UNIVERSITY OF THE WESTERN CAPE

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

UNIVERSITY *of the*
WESTERN CAPE

A thesis submitted in partial fulfilment of the requirements

for the degree of Magister Commercii,

in the Department of Management & Entrepreneurship

University of the Western Cape.

Candidate Name: Muaath Gabier

Student Number: 9432708

Supervisor: Professor Philip Hirschsohn

Thesis Title:

A review of Principal training and development to determine preparedness as managers of organisations in the South African Context.

Signature of Student:

Date: 11 November 2022

Plagiarism Declaration

1. I declare that the following thesis under the title "*A review of Principal training and development to determine preparedness as managers of organisations in the South African Context*" is my own work.
2. I hereby declare that I know what plagiarism entails, namely to use another's work and to present it as my own without attributing the sources in the correct way. (Refer to University Calendar part 1 for definition)
3. I know that plagiarism is a punishable offence because it constitutes theft.
4. I understand the plagiarism policy of the University of the Western Cape.
5. I know what the consequences will be if there is any evidence of plagiarism in this report.
6. I declare therefore that all work presented by me, in this report is my own, and where I have made use of another's work, I have attributed the source in the correct way.

Name: Muaath Gabier

Student number: 9432708

Acknowledgements

بسم الله الرحمن الرحيم

In the Name of God, Most Gracious, Most Merciful

Nothing is complete without giving thanks to my Creator, as nothing is possible without HIS will and guidance.

I would like to express my eternal gratitude to my wife Yumna, and son Zayd, who tolerated me during this process. I also have to acknowledge the support of my academic supervisor, Professor Phillip Hirschsohn who was the rock that this process was built on. Professor your patience, and guidance during this process was invaluable.

Without the encouragement of my late father, Abdulhamied Gabier who was my biggest hero, and who sadly passed away earlier this year, this would not be possible.

I pay special thanks to my dear friends who supported me, in more ways than I can mention, your kindness and generosity will always be appreciated. This thesis is a result of sacrifice, perseverance, diligence and fortitude. Completing this work while surviving a pandemic, suffering personal loss, experiencing a lack of motivation, I feel enriched by the result and the learning experience it has provided. The formulation of argument and dissecting of many perspectives was an added bonus.

Mom and Dad, I miss you, and wish you could share this moment with me.

Muaath Gabier

B.Admin

B.Comm (Honours)

M.Comm (Management) Candidate

Abstract

Globally, public education systems are understood to be critical to the development of societies and provides an essential service for the public benefit. In order to do so effectively, there has been acceptance that effective schools need effective school leadership. In many school systems, this leadership rests on the shoulders of school principals, which raises the questions of whether school principals are indeed effective leaders, and how do we ensure that they are?

Education is constantly evolving along several streams over time. Access to technology, diversification of societies, growing populations all contribute to the dynamism of education, which affects the way education is delivered, and how schools are led. The role of the principals is highly complex, and comes with several key responsibilities that needs to be delivered upon. In recognition that schools are organisations, and therefore require leadership and management in line with those organisational needs, then in order for schools to function effectively, they need effective leaders.

Using a case study method for the study, an examination of two similar provincial education systems, both with a colonial past, was conducted. The qualitative methodology allowed for the exploration of the participant's experience and perspective during their careers as principals. Semi-structured interviews was the primary data collection method, and were conducted on two groups of principals, one from each province, to understand the approaches to providing their schools with effective leadership in the role of principals. Supporting the interviews was a survey sent to principals across the Western Cape, which yielded a high enough response rate to make it reliable. Ontario and the Western Cape education systems have many similarities that made the comparison and analysis possible along three main thrusts to understand how principals are

- Prepared
- Trained
- Selected and supported

This was done with current principals in each system in line with the four sub-questions of the study.

The results of the study provide evidence that while both systems share a colonial past, the post-colonial period in either system was significantly different, which lead to vastly different outcomes. The legacy of apartheid education, and the remnants that still remain in the Western Cape system is still visible in the education system. This in turn affects the way in which principals can lead students and staff, their workload, their responsibilities, and their management of the school. All of these factors influence the performance of the learners and the school as a whole.

The limitations of the study are the small sample of principals used in the interview process. This is less of an issue for the Ontario group, as they all have to meet the same objectively measurable criteria for selection. The WCED participants crossed the pre and post 1994 education system, and therefore a larger sample across the province would enable more detailed results. The survey results do however support the findings and the conclusions drawn.

Keywords:

Principals, Principal Appointment, School Leadership, Principal Training, Principal Development, School Management, School Governance, Education Legislation, School Governing Bodies, South African Schools Act, Additional Qualifications, Mentoring.

Table of contents

Acronyms and Abbreviations

ACE-SML	Advanced Certificate in Education – School Management and Leadership
AQ	Additional Qualifications (Ontario)
DBE	Department of Basic Education
DCA	Department of Coloured Affairs
DoE	Department of Education
DP	Deputy Principal (Western Cape)
EEA	Employment of Educators Act (76 of 1998)
HEI	Higher Education Institute
HOD	Head of Department
IQMS	Integrated Quality Management System
LTO	Long Term Occasional Teachers (substitute teachers in Ontario)
NNSSF	National Norms and Standards for School Funding
OCT	Ontario College of Teachers
OPC	Ontario Principals Council
PDSB	Peel District School Board
PQP	Principal Qualification Program (Ontario)
SACE	South African Council of Educators
SASA	South African Schools Act (84 of 1996)
SASP	South African Standards for Principalship
SGB	School Governing Body
SMT	Senior Management Team
UCT	University of Cape Town
UWC	University of Western Cape
WCEA	Western Cape Education Act (71 of 1997)
WCED	Western Cape Education Department
VP	Vice Principal (Ontario)

List of Tables

"Education is the most powerful weapon which you can use to change the world." — Nelson Mandela

Chapter 1 – Introduction to the Study

1.1 Introduction

One of the primary motivating factors for me going on this journey, is my personal lived experience. I lived in Canada in the late 1980's when my father and I went into exile. I completed high school in the Ontario school system, graduating in 1988. When my family and I returned to South Africa at the cusp of the new democracy, I also began my further education as a student at University of Western Cape, graduating from there in 1998.

I relocated to Toronto in 2000 for employment reasons, got married and started a family. My wife and brother in law are teachers, and my late father in law was a principal and a teacher in the Peel District School Board (PDSB). My son began his schooling in Canada before we returned back to South Africa. Enrolling my son into school here, and the interactions I have had with the school and school leadership, have been instrumental in guiding me towards this research.

I have seen and experienced school leadership in both as a student, as well as a parent. The contrast between the two systems, Ontario and the Western Cape, is the subject of this study, specifically around the issues of school leadership, school management and to a lesser degree, school governance.

This undertaking seeks to examine the process of preparing principals for school leadership and how they are selected for those positions; to contrast how schools are managed, and what the approaches to school governance are in each system.

This study focus is on the critical role that school principals play in school performance and student outcomes. Due to the critical nature of the principal role as school leader, there is particular qualities and attributes that are required for them in order to perform their functions optimally. We have to acknowledge that there are several factors that influence the education system. Internal factors include the relevant National and/or Provincial Ministries, legislation and regulation, labour unions, school leadership, management and governance. External factors that influence education include the historical legacies of education, the socioeconomic conditions

of the school community, safety of learners and physical school's infrastructure, community and parental participation, or lack thereof, access to resources etc.

With so many factors that are at play that impact on the leadership, management and governance within a school environment, the question that arises is whether or not there is an appropriate level of management capacity and competency exist at schools. This question is particularly relevant to the only position that touches into all these roles. Gurr *et al* (2006:371) argue that the role of the principal 'is seen as one of increasing change, complexity, diversity, and intensity'.

The Principal of the school is de facto the head of the school, leads the Senior Management Team (SMT) and also serves on the School Governing Body (SGB). It is therefore clear that the role of the Principal, the level of responsibility, as well as the degree of influence the position is able to exert, is significant. One could argue that the principal is singularly the most influential person within the school environment. One would therefore expect that anyone who holds this position would meet certain baseline criteria and demonstrates particular qualities that would qualify them for that position. One would be wrong.

In South Africa the process of principal selection and appointment is one that is clearly defined by the relevant legislation, although an argument can be made that the process of principal selection is not necessarily very objective. This may stir some discomfort among many who will argue that the process is otherwise. The principal selection process is not one that is consistent across all schools, is broadly defined, is not completely managed by the employer (although the employer participates in the process), but is managed and conducted by the SGB.

SGBs have discretion to advertise for the vacant position of school principal, within some broadly interpreted requirements and guidelines. SGB's have the capacity to tailor the hiring process to achieve the desired results they wish to achieve. This process lacks the objectivity required to get the best leader for the school, and potentially infuses the selection process with bias and the subjectivity of the SGB.

1.2 Purpose of the study

The issue of South African public education is one that brings about feelings of hope and unfortunately also despair. Education is considered to be one of the pillars of successful societies, an instrument in enabling societal growth and development. What gets taught and how it gets taught becomes instrumental in shaping how

learners develop, including the sensitivity towards being tolerant of diversity, which ultimately shows benefits in social cohesion (Allen & Mintrom, 2009:442). Education that is accessible can motivate and propel economic success, innovation and sustainability. In order for society to reap the benefits of what education is able to provide, it must also provide this education to the entire population. Not only must it be provided for free, it must be provided equitably and efficiently.

Several factors influence the equitable and efficient provision of education. Among these are language, curriculum, class sizes, educator qualifications and experience. As important, if not more importantly is school leadership and management. Schools are small organisations that have many operational and management tasks that have to be successfully managed every day. Like many other small or medium sized organisations, schools also have labour relations, supply chains, facilities management, financial management, human resources and operations management

The role of management has been defined by scholars such as Henri Fayol and Frederick Taylor in the early 20th century. These management theorists were contemporaries and developed the frameworks of modern management science. Clear lines of responsibility and reporting need to exist, as they do in all organisations.

Much of this responsibility is laid at the feet of the principal as the head of the school. While some principals may be supported by a senior management team and a school governing body, we should ask the question if this should be the case at all. When citizens expect so much from the education system, it stands to reason in order to deliver the educational outcomes that society expects, that the appropriate level of top management competencies of principals should exist or be provided.

A SGB is elected and serves for a period of three years. SGBs vary in levels of capacity from school to school, as the parents that serve on the SGB may or may not have the requisite level of experience, education or competence to effectively fulfil the duties and responsibilities expected of them. This leads to varying levels of consistency in school governance, manipulation of the SGB by the school principal, or the manipulation of the principal by the SGB. The short term nature that SGB's serve also brings about varying degrees of efficacy in school management and governance. The additional risk of personal interest of SGB members may also affect effective and efficient school management.

When we examine the career path of principals, we find that required management and operational competencies are not necessarily present, certainly not in terms of career training which is geared towards teaching performance and curriculum delivery. While this may seem to be a position that will bring about some consternation, it is borne out and supported by evidence which I will present in the study. Many other countries that have already recognised this, that principals are the heads of the school, but limited to only matters related to academic affairs, curriculum delivery and its outcomes (Bush & Jackson, 2002).

Management of schools, particularly the non-academic functions are managed externally at various levels. There are several reasons for this to be the case. In order for us to get a full grasp of the issues. This thesis explores the benefits of having these functions managed externally, and how it contrasts with the South African system. In my view, the closest model that aligns with the South African system can be found in Canada and this thesis will look closely at both education systems for comparison purposes.

When we begin to see the challenges that exist in the South African educational system, we become aware of the disparate way that schools are managed. While it is obviously debatable as to the cause of this disparity, some of which are easier to address than others, we should firstly look at the legislation contained in the South African Schools Act (84 of 1996). This landmark legislation, which sought to bring about a more equitable education system, and to democratise parent involvement, may have unfortunately also contributed to the very failure to do so (Xaba, 2011).

SASA provides a framework for schools to be led, managed and governed. The process of developing the legislation was a compromise in itself. What existed before 1994 in the education system was a multi-tiered education mess, with vast imbalances in resources, infrastructure, capacity, human resources and even curriculum (Sayed & Kanjee, 2013).

Allen & Mintrom (2010) argue that public schools serve the public interest and not private interests, public needs and not private needs for the benefit of society and not individuals. Public schools do not exist in a vacuum, they are part of a larger ecosystem and should not contribute to the growing chasm of inequity across the public education environment.

One must not forget that these are public schools, that occupy state land and are supposed to be equally accessible to the public. What we find is largely that some

schools operate within the boundaries of SASA while also conducting the affairs of the school much like the private education systems. Because of the high level of autonomy that SASA grants to SGBs, they are able to influence admission criteria, curriculum decisions, disciplinary matters, financial affairs and human resource practices (Xaba, 2011). These may seem justified, on the surface, but it is wholly sinister in its application of the law. The law also appears to be conflicted as it creates the space for:

(a) two employers to operate within the same space;

(b) two different employee codes of conduct to exist in the same employment space, and

(c) separate disciplinary processes between employees teaching in the same school, while still having the same management and leadership.

School principals need to manage SGB employed staff, should there be any, as well as state employees, and in some instances, the number of SGB employed staff exceeds the number of state employees. This creates another imbalance at the school as it adds another layer of complexity to the principals' responsibility.

In the public school system, principals are the state appointed head of the school and represent the Superintendent General of the Provincial Education Department. As such, the Principal must conform to academic and ethical standards as laid out in the job description and Personnel and Administrative Measures (PAM) documents. The PAM are the regulations for educator staff and these are revised from time to time with new guidelines.

School principals are part of the Senior Management Team (SMT) and serve on the SGB. This gives the principal unparalleled access to all areas of the school management and governance spheres, where the influence of the principal can be brought to bear. The Senior Management Team (SMT) is composed of Deputy Principals and senior teachers and other support staff that are responsible for the management activities of the school on a daily basis. These activities would include facilities management, logistics, supply chain, operations management and other related functions. SMT's also face challenges as they are not trained or provided with the appropriate skills to equip them for the role. This will become evident in the data collection phase that the lack of preparation of principals includes the lack of support provided to them by SMT's, who themselves have a competency gap.

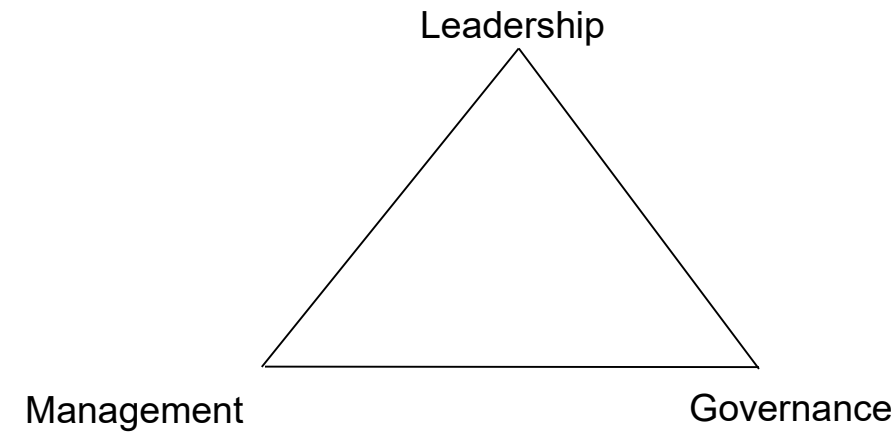

Figure 1 – School Leadership, Management and Governance relationship

The figure above shows the relationships that exist in the SA public school system, with the principal at the head of the triangle and engaged in in all three areas. This illustrates the important role that the principal has and the influence on all aspects of the school decision making process.

1.3 Reason for the study

The study aims to examine the career path of principals, in order to understand the expertise needed, including the training and preparation provided before being appointed as a principal. As the keystone for the success of the school and learners, the question of whether the principal is prepared to fulfil the critical roles within the scope of responsibilities that a principal has, has been adequately met.

We should expect public servants to meet certain criteria and have the relevant qualifications for the positions that they hold, particularly one that comes with the level of responsibility of school leadership. The investment into our education system which in the 21/22 financial year is over R25 Billion (WCED AR 21/22:206), should go beyond the infrastructure and curriculum, the management of state resources and employees as well, as the success of the learner cohort cannot be ignored. Does the system of preparation ensure that those who are selected and appointed into this role, are appropriately qualified, prepared, mentored and supported to deliver on their leadership management and governance/accountability mandates (Van der Westhuizen & Van Vuuren,2007:437).

Layered on top of this is the broadly interpreted legislation of Chapter 3 (20) of SASA which provides SGB's the authority to advertise for, interview and select candidates that are ultimately employees of the State. This is cause for concern, as we can question the capacity of the SGB with relation to understanding the specific

competencies for a successful candidate as principal while also removing any bias from the process (Xaba, 2011). The process may be flawed in that it allows for special interest groups, which SGB's are by their very nature, to influence the outcome of Principal selection that may endure long beyond the elected SGB's term of office. A typical career of a school principal will exceed the elected term for an SGB member, which is three years (SASA, Ch. 3. (31) (1)).

The SGB involvement is also unique in the public sector where private individuals hold sway on the selection of a principal who is not employed by them, does not report to them directly and does not represent them (SASA Ch. 3. (16) (3)). Unlike public service institutions such as police station commanders, community health clinic managers, postmasters in post offices or any other similar state run facility that do not require or consider the involvement of private citizens in the appointment to hold an essential public office.

1.4 Primary Research Question

In order to understand the complexity of the role of principals, we cannot ignore the stark reality that schools are organisations with a hierarchical structure much like subsidiaries of large corporations. This overlap in structure, while allowing for geographical variation, continues to require some level of organizational management similar to that as prescribed by the corporate offices. In the Western Cape the education department is divided into eight geographic districts, four within the Cape Town Metropole and four regional districts (https://wcedonline.westerncape.gov.za).

Each district is staffed and resourced according to the number of schools within the district, with a further subdivision into sixty-five circuits, each overseen by a circuit manager. Circuits will include primary and secondary level schools, and the ratio will vary depending on the geographical nature of the district. Circuits have between 20 and 30 schools within it, with the smallest being 18 schools, and the largest being 37 schools (WCED AR - 2021-22:34).

While a traditional corporate hierarchy exists in education, we also see that this is where the governance issues begin to emerge. The school system has designated schools into quintiles, based on several factors that include socio-economic conditions of the school and the surrounding neighbourhood, and access to resources which determines the poverty ranking. Schools in lower quintiles receive more funding per learner and additional resources, and potentially with the DBE (through the provincial

departments) taking full responsibility for the funding and resourcing of the schools. Higher quintile schools only receive funding based on the National Norms and School Standards Funding (NNSSF) model and based on the quintile funding model, but are allowed to charge school fees (Hall & Giese, 2009:37).

While all schools are publicly funded based on the norms and standards model (Government Gazette 45878,2022), the imbalances between lower and higher quintiles in terms of education delivery is vast. This is largely due to the historical legacies of our country where large segments of the population still live in poverty, densely packed townships on the one hand and geographically vast rural areas on the other (Hall & Giese, 2009). Schools that are fully reliant on the NNSSF are thus unable to employ additional staff above the staffing provided by the education department. The likelihood of the school principal in lower quintile schools also having to teach classes is also quite high, which would potentially affect the principal's ability to do staff development or coaching.

1.4.1 Primary Research Question

Schools are in fact small to medium sized organisations, which need to manage infrastructure and operational budgets, human resources, facilities management, financial administration, and supply chains, with operational inputs and outputs in line with expected service delivery standards. Consequently, an appropriate level of management competency is required to lead such a complex organisation. The question of this research is whether principals have the appropriate level of management skill, training, and competence to adequately lead the organisations with this level of complexity with which they are entrusted?

1.4.2 Secondary Research Questions

Leading on from the primary question, several secondary research questions need to be answered:

A. How are principals prepared for the positions that they are entrusted with?
B. What training is provided to principals or aspiring principals that relate to developing operational school management competencies?
C. Do educators need to be trained to become operational managers?
D. How are school principals selected or appointed?

1.4.3 Research Methodology Used

One of the challenges of this study was to decide on the research approach and subsequent methodology to apply. After further evaluation of the problem statement and secondary questions, a case study approach was chosen as the best way to achieve the research goals. As the data gathering process got underway, and the limitations related to the geography and regional nature of the Western Cape, the process evolved to include a survey to be administered electronically to respondents across the province.

The value of the survey was to establish supporting data that could be used in the analysis chapter. As such, this study used mixed methods of data gathering while still maintaining the interpretivist model of the qualitative approach towards research. The research methodology will be further elaborated on in Chapter 3.

1.5 The Ontario Management Model

The Canadian education system has been one of the top 5 ranked education systems globally, and consistently so (https://worldpopulationreview.com). The reasons for this excellence can be found on several levels, many of which are easily transferable and applicable to other systems. The system is similar in many respects to the South African model. One significant difference is that there is no National department of Education or Cabinet level position but devolves this down to the provincial level much as it is done in South Africa. Each Canadian Province also has its own Education Minister, like the MEC's for Education in each of our nine provinces.

The Provincial Minister of Education interacts with several school boards across the province which provides the actual delivery of education at the local level. In the Province of Ontario, there are twelve Boards of Education, responsible for approximately 2 million Primary and Secondary students in the province (www.ontario.ca). I decided on using the personal network that I have with educators in the Peel District School Board (PDSB), to source the participants for the interviews to understand the Ontario system. The PDSB is the second largest school board in Ontario, which is responsible for the management of the schools in the cities of Mississauga, Brampton and the town of Caledon in Ontario.

Local level democratisation is enabled through the election of Education Trustees to serve on school boards, which happens during the municipal election process (https://elections.ontarioschooltrustees.org). These trustees serve for a term of four years, and represent the voting ward on the school board. As the Trustees hold public office, they are accessible to their constituents and thus are accountable to them as well. School board meetings are held regularly and these are open to the public for participation and engagement. Education policy is therefore a transparent and public process, and conducted in the broader context of community wide engagement.

School boards are managed by a professional leadership team, with responsibility for infrastructure, transport, labour relations, curriculum and other operational needs. All non-academic matters are managed from the board level, with principals primarily only responsible for Academic related matters and outcomes.

1.6 Management Theory

A number of management theories have been developed over the years to define and refine how organisations are managed to provide optimal results. From Fayol's first publication, there have been a well-documented process to provide the resources to ensure that management competencies are developed appropriately (Edwards, 2018:32). These competencies were identified as being critical to organisational success, and the importance of these competency requirements within organisations should be acknowledged.

In order for organisations to thrive and operate effectively is largely dependent on the leadership of the organisation. The leadership function has direct and indirect impact on the organisation's success, and thus the development of the leader comes under scrutiny (Bush & Jackson,2002). Are leaders born or are they developed, and if they are born, what traits do they possess? If leaders are developed, what does that look like and what tools and skills are they provided with along this development pathway.

While it is true that there are leaders who are born with certain qualities that enable them to perform leadership roles, but these are subjective and difficult to measure as well as being contingent on or in a particular situation. Leadership development is much more objective and provided clear benchmarks which are measurable and can therefore more accurately be analysed (Leithwood *et al*, 2009).

If we consider the concepts of management as generally applicable, which can be taught, learned and acquired, then there should also be the process to ensure that those we entrust to lead our public schools should learn and acquire them. In the Singapore education system, educators are identified along three career streams, and those earmarked as potential principals are given a career ladder to reach that goal (Keo, 2016). This career ladder provides these educators with the appropriate training, skills, mentorship and other support to become effective leaders within the public school system. It is an approach that is clearly showing results as Singapore has consistently been in the top performing public school systems based on global rankings over several years, and ranked number one globally in 2021 (www.fenews.co.uk).

Many other countries have adopted a similar approach to professional development of principals, as the position is seen as a critical component of education outcomes. Bush (2007) argues that other parts of the world recognize that schools need effective leaders and managers to provide the best possible education to learners (Bush, 2007:391). Principal training is also being recognised in developing countries, including South Africa, where initial policy discussions have been mentioned as far back as 2004 with the drafting of a policy paper proposing the establishment of a South African National Professional Qualification for Principalship (SANPQP) (Van der Westhuisen & Van Vuuren,2007:438).

This initial proposal was followed by a draft of the South African Standard for Principalship (SASP) where DOE found it "imperative to establish a mutually agreed understanding of what the country's education system expects of those who are entrusted with the leadership and management of its schools" (Van der Westhuisen & Van Vuuren, 2007: 439). The recognition by the Department of Education at the time, provides credence to the argument that the need for professional development of school principals is necessary.

The policy paper identifies several key elements deemed as essential for aspiring principals to have before taking up the role. Among the areas that were raised about SANPQP was:

- that it should draw on the best leadership and management practice inside and outside education;

- will signal an educator's readiness for principalship... that the candidate has the necessary foundation of school leadership and management knowledge, understanding, skills and abilities to perform successfully;
- should be sufficiently rigorous to ensure that only those ready for principalship are awarded the qualification,
- will provide a focus for the continued professional development
- will provide a baseline from which newly appointed principals can continue to develop their leadership and management competencies within the context of their own school environment. (Van der Westhuisen & Van Vuuren, 2007:439)

The drafting of these policy papers was a cementing of the notion that principals require additional career development. This recognition of a competency gap between the roles principals have as leaders, and their career path and experience is an important step towards making efforts to provide the mechanism and processes to close that gap. From a management perspective, it is not unreasonable to expect that a leader of a state entity such as a public school actually has the required leadership and management competencies to be successful. As previously mentioned, many other countries have already reached this conclusion and have been providing the aspiring principals the tools, training and support they need.

There should also be consideration that the education system in South Africa has many imbalances that remain as a result of the historical legacies. These imbalances have not been adequately addressed, while there have been efforts to do so.

1.7 Limitations of the study

While the study is aimed at a review of principal preparation in the South African context, there are limitations to the scope of this work. All the South African survey and interview respondents are from one province, in this case the Western Cape, as it was not possible to have access to a principal database from elsewhere. The interview respondents were contacted via a professional association for school principals, and are all based in the Cape Town Metropole.

As a result, the findings do not include the experience and challenges that exist in the semi-rural and rural regions of the Western Cape. To mitigate this, and to attempt not to skew the analysis, the survey was sent out province wide, and those results support the interview respondents views. However, a much deeper

investigation into the rural regions may illustrate the specific challenges that exist in those regional contexts, which would subsequently provide for a more comprehensive analysis for the research.

1.8 Outline of the study

In Chapter one, I introduce the motivations for the study, the mechanisms employed, methods and methodologies used, which questions I ask, the context and limitations of the study.

In Chapter two I conduct a literature review in on the international and South African context around education, specifically leadership, management and governance of education. I discuss the historical legacy of Apartheid on education and what has happened since 1994.

Chapter 3 is where I provide details on the research methodology, the methods used, the research questions, data collection methods and ethical considerations of the study.

Chapter 4 presents the Ontario principals' findings, from the interviews that were conducted with them.

Chapter 5 presents the Western Cape principals findings from the interviews that were conducted with them.

In Chapter 6, I do an analysis of the findings of Chapter 4 and Chapter 5 in relation to the research questions.

Chapter 7 is the conclusion and recommendations chapters and points the direction of further study and the search for more answers.

Chapter 2 - Literature Review

2.1 Introduction

This purpose of the literature review is to illuminate the various positions that have been taken on the subject of school leadership. While much has been written on this topic, this review brings a non-educational lens, looking at the subject from an organisational and operational management perspective. As far back as the late nineteenth century, Henry Fayol (1841 - 1925) and his contemporary Frederick Taylor (1856 -1915) identified management practices and theory. Fayol understood that management required a coordinated effort between a number of specific activities in order for businesses and organisations to become more efficient and successful (Edwards, 2018:42).

While Fayol and Taylor were generational contemporaries, and there was much overlap in their work, they also had several diverging views. Fayol is regarded as the father of modern management theory, while Taylor is better known for his influence in the practice now known as scientific management and in 1911 published his book "*Principles of Scientific Management*" (https://en.wikipedia.org/wiki/Frederick_Winslow_Taylor). Fayol's work was first published in several articles and subsequently followed by the publication of his book in 1916 "*Administration Industrielle et Générale"*, the first known management theory book based on his experience. This work was translated into English in 1930 (https://en.wikipedia.org/wiki/Henri_Fayol).

Both Fayol and Taylor were management theorists and contributed greatly to the practice of management we use today. Their individual approaches differed, with Fayol giving more value to leadership and administration, while Taylor was more focused on creating efficiency at the task level to achieve success.

This study aligns itself more with the view and approach taken by Fayol and his understanding that leadership, administration and organisation were all intertwined to produce effective results (Edwards,2018). Within this context of understanding the parameters and formal structures of organisations, we will measure the level of competence required to manage schools with the level of competence that exists within the school environment currently. This study primarily focuses on the public school system under the direction of the Western Cape Education Department.

2.2 Organisational Management

Schools are like many other organisations, they do not exist in isolation, nor are they immune from organisational challenges. While public schools can be considered to be part of a larger provincial hierarchical organisation, they have an organisational structure, which requires the necessary skill and competencies to deliver on the mandate, vision and mission of the organisation.

The applicable legislation for all schools is SASA (84 of 1996) which prescribes that schools will be led by a school head, supported by a senior management team, who direct heads of departments, grade and subject heads, to provide direction and guidance to the teaching staff who constitute the operations unit. This organisation can be viewed as serving their clients, which are the learners in the school, as well as providing a service to the external stakeholders such as parents and broader school community and society at large (Allen & Mintrom,2010).

Schools in the Western Cape also fall within a broader provincial departmental hierarchy, which has many layers. Specifically, in the Western Cape where this study was conducted, the Western Cape Education Department (WCED) is divided into eight education districts, under the leadership of a District Manager. The districts are divided geographically into four districts within the Cape Town Metro area and four regional districts that are geographically quite vast (wcedonline.westerncape.gov.za). The overall leadership is provided by the Provincial Head Office located in the Cape Town CBD.

Each education district is further divided into circuits depending on the size of the district and number of schools, each under the supervision of a circuit manager with a total of 65 circuits across the province (WCED AR, 2021-22:34). The circuits will include both primary and secondary schools. Circuit managers are educators who have been promoted and most often are former principals and are the key interface with the school principals and provide support and evaluation for those principals.

