EDUCATIONAL PLANNING

Vol. 27 No. 1

Editorial Review Board
(Updated January 2019)

Editor:	Tak Cheung Chan, Kennesaw State University, USA
Associate Editors:	Walter Polka, Niagara University, USA
	Peter Litchka, Loyola University, USA
Assistant Editor:	Holly Catalfamo, Niagara College, Canada
Publication Director:	Glen Earthman, Virginia Polytechnic Institute and State University, USA
Online Manager:	Angel Ford, George Washington University, USA

Reprints: Articles and reviews are available from the editor. Please contact the editor for availability and costs. Translation: Educational Planning will attempt to provide readers with major language translations of journal articles. Interested members should contact the editor regarding availability and costs.

FROM THE EDITORS

This issue of Educational Planning explores issues with both higher education planning and K-12 education planning. In higher education, planning for diversity workforce and governance structures are discussed. In K-12 schools, teachers' perceptions of principalship and parents' perceptions of kindergarten programs are covered.

Haar's article shares research about diversifying teacher education programs and shares a college's educational planning efforts toward reaching its vision, to inspire lifelong learning and professional engagement through racial consciousness, social justice, and inclusion within a global context, to diversify the workforce and prepare racially conscious educators.

The purpose of Xiao and Chan's paper is to identify the special features of the governance structures of research universities in four western countries. Conceptual framework was laid out as groundwork of the paper. Scholarly work of known authors in higher education governance was reviewed with major features of the governance of the research universities of these countries identified and discussed with reflection of the conceptual framework.

The article by Webster and Litchka examines the relationship between the overall leadership abilities of school principals with their ethical leadership behaviors, as perceived by teachers. This study found a strong (and expected) relationship between the overall leadership abilities of school principals and ethical behaviors, as perceived by teachers.

Finally, the article by Ng, Fisher, Au and Lo indicated that parents' and teachers' perceptions of kindergartens aligned with the Holistic Early Childhood Education Policy in Hong Kong for young children's development and practice in the kindergarten programs. These findings clearly indicate a cohesion between parents' and teachers' concern and official Hong Kong education documents regarding holistic development of young children in kindergartens in Hong Kong.

Articles selected for publication in this issue have commonly indicated that educational programs can be more effectively serving their intended purposes by inputting careful planning efforts. There is no doubt that the implementation of educational planning helps improve policies and governance in higher education. The K-12 educational programs can be enhanced by involving the teachers and the parents by carefully examining their perceptions in the planning endeavors.

Editor: Tak Cheung Chan
Associate Editors: Walt Polka and Peter Litchka
Assistant Editor: Holly Catalfamo

January, 2020

ABOUT THE AUTHORS

Mei-lan Au is an Assistant Professor (part-time) at the Education University of Hong Kong. She has engaged in teacher training for over 20 years and has also worked in University of Hong Kong, Hong Kong Baptist University and Hong Kong Open University. Before starting her teacher education career, Dr. Au has taught in schools for many years. Her areas of expertise included cognitive development to enhance learning potential; curriculum, pedagogy and assessment approaches to cater for diverse learning needs; analysing student's learning needs and enhancing their learning opportunities in the classroom; and helping parents to enhance the learning potential of their children.

Tak Cheung Chan, Professor Emeritus of Educational Leadership, Kennesaw State University, Georgia, is a graduate of the University of Georgia. He was a classroom teacher, assistant school principal, school principal, and district office administrator. His previous experience in higher education includes serving as a faculty member of educational leadership at Valdosta State University, Georgia Southern University and Kennesaw State University. His research interests include educational planning, facility planning, school business administration, school finance, and international education.

John W. Fisher has two Masters and three Doctoral degrees and 50 years' experience in teaching from primary to tertiary levels and research in science, education, psychology and health. Dr. Fisher has pursued his interest in spiritual health and well-being for over 25 years, with students and staff in schools and universities, chaplains, pastoral care workers, doctors, nurses, palliative care patients and carers. John's spiritual well-being measures are used in many countries in business, counselling, education, health, psychological and welfare projects.

Jean Haar currently serves as Dean of the College of Education at Minnesota State University, Mankato, Minnesota. She completed eighteen years as a classroom teacher and high school principal in K-12 school districts. She also has eighteen years of higher education experience beginning as a faculty member in the Department of Educational Leadership and accepting increasingly challenging academic leadership roles from Founding Director for the Center for Engaged Leadership, to Department Chair, to Dean. Jean Haar completed her bachelor's degree in English and her master's degree in Educational Administration at South Dakota State University. She completed her doctorate in Administration, Curriculum and Instruction at the University of Nebraska-Lincoln.

Peter Litchka is Professor of Educational Leadership and Director of the Educational Leadership Program at Loyola University Maryland. Prior to arriving at Loyola in 2006, Dr. Litchka was a teacher, school administrator, assistant superintendent of schools, and superintendent of schools twice. He is the author/co-author of four books, the editor of three books, and has published numerous journal articles and book chapters. Dr. Litchka's

scholarship has included working in Israel, Poland, and Turkey over the past decade. Dr. Litchka received his B.A. from the State University of New York at Geneseo, his M.A. from Johns Hopkins University, and his doctorate from Seton Hall University.

Sing Kai Lo graduated with a Ph.D. from the University of California at Berkeley. He is currently Dean of Graduate School at the Education University of Hong Kong (EdUHK). Before joining EdUHK, he has been teaching in tertiary institutions in Australia, Taiwan and the United States for more than 20 years. He has a solid track record of attracting competitive external grants and has published more than 220 articles in international peer reviewed journals. His research interest includes disability studies and evidenced-based education.

David Tze-Kin Ng is a Doctor of Education graduated from the Education University of Hong Kong. Besides practising as Certified Public Accountant of an International CPA Network, he is currently Vice Chairman of Guideposts Educational Foundation in Hong Kong, supervising 4 kindergartens with 1,400 students. He has also received extensive professional training in Cognitive Advancement courses developed by Feuerstein Institute, Israel.

