken. The interview schedule is shown in the Appendix on pages xv.
Interview analysis

Using the Cattegno and Millwood model, participants were asked to review both their Phase 4 sources of learning, and to revisit their learning over the past twelve months in the job. This was an attempt to ascertain what and how different sources of learned have been influential in their role development as a principal. Tables 24 and 25 summarize their responses about the importance of the sources of learning in Phase 4 in their development of their role of the principalship. Again, the data gathered from the interviewees revealed more informal sources of learning, through work role learning experiences and work relationships (which was a continuing trend in the study) as the most significant for them. Table 26 indicates the perceived impact and influence of sources of learning role development during this phase.
<table>
<thead>
<tr>
<th>Source of Learning</th>
<th>Area</th>
<th>Andrea</th>
<th>Des</th>
<th>James</th>
<th>Kay</th>
<th>Kris</th>
<th>Madeline</th>
<th>Marisa</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Task Focused Learning</td>
<td>Work role experiences</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>2. Other Principals</td>
<td>Work relationships</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td></td>
<td>Work relationships</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>X</td>
</tr>
<tr>
<td>3. Cluster Collegial group</td>
<td>Work relationships</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>X</td>
<td>✓</td>
<td>✓</td>
<td>X</td>
</tr>
<tr>
<td>4. Employer DEET Management Skill Training Program.</td>
<td>Training and development</td>
<td>X</td>
<td>✓</td>
<td>X</td>
<td>✓</td>
<td>✓</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>5. Covey 7 Habits program</td>
<td>Training and development</td>
<td>X</td>
<td>X</td>
<td>✓</td>
<td>X</td>
<td>X</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>6. Principal and School development</td>
<td>Training and development</td>
<td>✓</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>✓</td>
<td>X</td>
</tr>
<tr>
<td>7. Peer Leadership Program</td>
<td>Training and development</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>✓</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

(Key: ✓ indicate sources of learning  x indicate no response)
2. The impact of sources of learning in developing the principal role

On reflection, interviewees still continued to identify informal sources of learning as most influential in developing their role of the principalship during phase 4. As shown in Table 25, informal learning experiences in work role learning and work relationships remained dominant influential sources of learning through task focused learning (25.9%), other principals (25.9%) and the cluster collegial group (18.5%). Training and development (28.8%) was seen to have a greater significance and impact than in previous phases (By comparison this accounted for only 14.5% in Phase 2). No formal management education was reported as significant by interviewees. In this final phase, it appears evident that there is a greater connection between formal and informal sources of learning to help further supplement and extend learning in the role.
Table 25: Phase 4: Sources of learning identified as important by interviewees

<table>
<thead>
<tr>
<th>Sources of Learning</th>
<th>Area</th>
<th>Mentions</th>
<th>Percentage</th>
<th>Percentage of Whole</th>
<th>Ranking Importance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Task focused learning</td>
<td>Work role experiences</td>
<td>7</td>
<td>100</td>
<td>25.9</td>
<td>1</td>
</tr>
<tr>
<td>2. Other principals</td>
<td>Work relationships</td>
<td>7</td>
<td>100</td>
<td>25.9</td>
<td>1</td>
</tr>
<tr>
<td>3. Cluster collegial group</td>
<td>Work relationships</td>
<td>5</td>
<td>71.4</td>
<td>18.5</td>
<td>2</td>
</tr>
<tr>
<td>4. DEET Employer management training</td>
<td>Training and development</td>
<td>3</td>
<td>42.8</td>
<td>11.1</td>
<td>3</td>
</tr>
<tr>
<td>5. Principal and School Development</td>
<td>Training and development</td>
<td>2</td>
<td>28.5</td>
<td>7.4</td>
<td>4</td>
</tr>
<tr>
<td>6. Covey's 7 Habits Program</td>
<td>Training and development</td>
<td>2</td>
<td>28.5</td>
<td>7.4</td>
<td>4</td>
</tr>
<tr>
<td>7. Peer Leadership Program (PRISM)</td>
<td>Training and development</td>
<td>1</td>
<td>14.3</td>
<td>2.9</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td></td>
<td>27</td>
<td>100%</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>
Interview analysis

The sources of learning of how beginning principals perceived their Phase 4 role, and how they had learned their role over the year are reflected in Table 26. Beneath these sources, the data indicate that in this phase there were now more integrated sources of learning for beginning principals. It is clear that work role learning experiences now centred on the assimilation and meshing of role knowledge (both propositional ‘know-what’ and procedural ‘know how’) with a variety of contextual school tasks associated with managing people and school issues. Accompanying this development was a corresponding emergence of a growing understanding of their school role within the school and the system. Furthermore, work role learning was now supported by local peers who help provide assistance in the learning of tasks or in tasks required for the role. As James suggested ‘I had pretty good knowledge of them and I have hired in peer expertise, as I have needed them.’ (James) Work relationships provided an enduring and solid source of reference, support and a link for understanding issues and tasks about the school workplace learning. Andrea suggested ‘To be with colleagues and talk, just being part of a group has been beneficial.’ (Andrea) Furthermore, some beginning principals felt they could now undertake selected employer training and development supporting the growth of their management expertise. Some interviewees reported a significant impact and influence of self-selected ongoing, professional development programs in their growth and development in their principal’s role. This view reflected in the following: ‘Having a colleague alongside and nearby as a mentor, and now as a friend to assist and guide me was great. He treated me with respect as an equal even though I knew I wasn’t yet (Kay); Get a clear idea of what you need and the knowledge about what has to be done year and then target your training to get the knowledge. (Marisa)
On the whole, the combination of workplace role learning experiences with opportunities for collegial and collaborative learning proved to be invaluable. This involved regular peer meetings and school visitations. There is little doubt that this form of growth was considered as highly significant for those who participated. No *Formal management education* again was reported by any of the interviewees.
Table 26: Phase 4: Impact and influence of sources of learning for interviewees in role development.

<table>
<thead>
<tr>
<th>Sources of Learning</th>
<th>Type of Learning</th>
<th>Impact and Influence</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Work role experiences</strong></td>
<td>Integration of self-knowledge linked to technical tasks, knowledge and contextual school learning of tasks</td>
<td>Handling technical tasks</td>
</tr>
<tr>
<td><strong>Task Focused learning</strong></td>
<td>Propositional ('know-what') procedural ('know-how') linked to systems understanding and applied settings in the school ('knowing-why')</td>
<td>The understanding of administrative purposes and learning there has been the biggest learning curve for me. (Madeline)</td>
</tr>
<tr>
<td>- handling</td>
<td></td>
<td>I had pretty good knowledge of them and I have honed in prior expertise, as I have needed them. (James)</td>
</tr>
<tr>
<td>- technical tasks</td>
<td></td>
<td>Managing People and School Issues</td>
</tr>
<tr>
<td><strong>-people issues management</strong></td>
<td></td>
<td>There have been a number of situations involving working with people who have had opposite views which made me learn to be clear in my own mind and be thoroughly prepared. (Des)</td>
</tr>
<tr>
<td><strong>-addressing school issues</strong></td>
<td></td>
<td>Probably, when I have been put in a parent conflict situation and when I have to deal with it, and manage it well. (Kris)</td>
</tr>
<tr>
<td><strong>Work relationships</strong></td>
<td>Development of self-knowledge linked with collaborative learning with coaching and peer-assisted learning</td>
<td>Principal mentors</td>
</tr>
<tr>
<td>- principal mentors</td>
<td>Types of knowledge: propositional ('know-what') procedural ('know-how') applied to school settings and systems understanding ('know-why')</td>
<td>Wanting and need a mentor to ask about things. (Marie)</td>
</tr>
<tr>
<td>- other mentors</td>
<td></td>
<td>To be with colleagues and talk, just being part of a group has been beneficial. (Anines)</td>
</tr>
<tr>
<td>-cluster collegial group</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Training and development</strong></td>
<td>Development of collegial networking, collaborative learning and contextual learning and skill development</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Types of knowledge acquired propositional ('know-what') procedural ('know-how') systems understanding ('know why')</td>
<td></td>
</tr>
<tr>
<td>Training and development (cont.)</td>
<td>Peer Leadership Programs</td>
<td>DEET Training Programs</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>--------------------------</td>
<td>------------------------</td>
</tr>
<tr>
<td>Integration of peer-assisted task learning and coaching about proposition as procedural learning about school improvement projects</td>
<td>Principal and School Development Working with colleagues in a group program was supportive and helpful. (Madeline) It has been a fabulous link being able to share and learn with others. (Andrea) Peer Assisted Leadership Program (PRISM) \nHaving a colleague alongside and nearby as a mentor, and now as a friend to assist and guide me was great. He treated me with respect as an equal even though I knew I wasn’t yet (Kay)</td>
<td>Self-directed learning and task focused management skills required for school management and oversight \nSome seeking of targeted propositional and procedural role knowledge to accommodate role and system’s knowledge</td>
</tr>
</tbody>
</table>

**Work experience: Work role**

**Interview analysis**

Of particular interest at this point is that learning predominantly grew through the synthesis and integration of theory and practice. Furthermore, the conceptual understanding of employer requirements and tasks, along with managing people and significant school issues, were still main sources of
experiential workplace role learning. What had changed in Phase 4 was the way that interviewees and survey respondents had learned to deal with both issues and people. They were beginning to integrate all the aspects of the role informal learning and formal learning experiences. While the development of basic mastery of propositional and procedural knowledge occurred in earlier phases, what was now appearing was a clearer development of a systems understanding (‘knowing why’) about the role. This had begun to develop for some interviewees in Phase 3, and most in Phase 4, where they felt the needed to be responsible, knowledgeable, competent and capable to lead their school as a principal.

From the accumulation of facts and information, which were evident in Phases 1 and 2, there had been a slow and gradual modification in thinking about learning, and using knowledge in the role. Consequently, through Phase 3, there had been some re-conceptualizing, linking, and re-confirming of their knowledge in their role. In phase 4, this was brought about through the development of general processes of problem-solving, reflection, and critical thinking. Accordingly, subjective and received knowledge about the role of the principal had been usurped by the acquisition of more sophisticated procedural, connected, contextual knowledge where beginning principals had found their own voice and confidence to develop their own image in the role. No longer were they beholden to others or the ghosts of past principals to be able to do the job in their own image and right.

What had emerged in this phase were confident and assured principals who were more comfortable with their own image and job performance. The impact and influence of various sources of learning (shown as Work experience: Work role in Figure 6) indicates how interviewees now describe their learning and understanding about their role and how they would advise newcomers in developing this principal role.
Task focused learning: technical tasks

It is clear that interviewees had now integrated various ways of learning during this phase about addressing school administrative tasks and what they would tell newcomers. Kris was quite emphatic: ‘My advice is to go and find themselves a mentor who has done it all before and not to panic with things like the budget. There’s always somebody who works it out and prepares a paper in your region,’ while others offered a range of ideas which helped them develop their roles. Others commented on the technical aspects of the job they had learned:

I’ve learned so much that I don’t know where to start. I suppose the school global budget and finances have been one of my biggest challenges. The other one is just coming to terms with the technology of learning. I used and applied it in my classroom but this was different. It was learning to use them in a different way and integrate it into a wider framework. The understanding of administration purposes and linking them has been the biggest learning curve for me.

Madeline, Phase 4 Interviews

In the area of workforce planning, Cases, Human Resources Management Systems and learning about the computer administration packages, I would recommend others to go to workshops. I really believe that to survive I needed to hire in the expertise. I think it is worth ten visits to professional development program.

Andrea, Phase 4 Interviews

Handling difficult issues and people

Interviewees explained that in Phases 2 and 3 they mainly listened and tried to develop strategies to handle issues, but in Phase 4 they learned to address people and school issues through constant listening and feedback, getting
processes right and being more reflective. This was a major shift and something interviewees considered important in their development.

Andrea and Des share their learning: ‘Talking with people and listening has been enlightening for me’ (Andrea, Phase 4 Interviews); ‘It has probably been a number of situations usually involving working with people who have opposing views about something, and, trying to work my way through that’ (Des, Phase 4 Interviews).

Kris was more reflective but still questioned her effectiveness in the handling of the ‘gut wrenching issues’ that principals face. She indicated how she tapped a number of sources of learning and support to help debrief the experience:

> The best on-the-job learning advice I can give has probably come from when I have been put in a parent conflict situation and when I have to deal with it. Often, I haven’t been happy with the way they’ve been dealt with. But, I personally, haven’t been happy with the way I have also dealt with them and, I suppose, talking through those things with key staff, and through debriefing with people like experienced colleagues, they have helped me change the way I’ve felt. I haven’t been as unhappy thinking I could have done it better, or this way or that. Just knowing next time being able to reflect and bring things into the memory banks so I will now do things differently, and that’s been a good learning experience for me. So, I suppose the ability and willingness to ring people up, and not to be too frightened to do it, and not thinking I can’t ring them because they’ll think I am an idiot!

Kris, Phase 4 Interviews
Work experience: Work relationships

The advice and wisdom passed on by interviewees about the powerful influence of their networking and dependence upon 'knowledge' mentors and credible colleagues was apparent in Phase 4. This is shown in Figure 6 as Work relationships. Similar to the earlier phases, interviewees indicated that this level of contact in their local group was not extensive, but had to be one built on trust and expertise. It had now taken a prominent place in their work lives. This influence of collegial learning and cooperative sharing was both evident and important in other phases, but was now an important source of knowledge and learning that was successfully integrated with workplace learning. What had now emerged was the role they had developed about how the job had moved from the earlier phases of one of initial calls of help to others, to one of initiating dialogue about common issues among equals.

Principal mentors

Knowledge gained earlier had been acquired and synthesised into the development of a larger framework of understanding about the role. Furthermore, colleagues had been cultivated as mentors or coaches by interviewees in the local cluster group as their own trusted contacts and collaborative and networked sources of information.

Marisa indicated the importance of developing trust and knowledge in her colleagues when initially she was treated as the new kid on the block:

I think when you have become a new principal you are seen as 'the new kid on the block.' You don't know the right things to ask and say, but once you learn and begin to know, you feel far more accepted by them in your cluster. I sought out principals I felt I could learn from. So you are able to go to a principal's meeting and talk at their same
level. But at the start, you have no idea what to say so you sometimes don’t enter the conversation because you can’t.

Marisa, Phase 4 Interviews

Des indicated how he had absorbed and learned from other colleagues who perhaps had not even realized that they were filling vital coaching roles and sources of learning for new principals:

The principals’ meetings I have found invaluable because, if you experience a problem, it’s great to go to one of these and find almost everyone in the same boat, even experienced principals of fifteen years. They still have difficulty with certain staff, or angry parents, or PRMS or global budget issues. They have the same problems I have. I suppose that, in some ways, is a bit depressing that it doesn’t get any better how experienced you are. But, it is nice to know that if you have a problem, it’s not just me, and you can share it and try to solve it. I seek out certain people for advice and support.

We have formed a coalition with different people, at times, depending on what the issue is. You can pick up the phone and find out who is available. Some people you know are able to help and you can refer to them to help coach you through it. You know that Joe is very good with global budget, and that somebody else is good with human resource issues in dealing with difficult people. So gradually you build up your own network of experts because they know or can point you in the right direction. That is quite refreshing as you can go and visit. It gets you out of your school and that is one of the nice things about the job that you have that flexibility. It doesn’t lock you into a 9 to 3.30. Going to other schools refreshes me and helps me through things.

Des, Phase 4 Interviews
Collegial links and support

Interviewees felt they had been admitted and accepted into the local 'tribe of elders' and allowed to enter the sacred ground inhabited by equals. Interviewees affirmed this influence and integrated nature of their learning sources when they referred to the ways they used their colleagues to support them. For instance, Madeline talked about others in her cluster being supportive and knowledgeable and able to help overcome the loneliness of the job while Marisa talked about learning from those selected cluster group principals with expertise in certain areas to support and advise her. The cluster network was still the lifeline of support, but now helped interviewees gain perspective and link workplace issues and learning with others through calling upon individual principals at cluster group meetings. Through this, they now considered themselves an equal amongst equals as they were seeking out individuals of equal status. They were now feeling accepted and comfortable in the local group and felt they had 'earned their stripes' amongst their equals. The influence and impact of work relationships over the year was clearly articulated by interviewees in the following way:

Just make sure that you've got a big network. In some ways, my colleagues wouldn't have realized they've helped me. Quite often at a network meeting you discuss things about how things are happening at your school, and someone gives me an idea that I think I can use.

James, Phase 4 Interviews

Kris was more clear about what she needed and how to access it in her learning from colleagues. Her networks were well established, but she also was selective in who she used and trusted:
I have new strong contacts in my present cluster than I would have had at the beginning of the year. I'm less likely to ring Peter who was in my previous cluster for advice now. That's been a shift and it is about trust and whom you can rely on. I know them a lot better now and I can ring up and have a cry on the phone. Carol and Rhett are people I can turn to. I know I can ring them up at home even late at night, but that's o.k. I wouldn't have done it at the start of the year because I didn't know them and might have thought I was an incompetent fool. My advice is (to) make links with the local group. You might know some but don't be coloured by the opinions of others. There's been a shift because I feel part of the group. I knew that in other clusters that there were trained mentors available. That would have been good and would have given me someone to talk things through with at times. I didn't have that option and I had to work out whom to contact. I had a good relationship with the regional principal consultants, but it's still not like having the same person at the same level as a mentor.

Kris, Phase 4 Interviews

*Training and development*

In the earlier phases, *training and development* programs had not been a significant source of learning except in meeting administrative requirements. Overall, they had been not influential and had been intermittent, except for those three interviewees (Andrea, Kay and Madeline) who had enrolled in long term programs in Phase 2. It was noticeable in Phase 4 that the interviewees were beginning to undertake and involve themselves in targeted professional development to meet their own needs and combine the learning with *work role* learning and through developing *work relationships*. This is shown in Figure 6 as Training and development. Interviewees had a number of suggestions for those considering taking up the role by highlighting the need
to do the basic learning and training in the key administrative areas. It was clear that these were not to be one-shot experiences in learning a skill in financial management, but the need to link it to on-going learning, regional support with colleagues and regional workshops.

In Phases 2 and 3, interviewees had indicated that their learning opportunities about the vital things they required were often spasmodic, unrelated and chunked. It was unfortunate that there was no systematic development or planning about their learning, or any structured help to enable them to make sense of it. There were discrete and disparate pieces everywhere and they did not have the experience or expertise, at times, to thread these together in the workplace. Some interviewees indicated the vital role and impact played by some of the targeted professional development they had chosen for the year, along with the support structures underpinning the programs, which were seen as key elements in to link formal and informal learning experiences together. What emerged was the way that these interviewees were able to link their learning to school projects supported by a collegial reference group and provided some illustration of this integration and application of workplace learning, and collegial support, with professional development.

**Regional skill development**

There was an obvious trend emerging during this phase where interviewees indicated that were able to find time to attend specific targeted regional workshops to help them ‘up skill’ themselves in different areas. Marisa indicated that this was a view shared by other interviewees. Attending targeted workshops on specific skill development helped her gain knowledge and integrate it about what the employer’s expectations for her were and how she should manage the area. She also liked the way that she could mix with her peers and gain knowledge from them. This was supported by Kris and Andrea who said they were attending with the belief that they were ‘honoring their skills
and feeding off other principals’ (Kris). Obviously, this source of learning had
gained importance as interviewees could select and attend those workshops
that they felt they needed in their role development.

The advice offered to newcomers was the need to have some training and
understanding in the administrative side of their enterprise. In Phase 2,
building the capacity to deal with the managerial requirements whilst learning
to run a school at the same time, was seen as a daunting experience. In
retrospect, the interviewees saw that some form of pre-take-up training with
peer support would have been invaluable.