2.3 Operational management

Like any organisation that has to provide goods and services, the service that schools provide is education. In order to provide this service, and to support the core functions of the school, several other operational functions are also present in the school itself, as well as in the broader education system. Schools do not exist in isolation, they are

part of a larger system, which provides the infrastructure and structure within which schools operate.

All schools have day to day activities that need to be attended to by the leadership and management. Regardless of the size of the school or the district they happen to be in, schools all have similar operational needs. Among these are:

- Financial Management
- Facility Management
- Human Resources Management
- Supply Chain Management

These functions are in addition to the primary function of the schools which is the delivery and management of the curriculum and education, and extracurricular activities that the school may provide.

All of these operational functions fall to the responsibility of the Head of the School or Principal and supported by the SMT. While many principals will be supported by the Senior Management Team (SMT), these SMT members may also not be equipped, either through training or support to provide the level of professional competency required (Bush & Glover, 2013). How then does this management competency gap continue to perpetuate throughout the education space?

We must look beyond the current system in place, as there has been global recognition that the role of the Principal has changed and has become more complex and demanding, similar to that of the Chief Executive Officer of organisations (Mestry, 2017:1). There are other education systems that have removed many if not all non-academic functions from the responsibilities of the Principal as they recognise the shifting role of navigating the myriad of added responsibilities of student achievement, school outcomes, curriculum delivery, education policy etc. (Leithwood & Rhiel, 2003). While an argument can be made that those decisions have been made in developed countries, this does not mean that similar outcomes are not possible here.

Private education institutions have recognised the need to fill the gap with professionally trained staff to manage and non-academic operational functions of the school, thereby freeing up principals to wholly academic roles. Admittedly, private education does not work in the public interest, and has a corporate profit driven motive, which serves a different constituency and demographic group. They are also without the constraints of the public purse and associated accountability to it (Allen & Mintrom, 2010). The organograms of these schools can thus be tailored according to the

corporate profile and needs. Similar needs exist in the public systems, which begs the question why has this need not been addressed?

While there has been the roll out of the Advanced Certificate in Education - School Management and Leadership programme (ACE-SML), this programme was as pilot for 3 years from 2007 to 2009, with mixed results and did little to provide the appropriate level of training required to achieve proficiency for these non-academic functions to be managed (Van der Westhuizen and Van Vuuren, 2009).

The core function of schools remains the delivery of education, the facilitation of learning, the academic advancement of the learners and the professional development of the staff whose task it is to provide it. While it has been established that well prepared principals are best equipped to lead the academic affairs of the school, its core function, should we expect that principals, or even SMTs be engaged in managing the support functions or operational requirements of the school at all (Mestry, 2017). Considering the depth and breadth of those operational and support functions, including the lack of training or experience in these matters of academic staff, who are trained as educators and not managers, perhaps it is time for these management functions to be removed from the principal and SMT.

2.4 School Leadership

In order for organisations to thrive, to grow and succeed in their mission, it is done under the guidance of a leader that has a number of specific qualities. The opposite is also true, that when these specific qualities are not present in the leader, that organisations do not thrive, nor grow, but fail in their mission. Without a doubt, leadership is seen as critical to the success of teams, small and large organisations, including schools where it remains the nexus for school success (Bush & Jackson, 2002).

While the topic of leadership can't be specifically defined, there is consensus around the critical importance of having effective leadership in place at schools (Commonwealth Secretariat, 1996). Coleman (2003) argues that leadership is context specific, and related to the circumstances in which it emerges. Reinforcing Coleman's view on leadership is Leithwood, Jantzi & Steinbach (1999:5) who go further in that the notion of leadership can often be arbitrary as well as subjective, as there's no "one" definition that can adequately describe leadership that currently exists.

There is a degree of commonality and perhaps some central elements in many definitions of leadership, which highlights that influence or the ability to assert influence is clearly present and thus becomes a compelling part of any definition (Leithwood *et al*.,1999:17). Yukl (2002: 3) takes a view in line with Fayol that to structure activities, functions and relationships into organised groups. Leadership is also often associated with setting organisational vision and establishing goals Christie (2010).

2.4.1 The South African Leadership Context

The takeaway from these arguments are that leadership is subjective, situational, structural, influential and about visions and goals (Terhoven & Fataar, 2018). These are very broad aspects, also involving the ability to motivate, to encourage, to develop and innovate, to listen. Within the context of the South African education system and the autocratic system that it emerged from, there are still tendencies in the predominant approach to leadership, which is the stick (coercive) over the carrot (influencing) (Wollhutter, 2000). The contrary view offered by Christie (2010) is that consent and influence is better suited to leadership characteristics than coercion. Some of this is a result of the pre 1994 disposition, which was highly authoritarian, strictly regimented with very little individual flexibility allowed (Morrow, 1990).

Everything fit into the same box, and the same square holes regardless, and if it didn't, it was made to fit at any cost. Not only did this stifle any resistance, which was the aim of the Apartheid government, they were able to pick out the dissenters more easily (Morrow,1990). In the education space in particular, leadership was discouraged, in favour of bureaucrats who would follow instructions provided by the relevant authority (Spaull,2013).

Fast forward to the current post 1994 dispensation and we still find remnants of this authoritarian complex in place and the evidence of the underspending in school infrastructure (Wolhutter,2006). However, there were also several changes to the education system that necessitated the movement away from this highly regimented state, to one that was brought down to the local granular level, with the creation of provincial departments and SGB's. School governance now happens at three levels, creating the space for education leadership to be developed and for it to emerge.

The pre Apartheid legacy of school leadership is unfortunately still prevalent, where the authoritarian approach appears to be the default position (Morrow, 1990). Principal's that crossed over the transition period were not necessarily taught any

leadership skills, were not developed or trained, and did not possess the requisite tools nor are they provided with any (Spaull, 2013). Leadership however does not occur in a vacuum, as it needs to be developed and demonstrated within the context of social organisations (Allen and Mintrom, 2010). Christie (2010) suggests that leadership is really only demonstrated and framed within a social context, by means of demonstrating the ability to influence others. Christie (2010) goes further when he argues that schools are inherently social in nature, with the added dimension of being organisations that have to consider many different groups of people, and varying degrees of diversity.

Bush (2007) argues that the leadership style still favours authoritarianism and sticking to a structured hierarchy, while some principals are of the belief that their authority is thought to be preordained. Unfortunately, the by-product of this belief is the misguided belief by principals that they are in their capacity of leadership, beyond reproach, shutting down discussion as being undermining of their authority. This is in itself a failure in leadership, and not a desirable quality (Wolhutter, 2006). The realities of the past still haunt the current day, when we recognize that there was a concerted effort for many years not to expose the majority of the population to positions of leadership (Xaba, 2011). Moloi (2007) argues that the responsibility of leading and managing were deliberately withheld from certain demographic groups, and as such these same groups were never prepared for it.

While it is clear that there exists an imbalance in the preparation of leaders among the many population groups of our country as a result of the historical legacy, the unfortunate reality is that there is no mechanism in place in the public school system to correct it despite several attempts (Van der Westhuisen & Van Vuuren, 2007). The initial pilot of the ACE-SML was an attempt at addressing this shortcoming, but the programme only ran for three years, with limited results (Bush *et al*, 2011). At the moment, we still see the lack of mandatory leadership training, due in part to it not being an essential requirement for appointment to principalship (Government Gazette, 18 March 2016). Where there were failures in the past there is still failure today, which prevents any significant changes to the process and outcomes of education.

2.4.2 The International Context

Globally there has been widespread recognition and acceptance that effective school performance hinges on professional development of school principals. Naidoo (2019) presents Fullan's (2003) argument that a cornerstone strategy for any school improvement should include the professional development of principals. Arguably, it is only through appropriate leadership development programs that enable principals to initiate, implement, and sustain high-value schools that provide quality education can reform and improvement be achieved (Naidoo, 2019). For the purposes of this study and to present how the matter of school leadership is viewed and addressed in other public education systems, I have looked at several systems and models that are relevant for comparative purposes.

Formal qualification of school principals is already a requirement in many countries. Bush (2010) states that Singapore, England, Scotland, New Zealand, Sweden and the United States are among those countries that require principals to complete the formal process of acquiring school administration and or leadership qualifications. Of course, to review every country is impractical, and therefore a few were considered based on the common legacy of being former colonies of the UK, which would therefore have many similarities with South Africa in a historical sense.

I therefore chose to investigate Commonwealth Countries that have public school systems that perform well in terms of school outcomes. Singapore and Canada are among those countries that have developed methods and processes for the preparation and training of school principals. These processes are continuously being updated, revised and evolved over time as required. Importantly, each of these countries have identified the importance of school leadership via the principal as critical to successful education and learner outcomes (Keo, 2016).

2.4.2.1Singapore System

Singapore is interesting to examine for several reasons. As a city state, they have a high degree of diversity in terms of ethnicity, religion and language (https://en.wikipedia.org/wiki/Singapore). Some would argue that Singapore is also not a true democracy but rather a unitary dominant democracy, with a legislative body. The Singapore school system is one of the highest performing globally (https://worldpopulationreview.com). Such remarkable success is reflective of a system that is built upon a strong foundation, one that has evolved over the years in response to changes in the national and global environment (Boon & Stott,2004).

Another reason for this is that school principals are highly valued, and they are identified early in their careers and are fully trained and prepared for the role of principalship.

Education is taken seriously in Singapore, a country with limited natural resources, and who regard their citizens as part of the resource base of the country. As Singapore emerged from its colonial past to independence, the education system shifted away from a survival-driven framework since 1965 to that of an efficiency-driven system in the 1980s and 1990s (Yip, Eng & Yap, 1990). Sharpe & Gopinathan (2002) further highlight the process as a reorientation towards an ability driven mission, considering the global changes in technology and the future manpower and labour needs of the country.

Singapore has recognised that a highly skilled labour force will provide them with a competitive advantage in many service sectors, and the underpinnings of that lies within the public education system. The decision to invest in education was taken early on in the post-colonial era, and over a period more than forty years, this investment has been realised (Yip *et al*, 1990).

Educators are identified along a career ladder in one of three tracks. These three tracks are (a) Leadership (b) Educator and (c) Specialist. Each one of these tracks have clearly defined pathways and outcomes and specific benchmarks that must be met by educators along their determined tracks (Keo, 2016). To achieve these goals, Singapore mandates a single pathway to the principalship through the Leaders in Education programme (LEP), which in 2001 replaced the Diploma in Educational Administration (Walker, Bryant & Lee, 2013). The leadership track is for educators that demonstrate potential in becoming vice principals and being developed to the principalship.

In Singapore, selection of candidates along the leadership track is based on merit, and career opportunities and upward trajectories of teachers are essentially based on their respective principals' assessment of their performance and potential (Boon & Stott, 2004:548). Once selected they are given significant support, sent on specialist training which is fully paid, and attend international conferences. Key to their development towards principalship is the attendance of two leadership programmes, for which they receive their full salary (Retna, 2015). This is the investment that the Singapore model has adopted and the results are evident in terms of the contribution made by principals to reach those globally leading education outcomes.

2.4.2.2 The Canadian System - Ontario Province

Canada is a vast country geographically, with a relatively small population that is largely concentrated within a number of metropolitan areas. The country has a high degree of diversity, being home to immigrants from all parts of the world (https://en.wikipedia.org/wiki/Canada). The province with the highest population density is Ontario which has the largest city - Toronto - and also the city where the seat of the Federal Government is located in Ottawa. As Canada's largest province, Ontario's public schools have an enrolment of over 1.4 million elementary students and over 650,000 secondary students (https://www.oasdi.ca). In total there are approximately 4,000 elementary schools and over 900 secondary schools in the public education system in the province (www.ontario.ca).

The foundations of the public school system find its roots in the British Colonial period, and much like Singapore, Canada is one of the top performing public school's systems globally (https://worldpopulationreview.com). There are several reasons for this outcome in school performance, and one of the most important reasons is the manner in which principals are prepared and appointed (www.education-leadership-ontario.ca). Once again there is recognition that school performance can be linked to school leadership, and therefore it can be argued that without competent principals' schools may be ineffective and efforts at school improvement are unlikely to succeed (Crawford, 2005). This argument reinforces the need to ensure that those who are entrusted with the mantle of leadership are provided with the appropriate level of training and preparation.

The Ontario public school system is divided into thirty-one public school districts geographically delineated (https://www.oasdi.ca). Regardless of the school district or board, all school principals in Ontario undergo the same preparation and training before being appointed to a school as Principal. Each school board employs the principals directly, and decide which school they are deployed to, based on the needs of the school and the needs of the board. The training and preparation phase for principalship is carefully monitored, and very specific career milestones and additional qualifications are required before the process towards principalship can begin (https://www.principals.ca).

In 2006, the Ontario Leadership Framework(OLF) was initially developed and introduced in 2006, and has subsequently been revised as the process evolves, the most recent revision completed in 2013 (https://www.education-leadership-

ontario.ca). What the OLF seeks to provide is the guidelines and benchmarks for school leadership and system leadership within the education context. The OLF identifies specific areas that are deemed to be necessary for school leadership such as school leadership practices and the personal traits that are required and need to be cultivated (https://www.education-leadership-ontario.ca).

Once again we see the adoption of a properly developed process for principals, involving additional training, mentoring, evaluation and development along a leadership continuum (www.oct.ca). By employing a defined, clear and well-designed preparation phase it becomes easier to ensure that the candidates for principalship are measured and evaluated objectively against established criteria, before being considered for appointment (www.principals.ca). The process is also evolving and is regularly updated to include advancements in technology and to be sensitive to the needs of the population which the school system serves. Education is dynamic like the environment in which it occurs, and the Ontario public school system that provides this essential service needs to be responsive to changes and to accommodate these changes seamlessly (https://www.education-leadership-ontario.ca). School leadership through properly prepared and qualified competent and dynamic principals is a key element to enable the environment for that to happen.

Aspiring principals have a distinct career ladder to climb before they are considered for appointment as principal to an Ontario public school. The Ontario Principals Council developed a training programme that all educators who wish to pursue principalship must complete, which is the Principal Qualification programme (PQP) (www.principals.ca). There is also a precursor to the PQP which is to prepare for the transition from educator to administrator which is the Emerging Leader Development Programme (ELDP). This will be expanded on in the following sections under training.

2.5 School Management

Any organisation that provides services, or has inputs and outputs, or operational activities that require daily attention should have the ability and capacity to manage these functions in line with Fayol's division of labour (Fayol, 1935). While the management function is distinct from the leadership function, there is often an intersection and overlap that can be seen in practice between the two roles (Coleman, 2003). Coleman (2003) furthers his argument by explaining that management activity

relates to the process and structure of and within the organisation, whereas leadership activities are aligned with organisational vision and values.

As mentioned earlier, neither leadership nor management occur in a vacuum. Management and leadership styles should not be predetermined because context and circumstances may vary and require an alternative style that is appropriate to that circumstance (Coleman, 2003: 157). While leadership can be demonstrated outside of and independent of an institution and often does, where it differs from management is that management can only occur within an organisational context, as that is where the formality and positions of an organisation exist (Christie 2010: 696).

With this in mind, and with the understanding that schools require both management and leadership to function effectively, how is the management function fulfilled within the context of the public school system? Once again I will examine this through the lens of the South African context as well as a few international examples.

2.5.1 The South African Context

When it comes to the role of the principal with regard to school management we should look at what the principal is expected to perform. This is provided by the Standards of Principalship Policy (DBE, 2015: 8 -10), which states that principals of SA public schools are expected to fulfil eight key functions, namely:"

1. Leading the teaching and learning in the school
2. Shaping the direction and development of the school
3. Managing the school as an organisation
4. Managing the quality of teaching and learning and securing accountability
5. Managing human resources (staff) in the school
6. Managing and advocating extramural activities
7. Developing and empowering self and others; and
8. Working with and for the community." (Government Gazette No. 39827, 18 March 2016)

As we can see, four of these eight key responsibilities directly refer to management, and number 3 to 5 relate specifically to the core functions of the school. These core functions are the development of students and the development of staff as it relates to education and its outcomes in points four and five.

This significant list of responsibilities that have been passed on to principals to perform, which leads one to ask whether principals are prepared to undertake these responsibilities adequately. To do so we should look at the historical context and the

legacy of apartheid. Spaull (2013) argues that despite the transition to post-Apartheid education, that the schools that were dysfunctional before, largely remain so today. This is visible in the structural sense of poor or failing infrastructure as well as with intangible measurements of inefficient leadership and management and with ill-discipline.

Ndou (2008: 2) states that the Apartheid legacy installed a rigidly adhered to hierarchy of authority, which denied the space for deliberation or consultation among educators, bureaucrats and principals. Ndou (2008) further elaborates that the DoE developed all the management policies that principals were expected to implement while being responsible for the management of the school. Morrow (1990) argues that under Apartheid, education was ethnically designed around racial lines, and became prescriptive and enforced that it exacerbated the already impoverished people of colour.

It was under this context that principals also had to navigate the delivery of teaching and learning, and also be conscious of the needs of the community and any possible criticism. Having not been trained to lead, how then are principals expected to manage schools, as determined by the DBE (2015: 8). This states that the responsibility of leading and managing the school lies wholly with the principal, who remains accountable to the employer who is the Superintendent General of Education (HOD) in the province and, to school community via the School Governing Body (SGB).

The establishment of a Senior Management Team (SMT) as required by Section 16 of the South African Schools Act (84 of 1996) was envisaged to enable the principal and ensure the daily operational needs of the school were appropriately managed (Marumolaa & Van Wyk 2012: 102). The SMT includes senior teachers, HODs, specialists and the Deputy Principal/s. Management and leadership are symbiotic and inseparable (Coleman,2003). This begs the question once again, considering the career tracks of educators, how they are expected to manage the operational and executable functions of schools, to the degree that is required when they have not necessarily been provided with the appropriate training or development.

2.5.1.1 Historical Context

The racially underpinned division of South Africa started before independence from Great Britain. As early as 1953, with the drafting of the Bantu Education Act by Hendrik Verwoerd, segregation in education along racially distinct lines began

(https://en.wikipedia.org/wiki/Hendrik_Verwoerd). In chronological order, the legislation that enabled this segregated education legacy that was inherited post 1994, are as follows:

- Bantu Education Act 1953 (Act No. 47 of 1953), later renamed the Black Education Act, 1953 was signed into law
- In 1963, the Coloured Persons Education Act 47 of 1963 was enacted
- In 1965, the Indian Education Act 61 of 1965 which was enacted

The establishment of new administrative departments to govern the affairs of the racially classified groups were additional mechanisms to entrench the policies of segregation and they were in chronological order as follows:

- 1958, the Department of Coloured Affairs was established by the government to take care of the administration of coloured people.
- 1968 the regime established the South African Indian Council who were initially a subset of the Coloured population group.

This systematic approach to the segregation of the population was not only administrative, it became operationalised in many areas related to the infrastructure that would service them. Education in particular was affected by this by the degree of per capita funding that was provided by the government which was also racially biased and an example of inequity in the education system at the time (Wollhutter, 2006). The disparity was not only related to infrastructure, it also included teacher qualifications and thus student performance. By design the segregation policies provided non-whites with an inferior education, further disabling them economically and thus limiting their opportunities for advancement (Spaull, 2013).

This historical context demonstrates the establishment of the disparate and rigid hierarchy that was legislated into the education system, that created the autocracy within it and the subsequent weaknesses in school leadership (Morrow, 2006). While it can be argued that the rigidity of the legacy system and its hierarchical structure would mitigate against the need for any prescribed management training to be offered, the move to a more decentralised system highlights the need for it.

There has been recognition of the gaps that have been identified in the training and development of school leaders and managers, and some efforts have been made to provide this training. Moloi (2007) argues that effective management and leadership, articulated with well-conceived, structured and planned needs driven management and leadership development, is the key to transformation in South

African education. The challenge remains that there is no consistency in the approach to the training, neither in the skills being provided to the educators.

A number of initiatives have been taken to develop a baseline of training for educators outside of the classroom. WCED established its own training facility in 2003 under the leadership of the HOD at the time. The Cape Teaching and Leadership Institute (CTLI) offers several teacher additional qualification courses throughout the year. The courses offered at CTLI includes:

- programmes for aspiring leaders
- heads of department
- deputy principals
- induction for newly appointed principals. (www.wcedctli.co.za)

There are also very few incentives for educators besides SACE credits, to embark on this training and development journey, as it is not a requirement for promotion along the career path (Government Gazette, 18 March 2016). The courses that are offered do provide the educators with South African Council of Educators (SACE) credits, that accumulate towards the educator's professional development portfolio (www.sace.org.za). The cost of the programmes may inhibit schools with constrained budgets to be unable to send staff on training. This creates a cycle of poorly trained and skilled senior educators doing the mentoring and development of junior educators, which perpetuates the failures in the systems as already described as institutionalised and system wide (Spaull, 2013).

2.5.2 International Environment

Other school systems have adopted a different approach to the matter of school management. Leithwood *et al* (2002), states that principals have been identified as critical school leaders, who are responsible for the environment and space for the development of learners and the professional development of the educator staff. As such, there is evidence that Principals have the ability to focus on educational matters when non-academic functions are managed elsewhere by the appropriate professionals.

The role of the principal to direct the academic affairs of the school is within the framework and skillset that principals have been trained for as educators (Bush & Jackson, 2002). This training is enhanced along the career path that principals take, with specific academic training and skills development, supported by appropriate mentoring systems in place (Retna, 2015). Key to this is the structural processes that

have been put into place to ensure that there are objective benchmarks and milestones to evaluate against. While the cost of professional development is not free, many countries have standardised across the systems and they are readily accessible to those educators who wish to enrol in them (Commonwealth Secretariat, 1996).

In Singapore, those educator candidates who have been identified and are 'handpicked' for inclusion in the programme, are required to attend and successful completion is expected to ensure promotion (Bush and Jackson: 420). These aspirant principals are essentially handpicked to pursue the leadership track and are provided with very specific training, which is paid for by the department of education.

They are encouraged to attend conferences, and are prepared for the role over a period of 2 to five years before entering the formal preparation phase. Some participants in this programme do not reach the position, and even those that do are mentored and guided and evaluated for the duration of their careers (Keo, 2017).

In Ontario, there is a Principals Qualification Programme (PQP), with specific prerequisites for entry into the programme (www.principals.ca). These requirements for entry into the PQP are well documented, clearly described and objectively measured. The PQP is managed and guided by the Ontario College of Teachers (OCT), and prepares those candidates with practical and theoretical knowledge for the role. This programme is offered across the province with a standard curriculum and course content (www.oct.ca) although it may be delivered by one of a number of approved institutions.

In Ontario, all qualified candidates who meet the eligibility criteria are accepted but there are tough prerequisites, such as a Master's degree or equivalent 'Additional Qualifications'(Bush & Jackson: 2002:423). This high degree of standardisation in requirements to enter into the programme and training is beneficial to the participants and to education delivery across the province as the graduates of the programme have met the criteria that are objectively measured and evaluated.

2.6 The Training & Development environment

There has been worldwide recognition that the role of the school principal is complex, demanding and crucial to the success of the school and learners (Crawford,2005). In many countries, preparing principals for this role has involved specific training to enhance their skill set, and development of those skills in the appropriate context and with the proper support (Masadeh, 2012:64).

There are several approaches to addressing the training and development needs for current and future principals, and some debate around which approach works best (Bush & Jackson, 2002). While many developed countries have well established processes in place, in the African context, these are not as fully developed (Commonwealth Secretariat, 1996: iii).

2.6.1 South African Context

South Africa is a very diverse country with nine provinces in various states of development. While there are a large number of established urban environments, there are large areas that are semi-rural and rural that have been underdeveloped historically (Wolhutter,2007). Principals in the Coloured, Indian and African schools were expected to enforce discipline, maintain the status quo and ensure strict adherence to the authoritative instructions provided through the hierarchy, and not appointed primarily to ensure that education and learning was the primary outcome of the school. (Morrow,2010).

As the country's education system underwent this transition from a racially divided system to a unified one, there was recognition that school leadership would need to be addressed. The adoption of the SASA (1996) and the EEA (1998) as the legislative criteria for school management and educator standards were the beginnings of this process. Unfortunately, it is also the origins of the problems faced today, as the responsibility of the employer with regard to principal selection was ceded to SGB's (SASA 84 of 1996 Chap. 3 (20) (1)(i)).

There have been several attempts to bring professionalism to principalship. The ACE-SML programme was the first recognizable attempt at a qualification available for educators in the post 1994 era. However, in-service training courses for school principals (specifically for newly appointed school principals), by Departments of Education, date back as far as 1967 (Boshoff, 1980). Considering the racially divided education systems in place at the time, it would be likely that this training was initially for white school administrators. In the early 1980's there were at least six tertiary institutions that were presenting formal study programmes in Educational Management and by 2005 there is evidence that practically all tertiary institutions had followed suit (Van der Westhuisen & Van Vuuren 2007:433).

Recognition of the need for principal development needed to be translated into the mechanism to get to that phase. In 2004, a concept paper was developed to establish the South African National Professional Qualification for Principalship

(SANPQP). Developed by the Department of Education, SANPQP sought to raise the professional standards and competencies of school principals for the benefit of the quality of the entire education service (Van der Westhuisen & Van Vuuren 2007:438). There is also general international acceptance that there is an immediate need for principals to possess capacities that are required to improve teaching, learning and overall student achievement (Huber, 2008).

Within the understanding of the global trends and in line with training elsewhere, this programme was meant to take the lessons of others and infuse it with the South African school context to make it relevant to our system (Van Der Westhuizen & Van Vuuren, 2007). While this never went much further than the concept stage, it was at minimum a step in the right direction and an acknowledgement that something needed to be done.

Following on from the attempts at the SANPQP was another discussion document around the South African Standards for Principalship (SASP), released for discussion in 2005. DoE recognised that there needed to be a mutually agreed standard and objective measure of what was to be expected from principals in the leadership of our schools (Bush & Glover, 2016). What SASP expected to address was to define the role and key aspects of school leadership and management, clearly laying out the guiding principles, roles and responsibilities to become the template for which to measure professional management and leadership development against (Van der Westhuisen & Van Vuuren 2007:439).

In light of this effort, to develop the necessary leadership skills, the Advanced Certificate of Education: Leadership - School Management and Leadership (ACE-SML) was developed and introduced as a two-year pilot programme in 2007 (Bush et al, 2007) This programme was intended to provide current and future principals with additional tools and improved leadership skills they would need over the span of their careers.

Moloi (2007), argues that an entry level leadership qualification for principals would be recommended in order to professionalise the candidates for the position of principal. Myende, Samuel & Pillay's (2018) assert that principals play a critical role in schools and have to be developed through structured training. Mestry & Singh (2007) are of the view that the importance of the ACE-SML qualification and how it could shape the principal to manage and lead schools effectively while also improving relationships with the relevant stakeholders. Without necessary qualification and

professional development as school leadership won't be effective (Mestry & Singh, 2007). The following were highlighted in these articles as the benefits of qualifications or training principals:

- Professionalisation of Principalship
- Upgrading the skills of those already in the post
- Leading and managing of school more competently and effectively (Mestry & Singh, 2007)

2.6.2 The international Context

There is much evidence that indicates that school leadership training has been an ongoing process for decades in many countries. Leithwood and Rhiel (2003) argue that leadership provided by the principal has measurable effects on student learning second only to the effects of the quality of the curriculum and teaching. Crawford (2005) also states that without competent principals, schools may be ineffective and efforts at school improvement are unlikely to succeed.

Within this level of understanding regarding the importance of school leadership, I examine how the process of principal development has been managed internationally. While I must recognize that many of the structures that support principal training and development are in western countries, in many countries training is not a requirement for appointment as a principal (Bush & Jackson, 2002: 418). This problem is particularly pronounced in Africa, where the Commonwealth Secretariat states that strategies for training and supporting school heads [are] generally inadequate throughout Africa' (Commonwealth Secretariat, 1996: iii).

While the education systems of Singapore and the Province of Ontario have different approaches to the appointment of educators as principals, there is sufficient commonality between them in that each of these systems have a programme through which educators must progress before they are appointed. One of the more important aspects of this is that the selection and appointment of educators to principalship is done by the employers, be it the departments of education, the relevant school boards and not by special interest groups, non-educators or people unfamiliar with education leadership or outcomes (Bush & Jackson, 2002; Keo, 2017)

Leithwood & Rhiel (2007) argue that there have been many studies that suggest that the role of principals is becoming more complex, adding demands and

responsibilities to an already challenging position. Cowie and Crawford (2007:132) argue that we do not know if it is possible to 'make' effective school leaders, and we do not know what difference training and development programmes make. There is evidence that schools without principals that are competent, any efforts at school improvement would likely be ineffective and have little chance of success (Crawford, 2005).

The approaches to this question of principalship and the process of getting to the point of appointment to the position has three possible routes. There is also different terminology that is used to describe the process and approach. Retna (2015) suggests that it becomes relevant to clarify terminology between development and training. Professional development refers to activities designed to enhance the professional knowledge, skills and attitudes that will improve the performance for a future role. Training, on the other hand, refers to efforts to modify or develop skills and attitudes for effective performance in a particular task or range of activities. In contrast, education refers to organised and sustained activities designed to bring about learning (OECD 2004, 29).

Keo (2017) clarifies that to become a principal in Singapore, an aspiring principal must first be promoted along the Leadership Track from classroom teacher to subject or level head, to head of department, to vice principal, and then principal. The process undertaken is very clinical and quite deliberate, based on many inputs drawn from well-established evaluation criteria all along the candidate's career path.

What this information provides about the candidates is crucial to the process of selection and development. This information is drawn from many sources, including mentors, colleagues, supervisors, annual performance reviews, and an evaluation tool adapted from the oil and gas industry (Keo, 2017). This ensures that those candidates that enter the development phase have already demonstrated the capacity to lead, are specialist subject matter experts, understand how to develop students holistically and to expand the professional craft of themselves and their colleagues (Retna, 2015).