Katina Webster is an Affiliate Instructor the School of Education at Loyola University Maryland. Dr. Webster supervises educators pursuing certification in school administration. Dr. Webster is a former teacher, administrator, and Adjunct Professor at Morgan State University. Dr. Webster is current Instructional Team Leader for Special Education in the Howard County (MD) Public School System. Dr. Webster earned her B.S. at Morgan State University, her M.S.W. at The Ohio State University, her M.ED. at Loyola College (MD) and her doctorate from the University of Phoenix.

Hong Ying Xiao earned her Master's degree (2005) in public management from Huazhong University of Science and Technology and her Doctoral degree in educational leadership and management (2016) from Tsinghua University, China. She has the honour to be a Global Career Development Facilitator and a China Senior Career Development Mentor. Dr. Xiao is currently serving as a Senior Human Resource Manager of School of Social Sciences and the Executive Deputy Director of the Center for International Cultural and Science, Tsinghua University. She has focused her research on the governance of higher education and has published her work in highly esteemed Chinese education journals such as *Chinese Higher Education Research* and *Tsinghua University Education Research*. Dr. Xiao has also assumed leading roles in significant research grant projects funded by the Chinese Central Government, the Beijing City Government and Tsinghua University.

ADVANCING A VISION TO DIVERSIFY THE WORKFORCE AND PREPARE RACIALLY CONSCIOUS EDUCATORS

JEAN M. HAAR
Minnesota State University, U.S.A.

ABSTRACT

Educator preparation programs have a responsibility to prepare professionals to meet P-12 learner needs. Research and changing demographics provide evidence and rationale of the importance to increase the number of educators of color and to prepare all educators to be racially conscious. Educator preparation programs, in tandem with P-12 school districts, need to make systemic changes in approaches, practices and policies in order to adequately prepare individuals for the profession. The author contends that without these systematic changes, workforce needs and, more importantly, P-12 student learner needs, will not be met. The article shares research about diversifying teacher education programs and shares a college's educational planning efforts toward reaching its vision, to inspire lifelong learning and professional engagement through racial consciousness, social justice, and inclusion within a global context, to diversify the workforce and prepare racially conscious educators.

INTRODUCTION

Throughout the United States the inability to ensure high levels of learning for students of all races persists. Since 1975, White children have consistently outperformed African American and Hispanic children with no significant change in the width of the gap in achievement levels between students of color and White students (National Assessment of Educational Progress, 2012). The changes in student enrollment demographics in conjunction with achievement gaps heighten the urgency to improve the predictable achievement trajectory for students of color. The National Center for Educational Statistics reports,

> From fall 2002 through fall 2012, the number of White students enrolled in public elementary and secondary schools decreased from 28.6 million to 25.4 million, and their share of public school enrollment decreased from 59 to 51 percent. In contrast, the number of Hispanic students enrolled during this period increased from 8.6 million to 12.1 million students, and their share of public school enrollment increased from 18 to 24 percent. (Kena et al., 2015, p. xxx)

The Minnesota Department of Education (2014) data reveal a predictable racial disparity pattern that mirrors the national pattern. Mathematics and reading data from the last five years show a steady and unchanged racial discrepancy between the achievement levels of White and Black students, with White students demonstrating results approximately 30 percent higher than Black students (Minnesota Department of Education, 2014). The changing enrollment percentages of students in public schools also bring to attention the contrast between student demographics and educator demographics. Students of color constitute over 50 percent of the nation's K-12 population; yet the teaching workforce remains about 82 percent white (Educators for Excellence, 2015). Approximately 34 percent of K-12 students in the state of Minnesota are nonwhite, while teachers of color make up only 5 percent of part-time and full-time teachers (The Coalition to Increase Teachers of Color and American Indian Teachers in Minnesota, 2019).

Educators and researchers have approached the issues associated with changing student enrollment demographics in conjunction with achievement gaps in a variety of ways. The literature in the field of culturally relevant teacher education addresses the issue by emphasizing the importance of increasing the number of educators of color and of preparing all educators to be racially conscious (Gist, 2018; Jackson, 2015; Ladson-Billings & Tate, 1995; Paris, 2012; Picower, 2009; Sealey-Ruiz, 2011).

In order to increase the number of educators of color and to prepare all educators to be more racially conscious, educator preparation programs need to examine and change approaches, practices, and policies (Lenski, Crumpler, Stallworth, & Crawford, 2005). Curriculum and instruction is one area needing examination. For instance, Stanton and Morrison (2018) observed,

> Curricular tools (e.g., curriculum frameworks, standards, and textbooks) used in educational institutions in the USA generally sustain socioeconomic hierarchies, perpetuate Eurocentric views of economic progress, and exclude Indigenous knowledge, even in content areas that claim focus on cultural experiences, such as social studies. (p. 730)

In addition, Nguyen (2008) noted that Vietnamese Americans "operated frequently from their Vietnamese cultural frame of understanding, and therefore had difficulty with socializing into U.S. teaching" (p. 113). He asserts it is time for all students to see more ethnic minority members in education and that preservice education curriculum should be broadened to examine inclusive and exclusive practices (Nguyen, 2008). The lack of racial equity pedagogy has many ramifications; Cheruvu, Souto-Manning, Lencl, and Chin-Calubquib (2015) noted a "common thread was the struggle experienced by participants…[as they] contend with the domination of Whiteness in course content and in student teaching placements" (p. 259).