Obviously, do the basic things in learning about school administration. I
think the region should provide some PD in the term before you take up
your position. If I had been given a mentor that too would have been of
help to talk me through the issues and the role, although you don’t really
know what you don’t know until you take up the position. I think to
know how the global budget is composed. I went to some PD later in the
year and they talked about budget issues, occupation health and safety
and a range of issues I was unaware of. There are issues that principals
need to know about from the beginning and should be offered each term.
I recommend that you don’t try and take on too much though. This term I
have been selective and attended regional briefings and workshops to
increase my skills. Having other principals participate and take some of
these sessions has been great and very supportive for me. I now know
what I need to know. It has taken me all year to be able to do this
because I can link it all together.

Andrea, Phase 4 Interviews

I think anything that helps you with the financial side because it is what
School Council expects you to be an expert in. Any of the courses run by
the region or the department on things you have to be on top of are important. I would have been quite prepared to do these during the vacation in my own time, and avoid the overload and restrictions in time. I had to give in trying to learn and understand the systems when starting out. That was ridiculous! Now I go to those regional workshops that are useful in increasing my skills and knowledge as a principal.

Des, Phase 4 Interviews

**Principal and School Development**

Some interviewees indicated that some long term program such as the Principal and School Development program, had been beneficial in their role development as a principals. Their views are summarized below:

Working with colleagues on a program was good. Because they were from out of my area, they gave me the added dimension of getting to know people from similar schools. It extended my network with smaller schools. It is useful to be able to talk to someone in a similar position, more so now, as we had special time together, you get to know them better, and feel more comfortable with them. The focus on an area of the school curriculum kept me focused on improving my school. We’re working together on a project directed towards my Triennial Review next year. I feel it is important in some ways to develop ownership by choosing a small thing and working on it. This term I have become more strategic in my role and my learning thanks to the program. I can then feel I can add it to my role in developing the big picture and through the development of the school’s charter.

Madeline, Phase 4 Interviews
I would advise colleagues to do the Principal and School Development Quality Schools Program. We have talked, shared policies and ideas and generally focused on a school improvement project linked to my new charter. This term’s culmination has helped me realize how it has taught me about developing and learning the principal’s role. It has been a wonderful supported learning experience teaching me really how to be a good principal. I now know I can do it.

Andrea, Phase 4 interviews

**Formal management education**

No undertaking of any formal management education was reported in Phase 4 and this is indicated in Figure 6 as Formal management education.

The sources of learning in Phase 4 were becoming merged and integrated by beginning principals through the development of greater understanding of their roles. This phase presented an invaluable opportunity to reflect upon their learning over the year, which will be examined in the next section.

3. **Sources of learning in developing the role over the year**

In collecting the data in Phase 4, the researcher decided to have beginning principals review the year and ask them to reflect upon those experiences and learning about the role of the principal. They were asked to give advice to a hypothetical new colleague who was taking up a nearby school for the first time as a new principal. The purpose of this approach was to have both interviewees and survey respondents review what they thought now would have been helpful learning strategies when they began. A copy of the Phase 4 survey is shown in the Appendix on pages xvi-xx.
In Phase 1, interviewees and survey respondents gave lists of requirements and needs in training but, at this early stage, they did not know what they needed to know in order to become a competent principal. Now they had some benefit of some hindsight combined with a growing collection of reflected wise thoughts about a wide range of experiences in the job. They now knew what they needed and perhaps felt they could pass on part of their learning to others following them. The views of the survey group are shown in Tables 27 and 28 in relation to the perceived effectiveness of various sources of learning on their development over the year.

**Survey analysis**

The survey group was asked to indicate the perceived effectiveness of different quadrants of learning on their development as a principal. Table 27 highlights the perceived effectiveness for the survey group of different sources of informal and formal learning when combining effectiveness levels 4 and 5. *Work role* learning with other forms of learning including both *work relations*, and *training and development* as being influential, with little or no support for *formal management education*. Again, this is indicated in Table 27, in their development of the role and learning about the principalship, *work role* learning experiences (100%), and *work relationships* (95%), *training* and *development* (60%) were considered to be having the least effect (5%).
Table 27: Phase 4: Perceived effectiveness of sources of learning in preparing for the role reported by survey group.

<table>
<thead>
<tr>
<th>Area</th>
<th>Ineffective</th>
<th>2</th>
<th>Effective</th>
<th>3</th>
<th>4</th>
<th>Very Effective</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. School work role experiences</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>6 (30%)</td>
<td>14 (70%)</td>
<td></td>
</tr>
<tr>
<td>2. Work relationships</td>
<td>-</td>
<td>-</td>
<td>1 (5%)</td>
<td>10 (50%)</td>
<td>9 (45%)</td>
<td></td>
</tr>
<tr>
<td>3. Training and development</td>
<td>-</td>
<td>-</td>
<td>8 (40%)</td>
<td>8 (40%)</td>
<td>4 (20%)</td>
<td></td>
</tr>
<tr>
<td>4. Formal management education</td>
<td>10 (50%)</td>
<td>2 (10%)</td>
<td>7 (35%)</td>
<td>1 (5%)</td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>

*Responses are frequency of mentions reported in questionnaires*

The survey data on the influence and impact of sources of learning over the year based with the frequency of mentions is shown in Table 28. Sources of learning indicated that most were drawn from informal sources through work role learning experiences (47.1%), and, through work relationships (22.6%), whereas, formal sources of learning through training and development (24.5%) had increased, formal management education was considered insignificant as a source of learning the role (5.6%).
Table 28: Phase 4: Survey data on important sources of learning in developing the role

<table>
<thead>
<tr>
<th>Area</th>
<th>Mentions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Work role learning experiences</strong></td>
<td></td>
</tr>
<tr>
<td>Staff in the school</td>
<td>6</td>
</tr>
<tr>
<td>Task centered self-learning</td>
<td>3</td>
</tr>
<tr>
<td>Technical/ Budget</td>
<td>3</td>
</tr>
<tr>
<td>Handling people issues</td>
<td>2</td>
</tr>
<tr>
<td><strong>Experience/Wisdom</strong></td>
<td>11</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>25 = 47.1%</td>
</tr>
<tr>
<td><strong>Work relationships</strong></td>
<td></td>
</tr>
<tr>
<td>Collegial group</td>
<td>7</td>
</tr>
<tr>
<td>Others: Principals, mentors</td>
<td>5</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>12 = 22.6%</td>
</tr>
<tr>
<td><strong>Training and Development</strong></td>
<td></td>
</tr>
<tr>
<td>Principal professional development programs</td>
<td>5</td>
</tr>
<tr>
<td>Technical training</td>
<td>3</td>
</tr>
<tr>
<td>Regional training</td>
<td>2</td>
</tr>
<tr>
<td>Principal Orientation program</td>
<td>2</td>
</tr>
<tr>
<td>Principal Conferences</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>13 = 24.5%</td>
</tr>
<tr>
<td><strong>Formal management education</strong></td>
<td></td>
</tr>
<tr>
<td>Educational Administration</td>
<td>3 = 5.6%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>53 = 100%</td>
</tr>
</tbody>
</table>
Preparing for the Role

In this section, both interviewees and the survey group were asked to review their role learning over the year. Consequently, three themes were probed in the interviews and questionnaires in relation to the (1) desired experiences in preparing for the role; (2) sources of learning used over the year; and (3) sources and types of learning experiences in preparing for the role, and these are outlined in the following section.

1. Desired experiences in preparing for the role

Interview analysis

Work experience: Work roles

Interviewees pointed to the need for planned school and regional orientation infrastructure that would have helped their entry into the role and the school. Most of their experience was left to chance and occurred by default rather than design. They indicated that structured developmental experiences with a mentor linked with professional training could have assisted their entry into the role. Andrea suggested: ‘If they had been appointed for the following year, I’d say go to the school as often as possible so they can acquaint themselves with the School Council, the staff and policies, and such. It is a chance to get a feel for the culture of the school but that becomes a bit difficult to do before you get there.’ Her comments indicated the importance of practical strategies, which they believed would assist entry to the school along with what they had learned.

I’d say that number one should be take your time to develop relationships. I would have liked an orientation and settling in school
induction process. I would recommend get to know the school community first. Don’t make any huge decisions and take it slowly.

Interviewer: Do you see that your role has changed over the year for you?

I’m far more visionary now I know where I would like to go. My vision for the school has been cemented in that time, and my role is thus clearer as is the management and leadership of the role. So that would be the biggest change for me in getting a clear image of the role I perform. My personal coach helped me up-skill myself in the area of handling conflict. We should always have somebody there as a mentor or coach to help us in the early days and ‘hold our hands’ when needed.

Marisa, Phase 4 Interviews

Interview analysis

Work experience: Work relationships

Interviewees recommended that they were now prepared to help newcomers so they would not experience the same early isolation and stresses they had suffered themselves in Phase 2. The interviewees indicated that finding trusted colleagues with the required expertise in technical training or handling difficult people issues could occur through the local cluster group assigning a team of principals to work with new principals through the year. They would be responsible for ‘nurturing, debriefing, coaching and developing beginning principals as required’ (Des). Madeline was more emphatic: ‘One of the most important things is to identify people to contact, on whatever scenario you are working on, whenever you are not sure about what you are doing, get some advice. Know the best person to contact from the region, or a colleague, or whether to outsource or bring in a consultant’ (Madeline, phase 4 Interviews). This, of course, does not happen by chance, but requires district and cluster
learning. Furthermore, it would help provide the glue and help make connections to the whole art and craft of being a principal.

The things I would suggest would be to talk to reasonably experienced principals and get a clear overview of what are the key things that have to be done throughout the year like the Annual Report you need to start in time and the School Council Annual elections. You need to have a time-line of what is expected in Term 1 and somebody to tell you what to do. These are the sorts of things you have to do where there’s nobody really out there to prompt you about it.

Des. Phase 4 Interviews

Madeline was adamant:

I really needed a mentor or a cluster group that organizes people to support and help you at meetings and afterwards in review sessions not by chance but as part of the group’s responsibility to newcomers.

Madeline, Phase 4 Interviews

Survey analysis

Data gathered from the survey group is shown in Table 29 as desired experiences that would have supported novices in developing their role. The findings expressed by the interviewees who suggested that structured work role learning experiences (72%), supported by developing work relationships (20.5%) through peer support, were the most valuable sources of learning in preparing for the job. This is further illustrated by data shown in Table 30 indicating the range of practical wisdom and advice that they felt they had gained from their experience in the role over the year. This was mainly through work role learning experience in task-focused learning, and through
learning to handle a wide range of issues related to people and critical school incidents.

Survey respondents indicated the advice they could now offer that would have helped them to prepare for the job (see Table 30). A number of respondents indicated that a collection of practical ideas and craft wisdom and a school handover booklet would have been invaluable. They suggested that these might contain collected wisdom from previous beginning principals with sources of knowledge and training courses to extend their understandings. Listed work role learning experiences that respondents considered as necessary in preparing them for the job were mainly task focused learning and learning to manage people and school issues. This is shown in Table 30 with ideas that would have been considered helpful in preparing for the job.

Table 29: Sources of learning* indicated by the survey group in preparing for the role

<table>
<thead>
<tr>
<th>Area</th>
<th>Mentions</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work role experiences</td>
<td>28</td>
<td>72%</td>
</tr>
<tr>
<td>Work relationships</td>
<td>8</td>
<td>20.5%</td>
</tr>
<tr>
<td>Training and development</td>
<td>3</td>
<td>7.5%</td>
</tr>
<tr>
<td>Formal management ed</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>30</td>
<td>100%</td>
</tr>
</tbody>
</table>

* Frequency of mentions
Table 30: Phase 4: Sources of useful learning experiences* reported by survey group as useful in preparing for the principalship

<table>
<thead>
<tr>
<th>Work role experiences</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Task focused learning</strong></td>
</tr>
<tr>
<td>Learn all you can about the school, the staff and the community.</td>
</tr>
<tr>
<td>Be well organized, be flexible, and be open and honest.</td>
</tr>
<tr>
<td>Ensure that you have wide experience in education in terms of roles, locations and relationships.</td>
</tr>
<tr>
<td>Be yourself though</td>
</tr>
<tr>
<td>Plan for life balance so that you have a life outside school.</td>
</tr>
<tr>
<td>Don’t be consumed by the role-have a life.</td>
</tr>
<tr>
<td>Be prepared and be flexible.</td>
</tr>
<tr>
<td>Evaluate yourself constantly.</td>
</tr>
<tr>
<td>General preparation for any job would be to hasten slowly and make changes to suit your mode of operation when you have a grasp of what is needed</td>
</tr>
<tr>
<td>Always do the homework needed and lead the school with commitment to children in your school.</td>
</tr>
<tr>
<td>Get in there, remember the panel has chosen you so, get familiar with the office, and don’t be afraid to make it yours.</td>
</tr>
<tr>
<td>Develop an action plan with required dates and tasks for DEET for Term 1.</td>
</tr>
<tr>
<td>Organization and planning are vital.</td>
</tr>
<tr>
<td>Learning to handle people and school issues</td>
</tr>
<tr>
<td>Get to know the staff and students.</td>
</tr>
<tr>
<td>Plan for continued student contact and get to know their names</td>
</tr>
<tr>
<td>Get fit and have a great holiday first</td>
</tr>
<tr>
<td>Get to know your staff, parents, School Council and children really well.</td>
</tr>
<tr>
<td>Get to know the community.</td>
</tr>
<tr>
<td>Have faith in yourself.</td>
</tr>
<tr>
<td>Gather the facts about the school from documents and people.</td>
</tr>
<tr>
<td>Read the guidelines and documents that are appropriate. Everyone should get a brief version of required reading and documents.</td>
</tr>
</tbody>
</table>
Learning to manage people and school issues

Take time to get to know people working for you. Listen and find their strength and weaknesses.

Relax and take on things you only feel comfortable with.

Identify what you want to do as a principal, write it down and keep referring to it, and check that you are still doing what you believe in, and not getting caught up with the unimportant issues.

Get to know the children and the parents.

Be highly organized and be open with everyone.

Get to know everyone through constantly being around the school and visiting them in their place of work.

Listen actively with an open door policy.

Look after, and survey your staff, as they are paramount.

Get to know the School Council. Meet with the President.

Become known to students, parents and the community.

Listen to what people say and ask of you.

Trust people and they will trust you.

*Frequency of mentions

2. Sources of learning used over the year

Both interviewees and survey respondents were asked to indicate how, and in what ways, they had learned about the role over the year. The data indicated there were significant ways that participants learned about the job by actually immersing themselves in the job in the workplace. The ‘learning it by doing it’ approach was a useful strategy to learn and keep up with the required tasks. Strategies which focused on learning to ‘focus on the important issues’ (Madeline), ‘the development of shared leadership and school issues’ (Andrea), learning to ‘protect the role’ (Des), and developing approaches to ‘shared learning’ (Kris) were mentioned by interviewees as crucial ways in which they had developed their roles. These comments are expanded in the following section.
Interview analysis

Work experiences: Work role

Interviewees revealed the learning strategies that they had adopted in learning the job and what they considered important to pass on to others. They indicated that they had learned and reflected upon their first-year experiences. Learning and doing the job are required in developing expertise. Being able to make sense and give meaning to the experiences required the development of higher order thinking and changes in behaviour where necessary.

Interviewees described the development of their learning and how they applied it in the job. They had learned from the experiences and were still fitting the pieces into their role to help them understand and lead their schools. It was noticeable in the data, that the task focused learning around mastery of technical and administrative tasks, which took up so much time in Phase 2 and some of Phase 3, was not regarded as significant in this last phase. But the ongoing themes of handling people and school issues were ‘basics and grist for the mill’ (Kay) and continued to dominate their time and work. While they approached these areas with hope, little training and preparation was offered or provided (in any of the phases) to help them handle these complex areas of the role. It was hard to comprehend that interviewees reported spending an inordinate amount of time addressing these issues and not receiving any support training and development in these areas. They were left to ‘muddle through or seek out a nearby colleague to help them make sense and resolve the issue’ (Andrea). Interviewees reported how they had learned and linked this to their job over the year.
Learning about the demands of the role

There is little doubt that learning about and being able to carry out the role are two different things. Interviewees mentioned the time when the separation between their roles and themselves as people sometimes blurred.

I think the thing I have learned is (to) try to focus on the important things and to ensure the correct processes are in place so you can focus on where you want to be and what you really want to be achieving. I've been to PD about leadership previously. I've got all the ideas up there, but when you get into the role, the ideas tend to slip away. You haven't always the chance to actually put that structure or those ideas into place.

Madeline, Phase 4 Interviews

You have to be careful though that you don't overload yourself and that's probably what I'm looking for now. I need to model that and I have to ensure that I get clarity in my role and change it as needed.

Marisa, Phase 4 Interviews

Learning about the role through managing issues and through people

Interviewees indicated a range of strategies they had successfully integrated over the year that helped them learn the role. They were to work with and through others so that ideas and the development of leadership became a shared enterprise:

There are lots of things that I anticipated about it, but I think the main thing I've learned is that whilst you are the leader, you still need the team.

Madeline, Phase 4 Interviews
The best ways that I have learned have been through Human Resources Management System training at the school, through my mentor, and with the office manager (who knows all) and we all learn together. The practical on-the-job training where the staff can tell you about the history of the school and the issues that are sensitive and precious to them, the local network of principals can guide and counsel when required.

Kay, Phase 4 Interviews

Not all experiences were positive, but had been used effectively by interviewees to get a positive outcome, as James' and Kris' comments illustrate:

A crazy parent assaulted me last October and that was a very difficult time personally for me. The parent was crazy, but I felt I was able to take a negative and make it into a positive. to bring the staff together. When the Emergency Management team came in to counsel the staff, but I found a lot of staff were more affected by it than me. But it helped in teaming and coming together, as sometimes you need things like that to build trust. It was a great support by the staff for me personally and I learned that they did care about me.

James, Phase 4 Interviews

The best learning is just picking up the phone and talking to other people that I've identified will be of help to me. These are people I think have strengths in particular areas in the role. So I will ring one colleague about a staffing thing that might be curly, but I wouldn't ring that same colleague about what to do with the global budget. Recently,
a lot of my colleagues panicked over the budget. I just waited for the
smoke to clear and rang around. I wasn't going to lose any sleep about
it.

Kris, Phase 4 Interviews

Survey analysis

Respondents were asked to identify the influential sources of learning
experiences and best sources of learning experiences over the year. The
results are shown in Tables 31 and 32. The reliance on workplace learning and
through work relationships were the most prominent experiences across the
year. It is interesting to note some of the reflective advice that the survey
group could now provide about the learning of their role. Examples from
Table 31 about work role learning about task focused learning and handling
issues include: ‘Don't wait for everyone to agree or you'll do nothing!’ or
‘You are the nurse, the disciplinarian, the confidante, the counsellor, and the
adviser, basically you’re it!’ (Survey respondent 12) In work relations,
examples included: ‘I have learned from just doing it—but also from asking
people who have been there as they have an extensive knowledge base to tap.’
(Survey respondent 18) or ‘Having a mentor help with the specific issues has
been a life-saver for me during this year.’ (Survey respondent 21). Tables 31
and 32 provides specific examples about the best sources of learning that
support learning and doing the job were the best sources of learning,
especially when supported by peers. Besides discussing what experiences
helped them learn once they were on the job, survey respondents revealed the
types of learning that they believed would have helped prepare them for the
role. Their responses are examined in greater detail below.
Table 31: Sources of learning experiences about the role over the year reported by survey group.