2.6.3 Ontario Canada Context

The education system in Canada is wholly managed at the provincial level across 9 provinces and 2 territories of a geographically vast country with no national department (https://en.wikipedia.org/wiki/Canada). Even though this may seem to be an approach that would create challenges between compatibility and migration of qualifications across provinces, this is overcome by the establishment of the Council of Ministers of

Education Canada (CMEC). The Council of Ministers of Education, Canada (CMEC) is an intergovernmental body founded in 1967 by ministers of education to serve as:"

- a forum to discuss policy issues;
- a mechanism through which to undertake activities, projects, and initiatives in areas of mutual interest;
- a means by which to consult and cooperate with national education organisations and the federal government; and
- an instrument to represent the education interests of the provinces and territories internationally." (www.cmec.ca)

As each province is responsible for its own education system, this study focusses on the process for principal selection and training in the Province of Ontario where I attended and completed high school.

Ontario is the largest province in Canada by population and home to 5 of the largest public school boards in the country, there are well developed systems in place that are globally recognised (www.ontario.ca). As the public education system of Ontario is consistently ranked among the top 10 public school systems globally (https://www.usnews.com), it provides a useful benchmark for comparing the local Western Cape experience. The education system is well funded and resourced and in particular well managed in line with the OLF (www.education-leadership-ontario.ca**)**. A key component of the successful management of the school management system is the selection and appointment of school principals.

All educators in Ontario are university graduates, with a minimum of a Bachelor's degree and a qualification in teaching from a recognised teaching college (www.oct.ca). For those who wish to pursue the path to principalship and school administration, there is a well-defined preparation process to follow. The career ladder that educators have to climb is based on a number of steps, which include additional qualifications, a number of years of experience in specific posts such as head of grade and head of subject, where leadership and collaboration skills and methods are able to be evaluated. Aspiring principals are also required to be specialists in three of the four phases of education (www.principals.ca)

The array of requirements that educators with interest in school leadership and administration must have is quite a high threshold for them to meet. What this does, however, is to provide clear delineations of promotion, with well-defined benchmarks that must be met in order to be admitted into the training programme (Bush & Jackson,

2002). There is also the mentoring of the aspiring principal by a current principal who essentially becomes the 'sponsor' or champion of the candidate through the process.

The involvement of the current principals as a mentor in the preparation phase is very important as they have direct supervisory oversight of the educator and are therefore familiar with the qualities that educator may possess that will benefit school leadership. The process also places the mentoring principal's reputation on the line should the educator that they champion not be successful. This is clearly not a decision or choice that is taken lightly, and based on the interviews I conducted is one that is very deliberate and duly considered.

The Principal Qualification Programme (PQP) is organised into 12 modules, six in Part 1 and six in Part 2 (www.principals.ca). The modules incorporate the five domains of the Ontario Leadership Framework and Personal Leadership Resources (/www.principals.ca). The programme is delivered via a blended process including face to face interaction with facilitators and online learning. Part one and two of the PQP is established at 125 hours of learning for each part in order to complete for a total of 250 hours.

The PQP also includes the requirement of candidate principals to complete a practicum, which is independent of the 250 hours of structured programme delivery. The Leadership Inquiry Practicum (LIP) is a required component of the PQP. Candidates must develop a LIP proposal in part one and successfully complete the LIP experience before being considered complete part 2 (www.principals.ca). The LIP serves to see how candidate principals are able to understand the roles they will play as school leaders, build and facilitate teams, collaborate with others, develop problem solving skills and be able to find unique strategies to overcome challenges. This LIP is conducted under the mentorship and guidance of a practising principal in a school setting and thus there is immediate feedback to the candidate. The LIP is aligned with the Singapore model approach where candidates in the LEP are expected to complete an independent project around future schools (Keo, 2007)

The PQP is not considered awarded without the successful submission and delivery of the LIP and evaluation thereof even though all the modules in part one and part two have been completed (www.oct.ca). All candidates are expected to complete the LIP within 3 years of completing part one of the PQP. If the candidate principals do not complete within the stipulated time, they may be required to submit a new LIP proposal (www.principals.ca). There is much value to this and a very important point

to understand, as the education landscape is constantly evolving and candidates are encouraged to consider topics that are relevant all the time.

We can therefore establish that the training process that candidate principals undergo in Ontario is not only theoretical but also practical, which promotes a high degree of success in their careers. The programme meets the requirements and guidelines of the Ontario Leadership Framework, and the comprehensive two-part process includes modules that are designed to develop the candidate and provide them with the toolkit they need to be successful.

The PQP module structure is below:

- Module 1: The Role of the Principal
- Module 3: Management and Leadership
- Module 4: Pedagogical Leadership
- Module 5: Inclusive Education
- Module 6: Co-creating Safe Schools
- Module 7: The Changing Role of the School Leader
- Module 8: Co-creating and Inclusive School
- Module 9: Building Professional Capital
- Module 10: Evidence-based Decision Making
- Module 11: Building Relationships with Parents and the Community
- Module 12: Supporting Wellness and Wellbeing (https://www.principals.ca)

There is a distinct emphasis on developing leadership competencies, understanding the value of diversity and inclusion, building relationships with stakeholders and objective decision making based on data.

What we understand from this module structure is that there have been clear and deliberate decisions made around the needs of the public education system in the province relating to school leadership. The OLF is a forward thinking document that looks beyond the individual to the system itself, from school to district leadership to system leadership in a cohesive structured manner (www.education-leadership-ontario.ca).

While there is significant alignment between the training and development of school leaders in Singapore and Ontario, one significant difference is the selection process. In Singapore, candidates are essentially hand-picked for the entry into the LEP and fully funded by their MoE (Keo, 2017). In Ontario, the process towards

principalship is a personal decision choice for those with the interest in school administration, and the programmes are self-funded by the candidates. Both systems include theoretical training, supported with mentoring and evaluation by current principals. As a result, there are both objective and subjective evaluations that need to be considered before appointment.

Alongside the established formal development programmes which include mentorship that are aspiring school leaders are expected to follow, there are also other avenues available to these candidates that allow for them to express some agency of the process. Development of leadership capacity and competency can be found outside of the formally assigned mentoring arrangements, within their broader networks, and being proactive in seeking these support structures when necessary (Watts, 2019). Aspiring and current principals could therefore look beyond the structured environment to acquire the appropriate skills they consider valuable along their individual path, and in doing so, express some degree of agency.

2.7 Governance

The last tier that comes into consideration of appointment of school principals is that of governance of the education system and how it is understood in each system. The South African model is unique in this understanding, where the selection of the principal is managed directly at the school level (SASA Ch 3 (20) (i)). Although the school is a state run institution, and the principal therefore an employee of the state and subject to the appropriate legislation and regulations, the decision making body is the SGB of the school. The arguments in support of this revolve around the idea that no local level of government tier in education exists, and that in lieu of that absence, the SGB assumes that role.

Although there are guidelines to follow for SGB's, the variations in school governance between schools even in the same circuit or district can be significant. This does not benefit education outcomes as there is no consistency and SGB's act in their own school's interest and not for the broader societal benefit and advancement. Schools serve an important role in the social structure, and cannot be viewed at an individual school level (Allen & Mintrom, 2009)

The guidelines for SGBs are provided for in Chapter 3 of the SASA (84 of 1996). The school principal is an automatic inclusion on the SGB. Once elected SGB's are

expected to have meetings at least once per term, are required to establish a financial committee (FinCom) and to elect office bearers from the parent members (SASA, 1996 Ch. 3). SGBs must present a budget to a meeting of parents annually if the school is a Section 21 school, which means they are able to spend their money themselves. Section 20 schools do not have this discretion, as the WCED has not determined that the necessary skills exist within the school.

SGB's are required to be provided with an induction programme and training by WCED after the election process is complete. Xaba (2011) states that the training for SGBs is often poorly attended, if at all, as it is not compulsory and the results are often less than ideal. There have been questions raised about the imbalance in the system from school to school, or even district to district, as there are vast differences in the level of education and skills that exist in large parts of the province. Woolman and Fleisch (2008: 54) question the effectiveness of SGB's who may have members that are not able to perform their function appropriately due to the results of apartheid.

Despite this, all SGB's are expected to deliver on the legislated requirement of governance, develop policies and strategies that will enhance the teaching and learning experience and improve school performance (Xaba, 2011). Parents elected to SGBs, and who hold the majority on the SGB, may not necessarily be prepared to fulfil the functions of governance, and still there is an expectation for them to perform their function to the same degree as a parent body who may have professionally qualified parents. Brown & Duku (2008) argue that It is clear that the limited once-off induction training provided by for SGBs is unlikely to close the competency gap that already exists (pg. 437).

Considering and acknowledging that these imbalances exist as described by Woolman & Fleisch (2008), it is astounding that the selection and appointment of school principals are within the legislative authority of SGBs at all.

2.8 Legislative Environment

2.8.1 South African Legislative Environment

The governing legislation for basic education lies within the South African Schools Act, promulgated and adopted in 1996. The South African Schools Act (84 of 1996) or SASA provides the legal framework within which basic education must operate, and includes areas such as public schools, independent schools, religious schools and also private schools.

While SASA (84 of 1996) is the national legislation, it also provides for the devolution of education to the provinces, which enables provinces with the opportunity to develop specific legislation relevant to that province as required, while remaining within the framework and guidelines contained within SASA (84 of 1996). Where there are contradictions between national and provincial legislation, the national legislation has pre-eminence. The Western Cape is one of the provinces that has developed and adopted provincial education legislation. The Western Cape Education Act was adopted into law as Act 12 of 1997

2.8.1.1 School Governance

As far as SASA and WCEA are concerned, there is consistency in areas of leadership, management and governance of public schools as these two examples show, related to governance and management.

South African Schools Act (84 of 1996)

Governance and professional management of public schools in Chapter 3:"

16. (l) Subject to this Act, the governance of every public school is vested in its governing body.

(2) A governing body stands in a position of trust towards the school.

(3) Subject to this Act and any applicable provincial Law, the professional management of a public school must be undertaken by the principal under the authority of the Head of Department."

Western Cape Education Act (12 of 1997)

Governance and professional management of public schools in Chapter 3 "

13. (1) Subject to this Act, the governance of every public school is vested in its governing body.

(2) A governing body stands in a position of trust towards the school.

(3) Subject to this Act and any applicable provincial law, the professional management of a public school is vested in the Head of Department.

(4) The Head of Department must delegate such powers to the principal of a public school that are required for the effective professional management of such public schools.

(5) A delegation contemplated in subsection (4), may be withdrawn on reasonable grounds."

As is evident from the two examples the language is identical in the first three clauses, with the WCEA adding two additional clauses for the purposes of clarity. This demonstrates that the relationship between the national and provincial legislation is symbiotic and interconnected.

> The appointment of principals to schools are referenced from the SASA (84 of 1996) as seen in the extract below found in Chapter Three of SASA (1996):
> "Functions of all governing bodies
> *20. (1) Subject to this Act, the governing body of a public school must-*
> *(i) recommend to the Head of Department the appointment of educators at the school, subject to the Educators Employment Act, 1994 (Proclamation No. 138 of 1994), and the Labour Relations Act, 1995 (Act No. 66 of 1995);"*

It is interesting to note that in 20 (1)(i) the word "recommend" in this clause has been interpreted to mean that SGB's also become part of the selection process of the principal, even though that is not made clear in the language of the legislation. On face value alone, there is an argument that the professional head of the school, the Principal, is being evaluated, and measured for capacity to perform that crucial function, by members of an SGB who potentially may not be familiar with the expectations or performance requirements of the position (Spaull, 2013:2).

Additional issues relate to serving a narrow constituency as an SGB does, could lead to lobbying of the SGB by internal candidates, the drafting of the advertisement in favour of one particular preferred candidate, a lack of objectivity of the panel and the influence of the trade unions all play a role in raising questions about the flaws in the process of principal appointment (Allen & Mintrom, 2013).

The WCED, who are the custodians of education in the province, and the employer of the principal is arguably the least influential in the final outcome of the process of selection. While there have been instances where the WCED has not appointed the SGB recommended choice, these are extremely rare and have been challenged in court to varying degrees (www.fedsas.org.za)

The key influence in the selection criteria seems to be embedded in the SGB, as is clear from the language in SASA (1996). The subsequent drafting process of the Employment of Educators Act (EEA) which was codified and adopted in 1998 further entrenched the SGB as the keystone in this selection process. Chapter 3 of the EEA which speaks to the powers of the employer in section 6 (1) (b) clearly identifies the

HoD of the Provincial Department of Education as the only person who can appoint, promote or transfer.

> *"Powers of employers*
> *6. (1) Subject to the provisions of this section, the appointment of any person, or the promotion or transfer of any educator-*
> *(b) in the service of a provincial department of education shall be made by the Head of Department." (EEA 76 of 1998)*

While granting this authority of appointment to the HoD in section 6 (1), in section 6 (3) (a) and (b) this authority is then passed on to the SGB as the arbiter in the decision making process. The use of the qualifiers in section 6 (3) (b)(i) of when the HoD can decline the recommendation are subject to interpretation.

> *"(b) The Head of Department may only decline the recommendation of the governing body of the public school or the council of the further education and training institution, if-*
> *(i) any procedure collectively agreed upon or determined by the Minister for the appointment, promotion or transfer has not been followed;*
> *(ii) the candidate does not comply with any requirement collectively agreed upon or determined by the Minister for the appointment, promotion or transfer;*
> *(iii) the candidate is not registered, or does not qualify for registration, as an educator with the South African Council for Educators;*
> *(iv) sufficient proof exists that the recommendation of the said governing body or council, as the case may be, was based on undue influence; or*
> *(v) the recommendation of the said governing body or council, as the case may be, did not have regard to the democratic values and principles referred to in section 7(1). (EEA 76 of 1998)*

The entrenchment of these SGB vested powers of appointment of educator and non-educator staff in the public school system is highlighted by Van Wyk (2007) who asserts that as SGBs have parents with a voting majority, they have a great deal of

influence. Parents on the SGB are powerfully positioned to influence the policies of the school, including student code of conduct, school language policy, the annual school budget, as well as recommending staff, educators and non-educators, for promotion or appointment (Bush & Heystek, 2003). As it is clear, the employer (WCED) is merely expected to be a willing participant in the process, which they do not manage and are very rarely able to influence and unlikely to overturn.

What is also evident, is that SGBs do not consider the societal or system benefits of education, as they serve a narrow school based constituency, and largely in their own interests (Allen & Mintrom). As a result, there is a high probability that the selected candidate that is recommended to WCED by the SGB may not be the best candidate in terms of the school or system needs. The WCED is expected to provide the guidelines of school management to a candidate that may not be appropriate, or ready or capable of delivering the requisite leadership of the staff or the stewardship of the school and the learners.

Levy *et al* (2016) moves that a multitude of studies have highlighted, the principal is crucial in managing the teaching staff and thereby influencing school performance. There is substantial evidence that supports this, from a global and South African context, and yet the selection process for this most important role is one that is left to a self-serving lobby group such as an SGB.

2.8.2 Canadian Legislative Environment

Canada is a former colony of Great Britain, and a member of the British Commonwealth. Canada achieved constitutional independence in 1982 through the UK Canada Act (1982), becoming a constitutional monarchy, with the current King as the sovereign, and who is represented by a Governor General (https://en.wikipedia.org/wiki/Canada). Canada is also a Federal state, with each of its 10 provinces having much autonomy in its own governance. There is no national or federal department of education, this function being managed through the Provincial government of each province (www.ontario.ca).

In the province of Ontario, the local government tier for education is provided through the school boards, and elected representatives, via ward election, in a school trustee system. Public school boards are geographically demarcated, and each school board has elected trustees that serve on them, currently 31 English Public school boards in the province of Ontario (www.opsba.org). The trustees are the public

representatives, elected during the local municipal government elections and serve the school board for a term of four years (https://elections.ontarioschooltrustees.org).

The school boards also include the Director of Education for each board and senior board officials. Trustees are accountable to their ward constituents and are accessible to the public. Public school board meetings are open to the public and parents as well as various stakeholders who are encouraged to participate and petition the relevant boards. The school boards are governed by the Education Act, R.S.O 1990 C e2.

The public nature of these board meetings provides a high degree of transparency to the school governance process as well as encouraging external participants to raise matters directly as well as discuss outcomes and solutions. Trustees may serve as the public elected representatives for a number of schools which are in the wards they represent, depending on the ward demarcation, and there may be more than one trustee per ward (www.opsba.org). The diversity of the population, in terms of socioeconomic status, cultural and ethnic backgrounds raises the bar when it comes to sensitivities around these issues. Trustees are expected to be responsive to voters in order to serve these highly diverse communities, and ensure that representation is made at the board level as well (Piscatelli *et al,* 2022)

Trustees are provided with significant training that ensures that they are able to deliver the highest standards for the communities that they serve (www.opsba.org). The training is provided in the form of an in depth orientation programme after the elections and before the trustees begin their terms. There is also a professional development programme offered by the Ontario Education Services Corporation (OESC) that provides trustees, current and aspiring, with a substantive overview of the full scope of their areas of responsibility that are essential to their governance role (https://modules.ontarioschooltrustees.org). This professional development programme consists of 21 modules that trustees can take, and receive a certificate of completion for each module.

Public school boards in Ontario are considered to be corporations, and are governed by legislative and regulatory mechanisms (Education Act, 58.5 (1)). While board sizes may differ across the province, all have to comply with the legal and financial guidelines, established corporate governance rules and align school board operations with legislation, regulations or other provincial policies. School boards have to act fairly and in the interest of education, and should be aware of the legislated

expectations and responsibilities conferred through legislation, provincial policy, contractual agreements or any other mechanism. Trustees must act within these parameters, and be aware of the consequences of decisions that don't respect these commitments (https://elections.ontarioschooltrustees.org).

We can see the clear understanding of democratisation of the education system at play here. Pateman (2002:8) asserts that school boards are a form of deliberative democracy, that there is public participation in the deliberation process of governance related to education for the public good. Not only is there accountability and transparency in the process, starting with the election of trustees themselves, but also in the process through which they serve their constituencies which are not at the individual school level, but in a much broader community context. The broader interest of excellence in the delivery of education to benefit communities and thus by extension societies is enabled by this process (Allen & Mintrom, 2007). The outcomes have been clearly demonstrated as elaborated on earlier by the consistently high rankings of the public education system of Ontario and of Canada.

In the chapter that follows, I present the research methodology and methods used for the study, including the research questions and ethical considerations.

Chapter 3 - Research Methodology and Methods

3.1 Introduction

The overall objective of this study is to look at the management of public schools, which are small organisations in their own right. In order to understand the role that school principals play in the operational management of the school under their leadership, this research interrogates the process of the appointment of principals to schools and what influences those appointment decisions. As schools are not just institutions of learning, but also organisations with specific inputs and outputs, operational requirements, and management challenges, we can assess these against established management practices.

To do so, this thesis establishes a comparative analytical framework of two models of public school systems, using case studies as the primary method of understanding the similarities and differences between them. The case study methodology would enable the research to identify the overlaps, if they existed, and also the areas where they diverged.

Based on my personal experience as a parent in Cape Town and a high school scholar in Ontario, the comparative cases were drawn from the Western Cape Education Department (WCED) and the Peel District School Board in Ontario.

Information was gathered through the use of semi-structured interviews with three principals in each province, to provide sufficient data to compare and analyse schools that are located in the city and suburbs, semi-rural and rural areas. Cases include elementary and high schools, including schools with a high specialisation such as Science, Technology, Engineering, and Math (STEM), creative arts, and other special needs such as schools for students with disabilities. During the process, it became apparent that there were considerations not evident when I began my research, and a few significant differences between the two systems became apparent.

To understand and track the career path of WCED principals and their appointments a mixed method research process was adopted using qualitative data via case studies and quantitative data provided by the survey. The survey provides the necessary data to support some of the analysis and conclusions drawn in the study.

During the planning of this study, I considered several options relating to the type of methodology to employ and the specific methods to achieve the desired results. What initially started with the intention to be a purely qualitative work, subsequently evolved to become a mixed method study with the inclusion of a survey to provide substantive data. The study is primarily qualitative work and thus will follow an interpretivist (constructivist) approach to the methodology. The methods used include case studies of the professional experience of school principals, which were developed using semi-structured interviews.

The survey was only administered electronically to a sample population of School Principals in the Western Cape public schools. The survey was sent via email to 1358 public school principals in the Western Cape. Approximately 170 of these emails failed to deliver for various reasons such as full mailboxes, incorrect email addresses, and expired domains. The sample size was therefore reduced to 1178 possible respondents. The survey returned 158 responses or 13.4%, which exceeded ten percent of the population available. The response rate is important as it makes the results credible and valid for the study.

It was not possible to conduct a similar survey of Ontario principals for a number of reasons. The province does not directly employ the principals in the public school system in Ontario, the principals are employees of the relevant school boards. Additionally, the structured process that leads towards principalship in Ontario is standardised across the Province. While there are some allowances made for certain regional and diversity goals by individual school boards, these do not substantively alter the process or the requirements that need to be met, as that process is managed across Ontario by the Ontario Principals Council. The findings from the Ontario respondents' interviews corroborate this position.

3.2 Research Methodologies

Initially a qualitative approach was decided on for several reasons. Firstly, the interpretivist nature of the qualitative study, and secondly the benefits of having multiple case studies to analyse and draw conclusions from. Kothari (2004:5) states that the qualitative research approach is concerned with understanding attitudes, opinion and behaviour, from a subjective perspective. Al-Ababneh (2020 :77) states that methodology makes a case in favour of the choice of methods used and the manner in which they will be used. It is important that those who embark on the

research journey, have a grasp of the process of their research undertaking and not necessarily the output of the research (Cohen, Manion & Morrison, 2000: 62).

Interpretivism as a research approach allows for the consideration of multiple realities which would thus need multiple means of understanding (Schultze & Avital 2011: 3). Additionally, the interpretive approach recognises that human interaction is dependent on, and in the context of those actions, and that those human actions should therefore be interpreted within those contexts to give them meaning (Al-Ababneh, 2020).

3.3 Research Methods

3.3.1 Case study as a research method

The case studies were selected from two clusters of school principals. To provide comparative cases to analyse, I interviewed three principals from the Peel District School Board in Ontario, Canada, and three principals from the Western Cape Education Department. Semi-structured interviews were conducted to allow for a discussion to take place, and for the information to emerge from the interviews.

Yin (2012) argues that "a case study is an empirical inquiry about a contemporary phenomenon (a case) set within the real-world context" (p.5). The case study method was adopted as the primary research design to gain insight into the processes of appointment of school principals and school management, within the real-world context of the Western Cape public education ecosystem. In order to provide a comparative case, the principal appointments in Ontario, Canada and the Western Cape, two interview pools were established: four Canadian principals from the Province of Ontario, and four South African principals from the Western Cape.

One of the Ontario participants withdrew from the study, and was not replaced. The fourth Western Cape principal did not provide any substantively valuable or additional information, and is also not included in the study. The two cases developed from these interview pools are reported in Chapters 4 and 5 and compared and analysed in Chapter 6. Initially, as part of the planning phase of the study, a recently retired senior official in the WCED with knowledge of the principal appointment process, the legislation and governance processes was interviewed to provide broader background to the role of principals in the WCED context. Additionally, I also spoke with a current HOD to establish if he was required to undergo mandatory training for his role as HOD, as he is still on the career track towards principalship. He confirmed

that no training is required, and is all voluntary participation in the programmes that are available. His input has not been included in the study.

Case studies often take an interpretive approach rather than a positivist one. Research that takes an interpretive approach lends itself to qualitative data collection methods such as interviews and observations which is the approach that I will be following to gather the necessary data to develop the findings of the case (Bryman & Bell, 2014).

Seuring (2005) focused on case studies as a research design in education. While considering the research design, I believed it to be useful to understand what kind of researcher I would be and what kind of approach I would take. Adopting this approach in the research process structured and defined the steps to follow.

Seuring (2005) argues that the quality of case study research ensures that the evidence is valid and reliable to build the theory. To conduct effective and critical qualitative analysis requires following a model such as that of Pagell & Wu (2009). These authors understood that the literature typically is incomplete and the need exists to grasp what concepts are unique to any topic, as is the case of principalship and school leadership. As the literature review indicates, this process is evolutionary as more research is being conducted and evidence is provided of the changing school management model in the South African context.

3.3.2 Semi-structured interviews

According to Sanjani (2020), interviews are one of the more common methods of collecting data for qualitative research, either in a structured or semi structured manner. As part of the data-gathering process, I initially planned to conduct semi-structured interviews with eight principals as the primary participants. Subsequently one withdrew and another interview was not included, so a total of six were used in the study. I also conducted additional interviews with a recently retired senior official of WCED and a current school HOD in the position of acting principal at the time of the interview. This allowed for more discussion and exploration towards learning additional information with broader understanding of the context than what was initially planned. The semi structured interview process began in September 2021 and concluded in March 2022. The electronic survey was conducted in three stages, beginning in February 2022 and concluding in May 2022 when a sufficient number of

responses were returned. Thus all data collection for this study was concluded by May, 2022.

DiCicco-Bloom & Crabtree (2006:2) argue that the most widely used method for qualitative research is via semi-structured interviews which can be equally effective with individual respondents and with groups. Longhurst (2003) asserts that the conversational nature of the semi- structured interview, even though prepared questions are provided and used, permits the exploration and provision of additional information from the respondents which the researcher may not have known about, making the use of them highly valuable for qualitative research.

Additional benefits for using semi-structured interviews are the flexibility it grants the respondent to re-sequence the questions based on their experience and context, or the opportunity to remove questions if appropriate (Kothari, 2004: 98). As the intention of the interviews was to accumulate as much information from the participants as possible, the employment of semi-structured interviews would encourage the participants the opportunity to provide their perspectives beyond the prepared questions and guidelines (Sanjani, 2020:998). The conversational nature of the semi-structured interview process provides the latitude to do so and encourages the participants to provide more data. This approach satisfies the requirements that the research methods selected comply with the interpretivist paradigm for qualitative research using case studies. The interview questions asked of each group of participants in included in Table 3a.

Table 3a – Semi- structured Interview questions

PDSB Interview Questions	WCED Interview Questions
1. What is your current position in the Peel District School Board?	1. What is your current position in the Western Cape Education Department?
2. What was the career path to becoming an educator in terms of training?	2. What was the career path to becoming an educator in terms of training?
3. How many schools have you been an educator at, and in which roles were they?	3. How many schools have you been an educator at, and in which roles were they?
4.How many leadership positions has your career included to date?	4.How many leadership positions has your career included to date?
5. What additional training was provided to you before assuming leadership roles through your career?	5. What additional training was provided to you before assuming leadership roles through your career?
6. Do you believe that the training received was adequate or of the appropriate standards?	6. Do you believe that the training received was adequate or of the appropriate standards?

7. Did the training reflect the realities of the leadership position it was meant for? 8. What deficiencies are there in the training that you believe needs to be addressed? 9. Do you believe your employer has the appropriate policies in place to ensure that the leadership and or senior management of schools are adequately prepared and supported for those roles? 10. Are you expected to perform non-academic related functions at the school? These would include Facility Management, Supply Chain, Human Resource Management, Financial Management etc.? If yes, to what extent? 11. Concluding remarks.	7. Did the training reflect the realities of the leadership position it was meant for? 8. What deficiencies are there in the training that you believe needs to be addressed? 9. Do you believe your employer has the appropriate policies in place to ensure that the leadership and or senior management of schools are adequately prepared and supported for those roles? 10. Are you expected to perform non-academic related functions at the school? These would include Facility Management, Supply Chain, Human Resource Management, Financial Management etc.? If yes, to what extent? 11. Concluding remarks.

The interview questions were the same for both groups of participants, except for question one, in order to be consistent with the engagement with the participants.

3.3.3 Survey questionnaires as a research instrument

The interviews were supported by an online survey that was designed on the Google Forms platform connected to my UWC student email account. This was done so I could include an active link in the introduction email to the WCED principals. The electronic survey was conducted from September to October 2021 when I closed the survey from accepting additional responses, as I had received feedback from 158 (13.4%) respondents by that time. The questionnaire was sent in three batches of approximately 500 email addresses in each batch each due to the limitations of the UWC email server.

A short introduction to the nature of the survey was provided as well as the ethical clearance and informed consent and participation form, along with an active link to the survey questionnaire. The email also informed the addressees that no personal or school related information was requested in the questionnaire, and thus all responses would remain anonymous. Additionally, I informed them that completing and submitting the survey would indicate consent.

The electronic questionnaire was composed of 29 questions in three sections:

a) Section 1 - 7 questions related to demographics of the respondents
b) Section 2 - 15 questions related to the career development
c) Section 3 - 7 questions related to leadership and management.

The questionnaire consisted of a mix of single and multiple response questions, to reduce the time it would take to complete the questionnaire. I estimated that the process would take between 5 to 7 minutes for the questionnaire to be completed. A full list of the survey questions is provided in Appendix ()

Surveys are a useful tool to gather research information and data from a well-defined population. One of the benefits of online surveys is the ability to reach a population that is distributed over a large geographical location, such as the Western Cape (Van Selm & Jankowski, 2006). This was useful due to the geographical spread of schools across the province.

For this study, to gain some knowledge about the career path that principals take toward principalship, the survey was designed and sent to 1358 public school principals in the Western Cape. The mailing list comprised principals across elementary and secondary schools. The list included rural, semi-rural and urban schools, fee-paying and non-fee paying as well as independent and religious-based schools. Approximately 170 email addresses were returned for various reasons, among them that mailboxes were full, giving a possible 1170 respondents to the survey.

The population for the survey was limited to the public and independent schools, as well as religious-based schools supported by WCED and form part of the larger WCED ecosystem. I excluded corporate-owned private schools from the survey as these schools operate on a different business model and often have corporate offices that support the academic operations of the school.

3.3.4. Document analysis as a research method

There are several pieces of legislation that directly relate to the selection and appointment processes in the study. While the legislation in Ontario and the Western Cape are broad statutes, they do however affect the role of principals. Kothari (2004) refers to document analysis as a method where there are documents that are readily associated with the participants. The understanding and interpretation through analysing the respective legislations provided valuable context in this study, and particularly where they diverge. The various legislative documents that are related to education in the Western Cape and the Province of Ontario are:

a) South African Schools Act (84 of 1996)
b) Employment of Educators Act (76 of 1998)

c) Western Cape Education Act (71 of 1997)
d) South African Council of Educators Act (31 of 2000)
e) Ontario Education Act, R.S.O. 1990, c. E2
f) Ontario College of Teachers Act, 1996, S.O. 1996, c. 12

3.4 Research Sample and context

To provide the basis for this study, and to ensure that the comparative analysis would be possible, I reviewed several options. Among the considerations were education systems that had a similar historical legacy, which were countries formerly colonised by Great Britain. Clearly, the historical legacy would be important to understand the evolution from the post-Colonial system to the current system, if indeed any evolution had happened. School systems in Singapore, Australia, New Zealand, and Canada were evaluated in terms of comparative value, including the legislative environment, public school system, number of students, and so forth.