In addition to curricular changes, educator preparation programs should prepare aspiring educators to be racially literate. The concept of racial literacy refers to a set of practices designed to teach individuals how to recognize, respond to and counter forms of everyday racism (Sealey-Ruiz & Greene, 2014). According to Sealey-Ruiz and Greene (2014), "Educators who develop racial literacy are able to discuss with their students and with each other the implications of race and the negative effects of racism in ways that can potentially transform their teaching" (p. 60). Sealey-Ruiz and Greene (2014) contend that developing racial literacy skills in aspiring educators could mitigate the lack of understanding and insensitivity to cultural differences with their students in field experiences and in their future classrooms. Reflecting on his teaching in a teacher education program in the Midwest, Yu (2012) affirms the need for racial literacy and notes:

> A socio-cultural analysis of education was particularly missing. Differences in human learning and education based on race, ethnicity, gender, socioeconomic status, etc. were not emphasized in their preparation to become better teachers…. (F)or Whites to become effective multicultural teachers, culturally relevant and socially competent, they must become racially educated; they must understand the larger racial histories, struggles, injustices, and the role Whites play in them: and they must further understand issues such as White dominance, White privilege, and White racism and how these realities have underlined and entrenched value systems and conceptual framework which directly or indirectly influence their philosophy and practice as teachers. (p. 48)

Sealey-Ruiz (2011) contends,

> Racial literacy in teacher education promotes deep self-examination and requires actions that can lead to sustainable social justice and educational equity for all students, and Black students in particular; without it, teacher educators and their students will continue to find themselves powerless in dismantling the school-to-prison pipeline and other in equitable educational systems on the basis of race. (p. 120)

Durden, McMunn Dooley, and Truscott (2016) argue that another area of relevance in preparing racially conscious educators is for educator preparation programs to provide teaching methods focused on race and racial identity:

> [Rather than a focus in teacher education on only becoming knowledgeable of students' culture, the focus instead should be on examining teacher candidates' understandings of how student's racial identify in the US inevitably pre-deposes them to certain struggles or opportunities. (p. 1004)

In an effort to establish racial identify, educator preparation programs need to create an anti-racist environment (Gist, 2018). Gist notes, "Understanding the strengths of Teachers of Color and the lessons they have taught the profession is in the common interest of all committed to eradicating educational inequality and creating a rigorous and respected professional teaching corps" (p. 518). Picower states, "…it is imperative that White teachers develop this awareness, or critical consciousness around issues of race, privilege, power, and oppression in order to be successful with students from diverse settings" (2009, p. 199). Picower continues by noting, There is an underlying assumption in this literature on race and teacher education that helping teachers, particularly White teachers, to develop cultural competence and socio-political consciousness will help them to become better educators" (2009, p. 199); and "schools of education must make a commitment to transform themselves in order to interrupt the hegemonic understandings of pre-service teachers by implementing strategies, programs, and reforms with this objective. (2009, p. 211)

Educator preparation programs have a responsibility and opportunity to impact the existing racial disparity in education. One means of impacting the existing racial disparity in education is for educator preparation providers to diversify the workforce to reflect the changing student demographics. Another is to provide programs that prepare racially conscious educators who are equipped to disrupt hierarchies of oppression and establish racially just learning environments. Picower (2009) contends,

> A priority must be made to increase the number of teacher educators of color, and an effort also must be made to recruit more pre-service teachers of color, including but not exclusive to beginning in high schools in the communities that have been labeled *hard to staff*…. Aside from the unequivocal need for increased representation and all that comes with it, another benefit is that by bringing the voices of people of color into teacher preparation programs, the typical White female pre-service teacher would have an opportunity to interact and learn from people different from themselves (p. 212).

The purpose of this article is to share the transformative efforts of Minnesota State University, Mankato's College of Education educator preparation programs as they embrace the responsibility to diversify the workforce and prepare racially conscious educators. The transformation involves an investment in professional development, system changes, academic program changes, and partnerships.

COLLEGE OF EDUCATION EFFORTS

As a part of a mid-west, comprehensive public university that consists of a primarily White and culturally isolated student population, the Minnesota State University, Mankato's College of Education has struggled in its efforts to diversify the state's educator workforce and to more adequately prepare racially conscious educators. Minnesota Department of Education (2019) data reflects there are only 5.33% teachers of color while 34.3% of K-12 students are students of color (Minnesota Department of Education, 2019). As of spring 2019, the college has 1326 teacher candidates enrolled in licensure programs; 115, or 8.7% identify as people of color (Integrated Student Record System).

An integral component to addressing its responsibility was for the college to commit to uprooting the whiteness of its systems and structures. It did so by focusing on efforts: (a) to increase the percentages of education candidates, graduates, college faculty and administrators, and partner district teachers and administrators who are exposed to critical race perspectives necessary to disrupt hierarchies of oppression and who are prepared to establish racially just learning environments to expand marginalized students' access to education opportunities; and (b) to adjust institutional systems that acknowledge and foreground across the curriculum how race differentiates students' equitable access to educational opportunities; and support the ongoing professional learning of faculty and others (e.g., P-12 school district partners and university administrators and staff) around issues of racial justice.

Professional Development. The college initiated and continues to invest significant effort to provide professional development for faculty and students grounded in critical consciousness, including processes for deepening awareness of their own racial identities and behaviors. The college's Intercultural Competency and Development (ICD) Advisory Board has been instrument in guiding formal and informal professional development experiences. The board is one of five advisory boards in the college. Its purpose is to guide the college in advancing a learning community that welcomes, values, supports and respects all persons and promotes an environment free of discrimination based on race, ethnicity, gender, religion, sexual orientation or disability. One outcome of the advisory board has been the implementation of college-wide working definitions around such terms as diversity, cultural competency and race. The college also implemented the use of the Courageous Conversation protocol by Singleton (2015) as a process to promote interracial dialogue. It was realized early on that if there was not a common understanding and use of terms and if there was not a process for engaging in difficult conversations about race, the ability to prepare racially conscious, equity-minded educators was seriously limited.