<table>
<thead>
<tr>
<th>Work role experiences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task focused learning</td>
</tr>
<tr>
<td>Through everyday experiences, professional development activities and through teachers and other principals.</td>
</tr>
<tr>
<td>Work hard to stay consistent as it is obvious that no one else wants to do the job.</td>
</tr>
<tr>
<td>If it's important, then you'll have to work out a way to get it done.</td>
</tr>
<tr>
<td>How huge the role is and how important it is to work with the School Council President.</td>
</tr>
<tr>
<td>Don't wait for everyone to agree-you'll do nothing.</td>
</tr>
<tr>
<td>Don't expect anything worthwhile to be easy.</td>
</tr>
<tr>
<td>Don't expect to do too much curriculum work.</td>
</tr>
<tr>
<td>Keep personal and private lives separate.</td>
</tr>
<tr>
<td>You'll never have anything done to your satisfaction.</td>
</tr>
<tr>
<td>Administration, action and advice.</td>
</tr>
<tr>
<td>I'm hopeless at solving plumbing and lighting problems.</td>
</tr>
<tr>
<td>Handling people and school issues.</td>
</tr>
<tr>
<td>That everyone depends on you. You are the nurse, the disciplinarian, the confidante, the counsellor, and the adviser, basically you're it!</td>
</tr>
<tr>
<td>It's all right to say sorry.</td>
</tr>
<tr>
<td>Be honest and open in your dealings and that you take care of your staff directly impacts on the teaching of the kids.</td>
</tr>
<tr>
<td>Manage staff interactions, visit and observe.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Work relationships</th>
</tr>
</thead>
<tbody>
<tr>
<td>Having poor support when I needed it.</td>
</tr>
<tr>
<td>Having and using a mentor.</td>
</tr>
<tr>
<td>I have learned from doing-but also from asking people who have been there and have an extensive knowledge base.</td>
</tr>
</tbody>
</table>
Discuss ideas with RPC, mentors, and other principals

Having a mentor help with the specific issues has been a life-saver for me during this year.

Support from a mentor.

RPC is helpful for advice.

Networking and cluster group

Listened to others, asked a lot of questions, being upfront and willing to have a go, attend cluster meetings and PD. with fellow principals.

Practical hands-on, some PD. and a good dose of collegial support.

Don’t be afraid to ask colleagues for good advice.

Talk to everyone about the best way to go about something.

Networking is essential but be selective about who you ask

I have learned the role from colleagues by attending briefings and through networks with principals. By experience, making mistakes. always checking it out the process with DEET, and by listening carefully to colleagues.

Gaining experience and networking.

In-services with colleagues allow time to share ideas.

Peer discussion groups around specific issues was great.

Experience and talking to other principals.

Training and development

Regional PD. and on-the-job experience
Table 32: Sources of best learning experiences about the principalship reported by survey group

<table>
<thead>
<tr>
<th>Work role experiences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task focused learning</td>
</tr>
<tr>
<td>Actually being in the role and having to deal with the normal and the unexpected on a day-to-day basis, and knowing I have a network of people to call on as support. I now understand the big picture and where my role fits in.</td>
</tr>
<tr>
<td>Doing the job and seeing the changes and improvement that you can make to the children’s environment and learning.</td>
</tr>
<tr>
<td>That I’ve been able to instigate change for staff working in CSF teams and developing effective integrated units of work.</td>
</tr>
<tr>
<td>Using Covey habits and seeing movement in a positive direction for children, and in learning for staff.</td>
</tr>
<tr>
<td>I think the financial management of the school, and, making managerial decisions, and seeing them through on HRMS, and then on the school global budget. It has taught me how to use data and be more creative in addressing school rather than individual needs.</td>
</tr>
<tr>
<td>The entire year has been an on-going learning experience with lots of reflection, evaluation and modifications to my role. The realization that no decisions were going to please 100% of the community, and my increased confidence in my ability to consider making decisions that will enhance the development of the school in the light of our vision for the school was an important point.</td>
</tr>
<tr>
<td>There have been so many, but the whole school focus on team building with effective tangible outcomes.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Handling people and school issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dealing with issues and feelings and get things done.</td>
</tr>
<tr>
<td>Parents give you accurate feedback and often new families opinions are most valuable.</td>
</tr>
<tr>
<td>Getting support from staff and being well prepared and well organized.</td>
</tr>
<tr>
<td>Welcome other points of view and using them to get a big picture.</td>
</tr>
<tr>
<td>Developing a good working relationship with your office staff and School Council president.</td>
</tr>
<tr>
<td>Learning to deal on different levels with a wide range of people and learning to take a big picture view.</td>
</tr>
<tr>
<td>Feedback from staff about their expectations about role of the principal, and my role development.</td>
</tr>
<tr>
<td>Undertaking master planning and having the responsibility as principal for the future use of school buildings.</td>
</tr>
<tr>
<td>Interactions with difficult with parents made me reassess how to handle these.</td>
</tr>
</tbody>
</table>
Best learning came from having to do the job—making mistakes or feeling the successes.

Best insights gained from other staff, students and parents.

Best feedback is watching and listening to my staff.

My staff is now more independent. They know where they are going and can make decisions based on that.

Work relationships

Getting support from fellow principals and regional staff.

On the job with the support of good mentors, good colleagues and the region.

How other principals ‘work the system’.

Training and development

With colleagues at professional development programs where it is live-in and runs over a year with P.D. sessions followed by on-the-job follow-up then further P.D. followed by presentation of projects from the on-the-job issue that was pursued, for example.

The APC Principal and School Development program I enjoyed and benefited from.

The APC Principal and School Development program tackling different tasks in strategic planning stages and taking advice.

Formal management education

None reported
3. Sources and types of learning experiences in preparing for the role

Survey analysis

Survey respondents were asked to indicate the types of learning experiences they now believed might have helped them prepare for the job of principal. Their responses are shown in Table 33. Twelve months ago they could only guess about the learning and knowledge they might need. In Phase 1, this knowledge and learning was explored through the ways that beginning principals had prepared for the role, specifically in the training and learning. Their impressions provide a descriptive set of indicators of how certain types of training may have been best linked and integrated into on-going preparation for the principalship. In Phase 4, the role of training and development appeared more significant. When this area was further subdivided, it was found that individual training and regional training were cited as the preferred sources of learning. While the school work role learning is predictable and directly related to learning about the school culture, work relationships area focused on the critical need for support through mentoring, shadowing and learning with the collegial group. Rather than being left to one's own devices and to try to learn in isolation, peer support was seen as the most critical element to new principals. Learning in isolation needed to be replaced by a template of holistic and connected experiences aimed at supporting their workplace learning at various phases of their development. Unfortunately, newcomers were left to find these supports and in the early phases and were unsure where to turn.
Table 33: Sources and types of learning experiences reported by the survey group in preparing for the role

<table>
<thead>
<tr>
<th>Work role experiences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dealing with discipline with children.</td>
</tr>
<tr>
<td>Handling local politics, staff issues and difficult parents</td>
</tr>
<tr>
<td>Learn from all of your experiences.</td>
</tr>
<tr>
<td>You will make mistakes but make sure you learn from them.</td>
</tr>
<tr>
<td>Always find time to spend with kids, you’ll learn a lot.</td>
</tr>
<tr>
<td>Having a sense of humour.</td>
</tr>
<tr>
<td>Acting in the role for an extended period.</td>
</tr>
<tr>
<td>Establish a good working relationship with your School Council President and Parent Club president.</td>
</tr>
<tr>
<td>Establish agreed processes and document them.</td>
</tr>
<tr>
<td>Be prepared to make decisions and stick with them.</td>
</tr>
<tr>
<td>Spent time with parents informally.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Work relationships</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mentoring is vital for everyone.</td>
</tr>
<tr>
<td>Shadowing a principal is a worthwhile experience in learning about the job.</td>
</tr>
<tr>
<td>Making sure you develop a network or seek help from other principals.</td>
</tr>
<tr>
<td>Shadow an effective principal so you can learn from the ground up.</td>
</tr>
<tr>
<td>Collegial groups can assist learning experiences such as talking with colleagues at briefings on specific areas of leadership or management.</td>
</tr>
<tr>
<td>Use of principals in schools near by can assist in the local network</td>
</tr>
<tr>
<td>Collegial activities - attend them and ask questions.</td>
</tr>
<tr>
<td>Attend principal briefings and network widely to build up knowledge about who can and who can’t.</td>
</tr>
<tr>
<td>Mix with principal colleagues and use them as a sounding board.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Training and development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Demand opportunities for individual training on areas of administration before you start</td>
</tr>
<tr>
<td>Learning about time management through some local principals would have been handy.</td>
</tr>
</tbody>
</table>
Learning about personal time management in a regional workshop would have helped.

Studying Human Resources Management.

Understanding your own leadership style.

Staffing, budget and knowing the rules of School Council needs to be known before you start

Attend appropriate Principal PD-real PD on leadership.

Make sure you have done the Covey 7 Habits Program.

Having technological self-paced learning modules available.

Regional training should be available throughout the year

I think principal induction is vital followed by accreditation. It’s challenging yet re-affirming experience.

The induction PD offered by the region is something to go to over the year.

Do PD on leadership in the region but be selective.

Get support and advice as needed from the region.
Phase 4 Summary

This chapter analyzed the sources of learning on the role development in Phase 4 (consolidation) of beginning principals using the Cattegno and Millwood (1995) Work based Learning Management Model. It next examined the impact and influences of the identified sources of learning on the development of a role conception for beginning principals during Phase 4 as well as throughout the year.

In Phase 4, there was increased reflection and wisdom with the benefit of hindsight. Principals felt that they were now accepted and had earned their right to be there with their schools and colleagues. They had learned to handle the daily management tasks and begun to master the various issues and challenges that presented themselves in the school setting. What was also obvious was a growth in competence and expertise, where beginning principals were able to integrate and demonstrate various sources of learning in using the variety of task focused propositional and procedural knowledge and experiences in carrying out their principal’s role.

Over the year, a massive amount of knowledge, based on their relative experiences in their roles, had been incrementally absorbed and accumulated. Accordingly, knowledge became domain-specific, more expert, and more intuitive compared with their earlier role development in Phases 2 and 3. The encapsulation and mastery of domain-specific knowledge tended to focus on budgeting, staffing and managing of resource acquisition. They had begun to develop and refine their expertise and apply them to the open-ended problems, solving specific problems within the school, and producing a greater sophistication in their competence and expertise in routinely doing the job.
Perhaps two principals best summed it up for all beginning principals in this study when discussing how they were able to integrate and use sources of learning to make themselves a better principals:

Actually being in the role for the year, and having to learn to deal with the normal and the unexpected on a day-to-day basis and knowing that I have a network of people I can call on for support. I now have and understand the big picture and where my role fits in.

Respondent 2, Phase 4 Survey Data

The entire year has been an on-going learning experience with lots of reflection, evaluation and modifications to my role. I have learned to integrate areas and pull things together as a whole in my understanding of my role. I have learned that no decision was going to please 100% of the community, and my increasing ability to consistently make decisions that will enhance the development of the school in light of our vision for the school, was an important part of my development.

Respondent 14, Phase 4 survey data
Chapter 8

Discussion of Issues

The basis for this study has been an examination of how learning influences the professional and organizational role socialization of beginning principals. Important features emphasized throughout this study have been on the way individual learning takes place, and the importance of the interactive and structural context of the learning where beginning principals were seen to be active participants in their own learning and role development. These issues will now be explored and related back to the theoretical discussions found in the first three chapters to appraise some areas of similarity and areas of difference. Where the findings are at variance with earlier studies, possible explanations for the variations will be discussed.

This first section of the chapter will critically review the research format used in this study, that of sources of learning model (Cattegno and Millwood, 1995). Second, it will examine a socialization learning framework devised to review the findings of this study alongside the already existing research studies on beginning principals. This will then lead to a discussion about a professional socialization learning framework that can be applied to the role development of beginning principals. The chapter will finally conclude by discussing some of the key issues associated with learning and socialization of beginning principals.
A review of the research design used in this study

This study employed the Cattegno and Millwood (1995) planning model of management development as a research exploratory tool to examine both the informal and formal learning of beginning principals during their professional socialization into the principalship. It was assumed that this would allow an opportunity to determine the suitability and effectiveness of this framework to adequately capture and analyse the impact and influence of learning in developing an image of the principalship. To achieve this task, this review and analysis will firstly, look at the applicability of this framework as a conceptual model of learning about beginning principals, and then, second, as a research tool in which to frame and analyze data.

The Cattegno and Millwood (1995) research model

Early in the study it became apparent that the model’s components were suitable and able to be applied in a study of beginning principals. It became clear that this could become a very useful model in this study in which to examine the development of both informal and formal sources of learning. Little had been reported in the literature about how and what principals actually learn in their first year in the role (Murphy, 1999; Daresh, 1999), so this model offered a potential way to explore and probe this area of professional socialization.

The model was originally proposed as an exploratory model in which to examine the development and work role learning of managers in Australia (Cattegno and Millwood, 1995). It was designed from interviews and workshops with managers about the ways managers learned best about their roles in building their competence and engaging in continuous learning on the
job. It was therefore seen as a good approach to use within the study of new principals.

It should be stated that the findings behind the development of the planning model of Cattegno and Millwood were derived from the view that learning by managers, and particularly in the area of management skills, best occurred through learning derived from the context of the management job itself. This work-based learning and experience was increasingly perceived as one of the keys in enhancing managerial competence and expertise. In this regard, work-based role learning was defined rather broadly to encompass formal and informal learning, including both on-the-job and off-the-job learning experiences provided they were explicitly connected to managers’ jobs.

What was of interest to the researcher in this study was the notion that the responsibility for learning about the job had been rightly placed with the learner, rather than resting solely with the providers of training and development programs. Since there is no requirement for mandatory training or development programs, or licensing requirements for accreditation to become a principal in Victoria, the focus was on how new principals decided what and how to learn about their roles.

The Cattegno and Millwood work-based learning model provided some terms of reference with a series of quadrant definitions associated with informal role learning (work role experience; work relationships), and more formal learning (training and development; formal management training). These distinctions are sometimes blurred and merged together, and the design provided opportunities to see the connection and integration among the formal and informal quadrants of learning. Terms like work-based learning, management
training, professional development and management development have sometimes been mistakenly confused and interchanged. Furthermore, this model helped bring some clarity when separating these areas into discrete and defined applications. The authors helped provide some integration in postulating that there were the above four quadrants or pillars of learning for managers: work role experience; work relationships; training and development; and, formal management training.

Employing this approach also provided a way to capture the phases of professional and organizational socialization learning and growth of beginning principals, from the anticipation and entry phases through to the adjustment and stabilization, which focused on emerging learning about fitting in and developing role clarity (Hart, 1993). At first, the researcher held some reservations. Could this model be adapted and be useful in applying this to research on beginning principals? What were its features and how could they be best captured in this research? Were they measuring the same things and how was the original model and research used? Some of these concerns will now be addressed by examining the suitability and effectiveness of this model for research.

**Conceptual features of the model**

The model certainly had an appeal in connection to examining developmental learning. The literature research has discussed the development of socialization emphasizing the need to look at the learning situation from two major lens or frames of: (1) an awareness of individual learners and how they learn; and (2) an understanding of how the context shapes learners and the learning transaction itself (Merriam and Caffarella, 1991). This model helped meet this requirement by asking interviewees to construct their experiences.
and background surrounding their learning about their new role in each of the four phases while it provided a suitable conceptual way to help catalogue and to reflect upon key influences as seen by interviewees.

No prescribed areas were defined for interviewees who built their own pictures of their own sources of significant learning about their roles. This was then useful to compare and contrast the data to find common themes and patterns amongst interviewees, and through different phases of this research. This model became an important tool for analysis and comparison and contrast through all of the phases.

**Usefulness as a conceptual model**

The model provided a very suitable and comprehensive framework through which to analyse and collect the myriad of informal and formal learning opportunities undertaken by beginning principals in their first year in the job. The framework was used to explore and categorize the various activities and learning undertaken by both interviewees and survey group. It allowed the researcher to use the outline as a visual organizer to design and frame questions around the four quadrants in each of the four phases, and use the framework as a frame of visual reference during the interviews to probe how exactly beginning principals learned about their roles. In addition, the model’s components also offered a useful means of gathering, classifying and analysing sources of data for the researcher. This enabled the researcher to link the components in four quadrants with their identified sources of learning in each phase. It should be noted that this was not the way that the authors, Cattegno and Millwood, used this framework. They intended to examine and contrast only past and present sources of learning for managers but the
application of this model in this study as a processual model, able to capture sources and application of role learning, was extremely valuable and incisive.

**Applicability of the model framework**

During each interview, beginning principals were shown the framework so they were able to make connections and identify and link sources of learning in each quadrant which were significant. It was also useful in having interviewees make comparisons and contrasts in their learning in each phase of their role development, as well as allowing them to reflect, and discuss each of the phases. By using the quadrants, the researcher was able to explore the relationships in learning between quadrants in the role development of expertise and competence of new principals. The explorations of these relationships among the quadrant areas, and the integration of these in each phase, proved to be very valuable for purposes of analysis and discussion after the interviews were concluded.

**Use as a research tool**

The model provided a useful visual conceptual outline and tool through which to anchor questions posed both for the interviewees and survey respondents during the study. When used with interviewees, particularly, it provided a useful visual device to help identify sources of learning and then focus on their perceived impact and influence and also provided a means of reflecting upon the phases through looking back and making comparisons with the present and the past. Scribner (1999) has noted that little is known about what and how both teachers and principals actually learn and apply their knowledge to their jobs. This model helped provide some dimensions and detail in meeting the concerns expressed by Scribner (1999) and also helps highlight the differences between informal and formal learning that Scribner discusses as a matter of context. Scribner had distinguished three contexts for professional learning: formal, school and ‘hot issues’ but the researcher found that it was not as simple as Scribner suggests. Using the model allowed the opportunity to see
which sources of formal and informal learning contexts were considered important, but, also see how informal and formal learning contexts were linked, integrated and woven into principal role development. This was something that Scribner found difficult to achieve.

The researcher was cognizant of two themes related to using this framework. One was a recognition that the way that principals learn about their job is different from any other professional within the school district (Berg and Caffarella, 1997); and, secondly, that principals must be seen as adult learners directing their own learning, integrating and linking their own processes of learning (Merriam and Caffarella, 1991).

In addition, the model, as used here, provided a dynamic but constant set of frames to use in each phase. It was not just a stylistic and static entity but helped capture the essence of what and how new principals learned about their job and constructed their role. Furthermore, the design helped with this constructivist and qualitative research approach by allowing the researcher to build an ongoing case record and picture of different phases and sources of learning in the study from the viewpoint of participants. This is one of the features of this method of collecting data (Guba and Lincoln, 1981; Stake, 1981. Yin, 1994). Given this, it also allowed opportunities to pose structured and focused questions around the central themes of learning, and then probe these responses with more open reflective questions. Interviewees were able to respond and reflect upon questions and changes which were occurring, often illustrating them with specific examples, thus indicating how individuals interpreted their learning (Candy, 1991). The nature of the framework allowed interviewees the opportunity to report and connect data and provided some insights into their ongoing processes of learning and role development during the study.
The model did provide a useful way to help understand the way new principals learned and constructed their role, but also provided some insight and new knowledge about the way principals directed their own learning in this process of role development. The knowledge that emerged in the study related to the developing expertise within the role which helped depict how new principals moved from being dependent learners to become more independent learners by learning to effectively integrate and use significant sources of learning about their role. Examples of how the study helped advance the knowledge of the way principals learned their roles is explored thoroughly in the next section on learning socialization.

**Strength of the model**

Three salient issues emerge that are especially relevant in considering the applicability of a contemporary model of both informal and formal learning processes and outcomes. Firstly, expectations of the education community for principals and employers of principals place a premium on preparing and developing adult learners who are both flexible and can utilize pre-existing skills and knowledge in new and varied ways. The usefulness of this Cattegno and Millwood design as a planning and process model has been proven in this study. It models a way of capturing and integrating experiences, and using them to design career development. In this study this is best revealed through its use as a means of reviewing and evaluating existing research about the learning and socialization of beginning principals. This offered a useful starting point in this study in the literature review section, and it helped provide an indication and impact of the major professional socialization influences within areas of informal and formal learning which may be insightful for this study.

Secondly, the change in the kind of knowledge and learning that is required to become and be a principal is reflected in a shift from the nature of knowledge
that is 'conclusive and objective' to knowledge as 'tentative and socially constructed' and has meaning for the learner. The use of this model has helped provide some glimpses of the social nature of learning and knowledge that is socially embedded in the culture from which it has been derived (Murphy and Hallinger, 1988). This was highlighted by Des as he provides recognition of his role within his school: 'I have to get to know what is required in this job by doing it and taking notice of what people are saying and doing around me.' This framework allowed the capturing and recording of experiences of the growth of learning through the four phases and helped provide a way of seeing how learning experiences were integrated, connected and applied by the individual within a context as new principals discussed how they built their roles.