After due consideration, I eventually decided to use the Ontario, Canada model for several reasons. I had previously lived in the province of Ontario, and am married to a teacher who taught in the province. Further, my father-in-law was a school principal and my brother-in-law is currently a teacher in that province. This provided opportunities to use their existing networks to find candidates for the interviews for the case studies. The result was a convenience sample of respondents that I could access and approach to participate in the study. The convenience sampling method is described as being "available to the researcher by virtue of its accessibility" (Bryman, Bell, Hirschsohn et al, 2014:178). I had also graduated from high school in Canada while I was in exile, so I am familiar with the education system on a personal level, and my son began his school journey there before moving to South Africa. This provided significant overlap in my understanding and interaction with both systems.

The education system in Canada is based on a Provincial model where there is no national minister of education, this responsibility being the domain of the Provincial Minister. This is similar to the South African model, where education is a provincial competency, albeit with a national department as well. One other key difference is that the national legislative framework in of the South African Schools Act specifies certain requirements for, provincial legislation.

The Ontario public school system was selected as it's the closest in structure to the Western Cape Education Department. Both have a provincial department and

geographical districts. There were just over two million students in elementary and secondary level enrolled in the Ontario public school system (https://www.statista.com (2022)). In the province of Ontario, there are 3962 elementary schools and 871 secondary schools (www.ontario.ca). The Western Cape has just over 1.1 million learners with 1520 schools across the province (WCED AR 21/22, 34).

For the purposes of this study, I chose to interview principals in the Peel District Board of Education (PDSB). The choice of PDSB was based on my personal network and access that I have to educators employed with the PDSB, and who could therefore direct me to principals with whom interviews could be scheduled with. A total of four PDSB principals were interviewed in this case, to understand the process and structure that they followed along the career path towards principalship. One PDSB principal interviewed asked to withdraw from the study and their responses were not considered for the case study.

These interviews with the PDSB principals were conducted via the Google Meets platform, and were recorded with the permission of the participants. The interviews with the WCED principles were conducted in person and were recorded as well. The interview questions were sent in advance to all the participants along with the ethical clearance, informed consent and participation forms for the study. The interview questions for the interviews can be found in Table 3a.

An added benefit of using semi structured interviews is having interview questions prepared and provided in advance to the respondents, while also allowing them to raise additional relevant points where the researcher may have a blind spot (Kothari, 2004).

The interview questions follow a pattern of enquiry into the career path and development of the respondents, and the choices they made that led them from being classroom educators to becoming school administrators. The interviews explore the training and development journey each undertook, the mentors they had (if any) and what influenced them along the way leading to the selection and appointment process. Additionally, the use of open ended interview questions allows for their personal experiences, from the perspective of each school principal. Interviews were structured to explore:

1. whether or not the theoretical issues covered in the literature review matched the reality,
2. understanding their responsibilities and function,

3. their interactions with staff and students,
4. the relationships between the school and the school board, parents and the broader community including the relevant school trustee/s.

The PDSB is one of the biggest districts in the Province of Ontario, second only to the Toronto District School Board, while being in the top ten biggest school districts in Canada (wwe.ontario.ca). In addition, the PDSB also serves urban, semi-rural, and rural schools which aligns very well with WCED which has a similar profile.

Table 3b - Peel District School Board Participants – 2021 Position

Principal	Type of School	Grades Offered	Number of Staff	Number of Students
Principal A	High School	9 to 12	47	650
Principal B	Elementary School	K to 6	52	500
Principal C	Hybrid School	K to 8	117	850

Source:Semi-structured Interview Questions

Table - Western Cape Education Department Participants – 2021 Position

Principal	Type of School	Grades offered	Number of staff	Number of Students
Principal D	High School	8 – 12	56	900
Principal E	High School	8 – 12	62	1000
Principal F	High School	8 – 12	51	800

`All the PDSB principals are members of the Ontario Principals Council (OPC), which is the professional association that represents the interests of principals. The OPC offers aspiring principals professional development courses, including the Principal Qualification Programme (PQP) internally and via external universities. The PQP is mandatory for all educators who wish to pursue the route to becoming school principals in the province. The curriculum is standardised and approved by the Ontario College of Teachers (OCT) and is offered at multiple institutions across the province.

This ensures that the PQP curriculum is delivered consistently, which results in consistency in the process and outcomes.

WCED principals are members of one of several trade unions in the education sector of their choice. The pathway to becoming a principal in WCED involves several career benchmarks, which are not considered to be essential, but are recommended, and involves the SGB in the process (see Table 5e, pg78). The involvement of the SGB in principal selection deserves scrutiny and this will form part of the comparative analysis. The training and preparation of WCED principals, vice principals, and those who choose that trajectory will also be unpacked and compared in the analysis phase.

3.5 Data Trustworthiness, Reliability and Validity

Before embarking on this research and education journey, I duly considered the ethical implications of the study I would be engaging in. As I regard education as a keystone to the development of our society and a mechanism to advance as a country, the topic of this study and the importance that I attach to it required that I take great care of the process. The trustworthiness of the data is essential to the research process for the research and related processes to have credibility. It is essential that the data upon which the findings are based, or any conclusions reached and arguments drawn from, originate from trustworthy sources and without bias (Kothari,2004 112). It is instructive that the threshold for rigour in order to meet the criteria of data trustworthiness, must include four benchmarks to determine if the data is:

1. Dependable
2. Credible
3. Transferable
4. Confirmable

These measures are inseparable and interdependent, as it is those collective attributes that contribute to the overall quality of the research (Anney, 2014). This threshold is particularly important to be met due to the interpretive paradigm framework of the study. This interpretive nature seeks to understand the individual perspectives of the respondents which further adds to the importance of the study meeting the threshold of trustworthiness.

To support the interview process the survey of WCED principals conforms to the argument made by Rickards, Magee & Artino (2012), who state that “survey

developers collect reliability and validity evidence for their survey in a specified context, with a particular sample, and for a particular purpose."(pg407)

3.6 Data analysis

A total of eight interviews were conducted with principals for the study, four from PDSB and four from WCED. One of the PDSB participants requested to withdraw from the study, and her interview was not included. I also did not include one of the participants from the WCED, as there were no substantive additions from the rest of the participants. All the interviews used in the study were transcribed and sent to the participants for review of their input, which resulted in no feedback or corrections.

As the interviews had almost identical questions, the interview process became easier with each subsequent participant in each group. I was able to explore additional information not provided earlier and confirm that which had been. The PDSB participants were very consistent in their responses, and particularly on matters related to the training and selection processes. There were also consistent responses from the WCED principals, and one of the participants provided additional detail not previously raised. The high degree of consistency allowed me to integrate and consolidate their perspectives into the findings in the subsequent chapters using thematic analysis.

When I completed the data collection, I proceeded to compare the results of the interviews of the two groups, which was made easier as the questions were identical I chose to use thematic analysis as it is flexible and not linked to any particular research philosophy (Bryman & Bell, 2014). Due to the identical nature of the interview questions, there were several clear themes that emerged during the interview process.

I was therefore able to categorise the themes and compare them between the two groups. The broad categories that were identified were (a) preparation (b) training and development and (c) selection and appointment. This comparison provided the relevant details on where there were common themes and similarities, and where there were not. Additionally, I followed up with the participants when I needed them to provide clarity on some of the elements of the interview in order to tie those common themes together. Doing so also allowed me to expand on some of the initial interview questions and interpret the interviews for a better understanding on their perspectives. The interview findings are presented in Chapter 4 and Chapter 5, on areas that were different between the two groups are compared and analysed in Chapter 6.

The WCED survey results are included in Chapter 5 where they were relevant and to support the interview data. Of the twenty-nine questions asked, not all the results were included in the findings as they did not complement information collected from the interview process.

3.7 Ethical considerations

This study is being conducted from the view of understanding the context of education from a social perspective. Using this as a point of departure, and from the perspective of social science research which seeks to study people, and within the context of their lives, I am required to conduct my research ethically as it concerns the respondents who participated in the study (Berg, 2007). Before the study could commence, there was a diligent process that I had to undergo to comply with the specific ethical considerations related to the study. This included applying for and being granted approval through the ethical clearance document submitted to the Humanities and Social Sciences Research Ethics Committee (HSSREC) of the University of Western Cape. The ethical clearance was approved and granted on 3 August ,2021, with reference number HS21/4/24.

When I identified the principals I wished to interview, a brief discussion around the purpose of the research was had with them requesting their participation. An information sheet was provided to the prospective participants as well as the list of questions I wanted to ask. When agreement was reached to participate in the study, each of the principals was provided with consent and participation forms, which informed them that their participation was voluntary and that they had the right of withdrawal at any stage. The participation form served to confirm to them that all discussions would be confidential, and they would remain anonymous in the study. For the PDSB participants, the interviews were started with a brief on the informed consent process, and the participants were asked to acknowledge that they had read the participation form and provided consent to participate, before we commenced with the questions.

All identities were replaced with pseudonyms for the principals and no mention is made of the names of the schools they lead and serve. All the data related to this study is stored on an external storage device which is kept securely, and my laptop, also with access protection. The virtual interview platform I used was Google Meets, where possible, or interviews were recorded with my cell phone. All the interviews

have been uploaded and stored on the UWC cloud storage attached to my student account which is password protected. The WCED participants provided signed participation forms which I have secured in a safe and will be kept for a period of five years. Copies of the informed consent and participation forms are attached as Appendix (B) and (C).

The electronic survey was sent from my UWC student email to 1358 email addresses of school principals, along with the active hyperlink to the survey questionnaire and the ethical clearance form as an attachment. The invitation to participate in the survey included information related to the purpose of the study, that participation in the survey was voluntary, and that completing and submitting the survey was considered consent. All responses were recorded anonymously, there is no record of the name of the participants or the names of the schools. All the responses to the surveys are recorded and captured in Google Forms linked to my student account at the University of Western Cape.

3.8 Chapter Summary

This chapter introduced the research paradigm for the study, and the supporting methodology. I provide details on the various methods I used to collect data; where the research sample was drawn from and the reasons behind the decision; as well as the management of ethical concerns undertaken for the study. The various research methods used which included semi-structured interviews and the use of an electronically administered survey provided the necessary data needed in understanding the career path of school principals. I also share details about the challenges experienced in setting up the research sample. Following this chapter, chapter four will be Case Study One, based on the interviews with the Canadian Principals, and Case Study Two will be the Western Cape Principals.

Chapter 4 - Ontario Principals

4.1 Introduction

The route to becoming a school principal in the public school system of Canada has some variation from province to province. For the purpose of this study, I have looked at the process in the province of Ontario, which is the largest province by population in Canada (https://en.wikipedia.org/wiki/Canada). As there is no Federal Minister of Education, the province has its own Minister of Education who is responsible for all grades from kindergarten through to grade twelve (www.ontario.ca).

The provincial public school system is geographically divided into school boards with a total of seventy-six such boards in the province. There are some duplications as there are public school boards as well as public Catholic school boards in the same districts. The Ontario public school system is one that is closest in structure to the Western Cape Education Department, having a provincial department and geographical districts. There were just over two million students enrolled in the Ontario public school system (https://www.statista.com).

Table 4a - PDSB Principal Participants – Demographic Information

	Principal A	Principal B	Principal C
Gender/Age	Male/44	Male/56	Female/ 52
Years as Educator	2004 to date	1993 to date	1997 to date
Academic Qualifications	BSc Honours	BSc Honours	BA Honours/ Med
Year as VP	2 years	4 years	4 years
Year as Principal	2 years	9 years	3 years

Source: Semi-structured Interview Questions

4.2 Entry to Education

The requirements to enter into education in Ontario are established by the Ontario College of Teachers (OCT) which provides the regulatory framework for the teaching profession in the province (www.oct.ca). The OCT is subject to specific legislation and was established under the Ontario College of Teachers Act, 1996, S.O 1996, c.12, which lays out the guidelines for the OCT operations and functions.

The OCT, in its capacity as the regulatory body, establishes the requirements and criteria for the entry into the teaching profession. These requirements are necessary for teachers to become certified to teach by the OCT and must:

- “have completed a minimum three-year post-secondary degree from an acceptable post-secondary institution
- have successfully completed a four-semester teacher education programme
- apply to the College for certification and pay the annual membership and registration fees
- have successfully completed the sexual abuse prevention programme.” (https://www.oct.ca/becoming-a-teacher/requirements)

When these requirements have been met, educators are licensed by the OCT and become eligible to apply for employment as an educator to any of the school boards in Ontario.

Although each journey taken by the participants is unique, there are several consistencies in the process as described by the requirements of the OCT. Principal A is the youngest of the participants at 44 years old, and holds a BSc with Honours in Biology and a diploma in teaching. Principal B is 56 years old and has a BSc with Honours in Psychology and a diploma in primary education. Principal C is 52 years old and has completed a BA in English, and a diploma in primary education. Principal A and C have only worked for the PDSB for the entirety of their careers. Principal B initially began his career with the North York Public School Board, was employed by them for two years before moving to the PDSB where he has been employed ever since.

Principal B was initially planning to pursue a career in research and statistics. However, the opportunity to enter education was offered to him and he has now been in the sector for thirty years.

4.3 Career Progression

Each participant began their careers as classroom teachers, Principals B and C at the elementary school level and Principal A at high school. It is noteworthy that to teach at the high school level, the educator must have completed two teachable subjects taken as full year courses as part of their university undergraduate degree programme. Teachable subjects include economics, business science, marketing, natural sciences, mathematics etc. which are the areas that the educator is certified to teach in high school. The decision is made during the application stage to a

teacher's college, when candidates choose which phase of education they would like to teach. The four divisions that the education system is divided into are

- Primary (K - 3)
- Junior (4 - 7)
- Intermediate (8 - 10)
- Senior (11 - 12) (www.oct.ca)

Graduates of the teaching colleges are certified to teach 2 of these phases at the point of graduation, which is typically Primary/Junior or Intermediate/Senior as the most common combinations.

While all applicants to the teaching programmes already have undergraduate degrees, most with honours level, the process to enter into the teacher's colleges is quite difficult. The teachers' college selection processes are different.

- Principal A graduated from an Ontario University, but was unable to get accepted into a teacher's college in Ontario, and completed his 2 years teaching certification at a teacher's college in Buffalo, New York.
- Principal B entered the profession at a time of transition in the certification/qualification process, and was part of the new pilot programme at the time. This programme was changed from one year to 2 years, and included more practical teaching time in schools.
- Principal C applied to York University teacher's college as she believed that their programme was better suited to her needs.

While there is consistency in the curriculum and qualification criteria, each teacher's college has a different approach to the training. There are established modules and course work that must be completed to be certified, as well as a predetermined number of hours of classroom practical training while being observed and assessed that must be met.

Principal A and C have only been with one school board which is the Peel District School Board (PDSB). Principal B was initially employed with the North York School Board for two years before moving to PDSB and has been with them since. There is an interesting, union membership arrangement in the education sector in Ontario. There are separate teacher unions for Elementary teachers and for Secondary Teachers. As a result of this, and the seniority that is attached to membership in each union, there is very little, if any, migration between the elementary and secondary school systems as doing so usually affects seniority and possibly job

security. However, when educators move from the classroom to administration, they are no longer in the unionised environment, but are represented by the Ontario Principals Council.

After being assigned to a school as a classroom teacher, which is where all the participants began their careers, they were evaluated and observed for the first year by senior teachers. Evaluations in the first 3 years are regularly conducted by the Vice Principal and Principals at the schools. After 3 years of teaching educators are assigned to additional courses and training provided by the board for professional development in specific areas. At the elementary school level, there are no heads of department (HOD), but there are lead teachers and subject leaders. The HOD position does exist in the secondary school system.

There are several opportunities to advance and develop leadership capacity at the elementary level that do not necessarily follow the traditional pathways. This would include being on and chairperson of various committees, taking on additional responsibilities that expands on the knowledge base and leadership roles. Principal B who was familiar with using statistics during his university career, offered to participate in the committee that looked at school performance, which analysed the data and could determine which additional resources were needed and where those resources should be best utilised. The evidence and data driven approach to decision making was well received and also better explained to the parent population.

Principal C had a more dynamic evolution towards the leadership role, and one that is closely related to her own personal challenges. She became interested in working with children with special needs, including students that had advanced learning requirements, those with learning disabilities and students with autism. She was asked to teach the Autism Spectrum Disorder learners at a middle school for grades six to eight. Through this she had to develop enhanced learning plans for a broad range of students, including individual learning plans for specific students. She was also an instructional coach which is a resource for teachers to help them become better classroom teachers.

Through this journey, she became inspired to always look to make things better than she found it, to motivate those she coached to find continuous improvement. During the period when Principal C was the instructional coach, she was effectively working in four schools, and thus was interacting with four administrators. The advantage of working with so many administrators simultaneously allowed her to

extract the strengths from each of them, to view multiple aspects of leadership at the same time. This was, to some degree, a large influence in her decision to move towards administration.

Principal A, the only one of the participants in a high school, was on a career path that included being subject head and lead teacher for mathematics and biology, moving to become head of the science department. He further transitioned from being a classroom teacher to career development within the school, working with students who were at risk, academically and socially. Before becoming a Vice Principal, he was also the HOD for Guidance/Library and Student Services.

In this position he was assigned the responsibility of working with the staff, doing evaluations, planning the professional staff development and training, managing a budget and being the chair of a steering committee for student success. From working mostly in a classroom setting towards a more administrative focus these stepping stones also included mentoring of the course delivery team.

4.4 Additional Qualifications and Training

Each of the principals interviewed has followed a different personal path and was driven by different motivations and interests to become a school administrator. However, each had to follow the established criteria in order to pursue that goal. These criteria have been established by the OCT and the OPC to ensure that the process is consistent and objectively measurable.

These criteria include seniority, leadership experience, additional qualifications at specialist level and being qualified to teach in three of the four phases identified earlier. The additional qualifications needed are available to all educators whether or not they choose to pursue administration or not. Additional qualifications are taken in three parts in specific subject areas and are taken at the educators' timeline. "Designed by teachers, for teachers, Additional Basic Qualifications (ABQs) and Additional Qualification courses (AQs) reflect the experience and pedagogy of the teaching profession. When completed, they are recorded on the Ontario College of Teachers' members teaching certificates" (https://www.oct.ca/members/additional-qualifications).

Part one of the AQ is an elementary level introduction to the qualification, enhanced teaching methodology and practices. Part 2 of the AQ is more structured

around course content and delivery, and part three which is the specialist level in the relevant subject is more focused on system leadership.

The AQs are available to educators who wish to pursue further professional development, and can be taken through a number of universities that offer them. The AQs are assessment and assignment based, and the duration may vary depending on the course content and subject. Educators can choose the programme to pursue from a number of services providers which are typically universities. Distance learning options are available as well as the AQs are not classroom based and the educators have a choice of institution and schedule distance learning options are also available.

While the institutions may differ in the delivery methods of each of the AQs they offer, the course material and content is standardised across the province and accreditation is provided by the OCT. This is important as the AQ becomes part of the certification record of the educator, which is used for promotion purposes and is available to the public as well. When an educator wishes to make the transition to administration, they must have completed two AQs at specialist level, or hold a Master's Degree. This is a mandatory requirement for admission to the Principal Qualification programme. Once again, these criteria are well established and clearly objective and measurable.

Another of the clearly defined criteria for admission to the PQP is being qualified to teach in three of the four divisions. Principal A, as the only one certified at Intermediate and Senior Divisions, had to take the Junior division qualification. Principals B and C both held Primary and Junior Division certifications, and thus had to complete the Intermediate Division qualification. There are also additional qualifications that educators can take that are offered through the resources available in their school boards as required that will also form part of the educator's certification record. The OCT also makes available the certification records of all educators and administrators registered and certified in Ontario. This is available on the OCT website and provides the list of qualifications completed and in which subjects and divisions. Combined with their leadership activities and experience there is a significant degree of education knowledge and capacity among all three participants as shown in table 4b.

Principal C did not need to complete any AQ Specialist level qualifications as she holds a MEd from St. Vincent University in Nova Scotia, Canada. We can clearly

see that the academic level of all the participants are of a high standard before taking into account the AQs at specialist level.

Table 4b - PDSB Principals – Education

	Principal A	Principal B	Principal C
Degree Level	BSc Honours	BSc Honours, BEd	BA Honours, BEd, MEd
Teacher Training	D'Youville College, New York State	University of Toronto, Ontario	York University, Ontario
# of years as classroom teacher	13 years	15 years	16 years
AQ Specialist 1	Career and guidance counselling	Mathematics	N/A
AQ Specialist 2	Science	Reading	N/A
Leadership Roles	1.HOD Science 2. Subject Head Biology 3.HOD career guidance, library and student support	1.Lead Teacher 2. Mathematics 3.Steering Committee chair on School improvement	1.Instructional Coach 2.ASD Coordinator 3.Enhanced Learning Planner 4.Special needs planner
Division Qualification	Junior/Intermediate/ Senior	Junior/ Primary/ Intermediate	Junior/ Primary/ Intermediate

Source: Semi-structured Interview Questions

4.5 Mentoring

One of the consistent threads received from the participants during the interview process was that each of them had strong mentors during their careers. They were all clear about the positive role that the mentors had in developing their teaching careers, and their pathway towards administration. Teacher mentoring programmes are now perceived as an effective staff development approach, especially for beginning teachers (Koki 1997: 1). Msila (2012:48) states that the importance of mentorship is a relationship that supports professional development and growth and that the two parties need to work well and closely together. All the participants in the PDSB attest to that influence, the positive guidance received and support and guidance provided by their mentors.

Principal A worked at one school before moving into administration. He describes the influence of his Principal and Vice Principal as crucial to his decision making process to transition out of the classroom. In particular, the Principal was one

of the two school administrators that he worked with. The second of the two was new to the school as well, and provided the leadership opportunities for him, to gain more experience with the functions of staff management, budget allocation and staff development. As HOD for Career and Guidance, Library and Student Support at the school, Principal A was involved in working with learners who were at risk, those that needed social and academic support, discipline issues and career guidance for learners.

Principal B became a lead teacher for mathematics and his interest in statistics and data analysis led him to lead the school improvement committee. This committee was focused on analysing the school data, and presenting those outcomes to the school administration. The data would be used to plan and provide professional staff development programmes focussed on improving school performance. He also established a school-based team to install technology into the classrooms during the period when the use of the internet and computers became more widespread.

During his career he also became a mentor and associate teacher of student teachers, doing observations and classroom evaluations for them. This afforded him the opportunity to understand and appreciate the value of mentorship from both sides of the relationship. This is supported by Msila (2012: 48), who states that both parties in a mentoring relationship become learners in the process of working with each other. As he was often working in high needs communities, those on the lower end of the socio-economic spectrum, he was a strong advocate for equal access, applying and motivating for additional resources for the school and students.

He said that “my experience working with statistics during my university degree invaluable” and he is able to provide data to support these motivations and arguments that were both current and relevant to the application of these resources. With the encouragement of his mentor, he also initiated several programmes to engage the parents and communities involved with the school in order to inform them of school performance and outcomes. It was these activities that led his mentor, who was the school administrator, to suggest that he move towards the administration pathway, which he decided to pursue after some consideration.

The process towards this pathway was significantly influenced by another mentor, who was a highly respected principal within the PDSB. Together they developed a plan and timeline for him to work towards that goal. The mentor was a positive influence, providing him with an intersection between innovation and

leadership, and also provided him with leadership opportunities. One such opportunity was to designate him as teacher in charge.

This designation meant that when the Principal and Vice Principal were away from the school, the teacher in charge would act in the leadership role in their absence. Other opportunities to serve in leadership capacity were in the form of being on the staffing advisory committee, which is responsible for ensuring the correct teaching resources were available to the school, as well as the scheduling team working with staff training and development on site.

Principal C, who was working within the space of staff development as an instructional coach had a less conventional mentoring relationship as she was often the mentor. She was assigned to work in multiple schools in this role which allowed her to develop a somewhat unique perspective on the role of mentoring. Being in the role of instructional coach to several teachers, and being responsible for their professional development as classroom educators, provided opportunities to understand the value of the relationship between the mentor and mentee.

Each relationship was different and required her to tailor and structure the development process for each teacher she was assigned to work with. Not only were the needs of each teacher different, but the schools they were working in and thus the student population was different also. Being able to navigate the environment and guide the mentee through the development processes helped to shape her own understanding of the importance of the relationship. In addition, by working in several schools, those administrators could also observe and provide input to her own career development.

As she had several mentors, each one helped to shape her career and personal development. She was able to extract the strengths from each of them and mould those attributes into what she needed. Being deployed to several schools has the added advantage of having real time interactions simultaneously with different administrators at the same time in her career. Most educators will have perhaps three or four administrators during their careers, who would influence them in one way or another. Principal C had multiple administrators each year she was an instructional coach.

After performing the instructional coach role for two and half years, she became a teacher at a school where she taught the Autism Spectrum Disorder (ASD) students. These students required specific and specialist planning geared towards their

education needs. This involved having small classes, with additional resources such as teaching assistants who would work with students who had learning challenges according to their individual learning plans.

Once again, the influence of her mentor was evident as she was presented with opportunities to provide leadership to staff, and understand the value of stakeholder relationships and community engagements. Building on this skillset and the experience of working with high needs communities and students was essential in the decision making process, and was informed by her own motivation to ensure equal access to quality education for all students. The latter, she believes, “was a keystone for her to make the move, as she was confident about her ability to act in the interests of many students to ensure that outcome”.

4.6 Migration from Education to Administration

All three participants had a different approach to their career prospects of administration, but they were also consistent that it was not initially where they had envisaged their careers to go. Across the three participants, there was also a common thread of student centric education that provided some motivation to make the transition. Principal A had moved from being science educator to becoming a specialist in guidance counselling and student development and success. Principal B was informed by his data analytics and school improvement and student development outcomes based on the data analysis. Principal C was influenced and informed by her working with high needs students and coaching educators to become more effective in the classroom.

Coupled with these motivations, which were supported and encouraged by their individual mentors, they each reached their individual decisions to pursue school administration. When the decision was made, each participant had to ensure that they met the admission criteria of the PQP in order to apply to the programme. While the PQP is offered by different Higher Education Institutions (HEIs), and the OPC directly, the curriculum is relatively standard across each provider. The choice of the provider is therefore not based on the programme content, but rather on the schedule that each provider is able to accommodate the learners. While there are some differences in how the programme is delivered by each HEI, without having any effect on the substantive nature of the programme.

Once the admission criteria for the PQP programme have been met, and the choice of the provider has been made, the educator can begin PQP part one. Part one consists of six modules taken over a period of 6 months. The course is presented in person over weekends on Saturdays, and every other Sunday. The instructors are current principals working for public school boards in the province that have themselves taken AQs for principals. Thus the delivery of the course content is provided by instructors who are able to contextualise the material, infuse it with their own experience and knowledge.

The educator will have to develop and submit a proposal for a Leadership Inquiry Practicum (LIP) to complete the PQP qualification. This Practicum is research based and is guided by the Ontario Leadership Framework, while being mentored by a qualified and practising Vice Principal or Principal. The main thrust of the LIP is to provide leadership opportunities for the educators and to engage with relevant school stakeholders such as learners, teachers and the community.

After the successful completion of PQP Part One, the educators can enrol for PQP Part Two immediately should they choose to do so. Once again, this choice would be informed by the schedule of the HEI offering the programme and the individual's schedule to do it. All three participants in this study continued to PQP Part Two with the same HEI they did in Part One.

Table 4c - Principal Qualification Programme Modules

PQP Part 1 Modules (125 hours)	PQP Part 2 Modules (125 hours)
Module 1: The Role of the Principal Module 2: Equitable and Inclusive Schools Module 3: Management and Leadership Module 4: Pedagogical Leadership Module 5: Inclusive Education Module 6: Co-creating Safe Schools	Module 7: The Changing Role of the School Leader Module 8: Co-creating and Inclusive School Module 9: Building Professional Capital Module 10: Evidence-based Decision Making Module 11: Building Relationships with Parents and the Community Module 12: Supporting Wellness and Well-Being

Source: https://www.principals.ca/en/professional-learning/principals-qualification- programme-pqp.aspx

We can see in Table 4c that the modules in each part are structured a particular way and begin with understanding the roles of the future administrator from a school operations perspective. During part two, the modules are aimed at developing specific skills and knowledge areas that are more focused on relationships with stakeholders (students, staff and community). During this phase the LIP becomes fully developed by the educators, as they move from theory to practice, building on the learning acquired.

There is a three-year time frame for the LIP to be completed from the date when the proposal was submitted during PQP Part One. If the LIP is not completed during this time frame, a new proposal will need to be submitted or an extension applied for. PQP is not considered complete and is not awarded unless the LIP requirements and observations are successfully met. Upon completion of the PQP, the educator is certified by the OCT and is considered eligible to apply to the school board for a Vice Principal position.

Principals share the names of the educators who are enrolled in the PQP with the school board. For example, the PDSB sends superintendents to visit the schools who have educators that are pursuing the PQP, and have informal discussions with them around their progress, vision and performance in the programme. While these engagements are informal in nature, they are also informative to the superintendents who provide feedback to the board. Principals are also encouraged to provide additional responsibility to educators who are in the PQP programme as a means of assessing their leadership potential. For example, Principal A was acting in the VP role for three months when the VP of the school was promoted to principal of another school. Principal B was similarly provided with an opportunity to act in the VP role, not at the school he was teaching, but as a ½ time VP at two different schools for a period of 6 weeks.

This experience is invaluable to those educators who apply to the board for VP positions. Each of them had to complete an application pack to the PDSB, with a motivation from their mentor. The application pack consists of the application itself, an essay that discusses a legacy project and portfolio representing leadership actions to that point within the previous five years. The application pack is reviewed by the educator, the mentor and the superintendent before submission to the board. If the application pack is considered to meet the board's requirements, the educator will be invited for an interview with the board.