The ICD Advisory Board also plays a crucial part in the development and assessment of college-level professional development experiences focused on heightening the awareness and implementation of intercultural competencies in programs, policies, and procedures and an increase in the development of racial equity competency among White faculty, staff and administrative members. Through their guidance the college has learning from social justice experts such as Heather Hackman, Robin Dangelo, and Yvette Jackson. Heather Hackman (2016, 2017) not only provided individuals with a solid overview and understanding of underrepresented history and systematic racism, but she also introduced the value of using groundings focused on race at the beginning of gatherings. Robin DiAngelo helped individuals understand White racial literacy and the importance of remaining vigilant around awareness of racism. Her book, *What Does It Mean to be White: Developing White Racial Literacy* proved to be a foundational resource for a number of faculty and staff (DiAngelo, 2016). Yvette Jackson introduced the college to her work on the principles and practices of the

Pedagogy of Confidence, created to enable educators to accelerate the intellectual development and academic achievement of their students (Jackson, 2011).

The ICD advisory board was also instrumental in collecting and sharing data from current teacher candidates about their experiences in their preparation programs. Some faculty from the advisory board conducted a qualitative study that involved collecting data from two focus groups, one consisted of teacher candidates of color the other of white teacher candidates. Data shared provided evidence of the need for significant change in programs (Berry, Burnett, Krull, Eastman, Berschorner, Kruizenga, 2017). In general, findings noted that teacher candidates of color felt unsupported by faculty and unprepared; whereas, white teacher candidates felt supported and accommodated. Both teacher candidates of color and white teacher candidates noted an absence of race pedagogy and content taught in their programs. White teacher candidates wanted more content that centered on racially diverse populations; both commented that faculty were unconsciousness about the need for race content. Additional data shared demonstrated that teacher candidates of color entered the program racially conscious as compared to white teacher candidates who appeared to be racially unconsciousness and that teacher candidates of color related to feelings of exclusion within the program while White teacher candidates reported feelings of inclusion (Berry, Burnett, Krull, Eastman, Berschorner, Kruizenga, 2017). The data and the personal narratives that were shared prompted a number of faculty and staff to engage in racial equity changes with their teaching, advising and communications. Bringing the student voice into faculty, staff and administrators' learnings remains a powerful motivator and reminder of how much work remains to prepare racially conscious, equity-minded educators.

In addition to established, college-wide professional development experiences, the advisory board has been instrumental in organizing and facilitating informal book studies that allow faculty and staff to further their knowledge and understanding in small group settings. Finally, the advisory board developed a college level professional development application process funded by the dean's office. The process provides faculty and staff with the opportunity to secure funds for research expenses, conference and training expenses, and research materials that support their continuing development and scholarly activity as it relates to the college's vision: To inspire lifelong learning and professional engagement through racial consciousness, social justice, and inclusion with a global context.

Systems Change. Three years ago, the college realized that if it was going to increase the potential for ongoing, sustainable systemic change that professional development efforts as well as other program and system changes needed to be more clearly guided by a vision, mission and goals that reflected the college's intentions to uproot the whiteness of its systems and structures and to prepare racially conscious educators. Through a collaborative approach by the college's leadership council, which consists of department chairs, college-level directors, and advisory council chairs, the college's vision, mission and goals were updated and implemented. The vision is "to inspire lifelong learning and professional engagement through racial consciousness, social justice, and inclusion within a global context." The mission is "to prepare professionals through research and evidence-based practices who demonstrate excellence in their profession." The college's goals include (a) inform decision-making through intentional integration of student needs and student development; (b) increase the ability to practice racial equity among faculty, staff, students, and partners by examining existing systems and structures; (c) provide infrastructure and resources to achieve excellence in advising, teaching, scholarship, and service; (d) use assessments, data, and research to support decisions and initiatives for program development and accreditation; and (e)

expand opportunities for students, faculty and partners to address social justice through engagement with local, regional, national, and international communities.

The work reflects what the college has invested in and serves as a guide for continuous review and adjustments with existing system practices, procedures and policies. The work also serves as a means to monitor efforts to improve support for educator candidates of color and address unintended bias that hinder the ability to prepare racially conscious, equity-minded teacher candidates. Examples of changes include the intentional use of racial consciousness and social justice language within the qualifications of position descriptions. The explicit references to racial consciousness and social justice in job postings have led to an increase in applicants of color and a hiring outcome of five new faculty of color. Teacher preparation programs have also changed their application criteria for acceptance into professional education to expand beyond grade point average and to include personal interviews and opportunities for students to response to prompts focused on their understanding and disposition toward racial equity (DiAngelo, 2016; Ladson-Billings & Tate, 1995; Picower, 2009; Sealey-Ruiz, 2011).

Teachers of tomorrow. Beginning with support from an external grant focused on improving teacher preparation programs, the college has committed to recruiting and supporting students of color for the profession. The college began by creating a Director of Recruitment and Retention position with a focus on increasing the number of students of color in preparation programs. One of the first initiatives the director implemented was the Teachers of Tomorrow (ToT) program. It began with eight students in 2010 and now supports approximately thirty students. It is an academic support program designed for students from traditionally underrepresented groups. Through targeted, rigorous and purposeful support, the program addresses academic, social and emotional issues participants face as college students. A ToT strategy is to not only recruit, retain and graduate teacher candidates of color but also engage, expose and immerse them with their white counterparts to develop and cultivate culturally compatible, equity-minded teachers.

The college's Director of Recruitment and Retention and the Student Relations Coordinator are instrumental in the implementation of the program. They have developed a program that provides support for students of color who find themselves on a predominately white university campus and who may find the expectations associated with teacher preparation programs confusing and unwelcoming. The program is developed around characteristics found to support retention for students of color (Durden, McMunn Dooley & Truscott, 2016; Gist, 2018; Nguyen, 2008) such as providing a sense of belonging, bridging gaps from student culture to institutional culture, establishing authentic student-faculty interactions, and providing strong social and emotional support systems. Fenwick (2001) asserts that communities without minority associations or other minority groups or clubs have difficulty attracting new minority candidates. Students coming directly from high school expect to enjoy some sense of bonding with colleagues of their own culture; the ToT program creates a sense of belonging.