Certainly, the model also provided a means of critically examining and analysing learning within each phase but also a means to examine and concentrate on single quadrants, such as that of work relationships, and see the development, impact and influence throughout the research period. This provided an opportunity to see the derivation of propositional and procedural learning but also how learning about the 'hot issues' (Scribner, 1999) was addressed and incorporated. This model was both fluid and accommodating by allowing the incorporation of learning about what had to be learned and what arose in the contexts of the learning. Erat (1994) had pointed to the importance of the contexts of learning. The academic learning environment was seen to have minimal influence in this study but the school and 'hot issues' contexts were seen as pivotal in helping shape and develop the role of the principal. This progression and development could be captured and followed through using this Cattegno and Millwood model.
Thirdly, this design provides a processual way through which four quadrants of learning can be used to examine how learning and knowledge acquisition take place about the development of the principalship role, and how this is gained with in-depth understanding and can be critically applied. As interviewees attested, this model outline provided them with a way of seeing the whole and how they might link different elements together. It proved to be a good critical way to reflect upon their learning about the role by providing an ongoing series of snapshots about how principals learned their roles and the way they integrated the informal and formal learning to help understand and develop their roles in the socialization process.

In this study there was a need for a comprehensive way to addresses links, needs and backgrounds of learners, as well as allowing the designing and implementing of more effective development programs. This model appears to hold great potential as a reference and guide for future research. It proved to have key strengths as a process model to both plan and capture learning over different time periods. In retrospect, the model in this research provided two valuable functions. First, as Cattegno and Millwood (1995) contend, it is primarily a planning model. Compiling a catalogue of different types of learning in the quadrant areas allows a means of gathering planning data, and, second, as a means of specific experiential data on learning using the quadrants as frames of reference. Accordingly, it provided a means to see how learning and knowledge was integrated and connected, especially in Phases 3 and 4 when beginning principals began to incorporate and synthesize informal and formal learning into their role development. This was not a pattern in Phases 1 and 2.

Limitations of the model

The use of the Cattegno and Millwood (1995) model to compile case studies, while also being able to capture a rich tapestry of information (Guba and
Lincoln, 1981), did involve the collection of lengthy, and often unnecessary and detailed case record information, which later proved to be of little value when related to analysing the main themes of this study.

It was clear, after Phase 1 interviews, that the overall applicability and usefulness of the framework could be compromised because of the fact that no formal management education, and for some phases, no extensive use of training and development opportunities, were mentioned as relevant or significant in any of the other phases. There is little doubt that the pattern which emerged, provided a limited reference to the more representative formal learning opportunities in training and development and formal management education. A subsequent emphasis allowed a concentration on a qualitative examination of some of the more informal learning opportunities and informal learning experiences, along with formal learning, which had significant importance and influence in developing new principals in their roles.

It was also clear that while this model was very useful, it had its limitations. The literature reminds us of the important role played by the personal context and the wider social context which adult learners enter (Merriam and Caffarella, 1999). It has generally been assumed that the influence of the personal images and background brought is just as important to the learner as is the context of learning. This is not fully recognized in the Cattegno and Millwood model. They seem to suggest that the only learning that influences role development occurs in the context of the workplace or training environment. This is refuted in the findings of Crow and Glascock (1995) and Greenfield (1985b) who maintain that role conception is influenced by life stages, career experiences and interactions with family, friends and colleagues. The events and influences of non-work dimensions on role development are just as influential in role learning but these are not apparent in the Cattegno
and Millwood model of learning. This area cannot be neglected or underestimated in its influence on role development.

In conclusion, the Cattegno and Millwood (1995) model has helped in providing a way in which to examine the influence and integration of both informal and formal learning on role development over time, but also provided a means to examine closely the development of different forms of work role learning, work relationships, training and development and formal management training in role formation.

**A professional socialization learning framework for beginning principals**

This second major section of this chapter will examine a socialization learning framework that will be used to help place and review study findings with the existing extant research on beginning principals. One significant outcome of the analysis of the research data was the identification and confirmation of four phases of learning and socialization which helped provide some points of reflection. The original defining of these phases was a product of the literature review which helped confirm some of the previous research on the professional socialization of beginning principals (Parkay and Hall, 1992; Hart and Bredeson, 1996; Weindling, 2000). What was distinctive from previous research, and emerged within these Victorian research phases, was how beginning principals conceptualized themselves as learners. This framework helps serve as an explanatory tool to try and analyse the learning of beginning principals in the socialization process. It should be established that these phases did represent some of the described reality as perceived by interviewees, although in retrospect the interviewees agreed that the phases accurately help portray and represent their impressions and perceptions of
what had happened to them in developing their principal role. The characteristics of each of the phases have been given in detail in the analyses contained in Chapters 4-8. The discussion will now focus on a professional and organization socialization learning framework which has been derived from, and can be applied to the role development of beginning principals.

This learning socialization framework for beginning principals is constructed on several levels, or layers, which relate to the phases within the whole framework of beginning principal socialization. It provides an opportunity to examine and explain different levels of socialization and learning by providing an opportunity to probe deeply into the processes of learning in professional socialization in role development. This is presented in Table 34 below as:

Learning socialization framework for beginning principals developed from this study.

1. The first section of the framework depicts the context of professional socialization affecting the individual beginning principal in the phases of learning of their role (Level 1).

2. The second section of this framework concentrates on the sources of learning and their impact on role development in the process of professional socialization (Level 2 and 3).

However, more detailed descriptions of these phases, sources of learning, and their subsequent effects on role learning and development are shown in Tables 35, 36, 37 and 38.
### Table 34: Learning socialization framework for beginning principals

<table>
<thead>
<tr>
<th>Level 1: Professional socialization phases in learning</th>
<th>Phase 1</th>
<th>Phase 2</th>
<th>Phase 3</th>
<th>Phase 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Idealization phase: Looking at the role</td>
<td>Immersion Phase: 'Learning the ropes' in the role.</td>
<td>Establishment Phase: Defining the role</td>
<td>Consolidation Phase: Feeling accepted in the role</td>
<td></td>
</tr>
<tr>
<td>Learning and envisioning the role</td>
<td>Taking up appointment And learning to develop the role</td>
<td>Learning to shape and refine the role</td>
<td>Learning to consolidate and feel accepted in the role</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Level 2: Role learning phases in principal professional socialization</th>
<th>Phase 1</th>
<th>Phase 2</th>
<th>Phase 3</th>
<th>Phase 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Master and the apprentice</td>
<td>The Dependent Learner within a new community</td>
<td>The Dependent Task focused Learner within a collegial group</td>
<td>The Independent Learner within a collegial community</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Level 3: Impact of sources of learning about the role</th>
<th>Phase 1</th>
<th>Phase 2</th>
<th>Phase 3</th>
<th>Phase 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Informal</td>
<td>Informal</td>
<td>Informal</td>
<td>Informal</td>
<td></td>
</tr>
<tr>
<td>Self-directed</td>
<td>Technical tasks</td>
<td>Technical tasks</td>
<td>Technical tasks</td>
<td></td>
</tr>
<tr>
<td>Leadership team</td>
<td>Informal mentors</td>
<td>Leadership team</td>
<td>Informal mentors</td>
<td></td>
</tr>
<tr>
<td>Leadership</td>
<td>Regional skill development</td>
<td>Selected leadership programs</td>
<td>Leadership</td>
<td></td>
</tr>
<tr>
<td>courses</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Formal</td>
<td>Formal</td>
<td>Formal</td>
<td>Formal</td>
<td></td>
</tr>
<tr>
<td>DEET Orientation</td>
<td>Team/ Peer supported programs</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Principal role development</th>
<th>Phase 1</th>
<th>Phase 2</th>
<th>Phase 3</th>
<th>Phase 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Idealized: Instructional Manager Leader: Visionary Culture builder</td>
<td>Realistic: Manager Culture building</td>
<td>Accomplished: Manager Visionary leadership Culture building</td>
<td>Strategic: Visionary Leader Manager Culture builder instructional</td>
<td></td>
</tr>
</tbody>
</table>

**Professional socialization phases in learning the principal role**

It was of interest that some of the data on learning socialization phase in this study on Victorian beginning principals was similar to the stages of learning and socialization described in previous research. The phases described in this study as Level 1 (Table 34) were similar to those reported in the research on stages of development for beginning principals in the United States and England (Parkay and Hall, 1992; Weindling, 2000), and are confirmed in the descriptive data gathered in each of the interview phases and displayed in
detail this chapter in Tables 35, 36, 37 and 38. This study helped confirm the earlier cited structures of different phases derived from previous international research on beginning principals. This centred on having interviewees describe their perceived context and this was linked to reported phases of socialization and learning found in other research.

These features are displayed in Table 34 of the learning socialization framework for beginning principals and indicated as Level 1: Professional socialization phases in learning the principal role. It suggests that in the following outline (shown in Table 34) there are four phases identified during the course of interviews with beginning principals during the year 2000 that provide a descriptive background scenario in which to examine and understand the role learning that is taking place. Some discussion of the similarities and differences of these phases with existing research will now be undertaken.

**Reproduced section of Table 34: Level 1 Phases of socialization and learning**

<table>
<thead>
<tr>
<th>Level 1: Professional socialization phases in learning</th>
<th>Phase 1</th>
<th>Phase 2</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Professional socialization phases in learning</td>
<td>Idealization phase: Looking at the role</td>
<td>Immersion Phase: Learning the ropes in the role</td>
<td>Establishment Phase: Defining the role</td>
<td>Consolidation Phase: Feeling accepted in the role</td>
</tr>
<tr>
<td>Learning and envisioning the role</td>
<td>Taking-up appointment</td>
<td>And learning to develop the role</td>
<td>Learning to shape and refine the role</td>
<td>Learning to consolidate and feel accepted in the role</td>
</tr>
</tbody>
</table>

The emphasis in this section is on Level 1 of the socialization and learning framework for beginning principals depicted in Table 34. Weindling (2000) has pointed to the large body of work, where previous writers have suggested stage theories to explain the transition phases experiences by leaders. What
emerged from the Victorian study showed many similarities which had been reported in previous research on career socialization (Parkay and Hall, 1992; Beeson and Mathews, 1993). This was an important connection as it provided a series of similar findings with that of the previous 1992 research but also provided dimensions of the context in which present role learning was occurring. This allowed an opportunity for the making of some comparisons and contrast with previous research. This will be undertaken in the next section.

**Socialization career phases**

Although these various labels are used in different ways by different authors, they commonly identify three periods of socialization. This is usually described as the arrival stage; adjustment stage; and stabilization stage. Clearly, there are some similarities between the phases derived and described in this study with those described in the literature survey, especially those described by Day and Bakioglu (1996), Reeves, Moos and Forest (1998), and Gabarro (1987). Some discussion of these similarities and differences is required. Some similarities were also found in this research with that of Ronkowski and Iannaccone (1989) who had indicated that much of the socialization research could be encompassed within their following phases of: initiation; transition and incorporation. In this regard, these had some similarities to this current research where the initiation phases (Phases 1 and 2 research); transition (Phase 3) in this Victorian research and incorporation phase (Phase 4) could be identified as being similar to those phases reported in past research. This helps place this Victorian research in this study into some process over time. What has been established is that there are similar identifiable study phases that represent some phased progression of learning socialization experiences over the period of the first year in the job. It also suggests that these represent a set of similar conditions and context through which role learning and role socialization is occurring similar to those reported
in previous studies (although there may be some difference in the length and title of similar stages). Furthermore, learning for the individual is embedded in the social context and cannot be separated from either the interactive dimension or the structural dimension in which it is taking place (Merriam and Caffarella, 1991).

A similar picture of stages or phases has been painted by Day and Bakioglu (1996) who identified a set of developmental career stages for beginning principals which encompassed the time from taking up of the position until final retirement. These phases were phase 1: initiation; phase 2 developmental phase; phase 3: autonomy and phase 4: disenchantment. The interest here, in relation to the present Victorian study, is specifically on phase 1, the initiation phase described by the authors as a period of idealism, uncertainty and adjustment. Although this phase was seen to have lasted for the duration of three years in the Day and Bakioglu research (which takes it well beyond the parameters of this research of the beginning principals first year), some interesting points of similarity arise. As identified phases of context and circumstances in which learning in professional and organizational socialization is occurring, Day and Bakioglu found that there were two key processes associated with both learning and socialization in this first initiation phase. One was learning on-the-job, and the second was realizing that the new ideas of beginning principals had to be accommodated and adjusted within a framework and structure of leadership within a school. This helped reinforce the findings found in this Victorian study where the identified phases 1-4 provided context and conditions which affected how role socialization and learning was taking place. Conversely, each of the phases illustrated in this Victorian study present the context, challenges and changes faced by beginning principals as they tried to learn and develop their new role. In the idealization phase (Phase 1) new principals learn about the job from
internships or informal mentors, in contrast to the immersion phase where newcomers are immersed in their role and searching for entry protocols without any systematic process of role development. The establishment phase was a time of review whereas the consolidation phase was one of acceptance. What is depicted clearly is a phased growth pattern of learning and development into the role.

*Phases in role socialization*

The phases in this study also provide a useful means of comparison with that of overseas research on a staged model of role socialization that was derived by Reeves, Moos and Forest (1998) from interviews with head teachers in Europe. Their analysis showed fairly consistent similar developmental patterns to the findings in this Victorian research. Although their focus was more longitudinal (spanning eight stages of career succession, from pre-entry to retirement), of interest were the stages in the first year in the role. The authors identified stages where new heads were attempting to learn about their roles as head teachers while coming to terms with the demands of a new school. These stages were identified as stage 1: the warm-up (pre-entry); stage 2: entry (0-6 months); stage 3: digging the foundations (6-12 months). They also identified a stage 4 (9-24 months) where head teachers were becoming more expert although each was not at the same stage of development at any of the stages, a point confirmed in the research of Parkay and Hall (1992). This was also a noticeable feature in this research that the interviewees moved through similar phases at different rates of development. While all of the interviewees went through the first two early phases at the same time and had similar experiences, as they progressed, differences became more marked in the later phases as they developed greater confidence, knowledge and different expertise. What is significant for this Victorian study is that, although the concentration was on the first year of beginning principals, when compared
with Reeves, Moos and Forest research, there are similar touchstones stages which provide a useful cross-cultural comparison for this research.

A similar finding was reported in a study of managers carried out by Gabarro (1987). Although his target group was managers, and a comparison may not be justified because of the differing nature of the roles of both principal and managers, it did provide a way to view different patterns of development which may be useful for a review of the phases in this study. Gabarro’s study tried to fill this gap in knowledge about the succession process where he calls this process ‘taking charge’ defined as beginning in the role. Using his data, Gabarro found that patterns emerged which formed a series of five chronological stages of entry to consolidation in the role. While this has also been explored by Parkay and Hall (1992), the difference in Gabarro’s work is the focus on a series of learning requirements on entry to the role. These requirements were described as ‘taking hold’ (the first six months) where this was a period of intense learning as the manager develops a cognitive map. This stage involved an extensive orientation associated with being a manager. This stage is similar to Phases 1 and 2 for beginning principals in their first six months in their roles where beginning principals reported requiring extensive orientation and support. They found that they mainly had to find it for themselves. No formalized orientation or entry program was provided.

The immersion stage identified by Gabarro (from approximately six months to a year) became an important period of deep learning where new managers developed a better understanding of their role in learning handling and basic issues and problems. Similarly in this Victorian study this was a reported trend of ‘just-in-time (Marisa)’ or ‘learning on the run’ (Des) during the immersion phase which spread over a much longer time period than other phases. Like Gabarro found, new managers spent time in learning to handle and develop
their role, but indicated that much of their learning was surface level rather than deep learning. Deep learning occurred when they were required to learn complex administrative tasks for their new role. What is somewhat different in Gabarro’s study, when compared to this Victorian study, was a reshaping stage after a 12-24 month period, where managers began to reconfigure various aspects of their role within the organization and implement ideas from the first period of the immersion stage. In this present Victorian study, the reshaping period emerged more quickly in the latter part of the first year, in phase 3, where interviewees reported feeling more ‘established and comfortable in the role’ (Andrea). The reason for this phase appearing earlier could be through the need to establish the role and lead the school through important issues during this time. What is relevant here is that Gabarro suggested that new managers worked through these stages which could be characterized in waves. The first wave occurs in the taking hold stage and the second is typically the largest during the reshaping stage as stages of natural succession. When compared to this Victorian study, the identified phases also present a contextual milieu that have similar stages or phase reported in the literature. It is natural to think of new principals passing though waves of change. What is different is that the identified phases in this study form a series of touchstones derived from interviewees about their learning about the role in the face of the context, conditions and changes they found themselves in. This, in turn, affected their learning and their development. A notable difference also revealed in this study was in the depiction of the immersion phases compared to others phases in the research. As noted earlier this phase was longer than other phases as beginning principals had taken up and served in their role with a vacation break in the middle. This meant that they had an interrupted immersion phase with holiday and vacation breaks but interviews were conducted early into the immersion phase to get their initial impressions about their role development. These Phases are shown in Table 34 above and described in detail in Tables 35, 36, 37, and 38.
Role learning phases in principal professional socialization

This aspect of the research helped provide some new and illustrative knowledge to the field of professional socialization by providing some insights into how principals actually used different sources of learning to develop their role. A clear picture of the transitions they made as learners is highlighted adding more weight to the earlier concern raised by Scribner (1999) indicating the need to understand how teachers and principals both learn their craft. Much has been written on what principals should learn and acquire for their role. (Hart and Bredefon, 1996; Eraut, 1994; Murphy, 1999) but not too much had been written on what beginning principals should learn and need to know about their role development as a principal (Eraut, 1994; Hart and Bredefon, 1996). Most of the research regarding learning about the role has been derived from the context of formal learning in university preparation or licensure programs in the North American context. This study was an attempt to try and determine what and how new principals formally and informally learned about developing their role in their first year in the job in the Australian context remembering that there are no formal requirements, and newcomers are responsible for their own professional role development. The emphasis in this section is on Level 2 (professional socialization phases in learning the role) and Level 3 (sources of learning about the role) of the learning socialization framework for beginning principals depicted in Table 34. The focus will be on reviewing the significance of different sources of learning in the development of their roles through each of the phases (discussed earlier in level 1 as the phases of socialization and learning).
### Professional socialization learning phases

#### Phase 1: The Master and the apprentice

Merton (1963) helps provide some backdrop in viewing the anticipatory learning and socialization experiences of beginning principals when he describes them as a pattern of behaviour in which people begin to learn and conform to the norms, values and attitudes of a group they wish to join.

However, the purpose of this study was to help describe, through the eyes of beginning principals, the sources of learning which have helped them in their professional socialization into the role. Work based principal mentors were seen as having pertinent knowledge about the principal role and were able to display it. This was the only way that newcomers saw they could learn the role even if these role models were not always effective or worthy of emulating.

The sources of learning depicted by the beginning principals in this study were
predominantly related to learning through others. While the events described by newcomers indicated that role learning during this phase was often informal, episodic, incremental and developmental in nature, the descriptions of learning did provide a set of anticipatory socialization learning experiences and processes associated with the professional socialization of a group of Victorian principals. They also provide a means of comparison and contrast of the main findings with some of the extant literature.

While much of the overseas research on anticipatory socialization has centred on a growing body of research on the role and effects of pre-service administrator preparation programs for the principalship, it has focused mainly on the shortcomings, deficiencies and limitations of such programs (Murphy, 1999; Daresh, 1999). Such is not the case in this research in the context of government schools in Victoria where there is no existing pre-accreditation or mandated preparation programs or qualifications for licensure, as exists overseas. The intention here is not to argue the merits of any particular principal preparation program but to merely suggest that some type of structured development may be a necessary requirement for those intending to take up the position for the first time. This is a view supported in the literature by Duke (1987), and Bredeson (1991), who have pointed out that while anticipatory and professional socialization processes cannot be expected to prepare new principals for every eventuality they may face in the principalship, the provision of learning processes are critically important to help to moderate the effects and intensity of the role strain resulting taking up the job.