This interesting position for the board to take is based on the needs of the system at the time. In other words, having completed all the AQ and PQP requirements is no guarantee that the educator will be automatically offered an interview with the board. There have been several instances where the leadership portfolio is not deemed sufficiently complete, or the educator may not yet have the appropriate experience mix in their career, and the board will through the superintendents and principals make recommendations for them to acquire that experience or knowledge and reapply.

During the interviews, two of the questions directly relate to the training that is provided and the relevance of the PQP to the position (see Table 3a). All the PDSB participants were unequivocal that the PQP is well designed and the course material was comprehensive and in line with the responsibilities of the role. The course is delivered by current principals, who are thus able to infuse real world practical experience into the course content to provide context. They added that the course is continually refined so as to remain relevant, and respond to the emerging trends and demands of the education system.

In one example provided by Principal B was that "I could directly relate the modules in PQP part 2 to my work with building an inclusive school and making evidence based decisions. This was already something I believed I was doing", but the PQP was able to fully expand on the breadth of the system needs, and "added context" of the importance of those modules. The increasing diversity of Ontario is one of the motivations for continually refining the course to meet those changes.

4.7 The interview process

When the application information pack submitted by the educator has been reviewed by the officials of the board, and based on the current system needs, the educator will be invited for an interview with the board. The interview is scheduled at least one month before the interview date and is conducted at board offices. Those who have been invited to interview are provided with a list of requirements for the interview process itself.

Each candidate for VP must prepare several dialogues, which are short speeches of approximately five minutes each, where they talk about their work in several areas. This would typically include topics like school improvement, school leadership, systems of leadership, parent engagement, student development, future

vision of education and innovation in leadership. The interview panel consists of two superintendents from the board, but not the superintendent that is responsible for the school the educator is from. Two trustees of the board are also on the panel as well as a senior official from board administration, typically from one of the non-academic functions such as legal or finance. An observer from the Peel Principals Vice Principals Association (PPVPA) also attends the interviews to ensure that there are no trick questions and that proper process is followed.

During the interview, the interview panel, which is chaired by one of the superintendents, will select three topics from the list of dialogues prepared by the educator to be presented. The dialogues are followed up with a series of interview questions. These interview questions are the same for each candidate, based on an interview rubric that is provided to each panellist. The trustees are engaged in the process as well, and are permitted to ask questions during the interview. For record keeping purposes and legal requirements, the interview is recorded on video and transcribed and becomes part of the employment record of the educator with the board.

The participation of the trustees in the interview process is an important one from a community perspective. Trustees typically ask specific questions related to community engagement and inclusive education as well as leadership in diverse communities. However, their input into the deliberation process is limited to being advisors. While their input is considered, the determination is made by the superintendents and board officials.

Since 2018, the trustees have not been allowed to participate in the deliberations of the interviews, as it was seen to be potentially discriminatory. It was determined that trustees would not have the necessary knowledge to assess whether or not a candidate was qualified and therefore they did not need to have the ability to appoint. This was left to supervisory officers of the board who had the appropriate knowledge and insight into the educational system to make those appointment decisions based on the interests of education.

This deliberation process may take several weeks to be concluded before the educators are informed of the outcome. When the educators have been informed and the outcome is positive, they will be deployed to a VP vacancy within the board system at the Elementary or Secondary level as appropriate. They do not go back to the school they were working in and are assigned a mentor that will work with them

enroute to principalship. During this time the new VPs are assigned more and more responsibilities while being guided by the administrator and mentor to reinforce the skills already acquired and to develop new ones relevant to their role.

Once the move to administration is complete, the educator is also required to leave the union they were members of as educators. Principals and VPs are not unionised, but are represented by the Ontario Principals Council of which they are members. The loss of seniority and union protection is one of the primary reasons that even though some educators may have completed the requirements for principalship, not all of them necessarily make the transition, and it is also not automatically done. All the participants from PDSB presented responses that aligned with each other regarding the process of the interviews and application process.

The application process as described is a deliberate one by educators who have duly considered the move into school administration. One other interesting point that was raised by Principal A and Principal B was that once appointed as a VP or Principal, you serve at the pleasure of the board, which means that you are sent to serve at schools that need those specific skills and leadership qualities. The first appointment to VP will not be at the school they applied from, and likewise, the appointment to Principal will be to another school, not where they are VP.

4.8 Appointment as a Principal

Principal A is the most recently appointed school principal, serving this role for two years. He is the only one working at the high school level, with over 1000 students enrolled. He had served as a VP for three years before the board appointed him as an acting principal when the position was vacant due to medical leave. He served in that role for one semester and then was appointed to the school he is currently serving. The appointment was considered to be important for the board to have a younger principal with relationship building qualities.

The community around the school was becoming more diverse and the board believed that he had the best fit. As a specialist in career counselling and student support, working with learners that have not only learning challenges, but also those students who are at risk, this school appointment was based on the individual's ability to shape the school environment and to engage with the communities and other stakeholders. Parent engagement, and a student centric approach was required, and

this clearly supports the board's deployment policy based on the needs of the school and the system.

Principal B is the longest serving principal in the study, and is now at his second school in that role. When first appointed in 2010, he served as a half-time VP at two schools, which served two different communities. This demonstrates the flexibility of the board to provide opportunities to develop principal material to understand and work with diverse communities. He stated that his learning curve was steep, having to work and adapt to new circumstances very quickly. He was in the VP role for three years before being appointed as a principal for the first time. He served that school for 5 years, when the board appointed him to the current school.

All schools Principal B has been serving as school principal have been in high needs, low socio-economic communities. His capacity to analyse data and engage with communities around school performance, provided him with the ability to engage with his parents and learners. He is able to provide data that supports his decision making, information to parents around the strategies for school and student improvement and to provide the context around those decisions.

Principal B is also the only one of the three participants to have taken an AQ while being a principal. The OPC offers several AQs for their members, to continue their professional development journey. Principal B completed the AQ in Education Law Qualification programme, which "includes the statutes that inform education in Ontario from the federal level to the board and school levels with an emphasis on a principal's accountability, laws, policies and regulations" (https://www.principals.ca). He believes that an improved knowledge of the legal contexts of the role would be beneficial to his overall performance as a principal.

Principal C has now served as principal for 3 years, having been a VP for four years. Although she has been teaching for 25 years, her journey towards principalship was the longest of the three participants. This was largely due to her completing her Master's in Education, and developing her career along the educator path. Her choice to stay in the educator role was also guided by her personal circumstances, as she has four children with learning challenges. She wanted to remain in the system to make a difference for learners that don't do well, because she believes that the system doesn't work for them. She realised that being in administration would provide a better platform to collaborate with other administrators to ensure there was a better system-wide response to learners with learning difficulties, and support all types of learners.

She is currently in one of the larger schools in PDSB serving K - 8 learners in a high needs community as well. The school is situated in a highly diverse, immigrant-dense community where English is not the first or home language for many of the learners. This language barrier creates learning and teaching challenges, as the learners with these difficulties are across all grades. Additional teaching and learning resources are required, and this is where she has the expertise having worked within that space for many years. Also, coming from this demanding classroom environment, and being in a coaching position before, she has credibility in guiding teachers and inspiring them.

4.9 Non-Academic Administration

Another common thread is that the participants from PDSB are primarily focused on the academic performance of the school, from the learners and staff perspectives. While their perspectives differed, they also were most interested in learner performance, and how best to support and improve these outcomes. While their perspectives were informed by their specific areas of specialisation, and career experience, each of them considered themselves to be oriented towards the academic operations of the schools they lead.

While they are primarily concerned with academic function, other operational matters related to the school also need their attention. The staff at the school, among which are Custodians, Office Administrators, Teachers, Education Assistants and Lunchroom Supervisors are all in different unions. Awareness of the regulations and guidelines for each employee is another important consideration.

While each school does have an individual budget that is based on the number of learners in the school, this budget is pre allocated to “envelopes” for learning and teaching resources, technology and staff development. While there is some degree of discretion, this is limited in nature, and funds can only be spent in the “envelope”, and only with vendors that the board has directly negotiated with on price. Any deviation from the vendor list needs to be approved by the board, and only if there is no vendor able to supply the items.

Capital projects are managed by project managers within the board, and there is a school refresh cycle that is determined by them. The custodial staff responsible for the infrastructure liaise directly with the board for any repairs that are required, and the boards will send the appropriate contractor to school to attend to these repairs.

While the principal is informed, they are not involved in this process other than tracking the progress.

Hiring of staff is done by the boards, who employ all the teaching staff directly. All educators will begin working as supply (substitute) teachers, often with multiple boards, including long term occasional (LTO) teachers who typically cover maternity or other medical leave absences. A supply pool of substitute teachers is available to the principals for temporary duty for short-term absences of the full time staff. It is from this pool of short-term staff that principals are able to interview and appoint from should there be a vacancy at the school for a full-time position. An advantage of using the supply teacher pool to fill vacancies that exist is that supply teachers would have been observed by school administrators and senior teachers over a period of time.

One important non-academic related function is the engagements with the school trustees. This is an important role for the principal, as the trustees are the interface between the community and the board. Having a positive relationship, keeping the trustees informed of relevant school related matters, having regular community engagements with the trustees and stakeholders are all important activities of the principal.

All the participants agreed that their relationships with their trustees are positive. While there are some trustees that are familiar with the education space, some use their elected positions as a stepping stone to higher elected office. It is good to have clear communication with the trustees to avoid any disruptions within the communities that the schools serve. School trustees can also allocate funding for schools, either new or for expansion, so that it is important these relationships are carefully managed as well.

4.10 Chapter Summary

The motivations of the participating principals, while all being personal and based on their individual perspectives, also have several overlaps. All three participants have a high level of education and a minimum of ten years of classroom teaching experience. All three held leadership roles in some capacity before transitioning from the classroom to administration, building on their opportunities to develop leadership skills being provided by their mentors.

The importance of the mentor's influence and the relationship with them cannot be overstated. All agreed that the mentorship role was critical to their decisions

towards taking the step and essential in the transition. The mentors provided context to the theory and opportunities for collaboration. Areas such as supporting student success, system wide improvement and staff development were encouraged by the mentors. The mentors also were all highly experienced principals, and were technically and socially excellent in their roles. More importantly, they were also able to provide legal context to the job as well as being supportive of their staff.

The interviews clearly revealed the process and diligence that is involved. School leadership is not based on seniority, but rather is a process of selecting those educators who have demonstrated the necessary skills and are supported by the required qualifications. The decision to appoint principals is made by education officials, who understand the environment and the system needs and what qualities are required to best suit those system needs. Principals are largely involved in student development and ensuring that are the appropriate measures in place to support that. They play a limited role in non-academic matters, which are managed externally by appropriate personnel, which frees up the time of the principal to lead the school.

Additionally, principals are supported after their appointment, and there are opportunities for them to continue on their professional development journeys, with a number of tailored qualifications available to them. The culture of learning is deeply embedded in the system, not only in the classroom but also in the administrative functions, and is system wide. Each of these three principals is of the view that they have to leave the school better than they found it, that school success via student success is the primary goal. They are highly driven to ensure that the best opportunities are provided to their students, although each one approaches the challenge differently.

Chapter 5 - Western Cape Principals

5.1 Introduction

In South Africa, there is a torrid history of education, which for many years was not provided equitably to the population. This uneven system was based on a racially motivated and legislated social system of “separate development”, more commonly known as Apartheid (Morrow, 1990). This issue continued to contextualise the disparate education systems that existed pre-1994 and the subsequent legacies that remain in place within the current education system till today.

There were four distinct education departments that saw to the needs of the four racial classifications that were brought into law through legislation (Wolhutter, 2006). The Bantu Education Act (47 of 19523, the Coloured Persons Education Act (47 of 1963) and the Indian Education Act (61 of 1965), were the specific provisions in the prevailing law of South Africa before 1994. In 1996, with the adoption of the South African Schools Act (84 of 1996), were these laws repealed along with several other pieces of legislation that supported them.

The separate development model was not only about systems, it also included disparities in infrastructure spending, teaching and learning resources, staff training and development (including qualifications), and accessibility to education itself (Wolhutter, 2006). The systems were designed not to produce quality learners, but also labour (Spaull, 2013). One of the more obvious design elements of this disparate system was the availability of primary education, but limited availability and access to high schools.

Additionally, these systems also were autocratic in nature, with administrators giving instruction to school officials to follow. The authoritarian structure’s in place did not lend themselves to or encourage the development of leadership skills or qualities (Morrow, 1990). Essentially there was no need for it, as there was a simple formula to follow, that didn't require much operational or strategic thinking, did not require innovation nor any display of initiative from school administrators (principals), who were required to follow the formula as instructed (Sayed & Kanjee, 2013).

While the systems and legislation have since changed, and there is a unified national education department, many of the legacy issues still remain. There still remain infrastructure imbalances, accessibility challenges, there are still remnants of

the outdated and archaic bureaucracy (Spaull, 2013). Many educators with seniority in the system, began their careers before the transition to democracy. What this means is that the lack of leadership when they began their careers, largely translates to a lack of leadership still prevalent today. While there are outliers these are in the minority, and unfortunately not able to significantly affect the current trajectory of poor or ineffective leadership. The tables drawn from the data of the electronic survey below illustrate that the vast majority (82%) of WCED principals are over the age of fifty as of 2021 (Table 5a) and 86% of them have been in the system for more than 26 years as of 2021 (Table 5b). The

Table 5a - Age of WCED Principals - 2021

Age of Principals	Percentage
30 – 35	0.6
36 -40	0.6
41 – 45	4.4
46 – 50	12
51 – 55	39.2
56 – 60	34.8
61+	8.2

Source – Electronic Survey

Table 5b - Years as an educator of WCED principals - 2021

Years as an educator	Percentage
Less than 15	1.9
15 – 20	3.8
21 – 25	8.2
26 – 30	27.2
31 – 35	39.2
35 +	19.6

Source – Electronic Survey

The DoE and its successor DBE recognised the need to change this trajectory, to improve school leadership and thereby ensure the collateral benefit of improved

school performance. This recognition was in the form of several white papers for the purpose of soliciting input from various stakeholders on the matter (Van der Westhuizen & Van Vuuren, 2007). What this resulted in was a pilot programme earlier mentioned, which became the Advanced Certificate in School Management and Leadership (ACE-SML).

This programme was designed with the goal of improving school leadership, in the initial instance with current principals, and in the longer term, future principals. Current principals, deputy principals and SMT members were eligible to participate in the programme. The initial pilot of the ACE-SML was launched in 2007 and ended in 2009, and was offered by five universities and the Matthew Goniwe School of Leadership (Bush *et al*, 2011). While the programme was well received, and well attended, the research conducted on the programmes shows mixed results of the effectiveness of the programme (Bush & Glover, 2012).

While the efforts of DoE and DBE have been commended for taking the step to develop school leadership capacity with the ACE-SML programme, this also ignores other factors that influence the selection and appointment of school principals. These factors include the employer, in this case the WCED ceding of the selection and appointment prerogative of principals to SGBs, serving as a rubber stamp to that process by approving the recommendation made by the SGB. The legislation that supports this is the South Africans Schools Act (84 of 1996) and Employment of Educators Act (76 of 1998).

These two pieces of legislation have granted the decision-making authority related to selection and appointment of principals fully in the hands of SGBs, whose recommendations are very difficult to overrule, as has been tested in a number of court actions. Most of the court outcomes that have been challenged by provincial education departments have been in favour of the SGB's when it came to selection and appointment of Principals, as well as educators (https://www.fedsas.org.za/Documents).

As a result, there has been great difficulty for WCED to enforce the qualification or additional training for current and aspiring principals. There is evidence that there is lobbying that occurs between individuals interested in becoming principals, and SGBs members, which does not lead to the best prepared, or experienced, or qualified person being appointed (Allen & Mintrom, 2013). There is also resistance from the trade unions to the requirement for additional qualifications.

The WCED participants in this case study are all from within the City of Cape Town, and represent two Metro school districts in the Western Cape. There are two males and one female participant, who all work in secondary schools. The participants serve a former Model C, and fee-paying schools from different socio-economic communities. While the sample is not very big, there are interesting inputs made by each of them during the interviews. I also interviewed a former WCED official and a senior teacher who is a HOD and acting VP to provide additional context and understanding of the process as it relates to training and the selection of principals along the career path.

Another challenge that emerged from the data collection process was that many principals have only been appointed to one school for the entirety of their career. This does not encourage innovative thinking or installing new practices, as it leads to stagnation and maintaining the status quo. This is particularly relevant in schools that came out of the racially classified system, as there were few examples of leadership available, in a system that was largely autocratic (Spaull, 2013). Without being exposed to positive leadership skills and qualities, it is unlikely for those to be developed independently. Table 5c shows that more than a third of current principals have only been at one school for their entirety of their careers. Another quarter of all current principals have only spent their careers at two schools.

Table 5c – Number of schools where educator has been employed – 2021

Number of Schools before being appointed principal	Percentage
1	34.2
2	24.1
3	11.4
4	10.8
5	6.3
5+	13.3

Source: Electronic Survey

5.2 Entry to education

Prior to 1998, South Africa had several teacher training colleges that were available for educators to get their initial training as educators. A decision was made to close these colleges after the transition to rationalise the higher education landscape and to reduce costs. The segregation that existed before meant that there was as many as

one hundred and fifty teacher training colleges across the country at that time, and in 2000 the Minister of Education incorporated all of them into the universities, which would provide all teacher training (Wollhuter, 2006). As a result, there are still educators and principals within the system who are products of the teacher training colleges and began their careers before the decision to close them were made. Table 5d provides details on the careers of the WCED principal participants.

Table 5d – WCED Participants – Education

	Principal D	**Principal E**	**Principal F**
Gender/Age	Male/ 62	Female/ 50	Male 64
Years as Educator	1976 to date	1995 to date	1977 – 2021
Initial Qualifications	Primary Teaching Diploma (3) Hewat Teachers College	Higher Diploma in Education CPUT	Primary Teaching Certificate (2) Hewat Teachers College
Additional Qualifications	BA History (Honours), UWC ACE-SML	PgDip Management, UCT GSB ACE-SML	BA Geography, UNISA ACE-SML
Year as VP	4 years	9 years	8 years
Year as Principal	28 years	12 years	25 years

Source: Semi-structured Interview questions

Two of the WCED participants are graduates from the training colleges and one is from the university programme. The training college participants completed their training at Hewett Training College, one graduating with Primary Teachers Diploma (E) and the other (G) with a Primary Teaching Certificate. The third participant, the youngest and only female, is a graduate of Cape Peninsula University of Technology holding a Higher Diploma in Education (HDE).

The initial appointments of all the participants were to schools in lower socio-economic communities. The two that began their careers in the late 1970's were working for the Department of Coloured Affairs at the time and therefore limited in which schools they were allowed to teach in. The participant that graduated from CPUT entered education in 1995, after the democratic transition, under the unified system, and still oddly she was first appointed to a school serving persons of colour.

At the time that Principal D and Principal F entered the education system, there was no professional registration body as the South African Council for Educators

(SACE), which became the professional body for educators, was established in 1995, primarily for the purpose of registration and discipline (www.sace.org.za). Formally recognised by the Minister of Education in 1997, the SACE also added professional development and a code of ethics to its roles and responsibilities. In 2000, the South African Council of Educators Act (31 of 2000) was adopted and the responsibilities formalised.

All educators in the unified system were initially registered with SACE, and all new educators were required to be registered upon completion of their qualification, and if they chose to enter the teaching profession. The legislation has since its adoption made it mandatory for any person working within the school system to be registered with SACE. A certificate of registration with SACE is required, and can be withdrawn for any professional misconduct that is referred to SACE for investigation related to the SACE code of conduct (www.sace.org.za).

5.3 Career Progression of Principals

Table 5e - WCED Requirements for Principals

Additional Qualification 1	Optional/Recommended
Additional Qualification 2	Recommended
Principal Specific Training	Recommended
Post Graduate Level Qualification	Recommended
Teaching Experience	Seven Years
Leadership Experience	Recommended
Professional Registration (SACE)	Required
Police Clearance	Required

Source: https://e-recruitment.westerncape.gov.za

Table 5e illustrates the minimum requirements for principalship in WCED currently in place.

5.3 (a) *Principal D* began his teaching career at a high school in the Southern Suburbs, as a history teacher before being transferred to a school in the Coloured township of Manenberg after four years. He served as a history teacher for two years at this school before once again being transferred to a different school also in Manenberg. During this period, he completed his Bachelor of Arts degree through University of Western Cape (UWC), and his Honours the following year.

In 1984 he was transferred to a high school in Mitchells Plain, another Coloured community on the Western Cape. In 1990, while he was there, he completed his Bachelor of Education degree with UWC, as well as serving as the HOD for the Science department at the school. Four years later, he was appointed as Deputy Principal of that school. Before being appointed, and while serving in the leadership role of HOD, he was not given any additional training. As this was still during the pre-transition period, this was not unexpected as few training opportunities were available during the student protest years in the early 1980's. He served in the Deputy Principal role for three years before being appointed as the Acting Principal of the same school in 1993. Once again, he was not prepared for this role with any training or development processes. In 1994 he was once again promoted, this time to the position of Principal.

5.3 (b) *Principal E* began her career at a finishing school in 1995 based in one of the African townships in Cape Town teaching accounting and Afrikaans. Finishing schools are established to serve students who had not completed their matric, so they could enrol and complete that certificate. The school had students who were in some cases in their mid-twenties which she found quite intimidating as she was just entering the education system at the time.

She served at the finishing school for three years before being appointed as a HOD at a high school in the same township in 1999. During this time, she had also completed her South African Institute for Chartered Accountants (SAICA) course for accounting teachers at Stellenbosch University. This appointment was after the SASA (84 of 1996) was enacted, and she was a WCED appointment to the school. She served in that HOD role for two years before being appointed to another high school as deputy principal, once again in a black township school. Subsequently, she was appointed as a Deputy Principal to a school in a low socio-economic area in another Coloured community, a post she held from 2002 until 2009. In 2009 she applied and was interviewed for the position of school principal at a high school in a low socio-economic community. She was successful in the interview process, and was appointed as Principal, starting her new role in 2010.

In 2017 she applied for the principal position that was vacant at a former Model C school in the Southern Suburbs in Cape Town, which is in an affluent middle-class community. She was interviewed by the SGB and was asked to go for competency-based testing by the SGB, which they paid for after being shortlisted. When asked

what her view was on the competency test, her response was “it was interesting that the SGB believed that I worked for them and not the WCED”. She was appointed to the role and served in that position until 2021, when she applied to another Model C school that was closer to her home. After successfully completing the interview process, her appointment was confirmed by WCED and she has been with the school since the start of the 2022 academic year. Her current school is in an affluent neighbourhood in the northern suburbs of Cape Town.

5.3 (c) *Principal F* completed his Primary Teaching Certificate (PTC) at a teacher training college on the Cape Flats and began his teaching career in 1977 at a high school in a coloured township. He was transferred to a primary school two years later where he served for two years. Being transferred to another primary school, again serving as a classroom teacher for years. During this time, he had completed his Bachelor of Arts degree via University of South Africa. Because the Coloured Affairs regulations required that teachers with degrees had to be placed in high schools, he was transferred to a newly built school in an expanding coloured community on the outskirts of Cape Town, as an acting HOD. All his placements were in public schools serving learners from low income communities.

In 1985, his acting HOD post was made permanent, and re-designated to Senior HOD. Three years later, in 1988, he was appointed Deputy Principal and in 1990 to Senior Deputy Principal. In 1995, when the current principal at the school passed away, he was placed in the Acting Principal role until his permanent appointment to Principal in 1996 as the recommendation of the school council. He remained in this post as Principal until he retired in 2021 with almost 25 years serving in the role of principal.

5.4 Additional Qualifications and Training

All three WCED principals also registered for and completed the ACE-SML programme that was developed in 2005 and piloted between 2007 and 2009 completing two cohorts from the programme. Table 5e provides the curriculum structure of the ACE-SML as it was developed by the Department of Education in 2008 (DoE, 2008).

Table 5f - Advanced Certificate in Education - School Management and Leadership Modules

Fundamental	**Develop a portfolio to demonstrate school leadership and management**
Additional module	**Leading and managing effective use of ICTs in South African Schools**
Core	**Understand school leadership and management in the South African context**
	Language in leadership and management
	Manage policy, planning, school development and governance
	Lead and manage people
	Manage organizational systems, physical and financial resources
	Manage teaching and learning
Elective	**HEI's may supplement the fundamental and core modules with one or more elective modules that respond to particular national/ provincial/regional needs for example HIV/Aids, Gender.** **The following electives have been developed as part of the national programme:** **Lead and manage a subject, learning area or phase** **Mentor school managers and manage mentoring programmes in schools** **Plan and conduct assessment (pre-requisite for Moderate assessment but RPL can be obtained for this module)** **Moderate assessment**

Source – ACE Course Outline V6 – November 2008 (Dept. of Education 2008)

5.4 (a) ***Principal D*** had entered the education system in the pre-1994 era, when there were very few training opportunities available or provided by the Department of Coloured Affairs (DCA). There were initiatives taken by staff themselves to engage in skills development, through coaching workshops that they had organised themselves. There were also efforts made to engage educators from other schools in the area, to discuss best practices in teaching, subject delivery, classroom and student management. This was a difficult period in education as South Africa was in the middle of a resistance campaign against the government of the time, in which scholars from many high schools in the township areas were actively participating.

As a result of this turmoil, and a disrupted school schedule, there were fewer training and development opportunities available through the DCA. This disruption continued until 1990 and during the negotiation phase there were no organised training programmes initiated. Post 1994, with the unification of the education system, workshops were once again arranged by DoE and the newly established WCED. While he is of the view that "there was limited value to these workshops, and that they did not address relevant educational issues", he does acknowledge that "there was an effort made to provide them with some training". Bush *et al* (2008:33) also argue that the workshop model is unsustainable and refer to McLennan's (2000) view after his assessment of training in the Gauteng province was that such workshops are "often poorly organised and irrelevant" (pg.305).

When the Advanced Certificate in Education - School Management and Leadership was offered in 2007, he was one of the pilot group that entered the programme via University of Cape Town. His comments on the programme was 'I considered the ACE-SML programme to have some value, particularly regarding the management of schools. There was a distinct slant to the programme and content of ACE-SML toward management, but with very little related to school leadership". He considered this to be an imbalance to the programme, and he recommended that adjustments be made to improve leadership skills.

5.4 (b) ***Principal E.*** She attended several workshop-based training programmes that were provided by WCED, for which she received certificates of attendance. The course content of these workshops were not considered to be of any real value by her, nor the delivery, as workshops were largely spent networking. She

believes that having no assessments also diluted the value of the training, and this is merely to check a box for the attendees and WCED.

She completed her South African Institute of Chartered Accountants (SAICA) course for accounting teachers that was offered through the University of Stellenbosch (SU) in 1999. Additional workshops were made available to her for training on Information and Communication Technology (ICT) as well as seminar and workshop based programmes dealing with conflict resolution. In 2016 she enrolled at the UCT Graduate School of Business (GSB) for a Post Graduate Diploma in Management (PGDM) which she completed that same year.

Principal E was also a participant in the ACE-SML pilot programme in 2007 via UCT. She referred to her cohort as "the guinea pigs of WCED, the experimental group established to see the merits in the ACE-SML". She described the content as "very high level theoretical knowledge, but very thin on the practical application of that theory". The course was adequately structured, but she rated the content 5/10 for usefulness and 4/10 for relevance. This poor assessment of the relevance of the programme was noteworthy. The reasons provided for this poor assessment was the focus was on management and not leadership in schools.

She also attended seminar-based workshops at Cape Teaching and Leadership Institute (CTLI) which were recommended by WCED, which she also found to be of limited relevance. She viewed these seminars and workshops as merely "check boxes" with WCED as they had little to offer as all participants merely received attendance certificates.

5.4 (c)

Principal G also entered the education system in a period when there was anti-government resistance following the 1976 student protests. There was not much on offer from DCA in his initial entry, although he did complete his BA degree through UNISA, which made him eligible for appointment as a high school teacher. When he was appointed to the high school, during a period of high instability driven by student protests in the country.

The main focus at the time was to navigate the tumultuous environment, being available to teach under difficult conditions. The situation during the many state of emergency declarations prevalent at that time, did not permit much time for teacher development opportunities, although there were informal meetings with other school

staff in the surrounding areas around the prevailing issues. According to him “student and staff safety were the most important concerns at the time during the 1980’s “ as schools were often under siege, and yet there were efforts to continue to provide classes and thereby advance learning.

In 2001, he participated in the Education Management and Leadership Development (EMLD) programme. This programme was an initiative of Prof Brian O’Connell who had previously been appointed as HOD of the WCED. This programme was part of the principal development process that was identified as necessary to enhance school and learner performance. This programme offered an organic curriculum, which did not follow formal structure and was conducted over one weekend a month for a period of two years.

Among the topics discussed were organisational development, best practices, management in a crisis, and creative thinking. Outside specialist presenters were also engaged to deliver inputs on topics such as psychology, and conflict management. He was enrolled into the ACE-SML when the programme was launched, but also went one step further, by requesting that his two Deputy Principals, and four HODs also attended.

His belief was that the Senior Management Team (SMT) would benefit from this training, which in turn would benefit the learners and the educators, enabling them to raise the school’s performance. The ACE-SML programme was considered to be “useful to him and his team, although it was more focused on the management aspects and not on leadership”.

One of the more beneficial subjects covered was around financial management of school funds, and understanding the new education law contained in SASA (84 of 1996). He also believed that the SMT benefitted from the training, and was satisfied overall with the outcomes of participating in the ACE-SML programme.

The survey data provided feedback of the areas where principals responded they need additional training. Table 5f below demonstrates the areas of concern within WCED principals, where the respondents could select all that applied to them. What the table illustrates is that there is a deficiency in training and capacity in almost half of current WCED principals, in key areas of responsibility. The high number of principals that require leadership and operational training, for principals that are to be measured against these criteria is noteworthy. Almost 40% of current principals are

in need of additional support from the WCED, although the results cannot provide the detail on the nature of the support required.