Scholarships. The college addressed a common hurdle with recruiting students of color for the profession by establishing scholarships that begin year one. With admission into professional education not occurring until the end of year two, many of the existing education scholarships are not implemented until students are accepted into a teacher preparation program. Realizing this limited recruitment efforts, the college worked with university personnel and solicited donors to financially support potential teacher candidates of color from the beginning of their college experience. With additional new opportunities from a state level grant focused on increasing the recruitment and

retention of teacher candidates of color, the college has been able to provide scholarships at various stages of program completion for over 50 teacher candidates of color.

Academic program changes. In addition to the college level support services, the preparation programs have been consciously reflecting on necessary changes in instruction, curriculum, and experiences. While there remains much in need of change, programs have added seminars, have made curricular changes, and have reframed field experiences to focus on strengthening teacher candidates' awareness, knowledge, and skill in teaching in a culturally relevant, equity-minded manner. Faculty and staff have also explored opportunities to introduce and acclimate students to racial consciousness and social justice in semesters leading up to acceptance into professional education. For instance, a new campus-wide general education course in critical race theory was developed and approved and a first year experience class was reframed to introduce the use of the Courageous Conversation protocol as well as to introduce the common definitions document used by the college.

At the graduate level, the Department of Educational Leadership has embraced the importance of preparing school leaders to address racial equity at the system level. The department redesigned its school administration preparation program to embed research and practices that impact the disparaging and racially predictable gap in student achievement. Acknowledging the existence of the achievement gap is cited as one of the most important steps leaders can take to address equity work in their buildings (Kafele, 2014; Haycock & Jerald, 2002; Wooleyhand, 2013). More progress towards closing the achievement gap has been noted in schools that are intentional about addressing the existence of and need to close the gap than in schools who did not make such clear and intentional decisions. The redesigned program, along with the department's close work with school districts, has improved school leader preparation around racial equity and has resulted in a steady increase enrollment of aspiring school leaders of color.

The Department of Educational Leadership also supports the Center for Engaged Leadership. The purpose of the center is to provide professional development for practicing school leaders. A professional development program that demonstrates a commitment to racial equity and that has maintained active participation is the Institute for Courageous Principal Leadership. The institute's mission is to develop principals who lead with fearlessness, skill, self-knowledge and racial competence to eliminate achievement, teaching and participation gaps and whose leadership is driven by results and a moral imperative to create schools that fully engage, educate and include every child. The purpose of the Institute for Courageous Principal Leadership is to build the cultural agility of principals to provide effective leadership in their increasingly diverse school communities. The institute provides a two-year instructional leadership development program with the following goals: (a) to increase principals' ability to advance educational equity and eliminate gaps in racially predictable achievement, teaching, and participation; and (b) to build principals' leadership capacity to facilitate, create and sustain technical and adaptive change that significantly improves achievement for all students**.** Since 2012, the Institute for Courageous Principal Leadership has had over 400 racially conscious school leaders complete the program.

As another intentional effort to increase awareness and engagement around the importance and impact of racial equity, the department has established an annual "Leading Courageously for Racial Equity" conference. The conference features a keynote speaker, supported by a donor contribution, and breakout sessions that involve university and K-12 presenters who share research and practices focused on addressing racial equity. The conference has proven to be a place where practitioners

and aspiring educator leaders can interact, blend research into practice, and be re-energized in their ongoing efforts to address racial disparities in education. In addition, the conference has garnered enough participation that it registration fees are used not only to cover conference expenses but also support five scholarships per year for aspiring educational leaders enrolled in one of the department's programs.

Partnerships. As the college increases the number of teacher candidates of color and the awareness of racial equity with white teacher candidates, the ability for them to be coached and mentored by educators who know and demonstrate equity-mindedness is important. P-12 partnering school districts collaborate with the college with the purpose to enhance teacher preparation, provide professional development and advocate for improvements in the education system in Minnesota, from kindergarten through college. Within that framework, they have readily joined in the work to prepare racially conscious, equity-minded educators. A significant component to the professional development involves the joint commitment to preparing university supervisors, district teachers on special assignment, and district mentor teacher to not only effectively coach teacher candidates but to also demonstrate effective, racially conscious teaching. The college has contracted with the New Teacher Center (NTC), a nonprofit dedicated to guiding educator to improve student learning, to provide quality training for those who supervise and mentor teacher candidates. The contract also provides access to NTC tools for use with teacher candidate field experiences and student teaching. The training and tools, along with professional development on racial equity, have provided the college and its partnering school districts with opportunities to expand the capacity to impact racial equity understanding and aptitude in the teacher preparation programs and in the partnering school districts.

The college has also extended its effort to bringing racial equity to educator preparation by partnering with two other higher education institutions and a nonprofit human development organization who are as equally invested in the work. The collective focus of the group is to strengthen university-based teacher education through a shared commitment to racial equity. The partners seek to improve the quality of university-based teacher education and the delivery of public education—initially on their own campuses and within their partner districts and then expand to other universities that share their vision and commitment to racial equity.

EVALUATION OF COLLEGE EFFORT

The college has encountered its share of successes and challenges since actively embracing the responsibility to diversify the workforce and prepare racially conscious educators. Successes include the college's vigilance in its intent to uproot the whiteness of its systems and structures. This has occurred through such practices as the regular use of the college-wide working definitions around such terms as diversity, cultural competency and race; the use of Singleton's (2015) Courageous Conversation protocol; and the use of the college's vision, mission, and goals to guide our work. Once a solid foundation and commitment was established with faculty, staff, and administrators, we began to experience transformations such as an increase in the enrollment of students of color and racially conscious, equity minded students. We also experienced an increase in the number of potential applicants of color and racially conscious, equity minded applicants who applied and were hired in various positions throughout the college. And it was when faculty began to focus on program and field experience changes that heighten teacher candidates' preparation to be racially conscious educators.