Phase 1 has been described in the Learning socialization framework for beginning principals (Table 34, Level 2), as the Master and Apprentice phase, where the image of role for beginning principals was of those who had spent
time learning their craft as apprentices from informal mentor principals. The significant sources of learning about the role are described in Phase 1 (idealization phase: chapter 4, and in Table 35 below) as learning in the workplace from mentor principals, assigned roles in a leadership team, internships and apprenticeships. As a form of role fantasizing and mental rehearsal, these experiences provided important links for those ascending through transitions to the principalship (Duke, 1987; Hart, 1993). The evidence from this Victorian research indicated that previous principals served as key role models, both positive and negative, which helped form ideas about what principals might do in their role. This view is also supported by Duke (1987) who found that new principals learn about expectations for principals and valued norms of conduct and belief from principals with whom they have worked, from colleagues, office staff, and from teachers in schools they have worked in.

The concern emanating from this study of Victorian beginning principals is that this anticipatory master and apprentice phase was largely informal socialization learning experiences that are largely unstructured and neither systematically planned nor a developmental set of experiences. If new principals are to acquire the technical knowledge, skills and techniques (the technology of school leaders, a definition offered by Scott, Ahali and Krug, 1990) needed to perform competently in a role, this should be a structured and planned set of succession experiences. The approach reported in Phase 1 through this research leaves learning and socialization, more to chance rather than design, and thus is a cause for worry in preparing principals for the role and the task of leadership and entry into the school. The following outline described in Table 35 highlights the significance of key sources of learning and their impact on role development during this idealization phase.
Table 35: Phase 1 socialization and learning for beginning principals

Level 1: Phase 1 Prior impressions: Idealization phase: Looking at the role

Learning and envisioning the role.

* Appointment period—prior to taking up the position—a time of elation and euphoria as a successful locally selected principal appointee

* Anticipatory socialization phase where there is no required formal learning or training to undertake the position prior to starting.

* Feelings of elation and holding of high expectations, accompanied by uncertainty and fears, about becoming and being able to do the job.

* A time of idealization of hopes, dreams and visualization about leading a school and making a difference as a principal in the school.

* A period of familiarization and hiatus where the new role incumbent has not started but uses the opportunities to orient themselves with their new school through visitations, discussions with key personnel about their role.

* Socialization about the future role begins mainly through informal, individual inquiry and random learning about the school.

Level 2: Master and apprentice phase

The effect of learning in professional role socialization

Features of learning in the Idealization phase

* Learning was episodic with little systematic ongoing succession development planning.

* Learning was often disjointed as prospective beginning principals were in teaching roles in classrooms, or involved in school programs.

* Often fragmented issues or task related learning around selected school issues or problems

* The importance of role modelling and both formal and informal mentoring through observing of previous principals was considered highly significant.

* Learning was often imitative and instructional and directed task and skill development in teams or as individuals in roles.

* The importance of learning through the acting roles and apprenticeship roles was vast.
**Level 3: Sources of learning about the role**

**Informal learning**

- Participation in understudy roles through apprenticeships as assistant principals.
- Assigned school roles in leadership teams, or through internships as acting principals, were considered extremely influential in learning and developing an image of the principalship.
- The role of previous principals was perceived as significant and influential as both positive, and at times, negative, in examining workplace learning and work relations.

**Formal Learning**

- Training and development activities were seen as useful in developing leadership skills rather than as training about the principalship.
- Little influence of significance was given to formal management training through university qualifications programs.

**The significant effects of learning in developing the role of the principalship**

- Conceptual learning and experimentation and action, had occurred through both formal and informal learning in designated school roles and leadership team activities but predominantly experiential and some reflective modes formed the basis of role conception.
- The idealized view of the principalship in this phase was one of a leader with a personal vision who had developed an array of managerial skills and processes from experiences in acting roles in other schools. They expressed that they wished to be leaders, managers, instructional leaders and culture builders but at this time this was only rhetoric and idealism as they began to contemplate their new role.

**The effects of learning in professional role socialization**

Table 35 indicates the role of learning in professional socialization and the significance of sources of learning and their effect upon role development. The picture that emerged was one of learning of some selected propositional knowledge about a selected range of school management practices, with some accompanying procedural practices, which had been utilized by informal principal mentors over time. The gathering of personal and experiential
knowledge helped define how these ideas would be both accommodated and absorbed into the role development. While there may be still a need for structured development and preparation, what has been revealed in the data of this study (despite the best intentions of those responsible for training and development), is the importance of bringing learning and training processes into some systematic alignment with the conditions and milieu of the workplace (Murphy and Hallinger, 1988; 1992). The aggregation of learning experiences outlined above indicates there needs to be some integration to help marry theory to practice. Indications were that the present process is still disjointed, fragmented, and flawed, with little connection of the pieces of formal and informal learning. The individual is left to try and learn the role by attempting to piece together these sources of learning into some coherent whole. The extent to which they have achieved this is admirable. But this does not inspire any confidence when trying to determine what skills and knowledge they have learned about what principals actually do. It does, however, highlight some key sources of significant learning in this phase related to socialization into the role.

Sources of learning about the role

The main sources of learning indicated in this phase of the study are shown in Table 35 and were defined as informal sources (work role learning and work relationships) and formal sources (training and development, and formal management training). The object at this pre-entry phase was to try and ascertain how the sources of learning were integrated by beginning principals in helping them prepare for and develop the role. The pattern which emerged, as shown in Table 35, is that the professional anticipatory socialization highlights the key role of informal learning sources centred on mainly the undertaking of understudy roles, and previous principals mentors, with some development leadership, not principalship training, undertaken by some of the
research participants. Little significance was given to formal management education through universities. These have been explored in detail in Phase 1 (Chapter 4). This does highlight and support the importance of the need for extending opportunities in administrative internships, mentoring, and apprenticeships which have been well documented in the anticipatory socialization literature (Cordeiro and Sloan, 1996), and, assumed real importance as a source of informal learning in this study. They help provide authentic and relevant learning opportunities to appreciate the big picture of leadership as well as provide some significant feedback about their capacities to do the job. 'Living it and doing it are important experiences in learning' (Cordeiro and Sloan, 1999, p.11). The importance attributed to the taking on an acting role, as a form of internship, provided for some field based experience for many interviewees in 'trying out the role' (Kay) to try and 'acquire knowledge and skills while making mistakes' (Madeline). What is important here is the necessity to learn about management and leadership by doing it, and to learn by observing others on how best to do it. Subsequently, the incorporation of opportunities for discussion and reflection with the support of mentors or significant others is vital in building a role, where the influence of previous principals has been shown to be an important adjunct in this apprenticeship role with the quality of the mentoring relationship becoming a key factor in this process. The importance of some form of apprenticeship role is highlighted as a process in nurturing a social learning environment that collaboratively helps to develop craft, technical knowledge, learning problem solving processes necessary for the principal role as learning about 'knowing' and 'seeing' that goes beyond performing tasks as a principal. This is a view supported by Goody (1993) who argued that within the sheltered environment of a school, prospective leaders need to be exposed to a variety of learning techniques such as cognitive coaching and mentoring, which can help nurture their future growth as leaders.
The effects of learning in developing the role of the principalship

The effects of formal and informal learning in this phase were that beginning principals reported that they had gained conceptions about the type of principal role that they would develop from previous principal mentors through observation and understudy roles. They had learned to sift out the role features they wished to retain and jettison those not considered worthy of emulation. The picture they had developed of the role was an idealistic one where the principal was seen as an idealized visionary leader who would manage and change the school for the benefit of all children.

Phase 2: The dependent learner within a community

Beginning principals in this phase were described as dependent learners within a professional community. This was the actual entry into a principal's position and another important stage in the professional socialization process. Principal entry socialization, described earlier, has been defined as a process by which novice principals make their role transition from idealized to operational leadership (Andrews, 1989). Earlier socialization learning experiences, outlined in Phase 1, were predominantly informal for beginning principals, at this pre-entry phase, in providing aspects of social role learning on-the-job. But the first year in any job, like that for any principal, is made up of two jobs of getting in there and 'learning to do it by doing it' (Kay). This has been described in this study (Table 34, Level 1, and in greater detail in Table 36) as the immersion phase, where the beginning principal is pictured as a dependent learner within a community.

The picture in this phase of a dependent learner emerges because new principals are now immersed in learning a multi-faceted role about a whole range of new tasks while trying to establish some credibility in the role. They
were dependent learners focused on learning specific aspects of their role to meet system and school requirements. This dependency was based on mastery of task and role requirements as they began to try and build some credibility as a new leader. Beginning principals indicated that they were ‘trying to learn everything at once and expected to be experts in everything’ (Marisa).

Table 36: Phase 2 socialization and learning for beginning principals

<table>
<thead>
<tr>
<th>Level 1: Phase 2: Initial impressions: Immersion Phase: “Learning the ropes” in the role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Taking up the appointment and learning, constructing and developing the role.</td>
</tr>
<tr>
<td>× Total immersion and exploration about the principal role without any entry protocols or investiture.</td>
</tr>
<tr>
<td>* A new principal as an outsider enters a new and existing sub-culture and has to begin to build a new identity in a new context.</td>
</tr>
<tr>
<td>* Having to cope with the demands and transitions in themselves, in the role and within the context in a ‘honeymoon period’ for settling in.</td>
</tr>
<tr>
<td>* Dramatic changes in perception in learning to handle the immediate, the urgent and the important in settling-in, and, trying to establish credibility and competence in the role.</td>
</tr>
<tr>
<td>* Some testing and challenges in the role raise anxiety and some uncertainty, at times, in the role performance, but throughout the phase there remains a measured sense of calm and self-belief.</td>
</tr>
<tr>
<td>* Experiencing a series of firsts in the job as a new principal, in a new role, in a new school, all at the same time</td>
</tr>
<tr>
<td>* Experience in previous acting and assigned roles contributes towards helping beginning principals know and face the onslaught in the role in a new school.</td>
</tr>
<tr>
<td>* The demands of the role produce tensions in trying to address the agendas of various interest groups as they arise</td>
</tr>
<tr>
<td>* Evidence of a honeymoon period experienced by most beginning principals where they were allowed room to settle in.</td>
</tr>
<tr>
<td>* Some demanding times experienced with staff and parents about unresolved school issues that interest groups wanted resolved in their favour, and, the need to stand firm in the role.</td>
</tr>
</tbody>
</table>
Level 2: The dependent learner within a new community

The effects of learning in professional role socialization

* Dependent on learning technical expertise in administrative tasks and regional demands to meet deadlines and Education Departmental requirements.

* Intense and fragmented learning over a wide range about the role and school issues all at the same time, especially technical and interpersonal issues.

* Learning haphazard and truncated, often ‘just-in-time’ learning ahead of the staff in handling school tasks.

* No systematic development of learning or connections to school or regional links with little regional support.

* Overwhelmed by masses of new information and knowledge about the role and the new school and little time for accommodation or the development of understandings about these.

* Learning to make sense of the role in cultural and contextual environment and piecing the fragmented pieces of a school jigsaw together, especially key “hot and contentious issues” of the school.

* Predominance in cognitive learning in trying to develop and understand the interpersonal relationships about how things are done and rationales people use in the way things are done.

Level 3: Sources of learning about the role

Informal Learning

* Immersed in trying to learn the multi-faceted role through specific task learning

  and learning about the nature of the school’s culture and context with the support of the school leadership team and staff.

* Trying to learn and master many aspects of the role and seen to be competent in all areas without the support of a mentor or the region.

* The role of previous principals was significant as requested peer support from beginning principals, as required coaches or mentors on issues and new administrative tasks.

* The new collegial groups and local colleagues acted as a perceived reference group and offered counsel when required, especially with principals with similar levels of experience.

Formal Learning

* Some voluntary administrative training and development undertaken through regional programs.

* Some self-selection of co-operative and collaborative ongoing training programs taken up by a few beginning principals.
The significant effects of learning in developing the role of the principalship

* Reliance on experiential learning through others to learn about the school and its culture
* Necessary conceptual learning about school administrative role requirements and technical skills
* Confronted with the realism of the managerial aspects of the principal role with some exercising some cultural building to review school processes.
* Re-emphasis on some aspects of the instructional or visionary leadership role but little time to emphasize them.

The effects of learning in professional role socialization

The prevalence of this sink-or-swim strategy may also account for the power of surprise that helped shape some of the interviewees. Most of the new principals began with an idealized set of expectations that then contrasted greatly with the realities of the job in this phase. This is similar to that expressed by Louis (1980) as 'surprise and sense making' about the role. As some interviewees expressed: This job is much more difficult and harder than I first thought'. (Andrea) or 'At times this job is almost overwhelming in learning it and learning to handle the ceaseless demands that are placed upon me.' (Marisa). It was clearly indicated that their experience in acting roles, or through apprenticeships, has stood them in good stead. At no stage was there a sense of feeling overwhelmed in their role even though they felt they were 'living life in a goldfish bowl being constantly scrutinized, observed and judged' (Kay). These interviewees seemed to remain positive and self-confident about what they were doing. They did experience some stress and anxiety with feelings about overload, time constraints, loneliness and perceived lack of skills that were reported in overseas research about managing the demands of a new job. This could be
considered normal as part of any induction and professional socialization process. The major concerns raised by Daresh and Playko (1994) relating role clarity, feelings of limitations of technical expertise in dealing with daily problems, and learning how to pick up important cultural and organizational cues about the school were sometimes similarly expressed by new principals in this study. Learning new technical expertise was intense, fragmented and often disjointed and involved the absorbing of knowledge about a whole range of new tasks. The learning to make sense of masses of information and knowledge about the role and the school made them dependent on learning to help them make sense of their new world. Learning to make sense of their role in a new cultural and contextual environment was like trying to piece together the fragmented pieces of a giant school jigsaw and trying to understand it all. This could be expected without any formal entry program, or the informal support of a trained mentor, to assist them as they began. Some interviewees supplemented their lack of assistance by enrolling in peer support programs that offered them some collegial ongoing support in their development. These proved, for those who enrolled, to be both the most invaluable and insightful best professional development activities, for them as new principals over the year.

Sources of learning about the role

It is evident in the Table 36 that the informal sources of learning were still very significant, (Table 34, Level 3 sources of learning), with more formal sources of learning considered less significant. Those considered influential, and having great impact were linked to the need to have knowledge about their new role. They indicated that role development was intense, associated with fragmented learning about a whole range of issues, with little or no support being offered by colleagues or the region. Often it was described as 'just-in-time learning' to remain a step ahead of staff in handling school tasks (Des).
If the picture of new principals emerges as one who is trying to learn a role, while piecing together a cultural jigsaw, and at the same time learning to run a new school. The sense of sometimes feeling a little overwhelmed by information and knowledge about their new role in the school with little time for accommodation, or development of understanding, about these is also apt, although interviewees showed great strength of resolve developed from their previous experience in acting roles. The demand to have access to both propositional task-centred technical knowledge and also have procedural knowledge to handle technical administrative matters and daily school situations, became a real press for these newcomers. They became dependent learners centred on learning a multitude of competing tasks just to carry out their role requirements. Some attempt to undertake workshops to meet these needs in a range of technical areas were evident in some cases.

These newcomers were now lodged within a community. The school leadership team and staff were key sources of informal learning along with the role of previous principals, as informal mentors, in providing support and advice on request. Their new collegial group was seen as a potential community of support but not perceived initially as influential as they had to learn who they could trust. Beginning principals admitted that they help perpetuate 'a conspiracy of silence' for themselves by feeling neither willing nor able to ask questions, or seek advice in the concern that they would be seen as 'dumb or stupid' (Marisa). They perceived that their colleagues would offer advice, if asked, but were judging their competence as new principals, at the same time.

There was again clearly no systematized set of structured informal or formal learning experiences that assisted them in their entry into the job. Much of the research shows that learning about on-the-job socialization is intense, short-
lived, and predominantly informal rather than planned and formal (Duke, Isaacson, Sagor and Schmuck, 1984). This was the case for this group of beginning principals. Instead of formal socialization, principals learned about the expectations held for them and about valued norms of conduct and belief from principals with whom they had worked and staff in schools. This informal means of learning through others was suggested by Duke et al, (1984). The picture here is echoed in the literature where newcomers were exposed to professional socialization learning experiences that were, at best, to help them adopt a 'sink or swim' strategy, and where new principals were expected to be in charge of their own salvation and destiny. It was evident that some experienced this concern but it was also clear that many of the interviewees had used their past experiences in acting or apprenticeship roles to help direct their own learning in their role during this phase. The role of self-directed learning becomes more significant in Phases 3 and 4 but they were beginning to grow in confidence as they developed their role in Phase 2.

**The effects of learning in developing the role of the principalship**

During this phase principals were beginning to establish their roles and found that learning the managerial role was the primary role they were required to develop. This role was now seen as very realistic and demanding for new principals. 'As the new principal, I was expected to be able to walk on water, even if I couldn't swim very well' (Andrea). Their leadership role was one of providing and first articulating a vision for the school. The need to translate this vision was not an immediate priority as they had to learn much about the culture and context in which they found themselves. Both developments in instructional leadership and culture building would have to wait as they had to deal with immersing themselves in learning about managing and balancing the intricacies and demands of the job. They also expressed that they would have to be culture builders and help teach their staff about how to learn to fight and
disagree fairly about school issues. (Kay) indicating the necessity to develop role processes that would help the school progress.

Phase 3: Dependent task focused learner within a collegial group

This Phase 3 represented a turning point for beginning principals who had felt somewhat shackled in Phase 2 by the demands of the new job as they tried to establish themselves in their new roles as principals. Details of these changes as learners are specifically explored in Phase 3 (Chapter 6) and where the highlights are in greater detail in Table 37. Interviewees could best be described as becoming less dependent as learners and now could use their time to learn and explore issues more deeply with the help of some principals within their collegial group. They have emerged as becoming more self-directed learners who used both formal and informal sources of learning to become more proficient in their role. However, task focused administrative propositional and procedural learning, dealing with school management and technical administrative matters, and, the use of informal sources of learning to find required procedural knowledge to address problems, still remained paramount sources for learning. Growth and amassing of both propositional and procedural knowledge was occurring where they were beginning to make connections and integrate forms of technical expertise and link people management issues.
Table 37: Phase 3 socialization and learning for beginning principals

<table>
<thead>
<tr>
<th>Level 1: Phase 3: Mid impression: Establishment phase: Defining the role</th>
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<tbody>
<tr>
<td><strong>Learning to shape and refine the role</strong></td>
</tr>
<tr>
<td>* Greater acceptance and assurance indicated about role clarity and carrying out the role.</td>
</tr>
<tr>
<td>* A change in demeanour with a growth of self-confidence, self-belief and a sense of control in being able to do the job.</td>
</tr>
<tr>
<td>* A feeling of a greater degree of acceptance by the staff and colleagues.</td>
</tr>
<tr>
<td>* A sense of accomplishment and achievement of having survived the onslaught of the “baptism of fire” and had developed the role of the principal in their own image.</td>
</tr>
<tr>
<td>* An opportunity to undertake some strategic planning and achievements of priority tasks unable to be addressed when initially starting the job in phase 2.</td>
</tr>
<tr>
<td>* A perception that they were in charge of their own time and now they had been able to restructure and integrate their role better within the school and use their time for planning.</td>
</tr>
<tr>
<td>* Time to consider some possible new directions with staff arising from school needs.</td>
</tr>
<tr>
<td>* Evidence of a future orientation and linking the past and the present in planning for the future.</td>
</tr>
<tr>
<td>* Learning to introduce changes more slowly than initially planned.</td>
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<tr>
<td>* Greater awareness of the requirements of the role and how to link it to practice.</td>
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<table>
<thead>
<tr>
<th>Level 2: The dependent task-focused learner within a collegial group</th>
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</thead>
<tbody>
<tr>
<td><strong>The effects of learning in professional socialization</strong></td>
</tr>
<tr>
<td>* Greater assured independence as learners about the role through the rapid growth of knowledge and experience in the role over the three phases.</td>
</tr>
<tr>
<td>* Development and understanding in the types of expertise and competence required in technical, administrative management involving use of teaming, outsourcing and shared learning with the staff.</td>
</tr>
<tr>
<td>* Demonstrated understanding and sharing of learning about school issues and linking them to systems understanding of the ‘big picture’.</td>
</tr>
<tr>
<td>* Confidence in articulation and use of knowledge and learning in addressing and solving school “hot issues” and problems.</td>
</tr>
<tr>
<td>* Growth in confidence as a learner.</td>
</tr>
</tbody>
</table>
Level 3: Sources of learning about the role

Informal learning

- Use of time to learn and reflect on a variety of sources of independent self-directed learning both informal and more formal in this phase. Learning was still predominantly task focused in dealing and managing school issues and technical administrative systems. A greater ‘systems understanding’ of the role developing and ‘big picture thinking’ have emerged through experience and making connections in the role.