Additional support from WCED in the form of circuit managers, who are resources for principals and provide support, appears to be an issue of weakness in the system. One third of principals are receiving visits from Circuit Managers less than once a month as shown in Table 5h, which is supported by Table 5g.

Table 5g - Training/Support required by WCED principals – 2021

Training Support Required	Number of responses/ Percentage of Principals
Mentoring	50%
Leadership Training	43%
Operational Training	41%
Human Resource Training	51.3%
Financial Management Training	55.1%
Change Management Training	52.5%
Departmental Support	38%

Source – Electronic Survey

Table 5h - In your role as Principal, how often do you meet with the Circuit Manager every month?

Less than once per month	32.3%
1 – 2	55.7%
3 – 4	10.8%
5 – 6	0.6%
7 – 8	0.6%
More than 8 times per month	0.6%

Source – Electronic Survey

5.5 Mentoring

When conducting the interviews with the WCED participants the purpose was to identify the nature of their mentoring relationships, if there were any. The purpose was to identify and understand the impact that mentoring had on them, and the context this happened. There is more and more evidence of the importance of mentoring,

particularly in the education environment, and “training through mentoring activities are now considered as an effective professional development method for new teachers” (Salgur, 2014:47).

5.5 (a) *Principal D* was most influenced by his first principal, when he first entered the school system in 1976. This year was infamous for student-led protests that led to significant disruptions in the school, and played a major role in increased student activism in subsequent years. He describes his principal as one (a) concerned for learning, (b) ensuring that students remained in school, and (c) where there were always teachers available to teach those who were present. He regards this as being driven for the student interest, to ensure that they did not lose their academic years and were still able to progress.

As difficult as it was to teach, as learners were engaged in ongoing protests, schools remained open, and were also safe havens to protect learners from police brutality. There were several schools that were subject to police intervention, where police would come onto the premises to look for student activists and to suppress student protests. What he observed and understood was the importance of learner safety, and developing crisis management strategies while working in those volatile situations. He was clear that along his journey as an educator, he was able to learn from those around him, and to determine which attributes he needed, what worked and what didn't, and to inform himself about what type of leader he wanted to be.

5.5 (b) *Principal E* was initially placed in a very poor and marginalised school, with few resources, and poor leadership structures. From her perspective her short stay of only three years at that school was not very well managed by the school leadership. She did acknowledge that the school needed many interventions, there was high staff turnover and also the school leadership was transient, with three acting principals during her time there.

When she moved to another school, she was placed on the schools Financial Committee (FinCom) because of her background and qualification in accounting, and was responsible for managing the school’s finances. Working closely with the principal and the SMT, she found this experience to be very valuable, as she was able to observe the interactions with the FinCom, and the leadership activities of the team. Working with constrained budgets, and limited resources, the school is still one of the

best functioning schools in WCED, and she attributes that to leadership who were interested in the education outcomes of the learners. The culture of learning still runs deep in that school, and this provides a sense of pride and achievement to the learners and educators.

When she left to become the Deputy Principal at another school, she was once again faced with a school that had poor leadership. She became acting principal after three months as an investigation was instituted into financial mismanagement by the principal. She served in that acting role for four months while the forensic audit was conducted. For the rest of the year she remained in the acting principal role during the disciplinary processes that followed, before moving to another school the next year.

Once again, while holding the position of deputy principal, several years later she was appointed as the acting principal of that school in 2007. It was here that she had her longest tenure as a deputy principal, while working with an effective principal who was her best mentor. He guided her towards a better understanding of the position and the job's responsibilities such as people management, relationship building and community relations.

5.5 (c) *Principal G* regards being mentored as an important part of his development. He intentionally did not limit his response to the question only to his education relationships, but drew from his broader relationships as well. When he began his journey, his initial interactions were not very engaging or formative, as he was a junior teacher working in low-income schools where there were many student discipline issues. The school leadership were not available to develop or assist with staff growth, as they were occupied with other matters, because the disruptions to education were ongoing. He had to "figure it out" as he went along, and he continued his classroom teaching, while getting very little guidance from the school.

When he was redeployed to the high school, as an acting HOD, he for the first time in his teaching career, experienced a proper leader. He regarded the principal as one with high moral standards and ethics, and a strong administrator. This principal was the first one that helped in shaping his understanding of school leadership. When this first principal retired, he was promoted from HOD to deputy principal for the first time. Working with the new principal in this role, also highlighted some of the deficiencies and contrasts between the two. The second principal he served with was

a good manager, able to manage the staff and students, but not able to build relationships, and was more autocratic. While the school was well managed, there was also more discontent resulting in high staff turnover.

When the principal passed away suddenly while at school, he was appointed acting principal. Having had the benefit of working with two different principals, who mentored him based on their perspectives, he was able to shape decision making and his school leadership role using the elements that he felt best suited his own personality. He described this as similar to threading a needle and making decisions based on the context and information at hand as each situation is different, as are the participants and the reasons behind it, so it cannot have a “one size fits all” approach to finding solutions. His overall view was that one must extract the best from each mentor, start off with a common base of respect, and move forward from that point.

5.6 Migration to Administration

All three participants advanced rapidly from the classroom to positions of seniority and leadership. This often happened without any training for the leadership role of HOD or Deputy Principal. Although two of the participants began in the old system, there appeared to be no clear promotion criteria that were in place, or could be seen to be objectively measured. What underpinned these decisions seems to have been arbitrary and subjective, depending on the experience of the teacher or the relationship with the school administrators.

Mentoring has been identified as an area of weakness for the participants, which is supported in Table 5g. however there are several other factors that can be highlighted as well that would influence the process. Table 5h below indicates that the current principals in WCED were all conducting classes when they were deputy principals. With more than 50% carrying a high teaching load, there would be less time available to develop leadership and management skills. Table 5i further illustrates that the deputy principals were mostly engaged in academic matters, and that they have a high workload during that stage of their careers.

Table 5i - During your time as a Deputy Principal, how many classes did you teach per week?

None	11.4%
1 – 5	36.7%
6 – 10	12.7%
10+	39.2%

Source – Electronic Survey

Table 5j - In your role as Deputy Principal, what were your areas of responsibility? Select all that apply.

Academic	86.7%
Pastoral Care	61.4%
Operational Management	73.4%
Student Discipline	74.1%
Staff Development	65.2%

Source – Electronic Survey

5.6 (a)

Principal D was appointed as the HOD; in a department he wasn't qualified to teach in based on his initial teacher training within six years. Six years later, he was promoted to deputy principal which was followed three years later to acting principal. This became a permanent appointment in 1994, a role which he has served in since. As he moved along this career, the development and training he received was minimal, largely workshop based and or initiated and coordinated by educators themselves.

For Principal D, the move from the classroom to administration and school leadership was not a deliberately structured process driven by him, it was a series of appointments by DCA and school administrators.

5.6 (b)

Principal E, as the youngest of the three participants, was less influenced by the racially divided system as she began her career in 1995, in the new democratic era. Her first appointment to a senior role was four years after entering education as HOD which was followed two years later by an appointment to deputy principal in 2001. She served as deputy principal at two schools before being interviewed for the post of principal at a school in 2009, commencing her role there the following year.

During this transition from the classroom to administration she successfully completed several training workshops and also her SAICA qualification, she was also

still teaching while in the deputy principal post. The dual function of classroom teacher (with a reduced teaching load) and deputy principal, was useful as she was able to gain experience of the nature of school leadership during that time, serving on the SMT and working closely with the principal.

Her subsequent positions that she has held have followed an interview process that was guided and managed by the SGB of the particular schools, with one SGB also requesting a competency based test to be taken. She only attended one interview for each of the two schools, and was successful in the process on both attempts. This is the only one of the three participants that went through a structured interview process for the position of school principal.

5.6 (c)

Principal F was appointed as a HOD within four years of entering the education system, and promoted to deputy principal five years later. There was no formal preparation or training provided for the role, other than on-the-job training, observation and a degree of mentoring from the principals. Of the three participants, he was the longest serving deputy principal, being in that role for seven years, starting with an acting principal role in 1995 due to the untimely death of the current principal of the school.

The process of appointment to principal of that school involved the school committee, the forerunner of the SGB, reviewing candidates for the position and making the recommendation for appointment. There was no formal interview process, and he was informed of his appointment by WCED while he was still in the acting principal position in 1996. He has been serving in various capacities at that same school since joining the school in 1983.

5.7 The interview for appointment process

Of the three participants in this case study, only one had a formal interview process. Principal D is working for the WCED as a “fixer” at troubled schools and to mentor struggling principals, is familiar with the process that is described below: *The process of selection involves the collaboration between the WCED who is the employer and the SGB. The SGB develops the requirement for the position and the WCED places the advertisement of the vacancy based on those SGB requirements. The vetting process is managed by the WCED, who shortlist candidates that the interview panel of the school conducts interviews with. The interview panel consists of SGB members,*

a representative of the WCED who is typically a Circuit Manager and a member of the teacher union as an observer.

A scorecard is provided to the panel to be used for each candidate which is completed and compiled when all the candidates have been interviewed and the ranking order established based on those criteria. This compiled scorecard with associated motivations is then sent by the SGB to the WCED, where it is endorsed and rubber stamped by the employer, in this case the Head of Department, on behalf of WCED.

5.7 (a) ***Principal D*** was directly appointed by the DCA without any interview. ***Principal F*** was appointed by DCA after a review process by the school council while he was acting principal. The school council recommended that he be appointed, without any interview taking place.

5.7 (b) ***Principal E*** was appointed as a deputy principal, and while in that role, applied for a vacant principal position at another high school. The position was advertised internally on the WCED vacancy bulletin that is sent to all staff as positions become available. The details of the vacancy and advertisement are written by the SGB, which have to meet WCED criteria. These criteria are the general qualifications for the post as required, and then the SGB can include additional criteria as they see fit or as they perceive the needs of the school to be.

Each of her three interviews for principal posts were successful, and she was appointed to the posts by WCED on the recommendation of the SGB. Each process only had one interview, and she is not aware if any of the schools had conducted more than one interview with any of the other candidates for the post. In all the interviews she went to, the panel consisted of the SGB Chair, SGB Deputy Chair, SGB Treasurer, and two staff members of the school who served on the SGB. Also present were union representatives who only observed the process to ensure that the questions are fair and the process equitable.

When the interviews were concluded, she was notified later by WCED (generally within two months) that she had been appointed, and provided with an appointment letter to that effect. Only one of the SGB's requested that a competency based assessment be conducted, which they arranged for and received the results of. Once again, she is unaware of how many candidates this was arranged for, and she has never received feedback on the results of the assessment.

5.8 Non-Academic Functions

In South Africa, principals perform multiple tasks relating to leadership, management and governance of the schools they serve. These roles have been codified in the legislation, SASA (84 of 1996), and embedded in various regulations of the WCED. The principal role is expansive, which further highlights the importance of getting the process of preparation and selection correct.

The following tables drawn from the survey I conducted indicate the workload that WCED principals have to manage in schools.

Table 5k - In your role as Principal, how many Deputy Principals serve at your school?

0	17.1%
1	38%
2	38%
3 or more	7%

Source – Electronic Survey

Table 5l - In your role as Principal, how many staff serve on the Senior Management Team?

2	4.4%
3	10.1%
4	13.9%
5 or more	71.5%

Source – Electronic Survey

Table 5m - In your role as Principal, how many classes per week do you teach?

None	16.5%
1 – 5	51.3%
6 – 10	20.9%
More than 10	11.4%

Source – Electronic Survey

Table 5n – How many Senior Management Team meetings are convened at your school every month?

Less than one	1.9%
1 – 2	43%

3 – 4	36.7%
5 – 6	10.8%
7 – 8	1.9%
More than 8	5.7%

Source – Electronic Survey

What the Tables 5j – 5m indicate is that WCED principals have a high workload. Many are supported by a SMT of five or more and by at least one Deputy Principal. More than 40% of them have very few SMT meetings every month (Table 5n) and more than 80% of them still have teaching responsibilities to one degree or another. This raises the question of management training and leadership development further.

Table 5o - How many students attend the school where you are serving as Principal?

Less than 250	5.1%
250 – 500	13.9%
500 – 750	20.9%
750 -1000	22.2%
1000+	38.6%

Source – Electronic Survey

Furthermore, Table 5o illustrates that more than 75% of WCED principals are responsible for schools with more than 500 students, with more than 50% of these schools having more than 750 students. What is particularly noteworthy is that more than a third of principals are leading schools with over 1000 students. Taken collectively, there is evidence that many principals are overwhelmed in their roles, and are not adequately supported by WCED in their roles, neither are they adequately prepared in terms of training as shown in Table 5g.

In this study, there are two participants that cross over the transition period of the country that occurred in 1994 and one that came into the system shortly after. Principals D and F were appointed as principals before SASA (84 of 1996) became legislation and were therefore not familiar with SGBs before taking on the role. They had to learn to work with SGBs when they became the governance entity of the school in 1997. For Principal E, SGBs became part of the school very early on in her teaching career, so there was no adjustment to be made.

Principals D and F had to learn to work with SGBs from the very first time the SGBs were elected to serve in the governance role of the school. Having come from an authoritarian system, some adjustments had to be made in terms of the working relationship, as it was new to everyone. The legislation regarding roles and responsibilities was new, the regulations had not yet been written and fully understood, and the expectations were often different to the realities. These still had to be fully defined in practice, and in the meantime, schools still had to be led and managed.

As all the participants were working in township schools, in working class communities, the SGBs that were elected were not familiar with the workings of the education system, or school management, or governance. The SGBs relied heavily on advice and guidance from the principals. In the case of Principal E, where she was first principal, the surrounding community was on the lower rungs of the socio-economic ladder, with extensive unemployment. The SGBs elected at that school didn't know what their functions were, they didn't understand the role they had to play, and they were not trained by WCED on their roles. This is a particular area of concern as the relevant legislation provides for induction and ongoing training for incoming SGBs as stated in SASA Ch.3 (19) (1)(a)(b).

Other non-academic functions of the principals include working with the SGB and SMT on the day-to-day operational needs of the school, such as purchasing of consumables, managing the school property maintenance and security, managing the staff related human resources functions, and school finances.

5.8 (a) *Principal D* was emphatic about there being too many functions to be performed in the role, which was a distraction from ensuring the improvement of learner development and outcomes. He viewed all the administrative matters as being a distraction from ensuring the staff and student development goals were being monitored and achieved.

5.8 (b) When *Principal E* moved from the township school to the more affluent school, she found that the SGB believed that she worked for them, not the government. Although the SGB interviewed and recommended her for the position, the relationship was challenging, particularly with the treasurer. The second SGB she worked with after elections was more collaborative and this had a direct effect on school and staff performance. She noted that the new SGB stayed in the governance lane and out of

school leadership and management. At the school she is currently serving, which serves an upper middle-class community, she has a stable relationship with the SGB. This is an SGB with educated professionals, who are able to understand the role that they have and the framework within which they work.

5.8 (c)

Principal G regarded it as important for the SGB to trust the principal, but noted that it was also easy to manipulate the SGB as they did not have the full understanding of what school governance was. Consequently, there has to be a high degree of integrity and trust in the principal/SGB relationship, as there are many instances when irregularities occurred where this was not the case. He worked with several SGBs and maintained that a "solid" relationship with them is always beneficial to the school and the learners. He described a" solid" relationship as one that was honest and transparent, with respect and trust for each other.

5.9 Chapter Summary

The WCED interviews were initially conducted with four participants, however only three were reported as there were no substantive additions from the fourth participant. As the participants included both pre and post-1994 educators, it is evident that there are attempts to shift from an authoritarian system that existed to a more structured one.

Two of the participants are highly experienced, while not necessarily having the highest level of training. When the interviews were conducted in 2021, both of them were still with WCED, with Principal F retiring at the end of that year. Principal D is a "fixer" for WCED, helping to mentor weak principals or serving in an acting role at troubled schools. Both Principals D and F have never been interviewed for the position of principal, and served the majority of their careers at one school.

All three principals regard the level of support they get from WCED as sparse and largely ineffective in terms of training and development. Training is conducted via workshops that do not provide much depth, and do not really address the diverse practical realities in the schools across the province.

All three interviewees described that there are two distinct realities within the education system in the province, represented by the elite high fee paying schools and the poor and marginalised schools. Principal F has worked in both and has seen the

contrast in the performance of the schools and the learners. Principals working in the poorer schools have more to manage, and receive little support from the WCED with regard to staff and resources. This leads to instances where principals in schools serving the lower socio-economic areas are also required to teach, limiting their capacity to observe and develop staff. Table 5l demonstrates the number of principals that are teaching and how many classes per week their teaching load is. SGB functionality is also intermittent and the potential for manipulation is high.

The DCA regulation as described by Principal D and Principal F, that all degree holders be deployed to high schools, prejudiced the primary schools by having less qualified teachers in place during the foundation phases of learning. This had a knock-on effect when those learners entered high schools, as it appeared that they were simply moved on through the system in the pre-1994 era. The authoritarian nature of the old system also didn't really develop or prepare them for principalship, as it was largely by instruction of DCA and not in consultation with educators. Initiatives to develop leadership and management capacity were educator driven and independent from DCA.

When the system was unified and the WCED had been established, a new HOD was appointed who was very instrumental in staff development. The newly appointed HOD of WCED "established the CTLI in 2002 to provide in-depth, in-service teacher training, initially as the Cape Teaching and Learning Institute" (https://wcedonline.westerncape.gov.za). CTLI remains the primary source of ongoing learning and professional development for educators, and school leaders in the province.

All three WCED participants provided consistent responses during the interviews that SGBs in township schools rely heavily on the leadership of the principal, and that there was always a risk of manipulation of SGBs by principals.

One of the participants mentioned that it would be quite easy for principals to guide the governance function to amend policies that aligned with legislative requirements, staying within the legislative boundary's while also not necessarily being good policy. The lack of oversight from WCED is a particular concern, where it has become a "rubber stamp" in the words of one of the participants. Principal F's reference during the interview of the need for principals to have "high degrees of integrity and ethics" comes into sharper focus.

The involvement of SGBs in the selection process of principals is another concern, once again specifically in the lower socio-economic communities. The input from Principal D where he articulates “that you don’t have incompetent people measure competence” relates to this issue directly. There is in many cases a lack of understanding by SGBs of the legislation, system needs, financial responsibility and function among a myriad of challenges that SGBs have (Xaba, 2011).

Added to this the ability of educators to lobby SGBs in their favour does not often lead to the best candidate for principal being selected and appointed (Xaba, 2011:203). The same could be said in the higher echelons of the system with the elite schools, but for different reasons. The legislation in its current form within SASA (84 of 1996), EEA (78 of 98) and WCEA (71 of 97), that enables and supports this authority does not provide any measure for the employer (WCED) to override the recommendation of the SGB, however poor the candidate might be. Several court judgements have gone in favour of SGBs in recent years (www.fedsas.org.za)

Chapter 6 - Cross-Case Comparison and Analysis

6.1 Introduction

This chapter compares and analyses the cases presented in Chapters 4 and 5. It is prudent to understand and acknowledge the critical nature of the principal's role in schools and I refer to the following authors as a reminder of this:

> "Leadership has measurable effects on student learning, second only to the effects of the quality of the curriculum and teaching" (Leithwood & Rhiel, 2003:2)
>
> "Without competent principal schools may be ineffective and efforts at school improvement are unlikely to succeed." (Crawford, 2005: 214)

By using these statements as the basis for the analysis of the findings presented in the previous chapters, this analysis explores how principals are prepared, selected and appointed for the critical role they have to play in South African schools. Do the findings provide answers to the research questions I ask in Chapter 3?

There are several areas of interest between the Ontario and Western Cape cases, some stark contrasts, and significant differences in the approach to school leadership. The purpose is to understand where there are areas of alignment as well as where they diverge, what are the reasons behind these similarities and differences, and if there are opportunities to shift or change direction. This is no easy task as several factors come into play, most notably the legislation, as well as the involvement of external stakeholders in the process.

The processes that are involved include the preparation and selection phases which have distinct measurable and predetermined milestones along the educator career path. Principals are responsible for the overall management of schools in the Western Cape and represent the HOD for Education in that role. They serve on the Senior Management Team as well as on the School Governing Body. As a result, they have a unique role which is to participate in three spheres of the school, namely Leadership, Management and Governance. These areas become the focus of the analysis of the study, based on the findings presented in Chapter 4 and Chapter 5.

During the preliminary stages of this study, I met with a former senior official of WCED and a current school HOD, and with their permission I recorded those discussions. Their input into the governance related processes of selection, as well as

the preparation of educators towards principalship, are insightful and are included in this chapter to validate the accuracy of my findings.

Table 6a - Comparison of Ontario and Western Cape Public School Systems

	Ontario**	**Western Cape***
Population	14,570,000 (2019) (www.statscanada.ca)	7,000,000 est. 2020 (www.wikipedia.com)
Number of Schools	4833 **	1520 *
Number of Learners	2056059 **	1119778 *
Number of Teachers	130923 **	34974 *

source : ** www.ontario.ca * WCED Annual Report 2021-22

Table 6a provides an overview of the two provinces, where Ontario has approximately double the population of the Western Cape. The number of public education students in the province as a percentage of population is approximately 14% in Ontario and 16% in the Western Cape. However, 6.3% of the population in Ontario are educators, this compares to only 3.1% in the Western Cape. Ontario has 57% more schools based on number of students and the total ratio of teachers to students in the public school system is approximately 15:1 vs 32:1 in the Western Cape.

Table 6b - PDSB vs WCED Initial Teacher Qualification

	PDSB*	**WCED****
University Degree	Post Graduate Degree (Mandatory)	Undergraduate Degree or Teaching Diploma or Teaching Certificate
Teacher Qualification	Yes (2 years)	Yes (1 year) with Undergraduate Degree
Phase / Division Speciality	Yes	Yes
Professional Association Registration	Yes	Yes (since 1997)

Source: * www.oct.ca ** https://e-recruitment.westerncape.gov.za

Table 6b illustrates the entry level requirements for educators in each system. The PDSB system has a higher qualification threshold than WCED, with an Honours degree versus Bachelors degree as a prerequisite for entry to teacher training. Teacher qualification training is also one year longer in PDSB versus for WCED.

6.2 Preparation Phase

All educators begin their careers in the classroom. In Ontario, new educators can expect regular observations by school administrators and senior teachers for the first few months, which becomes less regular over the time, unless deficiencies are identified, which are then addressed by the principal with the educator. Remedial action, in the form of instructional coaching resources available from the PDSB, is taken to address the deficiencies and have them resolved.

All the PDSB participants either arrange for the VP to do observations or sit in on the classes themselves. They all considered this an essential part of their role to ensure that staff were performing well and to encourage that development as teachers. All new teachers are evaluated after one year and then every five years. Principals conduct the staff evaluations, occasionally along with the VP. The evaluation process is used to give the staff valuable feedback on their own performance, and also for the principals to highlight potential areas of opportunity for them as well.

The WCED participants provided their perspectives on the evaluation process. In 2003 the Integrated Quality Management System (IQMS) was introduced to set the standards against which educators could be measured (www.education.gov.za). Educators employed by the WCED are evaluated using the IQMS process, which are reviewed by the Principal or an HOD of the school on a schedule. Principal D referred to this as a paper exercise, and it was similarly acknowledged by the other two principals. In schools that are poorly resourced, and where principals are also classroom teachers, this process is not effective in practice across all schools.

All the WCED participants had experience working in multiple schools, particularly in the lower socio-economic areas. They confirmed that school principals are teaching classes as they did themselves, as additional staff may not be available, and they have to manage the educator resources they have from WCED. All the WCED principals often have to be creative with the staff and utilise them to teach classes outside of their speciality. Principal F provided an example that he assigned

the geography teacher to also teach Afrikaans as that was that educator's home and first language.

6.3 Selection to Vice Principal/ Deputy Principal

6.3.1 PDSB Process

The PDSB is guided by the Ontario College of Teachers requirements for Principals, which are applicable to all school boards in the province. There are clearly defined qualifications and courses that are mandatory for consideration for positions. These Additional Qualifications are available province wide through several universities offering a standardised curriculum developed by the OCT.

Completion of the AQs does not automatically ensure that the threshold has been met, or that interviews will be offered. The process requires motivation and support from a superintendent and the educator's principal mentor. The application pack is vetted by the board staff and if the applicant has demonstrated the appropriate skills and qualities, will be offered an interview for VP.

This process is managed by the PDSB, and is measured against specific and deliberate criteria, not only on the theoretical knowledge and qualifications, but based on demonstrable leadership and management capacity and performance. Ontario Leadership Framework requirements set the benchmarks for leadership, within schools and within school systems. The recognition that schools are not independent of the education system, and serve not only the students at that school, but a broader social need, ensures that school leadership meets a high threshold to enable those societal deliverables.

6.3.2 WCED Process

The path to deputy principal in the WCED is based on two processes. The criteria or standard that needs to be met for aspiring deputy principals are a combination of the criteria that the SGB establishes and advertises for the position, and the WCED that ensures the minimum qualification requirements are met.

Additional training is recommended but not required; leadership skills are recommended but not required; administrative experience is recommended but not required. The SGB determines the qualities that they believe to be suited to the specific school, and provide the advertisement to the WCED to post on its internal vacancy bulletin. The SGB can also advertise the vacancy on any other platform they choose. WCED will screen all applicants according to the requirements, but will send

all the applications to the SGB for shortlisting.

A resource officer from the WCED, typically a circuit manager, is provided to assist the SGB with the design of the rubric for shortlisting, which must meet the WCED equity plan. The shortlisted candidates are interviewed using a different rubric which is collated by the WCED official, but completed by the SGB. The recommendation of the SGB is forwarded to the WCED HOD for formal approval and appointment. The involvement of the SGB in this process is described in the Chapter 3 of SASA (84 of 1996). Having this process driven by the SGB, which serves a narrow slice of society, in a limited capacity and thus serving a narrow interest, to select and appoint critical leadership personnel is legitimate legislatively, but concerning in the broader education system context.

The appointment to deputy principal can be acknowledged as a deliberate step by educators from the classroom towards school leadership. There is a clear contrast between the two provincial processes. On the one hand Ontario has clearly delineated initial eligibility requirements based on additional specialist level qualifications which must be supported by measured and distinct leadership development, and evaluated by education personnel (www.principals.ca). In contrast the Western Cape has a less distinct pathway that meets the minimum requirements of qualifications. Although additional training is recommended, it is not required of appointees. The final decision is influenced by the SGB, a body that has few educators, (SASA Ch. 3), and recommend who is to be employed by the provincial education department (the WCED).

6.4 Selection to Principal

6.4.1 PDSB Process

The PDSB respondents highlighted the selection process for school principals as only being available to current serving VPs within their school system. To apply VPs need to have already met the underlying criteria for the post qualifications. The appointment to VP also includes the assignment of a mentor principal to provide guidance and support to the VP during that phase of their career.

The enhanced leadership roles as VP, in conjunction with working with a dedicated mentor, and regular interactions with the superintendent, become part of the profile of eligibility for advancement towards the principalship. Should a principal vacancy become available, interested VPs are able to apply for the position, with the

endorsement of their mentor and the superintendent.

The PDSB explained the principal interview process, which is once again conducted by the board. This process is similarly led and managed by educators and board leadership, to assess the VPs for promotion. Similarly, this process is guided by the OLF, and in line with the "system needs", in order to find and place the best possible candidate for the position. Even though the board will fill the vacancy, those candidates that were interviewed and considered to have met the requirements, will become part of the principal pool for the board when other vacancies become available that are more suited to the unsuccessful candidates' skill sets. This includes acting principal posts that are available from time to time for medical or other reasons.

6.4.2 WCED Process

In the WCED, the process follows a similar pattern as for deputy posts, in that there are a few mandatory requirements, and several recommended optional requirements. The applications are open to any educator with a valid SACE registration and seven years teaching experience (GG,18 March 2016). These minimum criteria could be supported by leadership roles, optional additional training and administrative experience, all of which are recommended. It is also within the responsibilities of the SGB to develop the additional qualities that they seek in the applicants, again guided by the WCED's resource and equity plans. The shortlisting and the interviews are conducted by the school, which results in a recommendation from the SGB to the WCED which makes the final decision.

Since 2018, the WCED has implemented a competency-based assessment for the recommended candidates to provide another layer of quality assurance to the process. It is unclear what standards are applied in this competency-based assessment, as it happens after the interview phase is complete and the SGB has already made a recommendation. Principal E, who has applied successfully at two schools since 2018 indicated that she was required to do a competency test, before being appointed by the first school in 2018, but this competency test was requested and paid for by the SGB. The school she subsequently applied to in 2021 did not request one, and neither did the WCED before appointment.

The eligibility criteria for principalship between the two systems differ significantly. In Ontario, eligibility is limited to VPs, who have already met the OLF and OCT requirements for principalship. The less stringent requirements for WCED principals, coupled with the involvement of the SGB in this critical selection process,

highlight the difference between the two processes (GG, 18 March 2016). The PDSB process, which is guided by school and system needs, versus the interests of the individual schools within the WCED system.

Both Ontario and the Western Cape have diverse populations, across several demographics. By understanding and embracing the diversity, the PDSB is able to develop principals with the appropriate skill sets and sensitivity to engage with key areas within all the schools in the system. This is because the process is guided firstly by the needs of the board and the population the school system serves.

School governance has been identified as an area of weakness in many areas for many reasons (Xaba, 2011:201). Official A related that the SGB influence process depends on the strength and quality of the SGB. This may create several areas of concern, and while the official acknowledges that the SGBs have legitimate authority to be involved with the selection process of educators as provided in SASA (84 of 1996), he wondered if SGBs should have such authority.

Schools do not exist in a vacuum; neither should they serve narrow interests. Schools form part of addressing a broader societal need, and serve the public interest, which plays a role in the establishing and maintaining social cohesion (Allen & Mintrom, 2010:442). Therefore, an argument can be made that the process of installing school leaders is not a process that ought to be placed under the responsibility of governors who do not view the school as part of the broader system, but rather as instruments to serve the narrower interests of SGBs.