A persistent challenge has been determining how to maintain an environment where teacher candidates, especially candidates of color, trust us enough to bring to our attention practices and actions that exacerbate race bias and racism. The practices and actions often reflect a lack of awareness or disregard for racial inequities encountered in the university or in the P-12 environment. We have been working to make it a habit to pause when we begin to engage in system planning or when we reflect on practices and procedures to ask ourselves if we have taken time to secure the student perspective on the issue.

IMPLICATIONS TO EDUCATIONAL PLANNING

As an educator who has worked in the profession for over 30 years, I am surprised how long it has taken to intentionally address racial disparities and to commit to establishing a system and an environment focused on preparing racially conscious educators. It has taken continuous diligence and awareness not only with everyday interactions, decisions, and practices but also with long term planning and strategizing. It has also taken a level of persistence by those who are committed to the work. More than once there has been a need (a) to deflect situations that were deterring our efforts to change practices and policies, (b) to redirect our attention and decision-making back to our vision, and (c) to re-approach by a different means our efforts to provide our teacher candidates with racially focused experiences. The changes described in this article occurred due to patience, steadfast commitment, and persistence followed by actions that were implemented through professional development, system changes, academic program changes, or partnerships. One ongoing and powerful approach that we will continue to use is engaging and using student voice to clarify and share what and why changes are needed.

CONCLUSION

Overall, it has taken a commitment and continuous planning and monitoring of professional development needs, system changes, academic program changes, and partnership engagement to see a transformation in how the college functions. The results have been the implementation of approaches, practices, and policies that, while not free of racism, has better equipped faculty, staff and administrators to support educator candidates of color and prepare all candidates to be racially conscious educators. Through careful scaffolding of professional development and systemic changes, the college is beginning to see outcomes from its efforts. Examples of changes include (a) the explicit incorporation of racial equity into the vision and core principles; (b) position postings and hiring decisions focused on racial equity and representation; and (c) the heightened ability and capacity to do racial equity work at various structural levels of the college and the university. Based on these changes and over the course of time from 2010 to 2019, the percentage of teacher candidates of color has increased from 2.9 percent to 8.7 percent; the percentage of aspiring school leaders of color has increased from 8.5 percent to 18 percent; and the percentage of faculty and staff of color has increased from 4 percent to 19.5 percent (Integrated Student Record System).

There remains a significant amount of work for the college to achieve its vision, to inspire lifelong learning and professional engagement through racial consciousness, social justice, and inclusion within a global context; and, specifically, to diversity the state's educator workforce and adequately prepare racially conscious educators to meet the changing student population. However, the plans, actions and outcomes that have occurred demonstrate it is within reach.

REFERENCES

Berry, T., Burnett, R., Krull, M., Eastman, K., Berschorner, B., & Kruizenga, T. (2017). *Journeys through an unconsciously unconscious teacher preparation program: Racial experiences of re-service teachers at a predominantly white institution.* Unpublished manuscript.

Cheruvu, R., Souto-Manning, M, Lenci, T., & Chin-Calubaquib, M. (2015). Race, isolation, and exclusion: What early childhood teacher educators need to know about the experiences of pre-service teachers of color. *Urban Review, 47*, 237–265.

DiAngelo, R. (2016). *What does it mean to be white? Developing white racial literacy.* New York: Peter Lang Publishing, Inc.

Durden, T., McMunn Dooley, C., & Truscott, D. (2014). Race still matters: preparing culturally relevant teachers. *Race Ethnicity and Education, 19*(5), 1003-1024. doi:10.108/13613324.2014.969226

Educators for Excellence. (2015). *Closing gaps: Diversifying Minnesota's teacher workforce.* Retrieved from https://e4e.org/what-we-do/policy-solutions

Fenwick, L. (2001). *Patterns of excellence: Policy perspectives on diversity in teaching and school leadership.* Atlanta, GA: The Southern Education Foundation (SEF).

Gist, C. (2018). Moving teachers of color from the margin to the center: Analyzing teacher testimonies of educational aspiration. *Urban Review, 50,* 517-538. doi:10.1007/s11256-018-0454-0

Haycock, K. & Jerald, C. (2002). Closing the achievement gap. *Principal, 82*(2), 20–23.

Hackman, H. (2016, May). Racial justice training. Hackman Consulting Group. Training conducted at Minnesota State University, Mankato, Mankato, MN.

Hackman, H. (2017, February). Racial justice training. Hackman Consulting Group. Training conducted at Minnesota State University, Mankato, Mankato, MN.

Integrated Student Record System (ISRS) [Database system]. St. Paul, MN: Minnesota State system official repository of student and course data.

Jackson T. (2015). Perspectives and insights from preservice teachers of color on developing culturally responsive pedagogy at predominantly white institutions. *Action in Teacher Education*, *37*(3), 223-237.

Jackson, Y. (2011). *Pedagogy of confidence.* New York, NY: Teachers College Press.

Kafele, B. (2014). Closing the attitude gap. *Principal Leadership, 15*(5), 32-35.

Kena, G., Musu-Gillette, L., Robinson, J., Wang, X., Rathbun, A., Zhang, J., Wilkinson-Flicker, S., Barmer, A., and Dunlop Velez, E. (2015). *The Condition of Education 2015* (NCES 2015-144). U.S. Department of Education, National Center for Education Statistics. Washington, DC. Retrieved from http://nces.ed.gov/pubsearch.