- The role of selected principals, by beginning principals, within the existing collegial cluster group became pivotal for support, advice and assistance.

Formal learning

- Training and development was more influential as part of a required employer orientation program where beginning principals were linked in regional teams to network and interact on identified key issues.

- Some beginning principals continued their ongoing self-selected professional development programs from phase 1 and found collegial support through visitation, regular meetings with a convenor and developing a common school project invaluable.

- No formal learning in university management programs begun or reported in this phase.

The effects of learning in developing the role of the principalship

- Reliance on experiential learning and conceptual learning in role development with some active experimentation in attempting new initiatives with staff

- Managerial role remains predominant but some return to the visionary leadership role related to school improvement and culture building

The effects of learning in professional role socialization

What had emerged during this phase was a greater independence in the role and a rapid growth of knowledge and experience. A greater understanding in the types of expertise and competence required to perform and complete technical, administrative and management roles had developed through the use of teaming, outsourcing and shared learning with the staff. Demonstrated understanding of the role had emerged where beginning principals were able
to feel confident in use of their knowledge and expertise to address school issues and problems.

Sources of learning about the role

Dependent beginning principals, for the first time, had begun to integrate and connect various informal sources of learning through discussing ideas within their schools, calling upon colleagues with specific expertise and using the local collegial group as sounding boards for advice and assistance on school and systems issues. These detailed trends are highlighted in Table 37. They had become more confident in their role as they used various sources to build and develop their knowledge of the role in different areas, but were still dependent on others to help them further develop their role. They sought and began to initiate a new source of learning of local principal expertise. These ‘knowledge mentors’ were cultivated by new principals as they found local collegial principals whom they felt they could trust and consult on various issues. They could depend on these selected mentors to help teach them more about their role. The role and power of collegiate groups and cohort groups emerges in the literature as a powerful tool for group collaborative and cooperative learning (Basom, Yerkes, Norris and Barnett, 1996) as was the case in this study. If no formalized entry plan exists, it is left to the individual to learn the expectations for themselves in their moral and technical socialization (Greenfield, 1985b) through seeking out knowledgeable others for advice and countenance. The gaining of knowledge and a growing understanding of the school culture helped them to learn to face the dilemmas of practice that can only be learned through experience. This has been described as a phase of integrating leadership in setting priorities (Parkay and Hall, 1992, p.16) and becoming technically socialized with the role at the worksite (Nicholson and West, 1988).
More formal learning was offered through the employer orientation program, which allowed new principals to link up with regional teams and work on key issues. Some were still continuing with self-selected professional development programs that offered a variety of local support mechanisms and help. Both informal and formal sources of learning were beginning to be used and linked to assist role development during this phase although no formal management education was noted.

The effects of learning in developing the role of the principalship

During this phase, interviewees indicated more accommodating roles still primarily being that of managers helping direct school improvement and development but also with the need for them to begin to provide more anticipated leadership. During this phase principals were beginning to establish their roles and found that learning managerial role was the primary role they were required to develop. Their leadership role was one of further articulating a vision for the school. The need to help translate this vision with the staff was now seen as a priority as they had to learn much about the culture and context in which they found themselves.

Both developments in instructional leadership and culture building were in evidence as they had learned to deal with managing and balancing the intricacies and demands of the job.

Phase 4: The Independent learner within a collegial community

This final phase indicated that these beginning principals were now becoming more independent and competent in their role learning. This is outlined in Table 38. What emerged from the data was that enacting the role in the workplace meant that learning to deal with issues and people, as well as
expected administrative tasks, was paramount in successfully developing the role of principal. This identification of the emerging wisdom of hindsight had been gained through these workplace learning experiences but was now also reinforced by using networking, support and selected training, to support the role in the school. They had integrated various sources of learning about their role in the school and within the school system. Their understanding of propositional, procedural, and systems knowledge was supported by a collegial community of learning and support of which they now felt a part. They felt they had earned their position and were accepted by their peers as an equal who had proven themselves in their role.
Table 38: Phase 4 Socialization and learning for beginning principals

<table>
<thead>
<tr>
<th>Level 1: Final impressions: Consolidation Phase: Feeling accepted in the role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learning to consolidate and feel accepted in the role.</td>
</tr>
<tr>
<td>* Evidence of a new manifestation of perceived wisdom and reflection reported in carrying out and doing the role.</td>
</tr>
<tr>
<td>* A feeling of accomplishment in completing almost a year in the role of principal.</td>
</tr>
<tr>
<td>* Initiating changes within the integration of role from the original perception to a more strategic approach to the role.</td>
</tr>
<tr>
<td>* Indication of new ways of thinking about the role and using information in the school evolving from the building of incremental knowledge and experience about the role.</td>
</tr>
<tr>
<td>* Knowledge now more domain specific with the growth of expertise and intuition indicated in management of budget, resources, staff and children.</td>
</tr>
<tr>
<td>* Time available for greater reflection on building of capabilities for the role.</td>
</tr>
<tr>
<td>* Evidence of developed and defined expertise which have been applied to identification and resolution of school issues and problems.</td>
</tr>
<tr>
<td>* Greater sophistication in addressing open-ended and contentious problems arising in the school and the school community.</td>
</tr>
<tr>
<td>* A feeling of being more accepted and having an opinion as a principal and a member of the local collegial group</td>
</tr>
<tr>
<td>* Able to perceive the role as a seasoned campaigner and able to give advice to others.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Level 2: The independent learner within a collegial community</th>
</tr>
</thead>
<tbody>
<tr>
<td>The effects of learning in professional role socialization</td>
</tr>
<tr>
<td>* Development of a holistic and unified view of the role through the linking of informal and formal sources of learning and being able to now apply them to the job.</td>
</tr>
<tr>
<td>* Development of and integrating of propositional, procedural and systems knowledge in development of the role and carrying out the role.</td>
</tr>
<tr>
<td>* Beginning of growth of perceived wisdom based on experience in handling administrative tasks and difficult school issues.</td>
</tr>
<tr>
<td>* Continue building a personal and professional platform to further help in developing and carrying out the role.</td>
</tr>
</tbody>
</table>
* Development of new wider patterns of thinking in dealing with problems and issues of school practice and being able to turn to support to confirm practice.

* Amassing of experiential knowledge and personal knowledge about the school to use in exercising professional judgement

**Level 3: Sources of learning about the role**

**Informal Learning**

* Being in the role and doing the job over time provides ranges of experiences which ground and help learn the role.

* Linking of knowledge with requirements of the role and being able to apply it to a variety of situations.

* Development of greater role expertise and knowledge in the learning and handling of administrative technical tasks and handling personnel issues

* Gradual building and using of a trusted network of support as ‘knowledge mentors’ or coaches within the local collegial group as required.

* Having trusted mentors to contact for ongoing peer support and assistance as required.

* Improvement in knowledge and skills in problem solving and interpersonal issues confronting people in the school.

**Formal learning**

* Some selected skill development in regional workshops based on needs and requirements.

* Building of administrative technical skills through briefings in local collegial groups.

* Some participation in self-chosen ongoing professional development programs focusing on collaborative learning, team learning and supportive mentoring through a facilitator and the group.

**The effects of learning in developing the role of the principalship**

* Use of all different learning sources: experiential, conceptual, action and reflection to review, integrate, develop and enhance role further.

* Building of personal and professional platforms within the role for the following year.

* More strategic role development integrating visionary leadership, management practices with culture building and school instructional improvement.
The effects of learning in professional role socialization

The approach in the earlier analysis of these socialization phases has been to see the evolution of the role of the principal as defined by the interviewees and survey group and make comparisons with roles described in the literature. This phase is a little more circumspect in looking at how learning has helped contribute to the development of the role over the year. Without doubt, all beginning principals emphasized the need for a more managerial role with the development of skills and knowledge surrounding the role. They indicated that these were best learned with the support of mentors and being linked to local collegial principal groups. The mastery of task-focused technical skills and learning to handle interpersonal issues were considered paramount in their role development long before they could become instructional leaders or culture builders. These roles were considered to be the substance of their daily job and how others assessed their expertise and competence. Therefore, they had to prove themselves in their new role. As Marisa said: 'You have to be able to show that you can do all of the job and seem to be in control and command, even if you're not! They expect me to lead them through everything.' Once mastered, they felt they could expand and develop their roles within the school. The reported changes in the role over the year provided a plethora of home-spun philosophy and good practical advice related to developing the role, particularly in role learning and work relationships, as indicated in the data.

Sources of learning about the role

As indicated in Table 38, informal sources of learning continued to be now built around role requirements and the use of trusted colleagues within the local collegial community to support their learning. They now felt that they could discuss and debate issues related to their role and their schools as an equal. They still relied on informal knowledge mentors and cultivated mentors
within the local group. Some formal learning was selectively undertaken, especially with members of the local collegial group where exchanges of ideas could occur. This had become an important collegial community for learning more about their roles.

The effects of learning in developing the role of the principalship

Beginning principals were asked to review their development in this phase and through the year, and this component was evident in their comments and in their understanding about how far they had come in their role development. Reflection has been defined as a process for bringing past events to a conscious level and in determining appropriate ways of thinking about the future (Caffarella and Barnett, 1994). This phase was an opportunity to use the past role experience to rethink and analyse their roles and they indicated that they had felt accepted and had built a more strategic personal and professional platform on which to base and further develop their leadership and management roles in the future. Clearly, more visionary leadership and culture building was expressed around school and instructional improvement. These new principals could now see a multifaceted role they might take where they could integrate the different types of instructional, leadership and management and culture building roles together. They had become more strategic and understood the implications of their principal role in this phase. They had moved from being new authority figures to become accepted principals in their schools and within their professional community.
The significance of trends in specific sources of learning impacting on socialization and role development

The significant growth through self-directed role learning

Across all of the phases some specific important trends emerged within principal role learning which were significant to the study. This variation will now be highlighted and briefly discussed. The notion that beginning principals were exposed to various informal and formal sources of learning and absorbed much from these to perform the role has some truth, but the important way they were required to make choices and select from these sources in the way they used and integrated these sources to develop their role, is even more significant.

The picture of work role learning for new principals which emerges from the literature is one of both informal and formal on-the-job learning experiences through which individuals begin to construct meaning about their organization through interaction and experience. This is also a position stressed by Marsick, (1987). Without a doubt, learning in work role experiences and through work relationships with significant others, were both pivotal in the role development of beginning principals. Their significance and importance in this study are traced throughout the study. Implicit in any definition of work role learning is the need to learn to acquire and assimilate knowledge about the role and also associated with this picture is the need for on-going learning to support the development of the role. The instrumental nature of the learning was on focused skill development, as well as dialogic, with an emphasis on social learning with others. These are themes highlighted and supported in the literature by Marsick and Watkins (1990) and appears in this research. Without any formal requirement or qualifications in the form of certification for the role, beginning principals were left to their own devices to direct and
prepare themselves for the role. This is an argument taken up by Caffarella and Caffarella (1986) who believe that self-directed learning is a powerful motivational force in learning. While one argument could easily be put that all learning is really self-directed, Caffarella and Caffarella maintains that individual learners determine the nature and direction of their own learning and development. This had proved to be significant for beginning principals in this study as they had to find their own sources of learning as there was no structured or systematic way for work role development to occur. Their growth has occurred through observation and involvement in problems of practice and their skill acquisition was gained through being exposed to what Peters and Smith (1997) refer to as throwing a net around a slippery experience and capturing it as learning. Work experience for these beginning principals in their previous schools was seen as situational and selective but maybe not representative of the kinds of skills they would now need. It was provisional until applied in a given context, or applied in practice (Langer, 1997). They were storing learning experiences as new tools to apply to their future practice fields in their new school and roles as principals. The question remains as to which experiences would be relevant and useful in building a role for the principalship. In Phase 2 (immersion phase) things had dramatically changed. More self-directed task focused learning occurred where knowledge about the school was reliant upon others in the workplace to help them begin to learn and understand their roles. One is reminded of the stages of learning noted by Anderson (1982) indicating that the synthesis of knowledge occurs in stages where knowledge is gathered from a variety of key sources and used to help direct performance. But, while Anderson noted that a considerable amount of training was required to achieve this, there was little, if any for this group of beginning principals. ‘We had to find sources for our own learning and training whilst learning to run a school’ (Des). It was clear that they did, in fact, go through similar stages as noted by Anderson. There was the first test of the location and building of knowledge in learning
about managing required administrative tasks, and then the application of rules and procedures, to perform the tasks. The third stage outlined in Anderson’s model was that of procedural problem-solving where novices begin to apply and refine their procedures.

By Phase 3 in the establishment phase, learning had become more task directed and integrated into role performance within the workplace. The third of Anderson’s stages was now being developed as interviewees felt that they were more in control and had time to investigate and link their learning to mastering school administrative tasks and school issues. This was also the first opportunity for interviewees to reflect upon knowledge they required in order to perform their role well. Perhaps the work of Eraut (1994) helps provide some guidance here in analysing work role learning in this phase. Data gathered in this study indicated that of Eraut’s categories of managing administrative tasks; process knowledge, knowledge of people, and situational knowledge and context dominated the time and energy of beginning principals in this study. Of the other areas that Eraut highlighted: knowledge of educational practice, interviewees reported that they had only begun to refocus on this area during this later phase whereas the previous phase centred on the management of role tasks. The area that saw significant growth during this phase, and the previous phase, was that of control knowledge (defined as knowledge in controlling one’s behaviour). The development of self-awareness and sensitivity to the role was apparent especially in the self-knowledge of interviewees about their strengths and weaknesses. They indicated their awareness about the gap between what one says and what one does, and what one knows and does not know. Beginning to emerge was a sense of knowing how to learn and control one’s own learning with the ability to reflect and analyze, along with learning self-management techniques associated with use of time, prioritization, and delegation. Interviewees indicated that the real view flies against the view promoted in leadership
development programs they had attended which perhaps provided an unrealistic, idealized model of the principal manager as someone who always has everything organized and under control. This is a view shared by Schon (1983) who suggests that practice in schools is best characterized by its complexity, uncertainty, instability and uniqueness. Principals have to be expected to deal with the fluid and somewhat ambiguous problems of practice by acquiring and using knowledge in a contextually appropriate way to deal effectively with a problem. Only in this phase were they able to begin to apply the problem-solving practices (outlined by Anderson, 1982) as so necessary in developing expertise. They were only ready to begin developing this form of work role learning during this phase.

During Phase 4 (consolidation phase) beginning principals had become more sophisticated and adept at handling the issues of the workplace. Their amassed experiences had developed coping mechanisms in their role to help them manage and handle the difficulties of the role. The linking of technical knowledge with experience was evident in that interviewees were becoming more reflexive, critical and discerning in their role development. This had been honed from handling and managing experiences in numerous situations of practice and through taking deliberate action about school issues and situations. As Andrea illustrates: 'During this term, I've become more reflective and have learned to use a variety of ways to learn about what I will do in this job. Whether it be to call for advice or visit other principals to talk it over, I now have a game plan about what I can do to make me better in this job.' This comment is reminiscent of an earlier point made in the literature by Kennedy. Skills, as defined by Kennedy (1987), are considered necessary for the development of expertise, but significantly these skills are chosen, exercised and learned as principals go about the role. This has been evident in workplace role learning in phase 4. Until now interviewees were unable to see the big-picture of their role. The defining difference for Kennedy is the growth
of reflective thinking and how this is integrated with contextual knowledge that results in effective role development. This had begun to occur and cement itself in the thinking and action of these principals.

The role of stages in self-directed role learning

An interesting factor was the growing importance of self-directed learning in role development indicated in the learning phases depicted in Table 34 Level 2 show some similarities to that of Grow’s (1991) Staged Self-Directed Learning model. Although originally designed for teachers to assist student to become more self-directed in their learning process within school classrooms, the four distinct stages of learners emphasized by Grow finds some resonance in this study by indicating some progression and growth for the learner. While Grow puts the responsibility and onus solely on the teacher to help create the best conditions for learning to occur, this is not the case in this study. In this study, it was found that learning was left solely to the individual beginning principal who had to both create the conditions and opportunities for learning, but also to direct their own learning, and development. This is indeed a real point of difference and departure from Grow’s staged self-directed learning model. Some discussion of the phases of self-direction in this study will now be considered. The point of the argument is that interviewees indicated that Phase 1 (idealization) for them was a search for knowledge where they were trying to learn about the principal’s role. This was depicted as apprenticeship to a master principal. Without any defined and visible sources for learning, they mostly turned to informal mentors or groups to assist them in their quest. They needed authority figures to teach them or tell them about what to do in learning the role. This was defined in Grow’s stage 1 indicating that learners of low self-direction need an authority figure to tell them what to do and know. Interviewees in Phase 2 (immersion phase) showed similar characteristics identified by Grow in being highly motivated but ignorant of
which subject matter had to be learned and acquired. They were depicted as dependent learners within a new school community. They had begun their role but only possessed fragments of both propositional and procedural knowledge, about their principal role and what they were required to do when in the role. By Phase 3 (establishment phase), they were considered as dependent task focused learners within a collegial community and had exhibited some very similar characteristics as indicated in Grow’s levels of autonomy in self-directedness in stages 3 and 4, where interviewees felt they had reached a level of competence and maturity in the role. By Phase 4 (consolidation) they were portrayed as independent learners within a collegial community where they were able to integrate and direct their learning and had amassed some emerging propositional, procedural and systems understanding about their role. Where this study differs from Grow’s model is in the levels of self-direction. When Grow’s conceptual model is compared to the situation of adult learning in this study, it is in the degrees and levels of self-direction used by beginning principals in developing their own role learning that seem to be points of real difference. While Grow points to a certain dependency in self-direction for students (from low in his early stages to an increasing high self-direction in later stages) this was not as evident for adult learners in this study. Perhaps student learning was seen more as a continuous hierarchy of self-development, whereas for beginning principals, it was a matter of assuming control over their own learning about what they had to learn, and having the necessity to learn certain knowledge. In all phases this learning was highly self-directed and specifically task oriented to help them develop their new role. They needed to appear competent and demonstrate their growing expertise as they carried out their role every day. High self-direction became a powerful motivator for role development. However, in this study, it was not possible to draw any conclusions about the staged self-directed learning model because Grow was concerned more with developing a theoretical and conceptual perspective which could be applied to self-directed learning but
there are some interesting similarities which were highlighted against this Victorian study. Some mention must be made of the Dreyfus and Dreyfus (1986) model of skill and knowledge acquisition as it applied to this study. It was found early in this study, that most of the interviewees could be considered (according to the Dreyfus and Dreyfus model, 1986) as novices, or as advanced beginning learners, in different areas of competency, but who also brought a wealth of learning from their teaching and understudy roles which was applied in their principal roles. This has been greatly undervalued in previous research which has concentrated on required skills and competencies rather than what newcomers brought to the role. Only later in the study was there the identification of some of the interviewees as what Dreyfus and Dreyfus (1986) would describe as ‘competent learners.’ These findings are best illustrated and explored above in the section on professional socialization indicating phases of the growth of learners shown as level 2 in Table 34. An examination undertaken of the phases of the learning and role socialization in each of the phases of the study indicated significant attention in the two critical early phases of dependence of this self-directed role development in both preparation (Phase 1) and entry to the role (Phase 2) with subsequent independent growth in the later phases in self-direction and development.