As Principal D stated "there are two distinct realities in education within the Western Cape", which are manifested in schools which are well funded, and schools which are not. They would also be applicable nationally. They play a significant role in the student and school performance as well funded schools are able to supplement the teaching staff established by the WCED, with SGB funded posts. Principal E, who had worked in both underfunded and well-funded schools stated that this allows the principal to function differently, by freeing up their time from the classroom to focus on staff and student development as well as other school improvement activities. The majority of the schools are unable to supplement their staff establishment in this way, and as a result, principals and deputy principals often have a substantial responsibility of classroom teaching as well (Table 5m, pg95), which denies them the time to function in other capacities of staff and student development.

6.5 Leadership

When principals are appointed, they assume a role that is of immense importance for the school and the learners and the trajectory that they are on. The effects of the principal are described in the Ontario Leadership Framework as "pivotal to the development of excellent teaching, excellent schools and ultimately, enhanced student achievement and well-being" (www.education-leadership-training.ca). The OLF makes mention of the concept of leadership within schools and systems, making it clear that schools are not insular stand-alone entities, but form part of the education ecosystem. The provision of capable leadership is therefore understood to be a system benefit, that is addressed via the 259 schools which form part of that system (www.peelschools.org).

Table 6c - Additional Training Required towards Principalship

	Ontario*	Western Cape**
Additional Qualification 1	Specialist Level	Optional/Recommended
Additional Qualification 2	Specialist Level	Optional/Recommended
Principal Specific Training	Yes - PQP1 and PQP 2	Optional/Recommended
Post Graduate Level Qualifications	Masters in Lieu of 2 AQs	Optional/Recommended
Teaching Experience	Minimum 5 years	Minimum 7 years
Leadership Experience	Demonstrated Leadership Portfolio of recent 5 years	Recommended
Other	Leadership Practicum	NA

Source: * www.principals.ca ** https://e-recruitment.westerncape.gov.za

Table 6c illustrates side-by-side the minimum requirements for principalship between the two systems.

Principal B discussed the mechanism used to develop leadership during the AQ process - the first two levels are more focused on teaching methodology, pedagogical practices and classroom management. At the third or specialist level the focus shifts to system leadership, adding a new dimension to the training. This shift in the focus is by design, to move the mindset of the educator out of the classroom and to look at the broader system wide processes.

School leaders are seen as potential system leaders within the OLF, and therefore it becomes imperative to develop the necessary skills and integrate them into the requirements for school leadership up front. The process therefore becomes more objective, with clear milestones and steps along the way. By taking this approach towards leadership development, this process continually reinforces the concept that schools serve to advance system needs and principals become part of that system-

wide fabric. For this reason, the decision-making body for the appointment of school leadership is the school board, by superintendents and system leaders, without the involvement of the trustees.

Trustees are part of the interview panel, but do not make recommendations on the appointment of principals as it was considered to be potentially discriminatory. Elected officials perform a governance function and serve a different purpose and constituency, as they have a different mandate and interests. This creates a distinct separation between leadership and governance in education, with each responsible for their own function and responsibility.

In the Western Cape, the decision making body for the appointment of school leadership is not unitary, as the process involves two separate entities, the SGB of the school and the WCED. Legislatively, the SASA (84 of 1996) and EEA (78 of 1998) has provided the SGBs with the responsibility of "recommending" the appointment of educators and non-educators to the HOD of WCED as described in SASA Ch. 3 (20) (i-j) and EEA Ch.(3)(a). The decision making process has now devolved down to the individual school level, where the SGBs serve, and not at the system level which WCED is responsible for.

This legislative authority thus merges the two functions of leadership and governance together as it relates to the appointment of educators, including the school principal. The elected school governors control the process and determine the requirements for the principal position based on the needs of the school. As long as the SGB remains within the guidelines of the WCED equity plan, and the minimum requirements for the position as determined by WCED are met, they have the authority to specify the qualities of the principal for that school. The WCED manages the vetting process, and competency-based assessment for the SGB, while the interview process and final recommendation comes from the SGB.

With the challenges that many SGBs have with the necessary capacity and knowledge as well as limited understanding of the broader education system, the risk is thus high that the best candidate is not recommended for appointment. Xaba (2011) highlights several weaknesses that exist within SGBs, such as lack of capacity, education, knowledge of systems and operations, among others, and it is within this context of weakness that the participation of SGBs in the process of principal selection and recommendation, is fundamentally different from the position taken in Ontario.

6.6 Mentoring

Mentoring of educators is regarded as one of the best developmental instruments available. “Throughout history, mentors have played a significant role in teaching, inducting and developing the skills and talents of others” (Hansford *et al*, 2004:4). This quote highlights the importance of mentoring and the benefits that are derived from its use.

This study reveals that the PDSB has embraced mentoring as part of the development processes, not only of principals, but of all educators in their system. The mentoring relationship on the pathway from classroom to administration in the PDSB is both informal and formal in structure. The informal mentoring relationship creates the opportunity for additional support, guidance and leadership responsibility. This is where the initial stimulus would be generated for the educator to consider the move towards administration.

(a) PDSB

All the PDSB participants reflected on this informal mentoring process positively, and how it helped in shaping their careers towards administration. An important aspect to understand in the informal mentoring relationship process, is that both the mentor and the mentee are engaged in the process. The mentor has to be willing to provide the time and the guidance, and the mentee has to be willing to accept that guidance. In the PDSB, the mentor becomes the champion of the educator, making the appropriate opportunities available to those who demonstrate that willingness to take them. Principal-mentors also monitor the progress of the mentees, guiding and facilitating the process, with specific thresholds that need to be met.

Once the educator has developed an appropriate level of competence and capacity, as well as the required AQs, the mentor arranges for an informal meeting with the superintendent to discuss the process of further progression, and to provide additional input should it be necessary. This is quite a deliberate process, because when the decision is made to move to administration, the application pack needs to include the full scope of demonstrated leadership qualities and skills. The application also contains a motivation from the mentor principal and the superintendent, that they believe the educator is suitable for the role of school administrator.

The PDSB participants admitted that the importance of the motivation of the principal and superintendent cannot be understated. By providing the letter of motivation, the mentor is linked inextricably to the career development of the educator,

which includes a significant degree of trust in their capabilities. When the selection process is completed and the educator has been appointed to VP, a formal mentor is assigned to work with that candidate, for the next phase towards principalship. This formal mentoring is much more structured and carefully monitored to deliver specific areas of leadership, to develop in key areas, and to grow into the administration role.

(b) WCED

The WCED participants all expressed a different position on mentorship, as most did not have much exposure to it, and certainly not in any formal mentor/mentee relationship structure. Several reasons for this were provided by the participants. At the time Principals D and F entered education, which was during the student protests and turbulence in the late 1970's, the priorities of the school leadership were different and limited staff development opportunities existed. They had to navigate the situation unfolding around them as best they could under those circumstances, without much leadership or guidance from their principals.

However, they did have opportunities to observe the leadership in action, for the good and the bad, during those days. Principals D and F were also introduced to leadership roles without any formal preparation for them, and they had to "figure things out". Principal F said that he learned a lot from his principal, mostly by observation as there was not even an informal mentoring relationship. The conservative nature of the principal, coupled with the strict discipline and rules at the time, did not provide an environment for engagement in matters of leadership.

While Principal E entered into education after the 1994 transition, her experience with mentorship is also negatively charged. During the first five years of her career the schools were poorly led and managed, and she received very little support from the school leadership. "Just get the job done, and teach", was the prevailing position throughout the schools she worked in. When she was appointed as a deputy principal, without any training, she was soon dropped in the acting principal role as the principal was under investigation for financial mis-management.

In her case there was no mentoring relationship of any sort within the school leadership of the schools she was deployed to. She found it daunting to be in an acting principal role without fully understanding the role, nor being adequately prepared for it. She was then redeployed to a deputy principal post at another school that had considerable challenges as it served a very poor community, was overcrowded and poorly staffed. Staff turnover was high, student discipline was problematic, and she

described the experience as being a “firefighter going from one emergency to the next”. Staff development was non-existent, and once again there was no possibility of any mentoring, formal or informal.

All the WCED participants indicated that when they began their roles of principals, they made efforts to engage with their staff differently. There were a few reasons for this. Firstly, they understood that they lacked that guidance and support, and wished to ensure it was available to others. Secondly, the stability of the school environment made it possible for Principals D and F to provide a degree of leadership and support. Principal E found that she has been able to engage in more supportive and mentoring roles now that she is at a better funded school, with access to more resources which frees up her time to provide better leadership and management.

There was universal acknowledgement that mentoring would have been beneficial to them in their preparation for the role of principal. This acknowledgement was tempered by the reality that they were also forced to develop the necessary leadership skills that were more relevant to the situations they were forced to engage with at the time. Currently, Principal D has been serving in a mentoring capacity for principals in his role as “fixer” for WCED, by assisting principals who are having difficulty with the demands of the role.

The importance of mentoring has been recognised, as have the benefits of the formal and informal structures of those relationships. While the PDSB has been able to embrace the importance of mentorship as an instrument for the development of their school and system leadership for some time, the WCED has not yet been able to fully utilise the benefits. The various reasons for this will need to be explored in a different study.

6.7 Management

The management responsibilities of principals are quite similar in many areas, but these are also key differences between PDSB principals and WCED principals.

Table 6d – PDSB Principals Responsibilities

PDSB Principal responsibilities*
Each principal is responsible for: ● determining the organisation of the school and ensuring ongoing maintenance of the school buildings

- administering the school's budget
- student admission and placement
- maintaining student records
- ensuring report cards are sent to parents
- developing a school safe arrival program with the help of the school council, parents, and the community (elementary schools)
- ensuring student supervision and school discipline
- assigning teachers to classes and assisting and supervising them
- making recommendations to the school board on the appointment, promotion, demotion and dismissal of teachers
- selecting textbooks and other learning materials from the approved Ministry of Education list, with the help of teachers

Source * www.ontario.ca

Tables 6d and 6e provides a list of the responsibilities that form part of the job description of the principals in both school systems The WCED list is a selective list of the multitude of responsibilities that rest with the principal. It is notable that the list includes a number of responsibilities that PDSB principals do not have, or functions they are not required to perform as principals.

(a) PDSB

PDSB principals are primarily responsible for the academic performance of the school, in relation to the interaction of the teachers with the learners. While the overall responsibility for the school and operational needs are within the broader scope of the principal, there are a number of functions that have been delegated to others. The management of the building and the grounds form part of the infrastructure that supports the academic function, but is a delegated function. Budgetary management is limited to what has been predetermined by the board, with constraints on suppliers and from specific allocations referred to as envelopes.

All the responsibilities listed for Ontario principals are in line with the training and preparation they have received enroute to the principalship. Based on the interviews with the PDSB participants, there are a few areas that, while in their scope, are managed elsewhere by professionals employed by the board.

Building infrastructure is a board level responsibility that is managed by the custodial staff at the school, who liaise directly with the board officials responsible for maintenance issues. They dispatch the appropriate contractors to address the matter. Teaching is not a requirement for school administrators in the PDSB, as their responsibility is to provide guidance and to develop staff. School-based decisions are

guided by the analysis of data, and the evaluation of staff and student performance. They are also able to call on board resources to respond to areas of concern for both staff and students.

The PDSB participants agreed that being relieved of non-academic functions freed up their time to facilitate better engagements with their staff, which improved their performance, and helped to identify training needs to address any shortcomings. Principal A, added that the high school he served, with subject specific teachers and a bigger staff, relied on the VPs and HODs to provide the high level feedback required for him to make decisions.

The PDSB school family identified earlier is one more mechanism that is utilised to fully understand how principals manage inside a system. Regular meetings among the school family principals with the superintendent to discuss training and development needs that benefit the school family, not only the individual school. The inclusion of the high schools in the family is important as they are able to identify weak spots and address learner needs much earlier. The principals are thus part of not only the school management process, but become part of the system level management within PDSB.

(c) WCED

Table 6e – WCED Principals Responsibilities

WCED Principal Responsibilities **
To ensure that the school is managed satisfactorily and in compliance with applicable legislation, regulations and personnel administration measures as prescribed; including but not limited to: ● General Administrative ○ Professional Management of the school ● Personnel ○ To provide professional leadership ○ To develop staff ● Academic Performance of the school ○ To develop school improvement plan ○ To submit school improvement plan to SGB ● Teaching ○ To engage in teaching ○ To be a class teacher if required ○ To maintain student records ● Extra-Curricula ○ To serve on committee ○ To promote extracurricular activities ● Interaction with Stakeholders ○ SGB ● Community Activities

- Communication
  - with department and staff

** https://wcedonline.westerncape.gov.za

Conversely, the WCED principals' managerial responsibilities are substantially more complex. While the list in Table 6d above is not exhaustive, it highlights the wide range of responsibilities that lie within the scope of WCED principals. The broad scope of these functions includes many that are beyond their training and development. The devolution of these functions from the organisational level to the individual school principal limits their capacity to function optimally. The reality that principals must manage this array of non-academic functions, without the required degree of relevant training, should be a serious cause for concern.

While principals are supported by the Senior Management Team (SMT), in terms of overall responsibility, many of those SMT members are similarly poorly equipped with respect to management training. Principals D and E stated that much of the training that is offered within the WCED system remains largely workshop based, and is not considered particularly effective. Principal F encouraged his staff to attend the workshops as he viewed any opportunity for training would have a degree of benefit for his staff. Although steps have been taken to address this shortcoming, the requirements for senior roles within the WCED have been set at a low level, and training is not a prerequisite for advancement.

Principal D described the workshops as “paper exercises”, while Principal E viewed them as “largely irrelevant” and Principal F considered “all learning to be of some value” while admitting that it was WCED “checking boxes”. Table 5f illustrates responses from among the current principals within WCED, the areas where there is a need for management training, which may also be correlated to the SMT members. Part of the challenge that exists is also that well-funded schools are able to supplement their staff, which permits the principal to delegate more functions and be less involved in teaching. Principal E highlighted that the time available to principals in well-funded schools permits them to be more involved with staff and student development, and allows them to give more time to planning and school improvement.

On the surface, there would appear to be several functions and responsibilities that are well aligned between PDSB and WCDED principals, but it is clear that each

system expects their principals to engage with those functions in markedly different ways.

6.8 Training & Development

The interviews conducted with the principals in both systems revealed that the approaches to the training of educators have significant differences. The evidence of this is illustrated in the initial entry requirements for educators between the two systems in Table 6b, as well as the training requirements for principals in Table 6c. The Ontario system sets a higher benchmark in both respects, particularly with regard to the pathway to principalship.

The importance of the principal's role in schools has been demonstrated to be of critical importance to the performance of students and the staff who teach them (Leithwood, 2012). Understanding this concept is universally accepted and acknowledged, which has led to the adoption of specific training for principals in many country's (Bush & Jackson, 2002). However, there is a difference between acknowledging the importance of training, and the implementation of training programmes.

While the PDSB staff are higher qualified before entry to the teachers college, they also spend two years being trained as educators. In both instances, the WCED entry requirements to teacher training is lower, and one year shorter in the teacher training programme. Principal A describes the development of new teachers as structured and measured, regularly being observed by VP and Principals, with specific milestones to be met. Principal E articulated that it was often challenging to do any development, or regular observation due to time constraints, and there was a heavy reliance on self-assessment.

There is mandatory training for PDSB principals, which has eligibility requirements for admission. This training is also done in person, over a period of time with two parts that includes a leadership practicum (see Table 6c). The training is also aligned with the responsibilities assigned to them within the PDSB (see Table 6d). While training for principals is available in WCED, this training is only recommended, not required. The development of PDSB candidates that successfully complete the PQP is supported by assigned mentors, who guide and shape the development process. The interviews with WCED participants indicated that mentorship has been

recognised as being important, however there is little evidence that it has been implemented.

There is a clear distinction in the two systems between (a) the training and development approach to school leadership, (b) the provision of relevant and appropriate training, and (c) the process of principal development.

6.9 Principals Workload

One particularly interesting area of divergence between the two systems was in the workload the respective system principals were expected to perform. For the PDSB principals, there are distinct functions that have been delegated to others, while they still retain an oversight capacity. These functions include facilities management, procurement, financial management, and human resource management. While involved in these school functions, they have limited scope as much of the responsibility is with the board and the specific professionals they employ.

The PDSB participants provided the following as examples. The physical school is the responsibility of the principal, but the management of maintenance lies with the custodial staff. The custodial staff liaise with the board infrastructure department directly, keeping the principal informed of any maintenance related issues and resolution. Additionally, PDSB principals have limited Finance, HR and Procurement functions, as these are managed at school board level.

This workload contrasts with WCED principals who have a high level of involvement in these operational functions as Table 6d illustrates. Viewing this from the perspective that many are not fully trained to perform these functions, or have the required degree of support from WCED (see Tables 5g - 5h, pg#), these functions cannot be expected to be performed optimally. The burden that lies on the shoulders of WCED principals, raised further questions around training and development of principals, or the lack thereof.

6.10 Governance

School governance is another area where principals in both systems have to navigate effectively, but once again in different ways. The responsibility of providing governance for education are provincial competencies in both Ontario and the Western Cape. Each province has their own legislation that provides the guidelines for school governance. In Ontario, the governance function is managed through the

school boards, via the elected trustees and board officials. In the Western Cape, the governance function is managed by the individual school's governing body, elected from the parents and educators at the school, with the principal *ex officio* representing the HOD of education (see Table 6e).

Table 6f - Provincial School Governance

	Ontario School System*	**Western Cape School System****
National Legislation	No	Yes
Provincial Legislation	Yes	Yes
Elected Representation	Yes - elected during municipal election process	Yes - elected via school parent process
Term Served	4 years	3 years
Constituency Served	Municipal Ward	School Parents and Educators
Training provided	Yes - Mandatory	Yes – Voluntary

Sources: *www.opsba.org **SASA (84 of n1996) Ch.3. 28

It is immediately apparent that the approach to governance between the two systems varies considerably (see Table 6e). In Ontario the Education Minister requires the election of school trustees to serve on school boards, which are geographically allocated. In the Western Cape, the governance functions are at the school level, as legislated by SASA (84 of 1996) and WCEA (71 of 1997). The establishment of school level governance was provided to ensure that there was a third tier of democratisation at the local level, specifically at the schools (Woolman & Fleisch, 2009:48). The intention was that this localised individual school approach would provide for the parents to participate in the decision-making process of schools their children attended (Moloi, 2007)

It has been argued that schools serve a broad social function, to provide spaces for tolerance and diversity within communities and contribute to social cohesion for the overall benefit of society (Rhiel, 2000). The Ontario approach of elected trustees representing communities at school board level, supports that position. Trustees are elected during the municipal elections, in a municipal ward, and serve a term of four years. DBE SGB members are elected by parents at the school for a period of three years. The representation of the two bodies are vastly different, one being in a societal

context, serving the broader interests, and the other within the school context and serving narrower interests.

Ontario school trustees are provided with detailed compulsory training on the provincial legislation, meeting procedures, legal responsibilities and liabilities, education funding mechanisms and student well-being among others. They are required to sign a code of conduct and are bound to the legislative requirements of public servants (www.opbsa.org). While the WCED is responsible to allocate funds for SGB training, and to conduct this training, the attendance of the training is voluntary (Xaba, 2011).

How principals engage with the elected governors/trustees is also significantly different between the two systems. PDSB principals are not members of the school boards, but do meet with the trustee representing the ward regularly to discuss school needs and performance. The PDSB principals regularly attend meetings with the trustees and the community to engage in areas of cooperation, collaboration and concern. The principals indicated that trustees often visit the schools within their wards should they need to do so, and that they can attend school board meetings to make representations to them.

WCED principals are members of the SGB, have to provide guidance to them in terms of legislation and policy, and submit the school academic improvement plan to the SGB annually (Government Gazette, 18 March 2016). The integration of the principal into the SGB, which is also the body that makes recommendations for educator posts, is another aspect of the critical roles that the WCED principals perform. School level governance must comply with existing legislation and policy set nationally and provincially, but SGBs have a wide latitude within those legislative guidelines (SASA 84 of 1996, Ch3. S20). For example, SGBs can determine the subject choices, and admission criteria for the school, code of conduct language policy to name a few (SASA 84 of 1996, Ch3, S21).

Within the WCED public system, there are 1520 individual schools that determine subject choices, admission criteria, codes of conduct and language policies within a school system that serves a public need. This demonstrates that the public school system cannot adequately address the broader issue of social cohesion, and provides limited benefit and understanding of the broader community, as each school serves the narrow interest of a small individual school-based constituency. This issue

illustrates one of the largest divergences between the two school systems and the principals engagement therein.

The roles that principals play within the school governance framework, the legislative responsibilities of the school governors, the constituents they serve and the interests they protect and promote occur either in a broad societal context, or in a narrow individual context. Public school systems serve the needs and interests of society by the advancement of social cohesion, and therefore must be seen within that broad societal context (Allen & Mintrom, 2014)

6.11 Chapter Summary

This chapter details the areas of convergence and divergence in the roles of principals within each of the systems of this study. In both cases, there is evidence that there are policies to guide the process, and detail the responsibilities and performance criteria for principals. The application and interpretation of those policies are significantly different between the two systems.

In this chapter it becomes clear that each system approaches the preparation, selection, appointment and support of the principals in significantly different ways. The functions and responsibilities between the two are similar, in the theory, but not borne out in the practical sense.

The degree of responsibility that each system assigns to their principals is noteworthy, particularly regarding non-academic functions and how they are managed. There is also recognition that principals ought to be trained and developed, and that the training needs to match the roles they are expected to perform in the workplace. In addition to the required training, principals need to continuously develop their competencies and capacity to perform their required roles within the practical context.

The lack of proper structures, the influence of legislation, the role of governors and disparity in resources all affect how WCED principals perform their roles versus the PDSB counterparts.

Chapter 7 – Conclusion and Recommendations

7.1 Introduction

The South African education system is one that continues to face numerous challenges, which include infrastructure disparities between provinces, and within provinces as a result of the pre-1994 legacy. The lack of investment not only in infrastructure, but also in the training and development of educators and school leadership remain within the fabric of the system today (Wolhutter, 2010).

In addition to an appropriate curriculum and the educators required to empower learners effectively, school leadership has been widely accepted and understood to be critical to the success of learners (Leithwood & Rhiel, 2003). The development of effective school leadership is one area that can be addressed through relevant training, well designed development processes and administrative support (Bush & Jackson, 2002).

As schools are clearly and demonstrably organisations that have operational functions, they require effective leadership. While the social and economic context of each school may differ, the nature of the core operational functions and activities do not, and thus it becomes imperative that the appropriate skills are available to perform them. In conjunction with those skills, the leadership and management capacity requires support and resources to apply their skills effectively and efficiently.

This thesis has explored the process of preparing educators in two education systems for principalship, along career paths that begin in the classroom and proceed to the school leadership. What emerged from the study and what has been presented in the findings, and the analysis of those findings, clearly illustrates that the development of school leadership competencies in South Africa can benefit significantly by learning from systems and practices that have evolved in other contexts.

This study was specifically framed around the process and structures that lead to the preparation, selection and support of principals, and sought to answer the following questions:

A. How are principals prepared for the positions that they are entrusted with?
B. What training is provided to principals or aspiring principals in order to develop their operational school management competencies?

C. How could educators be trained to manage various operations in schools more effectively?
D. How are school principals selected or appointed?

The previous chapter provided an analysis of the findings of the Ontario model in Chapter 4 and the Western Cape model in Chapter 5. The summation of that analysis will be highlighted here in relation to these four sub questions.

7.2 Principal Preparation

There have been several attempts to install a formal training programme for South African school principals dating as far back as the early 1970's, although it was initially aimed at white principals employed in the Department of Education. In addition, there have been countless policy documents, white papers, drafts of white papers and ongoing discussions around the subject, which all resulted in the same outcome, as the question shifted from "whether to train principals" to "how to train principals" (Van Der Westhuizen & Van Vuuren, 2007).

After the ACE-SML training programme was developed for principals, and piloted for two years, it was subsequently stopped. A national standard for principalship was formulated and adopted in 2016 with a low threshold of qualifications required (see Table 5e, pg81). There have been other attempts to provide the necessary training, such as the establishment of a training centre by WCED in 2001, not only for principals, but for all educators.

WCED school leadership programmes are not mandatory (see Table 6c, pg108), or structured and delivered as a prerequisite for appointment to the position of principal. The Ontario system has this structure in place, with a staged progression towards principalship, that is easily measured and objective. This process is guided by a policy document, the OLF, with a curriculum developed with the professional body for educators, the OCT.

As the survey results in Table 5g (pg88) suggest there is clearly a training deficiency in the preparation process that WCED principals are expected or required to follow. This deficiency in the training is also in key performance areas of responsibility principals have, as per the SASP guidelines (Table 6d, pg112).

7.2.1 Implications

The evidence presented suggests that the initial training of educators in Ontario is of a higher standard than for the Western Cape. Additionally, the entry criteria to teacher's college and the duration of the teachers programme lends itself to better prepared teachers entering the system in Ontario. The teacher preparation process and the subsequent hiring process is also robust, and many teachers first have to work in temporary positions before being hired full time. This process also acts as an additional screening mechanism, as these temporary posts will be conducted under close observation of seasoned teachers or school administrators.

WCED teachers are not as well supported in the early stages of their careers, as many schools are under-resourced as indicated by the participants. The WCED participants also indicated that the time for observation of new teachers is limited, due to their workload, and this is often delegated, but not always followed up on. The IQMS is an example of a working policy that is largely based on self-evaluation and largely fall into the category of "ticking boxes", as per Principal D.

7.2.2 Recommendations for WCED

Observation of new teachers is critical to their development during the early stages of their teaching careers. As Table 5b (pg77) shows, educators have potentially long careers, and the entry point is where these educators can be nurtured and developed to become future school leaders. The application additional support resources to schools will be beneficial to making principals available to do critical observation of educator staff, which will have long term benefit to the system.

7.3 Training & Development

The interviews with the WCED principals revealed that training was sporadically available, but of little practical value to them. All of them indicated that the WCED was merely "checking boxes", that the focus of the training was on the wrong areas, and the format of the training using workshop models was of little value. Through CTLI, WCED established a number of courses that aim to close the gap and provide more relevant content (https://www.wcedctli.co.za). However, having failed to pass legislation that makes the programmes mandatory for the position, there is little motivation for aspiring principals to attend or complete this training.

Additionally, the provision and accessibility to training is only one part of the puzzle, it must be conjoined with comprehensive course material that is relevant and addresses the current education environment. The WCED participants did not have much positive feedback on the training overall, but it was particularly poor when the relevance of the material was raised. This once again contrasts significantly the feedback from the PDSB participants, who identified the relevance and value of the training, and could directly relate the course material to their work.

Training on its own does not ensure competency, nor does it develop proficiency. Training needs to be complemented with structured processes to develop the training programme into proficient practices, which need to be supported through appropriate mentoring programmes.

The findings and comparison demonstrate that application of the theory in the appropriate context and with the appropriate level of support is necessary for the development of school leadership to take place. This was revealed during the interviews with the PDSB principals and the structured and supported development programmes followed during their careers. Mentoring is also an essential part of this process, and one that while recognised in importance still remains as not yet fully embraced within WCED. Mentoring has been described as part of the professional development of educators, which subsequently leads to growth and advancement of their careers (Msila, 2012). As many principals within the WCED carry extensive workloads, and 80% still teach classes (Table 5m, pg. 95) it is evident that there is limited time available for mentoring.

The WCED participants were also clear that mentoring was not available to them formally or informally during their careers. The interviews revealed that they were left to “figure it out”, “thrown into the deep end”, “learn as you go along”, essentially by trial and error. The participants did benefit from these experiences, as they acknowledged the importance of mentoring, although they had not been beneficiaries of it themselves. They have made efforts to provide a degree of informal mentoring to their staff, as time and opportunity permits.

The PDSB approach is one of structured formal mentoring by means of an assigned mentor. The need to demonstrate leadership capacity before the interview process is part of the eligibility requirement., The mentor that is assigned is one who can provide the mentee with the required additional tools and skills to become effective in the principalship role.

Table 6e (pg115) provides details of the many responsibilities that are fully within the scope of WCED principals, which are beyond their initial training as educators. Even the ACE-SML course outline provided in Table 5f does not provide clear evidence that all those assigned responsibilities have been adequately addressed in the training provided. It was noteworthy that two of the participants gave the ACE-SML a low grading in terms of usefulness and relevance, because the focus was more on management instead of leadership.

7.3.1 Implications

The role of WCED principals are highly encumbered with many responsibilities that they are not fully or adequately prepared for. While well-funded schools are able to supplement staff, and in some cases employ professionals to manage some functions, this is not the norm or possible in the vast majority of schools. The high workload (see section 5.8 pg 95) and large degree of expectations and responsibilities as detailed in Table 6e (pg115) illustrates that many principals are overwhelmed and are not able to be optimally functioning in their role. This is not beneficial to the learners or for staff development, when the principal of the school is unable to fulfil the most critical role of leadership.

7.4 Selection and appointment

Perhaps the most divergent difference between the two systems is the process of selection and appointment to the position of principal. In the PDSB system and across the province of Ontario a uniform process is implemented, which is guided by the system needs. School board education officials and professionals are integral to the process, which starts with the superintendent engaging with the applicant to prepare the application information pack. The application information pack included all relevant documentation of the applicant and motivations by the principal and mentors the applicant has worked with to that point. The application pack forms part of the process that is further deliberated on by education professionals and professional managers within the relevant board. The selection process is objective and based on predetermined and established criteria that are compulsory for all applicants.

In the WCED system, the selection process involves two entities with different objectives and mandates. While legislatively required, it does not provide for the best case scenario, as many SGBs are not fully functional in terms of capacity, education and not fully equipped to act in the interests of the primary needs of the broader

education system. The authority that SGBs have in determining the specification of the vacancy, in a public school is misguided and potentially leads to ineffective outcomes. The objectivity of the process can also be questioned, as the interests of the SGB is devolved to the school and not the system. The evidence supports Molver's (2022) argument that the appointment of principals be made by appropriately qualified personnel, with the technical competence to measure the suitability of candidates for a position that is as critical as principalship.

7.5 Recommendations for WCED

This study has revealed several areas of weakness in the WCED system as it relates to the role of principals. The evidence presented suggests that there are close to 50% of current principals who are (a) inadequately prepared for their positions (b) not well supported in terms of resources and training, and (c) have a high workload and level of responsibility that completely overwhelms them.