Ladson-Billings, G., & Tate, W. F. (1995). Toward a critical race theory of education. *Teachers college record, 97*(1), 47-68.

Lenski, S., Crumpler, T., Stallworth, C., & Crawford, K. (2005). Beyond awareness: Preparing culturally responsive preservice teachers. *Teacher Education Quarterly*, *32*(2), 85-100.

Minnesota Department of Education, (2014). *Data center: Report card.* Retrieved from http://education.state.mn.us/MDE/Data/index.html

Minnesota Department of Education, (2019). *Data center: Report card.* Retrieved Data from https://rc.education.state.mn.us/#staffing/orgId--999999000000__groupType--state__p--2d

National Assessment for Educational Progress, (2012). *The Nation's Report Card*. Retrieved from http://www.nationsreportcard.gov/ltt_2012/age9r.aspx

Nguyen, H. T. (2008). Conceptions of teaching by five Vietnamese American preservice teachers. *Journal of Language, Identity, and Education, 7*(2), 113–136.

Paris, D. (2012). Culturally sustaining pedagogy: A needed change in stance, terminology, and practice. *Educational researcher, 41*(3), 93-97.

Picower, B. (2009). The unexamined whiteness of teaching: How white teachers maintain and enact dominant racial ideologies. *Race Ethnicity and Education, 12*(2), 197-215.

Sealy-Ruiz, Y. (2011). Dismantling the school-to-prison pipeline through racial literacy development in teacher education. *Journal of Curriculum and Pedagogy, 8*(2), 116-120.

Sealey-Ruiz, Y., & Greene, P. (2014). Popular visual images and the (mis)reading of Black male youth: A case for racial literacy in urban preservice teacher education. *Teaching Education, 26*(1), 55–76.

Singleton, G. (2015). *Courageous conversations about race: A field guide for achieving equity in schools* (2nd ed.)*. Oakland, CA: Corwin.

Stanton, C. R., & Morrison, D. (2018). Investigating curricular policy as a tool to dismantle the master's house: Indian education for all and social studies teacher education. *Policy Futures in Education, 16*(6), 729-748.

The Coalition to Increase Teachers of Color and American Indian Teachers in Minnesota. (2019). Retrieved from https://www.tocaimn.com/research-resources

Yu T (2012). What is it that I don't know: Learning with white teachers in anti-racist education. *Multicultural Education*, *19*(4), 47-52.

Wooleyhand, C. (2013). Putting beliefs into action. *Principal, 92*(5) 10-13.

AN ANALYSIS OF GOVERNANCE MODELS OF RESEARCH UNIVERSITIES IN SELECTED COUNTRIES: LESSONS LEARNED

HONG YING XIAO
Tsinghua University, China
TAK CHEUNG CHAN
Kennesaw State University, U.S.A.

ABSTRACT

The purpose of this paper is to identify the special features of the governance structures of research universities in four western countries: the United States, Germany, the United Kingdom and France. Conceptual framework was laid out as groundwork of the paper. Scholarly work of known authors in higher education governance was reviewed with major features of the governance of the research universities of these countries identified and discussed with reflection of the conceptual framework. It was found in common that major research universities have (1) governance structure with responsibilities of components specifically defined; (2) distinct separation of business affairs and academic work; (3) good collaboration among the entities of their governance structure; and (4) great respect for academic freedom and independence.

INTRODUCTION

Research universities worldwide are operated under different structures of governance. Many models of governance are reflective of the culture and tradition of their own countries. Their systems of governance are also established around the significance and the essence of the political needs of their countries. As a result of these considerations, modern research universities of different countries have displayed specific features of their own which could serve as excellent examples for other countries to learn. Bleiklie and Kogan (2007) claimed that research universities started early in Europe and North America with well-established structures of governance. The historical tradition and subsequent development of the governance of these universities offer much pioneering experiences to be shared. Therefore, in this paper, the governance structures of research universities in four western countries (the United States, Germany, the United Kingdom and France) are identified and the essence of their governance is examined through reviewing the work of known higher education scholars on governance structure. The special features of the governance structure of research universities in each of the countries are recognized. The conceptual framework provides a background of the philosophical and theoretical concepts that support the review. The significant results of the review are reported with analytical summaries of research universities in each of the four countries. Implications and discussions are made with the major features of the governance of research universities as a reflection of the conceptual framework. The paper concludes with highlighting the lessons learned from the research university governance of the four countries.

PURPOSE OF THE ANALYSIS

This paper involves a discussion of the systems of governance in research universities in four selected western countries: the United States, Germany, the United Kingdom and France. The purpose of this paper is to examine the special features of the governance systems of research universities in these

four countries. Among these special features, some common characteristics can be drawn. It is hope that the review and analysis of materials provided in this study could be helpful to other developing and/or existing research universities to plan for their structures of governance.

CONCEPTUAL FRAMEWORK

Philosophical Concepts

Searching for knowledge and serving politics

The mission for the development of higher education has been argued for a long time. The scholastic point of view seems to lean toward the priority of searching for the advancement of knowledge in different academic fields. Thus, all the faculty members of the universities are required to demonstrate their scholarly performance in addition to their capability to assume their teaching duties (Braxton, 1996). However, some researchers in higher education have argued that there exists another even more significant mission of higher education to serve the political purpose of a country. They claim that institutes of higher education have been developed to satisfy the basic human resource needs of a country by preparing manpower of all levels to keep the country moving (Council of Europe, 2007; Gibson, 1976). A more comprehensive concept of the development of higher education was presented by Brubacher (1982) who asserted that higher education institutes were established obviously for searching to achieve higher levels of knowledge. He also supplemented in support of the legitimate application of advanced knowledge to serve in the improvement of livelihood of people in the country. He clarified that program development, redesign or expansion in higher education was actually reflections of the changing social needs of a country.