The significance of mentors in role learning

The importance of reliance on others and the social nature of learning are key distinguishing features in this area in this study and so deserves serious attention as a pivotal influence.

The key point here is that the relationship constellation changes over time and provides the learning and socialization experiences which are often needed and desired. An interesting point which emerged in the literature was the
notion that beginning principal socialization experiences occurred either in close contact with, or in the absence of, role models (Van Maanen and Schein, 1979). Both were in evidence in the area of work relationships. The important relationships were those of informal mentors, other mentors, the school leadership team and the collegial group.

The predominant need and use of a mentor in phases 1-4 was significant in this study as an important way in which newcomers were made ready and competent for their responsibilities. It is interesting to note the changing role of differing mentors through the study and this is explored below. The data collected from interviewees indicated the continuing importance and need for both informal and formal mentors as significant people who could assist their development through the phases of the study. This influence will be examined through each of the phases.

The basis of the informal mentoring influence for beginning principal interviewees was described as the establishment of a personal relationship for the 'purpose of instruction and guidance about leadership' (Kris). This is a view supported in the literature by Wasden (1988) who suggests that in the mentoring of educational administrators the mentor is at first seen as a master who can provide opportunities for growth of others by identifying situations and events which contribute knowledge and experience. Interviewees did indicate their indebtedness to their previous principal mentors but also indicated that their growth was not as easy, or as planned, as Wasden seems to indicate. Their growth, through mentoring was, at times, sometimes structured and planned but more sporadic, disjointed and serendipitous. Interviewees did not choose their informal mentors as they were placed in schools with little knowledge of the principals. They were exposed to mentors as role models so they could observe both the things the principals did well and the things they
did badly. They observed the behaviours that mentors exhibited, especially through the use of questioning, clarifying problems and teaching protégés (mentees) to address and handle school problem-solving processes (Barnett, 1996). The impact and influence of mentoring was recognized as a positive influence in their development by beginning principals, but, the informality of the mentoring role often meant that previous principals were not aware of the importance of their mentoring capacities within their principal role.

Interviewees indicated that it was a way of learning the culture of leadership where learned practices were ‘handed down and modelled’ (Marisa) by informal principal mentors. Principal mentors presented different ways of learning to future principals in the form of imitative learning practices in the form of skills or information. Interviewees were able to observe or listen to ‘craftsmen’ who were modelling or demonstrating leadership practices, or instructing learning, where principal mentors were directing skills and information acquisition processes during learning interactions. This finding is similar to the concept of a learning hierarchy as described by Tomasello and Ratner (1993) who distinguish different forms of learning which occurs in more formal learning between learners and instructors. The difference here is that learning is not as systematically structured as in more formal training and development programs. Principals were observed constantly, copied and were important role models and informal mentors for interviewees, but were often mentors by default rather than design.

In Phase 2 (the immersion phase), once beginning principals had taken up their appointment, their lifeline to a mentor, was indeed severed. It was evident in Phase 2 that the interviewees felt that they had been ‘cast adrift and were alone’ (Madeline). While they reported that they had their ‘previous principal as a mentor for advice and support at the end of the phone’ (James), they bemoaned the fact that they didn't have a trained assigned mentor and this
was hard felt by beginning principals in this study. Good mentors are seen as useful and able to provide help in handling the multitude of tasks in leading a school. New principals, like Madeline and Des, reported that they didn't know whom to turn to without any assigned mentors to help their construct their induction as a principal. This was certainly a need in this phase that remained unmet from the point of view of interviewees.

In Phase 3 (establishment phase), interviewees had remembered the importance and influence that their informal mentors had in their lives and sought to re-kindle this relationship within their own collegial group. They began to take action themselves and seek out and align themselves with key principals in their local area. This alignment was based on 'developed trust' (Andrea) and 'perceived knowledge and expertise displayed by local principals' (Kris, Des). Interviewees actually sought out 'knowledge mentors' as people they felt had the expertise to help them in specific areas of school leadership. In fact, new principals reported that they actively sought out others. This is similar to the point raised by Wasden (1988) who argues new principals cultivate a variety of self-styled mentoring relationships through their first year in their role. At one extreme of the relationship, some interviewees cultivated a peer pal and at the other end of the continuum, some found a trusted mentor. Interviewees variously described their mentoring relationships as peer assistance: 'Someone at the same level as yourself, with whom you can share information strategies and mutual support for mutual benefit.' (Andrea, Kris and Madeline); a guide ('Someone who can explain technical and system requirements and tasks' (Kris, Des, Marisa Madeline, Andrea and Kay), and that of a 'knowledge mentor' ( 'Some one who has specific expertise or knowledge with whom I can develop a professional relationship' (Marisa, Kay, Des, Andrea). The importance in locating and seeking out 'knowledge mentors' in a new network of local principals, can
not be underestimated in this phase of development in work relationships.

In Phase 4 (consolidation phase), interviewees had indicated that they no longer needed an assigned mentor. They were still proactively identifying those principals in their local group who could assist them as ‘knowledge mentors’ to contact on the basis of need, and trusted mentors who could assist them as role models to emulate and assist them in their career development as a principal. It is evident from the phases of this study that mentoring is seen by beginning principals as pivotal to their development and that their growth as leaders has been supported by untrained informal mentors and self-selected mentors. This points to the need to identify and train mentors to assist beginning principals. Hart (1993) sounds a timely warning here in cautioning about the way that mentors have been portrayed in the lives of beginning principals. She points out that training of mentors is a necessity but since mentors are also experienced principals, they can be seen to represent the establishment and traditional thinking. Hart suggests that mentors can actually constrain thinking about leadership. Daresh and Playko (1992a) help support this view by warning that careful choice of mentoring is required so that new principals are not constrained by gaining a limited perspective from a single mentor, or have beginners merely become carbon copies of their mentors.

In the development of work experiences, the role of self-directed learning through different phases, and the critical need for the role played by the mentors for beginning principals have been well highlighted as important trends throughout this research.

This study began with two research questions related to how beginning principals actually learned and developed their role. It challenged the way that beginning principals had been portrayed in the literature, as novices simply bereft in knowledge, arguing that these relative newcomers bring with them a wealth of experiences in leadership and management from their roles as
teachers. While they may be considered as novices or advanced beginners in their new roles (Dreyfus and Dreyfus, 1986) their predominant sources of learning in preparing and developing their roles were informal workplace experiences with the support of a range of significant others, especially different principals mentors within a community of practice. This pattern was expanded later in their role development to include more formal sources of selected learning that was integrated with the existing and ongoing informal learning experiences as their confidence in their role blossomed. Learning was significantly shaped by the individual and through the context, which surrounds them and suggests that the socialization and learning of future beginning principals need to be more structured and systematic and not left to chance or good fortune. Developing effective principals takes nurturing, support, and the structuring of learning experiences which facilitate that development over time. The next chapter pursues how some of the above may occur to support the planning and development of beginning principals.
Chapter 9

Implication of the Study

This study was concerned with the learning socialization process of a cohort group of beginning principals in Victorian schools. While the research described in this thesis adds to a general theory of learning and socialization, it also raises a number of questions requiring further research and provides some practical recommendations relevant to the planning of learning and development of beginning principals.

Implications for further research

Research recommendation:

Studies should be undertaken, both across Australia and in other countries, to examine which kind of learning is evident in the phases identified by Cattegno and Millwood (1995), or Grow (1991) on the levels and types of self-directedness in role learning.

Some of the research questions discussed in this section have been formulated from comments and suggestions collected from beginning principals who have participated in this study, whilst others have been derived by the writer and from analysis of data in this study. Duke (1987), Parkay and Hall (1992) and Hart and Bredeson (1996) suggest the presence of stages in the professional and organizational socialization of beginning principals during their first year in the role. This is supported by data collected on phases of socialization and learning in this study through phases of idealization (Phase 1) to consolidation (Phase 4) and confirm findings in similar earlier studies by Parkay and Hall (1992), Weindling (2000), and Day and Bakioh (1995)
In this study, the focus was on sources of learning using the Cattegno and Millwood (1996) model. However, there are two aspects which should be given further consideration. First, there is a need to further explore the nature of these sources of learning, in particular, and the interrelated links they have between phases in the development of expertise and competence in role development. Having identified the phases and contexts of learning in this study for beginning principals, the next logical step would be to establish the links between each of the phases and actual knowledge learned. Second, there is a need to discover which are common elements in this process of learning socialization and distinguish these from those which are specific to Victorian beginning principals. As pointed out earlier, there is no defined and structured preparation or licensing development program in Australia so this study has concentrated on elements of learning socialization which were found in the Victorian state government setting. The application of this learning framework to other school settings could help provide a more generic way to examine the relationships between learning and role development for newcomers to the role.

The importance of informal and formal learning in the development of the principal’s role would seem to be critical theme in this study. If prospective new principals predominantly learn on the job in their own school workplace, then some extensions to this research could be suggested.

There is still some need for research about how aspirants best undertake and develop workplace principal role learning. This presents a challenge as many beginning principals in this study indicated that they were often in full-time teaching positions prior to their principal appointments and were sometimes excluded from learning about the role. Another theme found in this study was the relationship between what and how beginning principals learned during
each phase, and, what they found to be useful in their role development. While considerable efforts have been made to improve the induction of beginning principals into their schools, much has been left to chance in the way both available a range of short-term informal learning experiences for beginning principals to voluntarily undertake is essential. Research into how the range of experiences which can best be integrated and meshed for both workplace and off-site learning would help bring both formal and informal learning together. This could include developing a of case studies related to developing learning through school visitation, shadowing, acting experience, or, in-school cohort administrative learning experiences in problem solving on school issues. The aim would be to discover different ways that future leaders can best learn and gain experiences about educational leadership.

An alternative approach to learning about role development would be to study the relationship between the stages of skills acquisition and learning postulated by Dreyfus and Dreyfus (1986) and to examine if any connections can be made in the levels of self-directed learning suggested by Grow (1991). This may help establish some links between the continuous development of expertise with necessary approaches to learning. Identifying what, how, and when new principals need support and assistance in their development, may be further delineated through identifying how to operationalize the Dreyfus and Dreyfus (1986) stages of the learner. This would necessitate examining necessary competencies of the stages of the learner (for example, proficient learners and what level of skills they possessed) and the direction of learning which requires support and self-learning during the first year of the socialization process.

Another area of research may be to determine different forms of learning, as in work role learning, work relations, training and development, and formal
management education, that should be made available in a phased and structured developmental career plan. There is, therefore, a need for longitudinal studies that follow a group of beginning principals through their learning and role development from appointment through to several years into the role. These studies could focus on the value newcomer's place on learning that occurs through their first and subsequent years in the role, and allowing for empirical testing of some propositions related to the development of beginning principals.

Apart from these areas on enquiry, considerable value would be derived from an analysis of those involved and responsible for the design and development of beginning principal development programs. In this study, the main participants were the beginning principals themselves; however, further research into the perceptions and visions of managers in the State Department of Education, Training and Development (DEET), regional consultants, representative from principal associations, providers and trainers, agencies like the Australian Principals Centre, and principals from around the state would be beneficial. This would provide an aggregated set of perspectives which may influence the future learning development of new principals. Such investigating would shed light on the type of knowledge and sources of learning that should be available to beginning principals in helping them in the development of a structured career plan. Studies of this kind would include the system's view and provide a balance to the one presented in this thesis.

The research described in this study suggests that learning about the principal's role is important before they take up the position and during their first year in the role. Murphy (1999) and Hart (1993) argue that preparatory licensing programs help address this problem in the United States, but this is far from the case in Victoria. Emerging from this study is a question that needs
to be considered before role development can be discussed: What anticipatory learning and knowledge does a principal need to be exposed to and how best is this learned?

**Implications for practice**

One of the basic intentions of this research was to gather data through the eyes of beginning principals and suggest ideas to those who are responsible for designing and planning beginning principal development programs. The ideas outlined below are an attempt to provide such suggestions. The following recommendations provide practical implications for designing professional development for beginning principals. The first is related to developing integrated learning plans for beginning principals, and the second is reviewing and developing a structured range of systematic learning opportunities which may assist state planners, regional staff and new principals develop and plan career development for first-year principals.

Furthermore, those planning principal development programs need to make themselves aware of the research governing the design adult learning (Caffarella and Berg, 1997) for beginning principals and the research implications as well as those arising from this study. This situation is understandable considering that much of what beginning principals learn during their role development could be labelled as informal, experiential and unanticipated learning, or learning that is not directly related to either formal learning in courses but is learned on the job. However, the importance of the integration of different sources of learning cannot be overlooked, as it has been indicated in this study it can affect the way beginning principals learn and develop their roles as principals.
The use of the Cattegno and Millwood (1995) model as a planning model could be a useful tool for aspirant principals, as well as employers considering developing individual professional planning. Currently, this remains an area of some conjecture as is shown in this study by the lack of any systematic plan of development for beginning principals.

Interviewees reported that formal learning courses or regional staff were not always ones to provide these experiences. However, the interviewees had expectations that a socialization program should be in place. They found that most information and knowledge had to personally sought. A recurrent theme in the research was being able to know about and access appropriate sources of learning. The development of a template of learning sources has been undertaken by the Department of Education, Employment and Training, but this is merely an array of opportunities for learning. What is required is a study of how this template can be best integrated and linked to principal role development.

*Practice Recommendation 1:*

Identify key learning in different phases of socialization and develop integrated learning plans for beginning principals.
Table 39: An example of planning model for beginning principal development

<table>
<thead>
<tr>
<th>Quadrant 1: Work experience: Work role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apprenticeships: acting roles; shadowing roles; assigned leadership team roles</td>
</tr>
<tr>
<td>Quadrant 1: Work experience: Technical and cultural learning supported by a principal mentor</td>
</tr>
<tr>
<td>-Technical task learning supported by an assigned mentor</td>
</tr>
<tr>
<td>Quadrant 2: Work experience: Work relationship: peers/team/group/mentors/role models/networks/experts</td>
</tr>
<tr>
<td>-Use of trained principal mentors and other skills mentors to build leadership knowledge</td>
</tr>
<tr>
<td>-Trained and assigned mentors available in districts and regions to support new principals</td>
</tr>
<tr>
<td>-Use of principal knowledge mentors in the region for coaching</td>
</tr>
<tr>
<td>Quadrant 3: Training and development:</td>
</tr>
<tr>
<td>Self-selected skills courses for aspirant principals</td>
</tr>
<tr>
<td>-Regional principal induction program</td>
</tr>
<tr>
<td>-Regional skill workshop sessions with peers and support</td>
</tr>
<tr>
<td>-Cohort leadership development programs</td>
</tr>
<tr>
<td>Quadrant 4: Formal management education</td>
</tr>
<tr>
<td>Certified principalship preparation and project work studies</td>
</tr>
<tr>
<td>Quadrant 4: Formal management education</td>
</tr>
<tr>
<td>Ongoing beginning principal development programs</td>
</tr>
<tr>
<td>Quadrant 4: Formal management education</td>
</tr>
<tr>
<td>Ongoing management and leadership development programs linked to the principalship</td>
</tr>
<tr>
<td>Quadrant 4: Formal management education</td>
</tr>
<tr>
<td>Ongoing management and leadership certified development programs linked to the principalship</td>
</tr>
</tbody>
</table>

Research findings indicated that certain informal and formal opportunities were strategically linked to different learning and socialization phases. It is
recommended that these can best support the development of beginning principals if they occur in these phases and are integrated into a systematic and structured principal development program for beginning principals. This is best shown in Table 39 as an example of planning model for beginning principal development with some of the examples derived from significant phase learning identified in the current study. Using the Cattegno and Millwood (1995) framework could enable providers and novice principals with a useful lens in which to examine how principals’ best learn. Each of the columns in Table 39 refer to different phases of learning and the specific examples of learning experiences grouped under the Cattegno and Millwood (1995) quadrants. As Parkay and Hall (1992) remind us, principals move through these stages at different rates at their own time, so the staging and provision of a principal’s professional development is then dependent upon individual and situational characteristics. Professional development needs to be available and offered in a variety of flexible formats, which will help address individual and contextual needs. The role of informal learning (work role and work relations) can be compared with more formal learning (training and development and formal management training) to connect these sources into a meaningful integrated development. Parkay et al (1992), and more recently Whitaker and Barnett (1999), indicate that there are several practices which might be useful in developing a strong foundations of support for principals during the critical first year. This was envisaged as a ‘tripod’ of support consisting of training, networking and coaching. These areas of support emerge from the recommendations of beginning principals, and in the areas outlined below should be incorporated into any integrated and planned series of professional development.

Ways in which to examine the learning and socialization in the role development of beginning principals can provide a template in which to both see, use, and plan the development of future principals. The four phases
depicted in Table 39 can be integrated, connected and linked to both formal and informal learning to develop a coordinated development programs. This can be used as a visual planner in begin to understand individual phases a beginning principals is passing through, and develop individual development learning plans for principals in their career development based on some of the findings related to what can be expected in role development during each phase. The key implications for practice include the need for opportunities for new principals to be periodically released from school duties to undertake a preparation and orientation program prior to take up the appointment. The appointment of an assigned mentor to provide school and peer support throughout the first year also would be valuable. Finally, it would be useful to develop an ongoing phased cohort professional development program focusing on skill development with the support of a trained facilitator, similar to the existing Principal and School Development Program offered by the Australian Principals Centre.

**Practice Recommendation 2:**

*Provide a catalogue of learning opportunities as a template which may assist state planners, regional staff and new principals develop and plan career development for principals in their first year in the role.*

The types of learning experiences that should be made available to first-year principals include:

* Formal learning about key management tasks should occur prior to taking up the role.

* Preparation courses should be available prior to taking up the position, but specific peer-supported programs should be available for those after taking up the position (e.g., Principal and School Development/PRISM).
* Extensive management and leadership training should be developed after the first year in the role, so that the experiences can be used for reflection and development.
* Targeted training should be available each term so that new principals can select and enrol in programs that meet their individual needs.
* Training should be available in variety of forms and formats. These could include: workshops, internet sessions, documents and television.

This thesis has described the processes of learning and socialization experienced through the eyes of beginning principals. Using structured interviews across four phases, and survey data at two points in time, insights were gained about how new principals learned and developed their roles over their first year in the job. In this way, a gradual accumulation of snapshots was collected around the processes and sources of learning and the impact and influences these had on role development for beginning principals. Newcomers were able to use informal and formal learning, but oftentimes were left to their own devices to find sources of information and knowledge to build their new roles. This research raises some very serious questions as to the effectiveness of existing designs for learning and development for beginning principals despite the amount of money invested in the professional growth of new principals.

The limitations of this research need to be recognized. The research involved a small group of beginning principals drawn from the Victorian government system who were undertaking their first year in the role. Therefore, there exists a need for further research into the effectiveness and design of various types of learning and development programs using case studies, large-scale samples and longitudinal studies. This study has further contributed to the knowledge in the field of beginning principals by confirming similar earlier socialization phases reported in other investigations (e.g., Parkay and Hall).
1992), and also has contributed some significant findings about how new principals see themselves learning about their role. These findings have resulted in the development of a professional socialization learning framework that may be applied to Victorian beginning principals. Although this framework is a promising model for studying the learning and development of beginning principals in any school system, more in-depth studies are needed to verify this applicability. This chapter has discussed many questions which could serve as foci for future research and practice, which have arisen from the study of principal role learning as seen through the eyes of the beginning principals.
Bibliography


Bibliography.


Bibliography.


Bibliography.


Bibliography.


Bibliography.


311
Bibliography.


Bibliography.