The role of the school leader has been well established to be critical to student success and achievement. This function can only be performed optimally when there is (a) relevant and appropriate training directly relating to their roles, (b) provided with resources that are able to develop the skills and competencies necessary to complement the training and (c) delegation of non-academic functions away from them to the appropriately qualified professional personnel to reduce the principal's workload and permit them to guide the academic functions of the school, for the benefit of the learners and staff.

7.6 Recommendations for further research

This study was limited to the two systems and with a small number of participants who were interviewed in each system. While it is easier to draw the conclusions in the PDSB system, due to the formalised and well-established structure, this is not the case with the WCED system. It would be of considerable benefit to fully explore several avenues of additional research with the WCED education ecosystem in terms of the following:

- A longer-term study of educators that have entered the WCED system after the introduction of the SASP would be useful to undertake to evaluate the implementation of those standards and the affects that would have on the system.

- A comparative study of principals across all five quintiles and how the quintile funding model affects learner and staff performance and outcomes.
- A comprehensive review of the qualifications and training of all SGB recommended principals within WCED schools

7.7 Conclusion

The primary and secondary questions that have been asked in this study have been comprehensively addressed. I have presented evidence that illustrates convincingly that principals in the Western Cape (a) are not adequately prepared for the complexity of their roles, (b) are poorly prepared for the position, (c) their training and development is haphazard, inconsistent and not legally required. Additionally, the involvement and ceding of the authority of selecting principals to SGBs is ill advised, and in many cases does not result in the best, most suitably qualified person being appointed to such a critical role of school principal.

School governance as practiced in South Africa, appears to be highly problematic (Xaba, 2011) without the added responsibility of educator selection contained within the applicable legislation. Taken one step further, if public schools are expected to serve societal needs and should provide this essential service for the public benefit, then policies relating to school governance at the individual school level has to ensure that they are empowered with the competencies needed to make this contribution.

This thesis has provided a side-by-side comparison between a system that works well in PDSB, to a system that does not in WCED. Two education systems that have the same colonial past, with vastly different approaches to meeting the needs of schools through the appointment of effective school leaders. While there are indeed policies that exist within the WCED and broader South African education framework, there appears to be the inability to make these policies a reality. The resource constrained environment that exists in the South African and subsequently WCED context appears to be an impediment to the leadership and management training process, which has a negative effect on the education system.

References

Al-Ababneh, M. M. (2020). Linking ontology, epistemology and research methodology. *Science & Philosophy*, *8*(1), 75-91.

Allen, A., & Mintrom, M. (2010). Responsibility and school governance. *Educational Policy*, *24*(3), 439-464.

Anney, V. N. (2014). Ensuring the quality of the findings of qualitative research: Looking at trustworthiness criteria. *Journal of emerging trends in educational research and policy studies*, *5*(2), 272-281.

Berg, B. L., & Lune, H. (2007). Qualitative research methods for the social sciences 6th edition. *Pearson;*

Boon, Z. S. L., & Stott, K. (2004). The making of principals in Singapore schools. ERAS Conference, Singapore, 24-26 November 2004

Brown, B. A., & Duku, N. (2008). Negotiated identities: Dynamics in parents participation in school governance in rural eastern cape schools and implication for school leadership. *South African Journal of Education*, *28*(3), 431-450.

Bryman, A., & Bell, E. (2014). *Research methodology: Business and management contexts*. Oxford University Press Southern Africa.

Bush, T. (2002). Authenticity-reliability, validity and triangulations. *Coleman & Briggs, ARJ. Research methods in educational leadership and management.* London: Paul Chapman. 59-71.

Bush, T. (2010). The significance of leadership theory. *Educational Management Administration & Leadership*, *38*(3), 266-270.

Bush, T., & Glover, D. (2013). School management teams in South Africa: A survey of school leaders in the Mpumalanga Province. *International Studies in Educational Administration (Commonwealth Council for Educational Administration & Management (CCEAM))*, *41*(1).

Bush, T., & Glover, D. (2014). School leadership models: What do we know? *School Leadership & Management*, *34*(5), 553-571.

Bush, T., & Glover, D. (2016). School leadership and management in South Africa: Findings from a systematic literature review. *International journal of educational management*.

Bush, T., & Heystek, J. (2003). School governance in the new South Africa. Compare: A Journal of Comparative and International Education, 33(2), 127-138.

Bush, T., Kiggundu, E., & Moorosi, P. (2011). Preparing new principals in South Africa: the ACE: school leadership Programme1. *South African Journal of Education*, *31*(1).

Cape Town Project Centre. (2014). History of education in the context of Apartheid. https://wp.wpi.edu/capetown/projects/p2014/wash-up-services/background-research/context-of-education-in-south-africa/history-of-education-in-the-context-of-apartheid/ Accessed on 15 August 2022

Carr, W., & Kemmis, S. (1986). Becoming critical. Education, knowledge and action research. Deakin.

Christie, P. (2010). Landscapes of leadership in South African schools: Mapping the changes. *Educational Management Administration & Leadership*, *38*(6), 694-711.

Cohen, L., Manion, L., & Morrison, K. (2002). *Research methods in education*. Routledge.

Coleman, M., Thurlow, M., Bush, T., & Thurlow, M. (Eds.). (2003). *Leadership and strategic management in South African schools*. Commonwealth Secretariat.

Cowie, M., & Crawford, M. (2007). Principal preparation–still an act of faith?. *School leadership and management*, *27*(2), 129-146.

Crawford, M. (2005). Distributed leadership and headship: a paradoxical relationship. *School leadership and management*, *25*(3), 213-216.

Department of Basic Education. 2015. Policy on the South African Standard for Principalship. *Enhancing the professional image and competencies of school principals.* 2015. National Education Policy Act, 1996 (Act 27 of 1996). 18 March 2016.

Department of Basic Education (2022) *National Norms and Standards for School Funding*. Government Gazette No. 45878, Notice No. 1730, 7 February 2022. Pretoria: DBE.

Department of Education. 2004b. *Review of school governance in South African schools*. Pretoria.

Department of Education. 2007. *Understanding school leadership and management in the South African context*. Module One. ACE. Pretoria.

Department of Education. 2008. *Understand school leadership & governance in the South African context*. Pretoria: Government Printer.

Department of Education. 2008. *Advanced Certificate in Education (School Management and Leadership).* Course Outline V6, November 2008. Pretoria: Government Printer

Department of Education. 2011. *South African Schools Act (No. 84 of 1996)*. Pretoria: Government Printer.

DiCicco-Bloom, B., & Crabtree, B. F. (2006). The qualitative research interview. *Medical education*, *40*(4), 314-321.

Edwards, R. (2018). An elaboration of the administrative theory of the 14 principles of management by Henri Fayol. *International journal for empirical education and research*, *1*(1), 41-51.

Ehrich, L. C., Hansford, B., & Tennent, L. (2004). Formal mentoring programs in education and other professions: A review of the literature. *Educational administration quarterly*, *40*(4), 518-540

Fataar, A., & Terhoven, R. (2018). The role of leadership practices in establishing a curriculum policy platform at working-class schools. *South African Journal of Education*, *38*(2), 1-10.

FEDSAS. (2022). Court Judgements https://www.fedsas.org.za/Documents/Category/Court-Judgments

Gallo, M. A. (2020). Bantu education, and its living educational and socioeconomic legacy in apartheid and post-apartheid South Africa.

Gurr, D., Drysdale, L., & Mulford, B. (2006). Models of successful principal leadership. *School leadership and management*, *26*(4), 371-395.

Hall, K., & Giese, S. (2009). Addressing quality through school fees and school funding.

Hansford, Brian C. and Ehrich, Lisa C. and Tennent, Lee (2004) Formal Mentoring Programs in Education and other Professions: A Review of the Literature. *Educational Administration Quarterly,* 40(4): pp. 518-540.

Huber, S, (2008) School Development and School Leader Development: New Learning Opportunities for School Leaders and Their Schools in Lumby, J., Crow, G., & Pashiardis, P. (Eds.). *International handbook on the preparation and development of school leaders* (pp. 163-175). New York: Routledge.

Institute for Education Leadership. (2013). *Ontario Leadership Framework: A School and System Leader's Guide to Putting Ontario's Leadership Framework into Action* www.education-leadership-ontario.ca

Keo, SDY (2016). Shaping Strong Principals in Singapore: Success by Design. https://ncee.org/quick-read/shaping-strong-principals-in-singapore-success-by-design/ accessed on 11/07/2022

Koki, S. (1997). The Role of Teacher Mentoring in Educational Reform. PREL Briefing Paper.

Kosti, N., Levi-Faur, D., & Mor, G. (2019). Legislation and regulation: three analytical distinctions. *The theory and practice of legislation*, *7*(3), 169-178.

Kothari, C. R. (2004). *Research methodology: Methods and techniques*. New Age International.

Lashway, L. (2002). Trends in school leadership. *ERIC Clearinghouse on Educational Management*, Eugene, OR

Leithwood, K., & Levin, B. (2004). Approaches to the evaluation of leadership programs and leadership effects. *London: Department for Education and Skills*.

Leithwood, K., Jantzi, D., & Steinbach, R. (1999). *Changing leadership for changing times*. McGraw-Hill Education (UK).

Leithwood, K., Steinbach, R., & Jantzi, D. (2002). School leadership and teachers' motivation to implement accountability policies. *Educational Administration Quarterly*, *38*(1), 94-119.

Leithwood, K., & Riehl, C. (2004). What we know about successful leadership. *Practising Administrator*, *26*(4).

Longhurst, R. (2003). Semi-structured interviews and focus groups. *Key methods in geography*, *3*(2), 143-156.

Masadeh, M. (2012). Training, education, development and learning: what is the difference? *European scientific journal*, *8*(10).

Mathibe, I. (2007). The professional development of school principals. *South African journal of education*, *27*(3), 523-540.

McLennan, A. (2000). Education governance and management in South Africa. *Unpublished PhD thesis, University of Liverpool, Liverpool*.

Mestry, R. (2017). Empowering principals to lead and manage public schools effectively in the 21st century. *South African Journal of Education*, *37*(1), 1-11.

Mestry, R., & Singh, P. (2007). Continuing professional development for principals: A South African perspective. *South African Journal of Education*, *27*(3), 477-490.

Ministry of Education - Ontario. (2022). Facts about elementary and secondary education. https://www.ontario.ca/page/facts-about-elementary-and-secondary-education

Molver, J (2022). A matter of principals – South African education's critical leadership challenge. *Daily Maverick*. 8 November www.dailymaverick.co.za/opinionista

Morrow, W. E. (1990). Aims of education in South Africa. *International review of education*, *36*(2), 171-181.

Msila, V. (2012). Mentoring and school leadership: Experiences from South Africa. *Journal of Social Sciences*, *32*(1), 47-57.

Myende, P. E., Samuel, M. A., & Pillay, A. (2018). Novice rural principals' successful leadership practices in financial management: Multiple accountabilities. *South African Journal of Education*, *38*(2), 1-11.

Naidoo, P. (2019). Perceptions of teachers and school management teams of the leadership roles of public school principals. *South African Journal of Education*, *39*(2).

Ndou, N. F. (2008). *The role of school management teams in curriculum change management* (Doctoral dissertation, University of South Africa).

Noor, K. B. M. (2008). Case study: A strategic research methodology. *American journal of applied sciences*, *5*(11), 1602-1604.

Ontario Public School Board's Association. (2018). OPSBA's Guide to Good Governance. https://ontarioschooltrustees.org/

Pagell, M., & Wu, Z. (2009). Building a more complete theory of sustainable supply chain management using case studies of 10 exemplars. *Journal of supply chain management*, *45*(2), 37-56.

Pateman, C. (2012). Participatory democracy revisited. *Perspectives on politics*, *10*(1), 7-19.

Peterson, M. (2009). The purpose of schools. *International Journal of Whole Schooling*.

Piscitelli, A., Perella, A. M., & Payler, A. (2022). Public Expectations of School Board Trustees. *Canadian Journal of Educational Administration and Policy/Revue canadienne en administration et politique de l'éducation*, (198), 19-34.

Province of Ontario. (1990). Education Act, R. S. O. (1990). c. E. 2.

Province of Ontario. (1996). Ontario College of Teachers Act 1996, S.O.1996, c.12

Republic of South Africa. (1963). *Coloured Persons Education Act 47 of 1963*. Government Printers. Pretoria. Government Gazette Extraordinary, 24 May, 1963

Republic of South Africa. (1965). *Indian Education Act 61 of 1965*. Government Printers. Pretoria 64 No. 1120 Government Gazette Extraordinary, 26 May, 1965

Republic of South Africa. (1998). *Employment of Educators act 76 of 1998*. Government Printers. Pretoria

Republic of South Africa. (2000). *South African Council of Educators Act 31 of 2000*, Government Printers. Pretoria

Retna, K. S. (2015). Different approaches to the professional development of principals: A comparative study of New Zealand and Singapore. *School Leadership & Management*, *35*(5), 524-543.

Rickards, G., Magee, C., & Artino Jr, A. R. (2012). You can't fix by analysis what you've spoiled by design: developing survey instruments and collecting validity evidence. *Journal of graduate medical education*, *4*(4), 407-410.

Riehl, C. J. (2000). The principal's role in creating inclusive schools for diverse students: A review of normative, empirical, and critical literature on the practice of educational administration. *Review of Educational Research*, 70, 55-81.

Salgür, S. A. (2014). Importance of mentoring in teacher training. *Euromentor Journal*, *5*(2), 46.

Sanjani, M. I. (2020). Using qualitative case studies in research on foreign language teaching and learning. *Journal of Asia TEFL*, *17*(3), 995.

Sattler, P. (2012). Education governance reform in Ontario: Neoliberalism in context. *Canadian Journal of Educational Administration and Policy*.

Sayed, Y., & Kanjee, A. (2013). An overview of education policy change in post-apartheid South Africa. *The search for quality education in post-apartheid South Africa*, 5-38.

Schultz, U., & Avital, M. (2011). Designing interviews to generate rich data for information systems. *Information and Organization*, *21*(1), 1-16.

Seroto, J. (2020). The othering of teacher training in Lebowa bantustan: A historical perspective. *Journal of Education (University of KwaZulu-Natal)*, (81), 11-28.

Seuring, S. (2005). Case study research in supply chains—An outline and three examples. In Research methodologies in supply chain management (pp. 235-250). Physica-Verlag HD.

Smircich, L., & Morgan, G. (1982). Leadership: The management of meaning. *The Journal of applied behavioural science*, *18*(3), 257-273.

Spaull, N. (2013). Poverty & privilege: Primary school inequality in South Africa. *International Journal of Educational Development*, *33*(5), 436-447.

Steyn, G. M. (2002). The changing principalship in South African schools. *Educare*, *31*(1_2), 251-274.

Union of South Africa (1953), *Bantu Education Act No. 47 of 1953*, Government Printer, Pretoria

Van der Berg, S., Taylor, S., Gustafsson, M., Spaull, N., & Armstrong, P. (2011). Improving education quality in South Africa. *Report for the National Planning Commission*, *2*, 1-23.

Van der Westhuizen, P., & Van Vuuren, H. (2007). Professionalising principalship in South Africa. *South African Journal of Education*, *27*(3), 431-446.

Van Selm, M., & Jankowski, N. W. (2006). Conducting online surveys. *Quality and quantity*, *40*(3), 435-456.

Van Wyk, N. 2007. The rights and roles of parents on the school governing bodies in South Africa. International Journal about Parents in Education, 1(0):132-139.

Weathersby, G. B. (1999). Leadership vs. management. *Management Review*, *88*(3), 5.

Walker, A., Bryant, D., & Lee, M. (2013). International patterns in principal preparation: Commonalities and variations in pre-service programmes. *Educational Management Administration & Leadership*, *41*(4), 405-434.

Watts, J. L. (2023). Supporting beginning principals to survive and thrive in the role: a systematic review of literature. *School Leadership & Management*, *43*(1), 28-49.

Western Cape Provincial Government. (1997). Western Cape Education Act 71 of 1997. Government Printer.

Western Cape Provincial Government – Department of Education. (2022). Western Cape Education Department Annual Report 2021-2022 https://www.wcpp.gov.za/sites/default/files/AR-2021-22-Master-Final -29.8.pdf

Western Cape Provincial Government. (2022). Cape Teaching and Learning Institute: Courses we offer. https://www.wcedctli.co.za/courses?field_subject_tid=All&field_for_tid%5B%5D=13 accessed on 15 February 2022

Winton, S., & Pollock, K. (2013). Preparing politically savvy principals in Ontario, Canada. *Journal of Educational Administration*.

Wolhuter, C. C. (2006). Teacher training in South Africa: past, present and future. *Education Research and Perspectives*, *33*(2), 124-139.

Xaba, M. I. (2011). The possible cause of school governance challenges in South Africa. *South African Journal of Education*, *31*(2), 201-211.

Yin, R. K. (2012). A (very) brief refresher on the case study method. *Applications of case study research*, *3*, 3-20.

Yukl, G.A. (2002), *Leadership in Organizations*, 5th edn, Upper Saddle River, NJ: Prentice-Hall.

Yukl, G., & Mahsud, R. (2010). Why flexible and adaptive leadership is essential. *Consulting Psychology Journal: practice and research*, *62*(2), 81.

UNIVERSITY of the WESTERN CAPE

60 YEARS of hope, action & knowledge

3 August 2021

Mr M Gabier
School of Business and Finance
Faculty of Economic and Management Sciences

HSSREC Reference Number: HS21/4/24

Project Title: A review of principal training and development to determine preparedness as managers of organisations in the South African context

Approval Period: 3 August 2021 – 3 August 2024

I hereby certify that the Humanities and Social Science Research Ethics Committee of the University of the Western Cape approved the methodology and ethics of the above mentioned research project.

Any amendments, extension or other modifications to the protocol must be submitted to the Ethics Committee for approval.

Please remember to submit a progress report by 30 November each year for the duration of the project.

The permission to conduct the study must be submitted to HSSREC for record keeping purposes.

The Committee must be informed of any serious adverse events and/or termination of the study.

Ms Patricia Josias
Research Ethics Committee Officer
University of the Western Cape

Director: Research Development
University of the Western Cape
Private Bag X 17
Bellville 7535
Republic of South Africa
Tel: +27 21 959 4111
Email: research-ethics@uwc.ac.za

UNIVERSITY of the WESTERN CAPE
SCHOOL OF BUSINESS & FINANCE

PARTICIPANT INFORMATION LEAFLET

Study Title: A review of Principal training and development to determine preparedness as managers of organisations in the South African Context

Principal Investigators: Muaath Gabier (9432708@myuwc.ac.za)

INTRODUCTION

This study aims to understand the career path of Principal's before they were appointed to the position of Principal. The study will look at establishing what a typical career path would be for an educator in WCED, the preparation and training before appointment, and the support and training after appointment. Does this differ from urban schools and rural schools, across districts in the Province, and what the typical career path is followed.

By participating in the study you will provide insight on the development of your career from entering the classroom as an educator and the path to reach the Principalship of a school. Does the process include relevant training, mentoring, support and career development, and what can be provided to enhance the experience and make you more effective in your role as Principal? It is your absolute choice to participate in this study. Under no circumstances may anyone force you to participate. Should you choose not to participate, this will not prejudice you in any way, whether personally, professionally or otherwise.

ANSWERS TO QUESTIONS YOU MAY HAVE

Who is being invited to participate?

Principals and Past Principals of Public Schools in the Western Cape

Who has approved the study?

The study has been approved by the Ethics Committee of the University of Western Cape. This committee makes sure that researchers do things correctly and ethically, for example, treat people in the study with respect, protect anonymity and maintain confidentiality. We also have approval from the Western Cape Education Department to proceed with the study, approach staff members (former and/or current) and collate the experiences of the staff members choosing to enrol in this study.

What will taking part in the study involve?

If you agree to be part of the study, you will be invited for an interview over the telephone or in person during which you will asked a few questions about your experience during the time you were/are employed as a school Principal. The interview may last approximately 45 to 60 minutes. We would like to record the conversation with your consent. This will ensure that we can talk without distraction and truly capture your experience as a Principal. However, if you are not comfortable with this, we will not record the conversation and will write notes instead.

What are the risks?

If you feel uncomfortable about answering a question, you can choose not to answer. You may also withdraw from the study at any point without providing any reasons and without any prejudice to you, personally and professionally. This study is being conducted for research purposes only.

What happens if I change my mind about taking part?
You are free to stop the interview at any time. If you stop taking part, the answers you have provided may be deleted if you wish and excluded from the study.

What are the benefits?
You will help us meaningfully contribute to the body of research relating to the experiences of learners and educators involved in the Western Cape. No financial, career or other benefits will be offered.

What about confidentiality?
The information you provide during the interview and as part of the study will be kept strictly confidential by the researchers. Once the interview is finished, the recording will be assigned a number and your name will no longer be used. Some quotes or words from the interview may be used in research reports or presentations, but in no way will anyone know that they came from you. Should you not feel comfortable, you may indicate this and no quotes or words from your interview will be used. No reason(s) need be provided and you will not be prejudiced in any way.

How will the information be protected?
Your personal details will be kept on a protected computer with strict IT controls granting access only to authorised individuals associated with the study. The recording of your interview will be deleted once it has been transcribed. The transcription of your interview not include any names, contact details, or sensitive information that may otherwise be used to identify you. Your information will be linked only to a study number. Only the study team will be able to connect you to the information you give.

Will I be paid and are there any costs involved?
There are no costs involved in this study and you will not be paid anything to participate.

Where will the interview take place?
The interview will be held over the telephone or on Zoom/ Google Meets or similar online platform. If you agree to participate, we will call you on your phone on a date and time that is convenient for you. There will be no face-to-face meeting.

What should I do now?
If you decide to take part in our study, we will ask you to sign a consent form. This is a form which you sign to expressly acknowledge that you have freely chosen to participate in this study.

How may I go about contacting the researchers with any further questions or concerns?
If you have any further questions or concerns after this, please contact the Principal Investigator, Mu-aath Gabier on 9432708@myuwc.ac.za or 0720688928.
My Academic Supervisor is Professor Phillip Hirschsohn, who can be contacted via email on phirschohn@uwc.ac.za

Who has authorised this study and granted permission to proceed?
This study was granted ethical approval from the University of Western Cape **Ethics Committee**.
If you have questions, concerns or complaints about the study or the researchers, you can contact them directly as follows:

Humanities & Social Sciences Research & Ethics Committee (HSSREC)
University of Western Cape
P O Box X17
Bellville, 7535
South Africa
Email: research-ethics@uwc.ac.za
Tel: +27-21-959-2988

Informed Consent form

Please initial the boxes if you agree with the following statements:

I have read and understood the information sheet on the study and I have had the opportunity to ask any questions about the study that I may have.	
I understand that the information collected about me will be used for the purpose of this study, to support other research or teaching in the future and may be shared with other researchers, after my name has been removed.	
I agree to take part in the study and do so freely, without being compelled to do so in any way. I understand that I may withdraw from the at any point during the study should I wish without giving the researchers a reason, and that this will not prejudice me in any way.	
I understand that the purpose of the study is to provide insight and collate the experiences as a School Principal in the Western Cape.	
I understand that what I say in the interview will be kept confidential by the researchers and that my name will not be used in any reports or presentations or passed on to other researchers.	
I agree that short quotes from my interview may be used in reports or presentations but that these will not identify me personally.	
I agree to the recording of my interview for the study and that the typed-up version can be stored on a secure computer with strict access controls limiting access. I understand that this information will be used solely for research purposes and will not use my name.	
I understand that I can raise any concerns or questions I have with the researchers or the University of Western Cape Ethics Committee.	

PARTICIPANT:

Printed Name	Signature/Mark or Thumbprint	Date and Time

RESEARCHER:

Printed Name	Signature/Mark or Thumbprint	Date and Time

Private Bag X17, Bellville 7535, South Africa | O: +27 21 959 3225.
F: +27 21 959 3242 | E: :darendse@uwc.ac.za
W: http://www.uwc.ac.za/

UNIVERSITY of the WESTERN CAPE
SCHOOL OF BUSINESS & FINANCE

PARTICIPANT INFORMATION LEAFLET

Study Title: A review of Principal training and development to determine preparedness as managers of organisations in the South African Context

Principal Investigators: Muaath Gabier (9432708@myuwc.ac.za)

INTRODUCTION

This study aims to understand the career path of Principal's before they were appointed to the position of Principal. The study will look at establishing what a typical career path would be for an educator in WCED, the preparation and training before appointment, and the support and training after appointment. Does this differ from urban schools and rural schools, across districts in the Province, and what the typical career path is followed.

By participating in the study you will provide insight on the development of your career from entering the classroom as an educator and the path to reach the Principalship of a school. Does the process include relevant training, mentoring, support and career development, and what can be provided to enhance the experience and make you more effective in your role as Principal? It is your absolute choice to participate in this study. Under no circumstances may anyone force you to participate. Should you choose not to participate, this will not prejudice you in any way, whether personally, professionally or otherwise.

ANSWERS TO QUESTIONS YOU MAY HAVE

Who is being invited to participate?

Principals and Past Principals of Public Schools in the Western Cape

Who has approved the study?

The study has been approved by the Ethics Committee of the University of Western Cape. This committee makes sure that researchers do things correctly and ethically, for example, treat people in the study with respect, protect anonymity and maintain confidentiality.

What will taking part in the study involve?

An electronic questionnaire will be sent to via email to the address of the school principal. By responding to the email, you agree to consent to participate in the study via the survey. No personal details are requested in the survey, other than two demographic questions for the purposes of measuring the response data. No emails are collected or tracked and the responses are held on a secure server at University of Western Cape. Only my Academic Supervisor and myself has access to the data, and no names are attached to it as the responses do not request that information.

What are the risks?

You do not have to respond to the survey if you choose not to participate in the study. This study is being conducted for research purposes only.

What are the benefits?
You will help us meaningfully contribute to the body of research relating to the experiences of learners and educators involved in the Western Cape. No financial, career or other benefits will be offered.

What about confidentiality?
The information you provide during the survey and as part of the study will be kept strictly confidential by the researchers. The survey does not request or require personal information by which you may be identified.

How will the information be protected?
Your responses will be held on a protected computer with strict IT controls granting access only to authorised individuals associated with the study. The survey data does not include any names, contact details, or sensitive information that may otherwise be used to identify you. Your responses will be linked only to a study number. No one will be able to connect you to the information you give in the survey.

Will I be paid and are there any costs involved?
There are no costs involved in this study and you will not be paid anything to participate.

Where will the survey be conducted?
The survey will be sent electronically via email to the school only.

What should I do now?
If you decide to take part in our study, you may click on the link provided in the email, or use copy and paste this URL below in your browser, which will take you to the survey. By proceeding to the survey and submitting your responses you provide consent to participate.

How may I go about contacting the researchers with any further questions or concerns?
If you have any further questions or concerns after this, please contact the Principal Investigator, Mu-aath Gabier on 9432708@myuwc.ac.za or 0720688928.
My Academic Supervisor is Professor Phillip Hirschsohn, who can be contacted via email on phirschohn@uwc.ac.za

Who has authorised this study and granted permission to proceed?
This study was granted ethical approval from the University of Western Cape **Ethics Committee** under Ethical Clearance Document HS21_2_21. If you have questions, concerns or complaints about the study or the researchers, you can contact them directly as follows:

Humanities & Social Sciences Research & Ethics Committee (HSSREC)
University of Western Cape
P O Box X17
Bellville, 7535
South Africa
Email: research-ethics@uwc.ac.za
Tel: +27-21-959-2988

Appendix D

UNIVERSITY of the WESTERN CAPE
SCHOOL OF BUSINESS & FINANCE

Muaath Gabier – 9432708
Thesis title
A review of Principal training and development to determine preparedness as managers of organisations in **the South African Context.**

Survey Questionnaire

1. What is your Gender (M/F)
2. What is your Age
3. How Many years have you been and Educator?
4. How many years did you serve as Deputy Principal before becoming a Principal?
5. How many schools did you work at throughout your career before becoming Deputy Principal?
6. How Many years have you been a school Principal?
7. How many schools have you served as Principal?
8. Where did you receive your Education Training?
9. Since completing your initial training, have your taken additional training or career development programs?
10. How many years, if any, did you serve as subject head?
11. How many years, if any, did you serve as Grade head?
12. How many years, if any, did you serve as Head of Department?
13. Are you currently a Principal at Primary or Secondary Level?
14. If you answered Elementary level, which phase did you teach?
15. If you answered Secondary level, which subjects did you teach?
16. When you were deputy principal, how many classes did you teach per week?
17. When you were Deputy Principal, what were your areas of responsibility?
18. In your role as Principal, how many Deputy Principals do you have?
19. In your role as Principal, how many staff serve on your Senior Management Team?
20. In your role as Principal, how many classes do you teach per week?
21. At the school you serve as Principal, how many support staff are available to you?
22. In your role as Principal, how many times a month do you meet with your Circuit Manager?
23. How many Senior Management Team meetings are convened at your school every month?
24. In your role as Principal, how many staff are employed at the school? Please include all WCED and SGB staff.
25. How many students attend the school where you serve as Principal?
26. In you first three years as Principal, did you have a mentor?
27. After your first three years as Principal, did you have a mentor?
28. Since becoming Principal, have you served as a mentor?
29. Since becoming Principal, is there any additional support or training programs you believe would have helped you in your leadership and management position?

How may I go about contacting the researchers with any further questions or concerns?
If you have any further questions or concerns after this, please contact the Principal Investigator, Mu-aath Gabier on 9432708@myuwc.ac.za or 0720688928.
My Academic Supervisor is Professor Phillip Hirschohn, who can be contacted on via email on phirschohn@uwc.ac.za

Who has authorised this study and granted permission to proceed?
This study was granted ethical approval from the University of Western Cape **Ethics Committee**. If you have questions, concerns or complaints about the study or the researchers, you can contact them directly as follows:

Humanities & Social Sciences Research & Ethics Committee (HSSREC), UWC, P O Box X17, Bellville, 7535, South Africa
Email : research-ethics@uwc.ac.za ,
Tel: +27-21-959-2988