Appendix

1. DEET Job Statement: Role and Responsibilities for the Principal ................................. i

2. Table 40: Number of Principal Class members by sex and age ......................... ii
   Table 41: Number of Principal Class members by region and sex .................. iii
   Table 42: Years of service of Principal Class members by age ...................... iv

3. Copy of phase 1 interview letter to participants ...................................................... v
4. Copy of phase 1 questionnaire letter to participants .............................................. vi
5. Copy of phase 1 data sheet and interview schedule ................................................ vii-viii
6. Copy of phase 1 questionnaire .................................................................................... ix-xiv
7. Copy of phase 4 interview questions ............................................................................ xv
8. Copy of phase 4 letter to survey participants .............................................................. xvi
9. Copy of phase 4 questionnaire .................................................................................... xvii-xx
Job Statement for the Role of Principal

The statement of the position for principals in Victorian state government schools is clearly defined and articulated by the employing authority the Department of Education Training and Development. It is outlined in the Principal Class Handbook (1999) and forms the basis for local selection of principals where School Councils are able to use this criteria for advertising and selecting of principal positions. For the position of principal in a Victorian government school, the core accountabilities of all principals are:

1. Ensure the delivery of a comprehensive program to all students.
2. Be executive officer of the school council.
3. Establish and manage financial systems in accordance with Directorate and School Council requirements.
4. Represent the Director of Schools in the school and the local community.
5. Implement decisions of the school council.
6. Contribute to system-wide activities, including policy and strategic planning.
7. Manage and integrate resources available to the school.
8. Appropriately involve staff, students and the community in the development, implementation and review of school policies, programs and operations.
9. Report to the Director of Schools, school community, parents and students on the achievements of the school and of individual students as appropriate.
NUMBER OF PRINCIPAL CLASS MEMBERS RECEIVING PAY BY SEX AND AGE GROUP
AS AT PAY DATED 16 DECEMBER 1999

<table>
<thead>
<tr>
<th>Age (Years)</th>
<th>Males</th>
<th>Females</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>25-29</td>
<td>3</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>30-34</td>
<td>10</td>
<td>7</td>
<td>17</td>
</tr>
<tr>
<td>35-39</td>
<td>46</td>
<td>39</td>
<td>75</td>
</tr>
<tr>
<td>40-44</td>
<td>269</td>
<td>443</td>
<td>412</td>
</tr>
<tr>
<td>45-49</td>
<td>557</td>
<td>363</td>
<td>920</td>
</tr>
<tr>
<td>50-54</td>
<td>688</td>
<td>332</td>
<td>1019</td>
</tr>
<tr>
<td>55-59</td>
<td>146</td>
<td>116</td>
<td>262</td>
</tr>
<tr>
<td>60-64</td>
<td>8</td>
<td>12</td>
<td>20</td>
</tr>
<tr>
<td>65 plus</td>
<td>-</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>1,727</strong></td>
<td><strong>1,906</strong></td>
<td><strong>2,633</strong></td>
</tr>
</tbody>
</table>

Mean age: 49.4
### Number and Full Time Equivalent (FTE) of Principals and Principal Class Members Receiving Pay by Region and Sex as at Pay Dated 16 December 1999

<table>
<thead>
<tr>
<th>Region</th>
<th>Western</th>
<th>Central Highlands</th>
<th>La dolce Vita</th>
<th>Gippsland</th>
<th>Eastern Metropolitan Region</th>
<th>Western Metropolitan Region</th>
<th>Southern Metropolitan Region</th>
<th>Northern Metropolitan Region</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number FTE</td>
<td>Number FTE</td>
<td>Number FTE</td>
<td>Number FTE</td>
<td>Number FTE</td>
<td>Number FTE</td>
<td>Number FTE</td>
<td>Number FTE</td>
<td>Number FTE</td>
</tr>
<tr>
<td><strong>Males</strong></td>
<td>112</td>
<td>112.0</td>
<td>90</td>
<td>90.0</td>
<td>126</td>
<td>126.0</td>
<td>120</td>
<td>120.0</td>
<td>110</td>
</tr>
<tr>
<td><strong>Females</strong></td>
<td>56</td>
<td>56.0</td>
<td>33</td>
<td>33.0</td>
<td>30</td>
<td>30.0</td>
<td>42</td>
<td>42.0</td>
<td>34</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>168</td>
<td>168.0</td>
<td>123</td>
<td>123.0</td>
<td>156</td>
<td>156.0</td>
<td>162</td>
<td>162.0</td>
<td>144</td>
</tr>
<tr>
<td><strong>Males</strong></td>
<td>24.3</td>
<td>24.3</td>
<td>26.8</td>
<td>26.8</td>
<td>19.2</td>
<td>19.2</td>
<td>25.9</td>
<td>25.9</td>
<td>23.6</td>
</tr>
<tr>
<td><strong>Females</strong></td>
<td>24.3</td>
<td>24.3</td>
<td>26.8</td>
<td>26.8</td>
<td>19.2</td>
<td>19.2</td>
<td>25.9</td>
<td>25.9</td>
<td>23.6</td>
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</tbody>
</table>
YEARS OF SERVICE OF PRINCIPAL CLASS MEMBERS RECEIVING PAY BY SEX AS AT PAY DATED 16 DECEMBER 1995

<table>
<thead>
<tr>
<th>Years</th>
<th>Males</th>
<th>Females</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 5</td>
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<td>2</td>
<td>10</td>
</tr>
<tr>
<td>5-9</td>
<td>7</td>
<td>21</td>
<td>28</td>
</tr>
<tr>
<td>10-14</td>
<td>53</td>
<td>89</td>
<td>142</td>
</tr>
<tr>
<td>15-19</td>
<td>104</td>
<td>90</td>
<td>194</td>
</tr>
<tr>
<td>20-24</td>
<td>143</td>
<td>103</td>
<td>246</td>
</tr>
<tr>
<td>25-29</td>
<td>506</td>
<td>316</td>
<td>822</td>
</tr>
<tr>
<td>30-34</td>
<td>583</td>
<td>235</td>
<td>818</td>
</tr>
<tr>
<td>35-39</td>
<td>304</td>
<td>133</td>
<td>437</td>
</tr>
<tr>
<td>40-44</td>
<td>35</td>
<td>30</td>
<td>65</td>
</tr>
<tr>
<td>45 and above</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Total</td>
<td>1,744</td>
<td>1,021</td>
<td>2,765</td>
</tr>
<tr>
<td>Average</td>
<td>28.9</td>
<td>27.7</td>
<td>29.1</td>
</tr>
</tbody>
</table>

Note: Includes only latest amount of service if break is of more than 5 years.
interview letter

Dear

Congratulations on your appointment as a Principal. I wish you every success in your new endeavor.

In my role as a Project Director at the Australian Principals Centre I have been involved in the Induction programs for the Department. In my doctoral studies I wish to enlist your support in gathering data and ideas from new principals like yourself. I want to capture, over time, some of the thoughts and changes you encounter as a new principal. This data will help form a basis for a series of recommendations for the Department for the future planning of Induction experiences for new principals.

Please find enclosed:

1. A plain language statement outlining the research and your involvement.
2. A consent form to be signed and returned if you decide to participate.
3. A series of some possible interview questions which will form the basis of the interviews.

I am happy to meet with you at your convenience prior to school beginning in 2000. Could you please return with the consent form some possible dates in January and some telephone numbers for me to contact you.

Yours sincerely,

Gary O'Mahony
Project Director
Dear 

Congratulations on your appointment as a Principal. I wish you every success in your new endeavour.

In my role as a Project Director at the Australian Principals Centre I have been involved in developing Induction programs for new Principal Class members, and, as part of my doctoral studies, I will focus on how new principals learn and carry out the job in the first few months. I seek your support and assistance in this venture. I want to capture some of your thoughts and ideas of how you see your new role prior to taking up the job and three months later. I hope you will participate in providing data by completing the attached questionnaire. The collected data will form the basis of information and knowledge about the way that you see your new role and the role of learning about your new role of principal.

If you can find time to voluntarily participate it would certainly help provide data in an area where little exists, and will help those planning future Induction programs for new principals.

Accompanying this letter is a statement about the research project entitled Plain Language Statement and a consent form seeking your permission to agree to participate in this important research.

If you decide to participate:

1. Please complete the questionnaire and sign the consent form.
2. Place the completed questionnaire in the stamped addressed envelope accompanying this letter.

Thank you for taking time to consider this request in such a busy time of the year but I wanted to collect your ideas prior to your taking up your substantive new appointment.

Yours sincerely,

Gary O'Mahony
Project Director
Section A: Background Information

Please provide some background information about you and your new school.

1. Gender: ______ Female ______ Male

2. Age: ______ Early 20s ______ Early 30s ______ Early 40s ______ Early 50s
       ______ Mid 20s ______ Mid 30s ______ Mid 30s ______ Mid 50s
       ______ Late 20s ______ Late 30s ______ Late 40s ______ Late 50s

3. Qualifications: (Please state specific examples)
   - Teaching Certificate
   - Bachelor Degrees
   - Masters Degree
   - Doctoral Degree
   - Other Qualifications

4. Years of Experience:

5. Previous Experience as an AP: ______ Yes ______ No

6. Previous Leadership Roles:

7. Previous Classification: ______ Level 2 ______ Level 3 ______ AP ______ Other
   Comments:

8. Previous Position: ______ Full-time classroom teacher ______ Part-time teaching
   ______ Specialist position ______ Full-time AP
   Comments:

9. School Location: ______ Rural/country ______ Suburban/regional ______ Urban/metropolitan

10. Enrollment: ______ less than 50 ______ 51-100 ______ 101-200 ______ 201-300
    ______ 301-400 ______ 401-500 ______ 501-600 ______ 601-700
    ______ 701-800 ______ More than 850

11. School Type: ______ Primary ______ Secondary ______ Specialist ______ Other

12. Number of Staff: ______ Teachers ______ Other Staff
INTERVIEW SCHEDULE

PREPARING FOR THE JOB
1. In preparing yourself for your role as a principal, what experiences have helped
   1.1. Prepare for the role?
   1.2. Develop yourself to undertake the new roles?

2. How have some of the following format and informal forms of learning influenced you
   in your training and development for this new role? Could I ask you to comment on
   these specifically with examples?
   2.1.1. School/Workplace Learning
   2.1.2. The role of peer support, coaching mentors, shadowing, acting principal role
   2.1.3. Professional development
   2.1.4. Formal studies
   2.2. What and how have you learned about the role of the principal from your
   2.2.1. Experiences and a leader
   2.2.2. Theory or constructs about what principals/leaders do
   2.2.3. Research about the principalship and role

3. SOURCE OF LEARNING
   3.1. What experiences have/have had the greatest impact? Why?
   3.2. What experiences have/have had the greatest influence? Why?
   3.3. What sources of learning have/have had the most impact? Why?
   3.4. What sources of learning have/have had the most influence? Why?
   3.5. How would you describe your best learning experiences about being a principal?
   3.6. What has given you the greatest insight about the role? Why?
   3.7. Do you believe the experiences you have helped you to understand more fully your
   role and what you will do?
   3.8. How have you been able to connect and use these in preparing yourself for the
   principalship?

USEFUL EXPERIENCES
4. In an ideal world, what advice and guidance would you want to give about preparing for the
   principalship?
   4.1. What were the most useful source of experiences?
   4.2. What were the least useful?
   4.3. What would you have liked to have included which would have helped you?
BEGINNING PRINCIPALS STUDY QUESTIONNAIRE

The purpose of this questionnaire is to obtain your views on the matters of how you see your new role, its challenges and changes you envisage. It also asks you to discuss how the role of formal and informal learning has helped you prepare and learn about the new principal role.
Section A: Background Information

Please provide some background information about you and your new school.

1. Gender:   ___ Female   ___ Male

2. Age:   ___ Early 20s   ___ Early 30s   ___ Early 40s   ___ Early 50s
   ___ Mid 20s   ___ Mid 30s   ___ Mid 40s   ___ Mid 50s
   ___ Late 20s   ___ Late 30s   ___ Late 40s   ___ Late 50s

3. Qualifications (Please state specific examples)
   Teaching Certificate
   Bachelor Degree(s)
   Masters Degree
   Doctoral Degree
   Other Qualifications

4. Years of Experience:

5. Previous Experience as an AP:   ___ Yes   ___ No

6. Previous Leadership Roles:

7. Previous Classification:   ___ Level 2   ___ Level 3   ___ AP   ___ Other

   Comments:

8. Previous Position:   ___ Full-time classroom teacher   ___ Part-time teaching
   ___ Specialist position   ___ Full-time AP

   Comments:

9. School Location:   ___ Rural/country   ___ Suburban/regional   ___ Urban/metropolitan

10. Enrolment:   ___ less than 50   ___ 51-100   ___ 101-200   ___ 201-300
    ___ 301-400   ___ 401-500   ___ 501-600   ___ 601-700
    ___ 701-800   ___ More than 850

11. School Type:   ___ Primary   ___ Secondary   ___ Specialist   ___ Other

12. Number of Staff:   ___ Teachers   ___ Other Staff

X
SECTION B
THE ROLE OF PRINCIPAL

1. What do you value and what is important to you as a principal in a new school?
   - Value:
     1.1. ____________
     1.2. ____________
     1.3. ____________
   - Importance:
     1.4. ____________
     1.5. ____________
     1.6. ____________

2. In twelve months how do you want to be seen as a principal?

3. In this new role what do you think will be your three major challenges as a principal?
   3.1. ____________
   3.2. ____________
   3.3. ____________

4. As a new principal how do you plan to address your three major challenges?
   4.1. ____________
   4.2. ____________
   4.3. ____________

5. What past experiences have helped you develop an image of what you will do as a principal?
6. In the two areas listed below, what do you think are important issues?
   Policies:
   6.1. 
   6.2. 
   6.3. 
   Staff relations:
   6.4. 
   6.5. 
   6.6. 

7. (a) How do you plan to address them?
   Policies:
   7.1. 
   7.2. 
   7.3. 
   Staff relations:
   7.4. 
   7.5. 
   7.6. 

7. (b) What training and knowledge do you think you will need to assist you to address the issues in these areas?

SECTION C
PROFESSIONAL LEARNING

8. What past experiences – both formal and informal learning – have helped you prepare for the principal role?
   8.1. 
   8.2. 
   8.3. 
   8.4.
<table>
<thead>
<tr>
<th>School Workplace Learning</th>
<th>Importance Scale:</th>
<th>Specific examples relevant to you</th>
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<tbody>
<tr>
<td>Critical events in school</td>
<td>1 2 3 4 5</td>
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<tr>
<td>Special assignment or roles</td>
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<td>Examples Work based projects</td>
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<td>Acting Roles</td>
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<td>Leadership team or school teams</td>
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<td>Curriculum leadership roles</td>
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<td>Critical events</td>
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</table>

| Work Relationships                                | 1 2 3 4 5         |                                   |
| Examples                                          |                   |                                   |
| Helped by experts or leaders                      |                   |                                   |
| Mentored or coaching                              |                   |                                   |
| Peer support and role models                      |                   |                                   |
| Networking                                        |                   |                                   |

| Training and Development                          | 1 2 3 4 5         |                                   |
| Examples development - job rotation               |                   |                                   |
| Job rotation                                      |                   |                                   |
| PD programs e.g. Leadership                      |                   |                                   |
| Regional PD                                       |                   |                                   |
| Special initiatives                               |                   |                                   |

| Formal Management or Post Graduate Training Courses| 1 2 3 4 5         |                                   |
| Examples                                          |                   |                                   |
| University courses for PD                         |                   |                                   |
| Post graduate study                               |                   |                                   |
| Australian Principals Centre courses              |                   |                                   |
10. What would you describe as your best learning experiences about preparing for the principalship?

11. Why did you say this?

12. At that time, how did you connect it to your leadership role?
PHASE 4 INTERVIEW SCHEDULE

1. A new principal is starting at a neighbouring school. Now that you have been in the role for almost a year, what would you tell them about
   (a) preparing for the role?
   (b) the role itself (and the changes you have made)?
   (c) what and how you have learned about the role?

2. Now, based on your experience this year, what would you tell a Beginning Principal about developing and leading a school in the area of
   (a) School Policies?
   (b) Staff Relations?

3. Looking back over the twelve months, what do you feel you have learned about the principal and the role through
   (a) on-the-job learning at school.
   (b) work colleagues and others.
   (c) professional development.
   (d) formal management training eg through universities.

4. What have been your best learning experiences and best insights into the role?
Beginning Principals Study Questionnaire II:

Dear Colleague,

I wrote to you earlier this year outlining the PhD research I was conducting related to how new principals saw and developed their role over time, and how professional learning has helped in developing the role. The purpose is to collect information which will assist those in planning and developing future induction programs. The title of the study is, Through the eyes of Beginning Principals: the image, concerns and learnings about leadership, and I wish to collect data from your point of view. I have forwarded a final questionnaire focusing on advice you now believe you could give after your first year as a principal. Could I point out:

1. If you haven’t completed the first questionnaire, it doesn’t matter. Views are being collected from the whole group appointed as beginning principals in the same time period. This final questionnaire can stand alone and perhaps is more important in looking back over the year.

2. Any information received will continue to remain confidential and anonymous for research purposes. No individual results will be released without prior seeking permission.

3. Would it be possible to ask you to find time to return the by mid-December so that results can be collated over the vacation period?

4. Would you please sign the consent release form with the questionnaire.

Hoping you can find time to complete this questionnaire. Hope things go well for the rest of the year and hope it has been rewarding and fruitful.

Best wishes for now,

Gary O'Mahony
Section A: Background Information

Please provide some background information about you and your new school.

1. Gender:  ____ Female  ____ Male

2. Age:  ____ Early 20s  ____ Early 30s  ____ Early 40s  ____ Early 50s
    ____ Mid 20s  ____ Mid 30s  ____ Mid 30s  ____ Mid 50s
    ____ Late 20s  ____ Late 30s  ____ Late 40s  ____ Late 50s

3. Qualifications (Please state specific examples):
   Teaching Certificate
   Bachelor Degree
   Masters Degree
   Doctoral Degree
   Other Qualifications

4. Years of Experience

5. Previous experience as an AP:  ____ Yes  ____ No

6. Previous Leadership Roles

7. Previous Classification:  ____ Level 2  ____ Level 3  ____ AP  ____ Other
   Comments

8. Previous Position:  ____ Full-time classroom teacher  ____ Part-time teaching
    ____ Specialist position  ____ Full-time AP
   Comments

9. School Location:  ____ Rural/country  ____ Suburban/regional  ____ Urban metropolitan

10. Enrolment:
   1. less than 50
   2. 51-100
   3. 101-200
   4. 201-300
   5. 301-400
   6. 401-500
   7. 501-600
   8. 601-700
   9. 701-800
   10. More than 850

11. School Type:  ____ Primary  ____ Secondary  ____ Specialist  ____ Other

12. Number of Staff:  ____ Teachers  ____ Other Staff
BEGINNING PRINCIPALS STUDY

Phase 4: Questionnaire.

1. Looking back on your first twelve months as a principal, what have been the major changes in your role over the year?

2. If you were telling a new principal who is about to take up the job for the first time at a nearby school, what would you tell them and advise them about:

(a) preparing for the job?

(b) the role itself from the way you first saw it?

(c) the types of learning experiences which may help them?

(d) during the year how have you have learned about the role?
3. Based on your experiences in leading and implementing school policy development and staff relations this year, what advice and suggestions would you give to a new principal about developing these areas?

School Policy Development
Advice: ____________________________ How to do about it:

Staff Relations
Advice: ____________________________ How to do about it:

4. How valuable have you found the following sources of learning about the principalship, and what have you learned from each of the sources (circle your response)

[ ] On-the-job learning: ____________________________ 2. _______ 4. _______
[ ] Workplace learning: ____________________________ 2. _______

Comments and examples:

__________________________
(b) Work colleagues and others:

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</table>

Comments and examples:

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(c) Professional training and development:

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</table>

Comments and examples:

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(d) Formal training (eg university courses):

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</table>

Comments and examples:

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5. What have been your best learning experiences and most insights into your role?

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Thank you for taking the time to complete this questionnaire.