Academic freedom and professionalism

Professors in higher education are hired for their distinguished scholarship and professional experiences in the field. They are the specialists in their areas of expertise and should be well respected in their decisions on program development and instructional approach to the best benefit of the students. They should be given a free hand to conduct the student admission process, student evaluation and the academic requirements for program completion. (Brubacher, 1982). In his book entitled, "Concepts of Universities", Jasper (1946) clearly uttered that academic freedom in universities should be enjoyed by professors who teach and research on subjects of his/her free will and students who can freely choose to study subjects of their own interest. However, academic freedom cannot be exercised without limitations when it comes in confrontation with university administration. As Brubacher (1982) declared that to achieve a high degree of efficiency and effectiveness of university operation, some kinds of division of work are needed between school business and academic work. Academic staff and business staff can work collaboratively to keep a balance in achieving the university goals.

Liberal education and specialized education

Newman (1852) described the basic education offered at the undergraduate level as "liberal education" which is aimed at preparing the younger generation to be rational and humanistic individuals with a heart of love for human beings. The purpose of "liberal education" is to provide appropriate nurturing for students to appreciate the excellence of citizenship. "Liberal education" is different from "specialized education" offered at the graduate level which is developed to reflect the social workforce needs. Specialized education is focused on preparing students with advanced level knowledge and skills to assume leadership in identified trades in society. Newman (1852) also recognized that liberal education at the undergraduate level has served as the foundation of

specialized education at the graduate level. All the prominent research universities have strong supportive undergraduate liberal education programs as the basis of academic development.

Theoretical Concepts

University governance

In the discussion of the governance of an organization, Wa (2014) claimed that any system of governance would involve two dimensions: the governor and the one to be governed. When the two groups work together in an organization, they would like to plan their collaborative work together in such a way that a high degree of efficiency and effectiveness is achieved in the organizational operation. A system called governance needs to be created to generate specific guidelines as to how complicated encounters can be turned out to positive outcomes. Yu (2014) also supported that for any organizational governance to work, attention needed to be drawn to the detailed technicalities of the governance mechanism. He emphasized that work division and shared responsibilities had to be specifically spelled out so that both the governor and the one to be governed knew exactly what to expect. In case of unavoidable conflicting situations between the two parties, Jessop (1998) stated that all the stakeholders of the governance had to communicate with open minds to lay everything on the table to get things resolved for the best benefit of the organization. The governing group should play a leading role in resolving any confrontations that could possibly occur. Jessop (1998) further urged that such a system of governance has proved to work in many university systems in which the structures of authorities are multi-levelled.

Stakeholder theory

The stakeholder theory was first initiated by R. Edward Freeman (1984) in his book entitled, "Strategic Management: A Stakeholder Approach" in which he stressed the existence of the value of concern and the equity of exchanges within an organization. He and his colleagues further elaborated the stakeholder theory in detail in the follow-up book, "Stakeholder Theory: The State of the Art" (2010). Freeman intended to change people's mindset of organizational management from the traditional paradigm of "shareholders first" to "stakeholders first". He further explained that shareholders of an organization were only interested in profit making as a result of the operation of the organization. However, stakeholders of an organization, in addition to the shareholders, include all members of the working team who plan and work hard together to meet the goals established by the organization. Therefore, stakeholders are the actual workforce within the organization to make all the big and small wheels moving. However, stakeholders may also be from outside of the organization. These outside stakeholders contribute to the success of the organization by offering monetary and material support in addition to personal time and effort. All the stakeholders of an organization have an invested interest in the organization itself and they see that they are benefitted from the organizational success. Freeman (1984) reiterates that since the stakeholders hold different positions and play different roles in the operation of the organization, they will not be receiving equal amount of the shared benefits of the organization. The stakeholder theory first started from the business community with great success and is now employed by many organizations as an approach to define work responsibilities and assessment for accountability. A university is a multi-levelled organization with complexed structures of authorities. The stakeholder theory has become a good match for what the university governance needs.

Organizational behavior

In his theory of positive organizational behavior, Luthans (2002) claimed that the best components of a successful organization consisted of quality human resources and positive mindset of its members.

He emphasized that the strengths of the members in an organization needed to be followed by the lead of positive psychological capacities. Luthans believed that when all organizational members turned their minds in the same positive direction, then, the organization could make best use of its human talents to achieve the best for the organization. The theory of positive organization behavior is adaptable to human resource training and development and capable of contributing to improvement in organizational performance. Furthermore, Robbins and Judge (2008) elaborated that the study of organizational behavior was focused on the relationship of individual behaviors, group behaviors and the system behaviors within the organization and how they could interactively impact the developmental activities of the organization. It is obvious that in a university setting, the mission of the university draws upon the enthusiasm of the most talented minds in different academic fields on campus. Motivating the most positive psychological spirit of the university is the most powerful strategy to contribute to the best of university success by making best use of its human resources.

GOVERNANCE MODELS OF RESEARCH UNIVERSITIES IN THE UNITED STATES

Most research universities in the United States are operated under a three-level governance system: the university, the college and the department. The president of the university serves as the head administrator of the university with the supreme authority for decision making while working at the same time under the directions of the Board of Directors who are the representatives of the state boards and the communities. The chief officer under the president is the provost who is responsible for all academic affairs including program designs and assignment of program resources. Other vice-presidents are assigned with their supporting business responsibilities, such as policy, finance, personnel, maintenance, security, and student services. The colleges and the departments are established by academic discipline and are majoring in the development of academic programs to meet the need of the communities the university serves. The deans of colleges and department heads report to the provost and the president. Faculty members can be self-elected to the university level faculty council which serves to oversee all academic affairs of various programs in the university (Ehrenberg, 2005). However, as the university business gets more and more universal and technologically advanced, consideration needs to be given to more details of work division and collaboration and possibly governance restructure (Trakman, 2008).

The governance of U.S. research universities may differ from university to university. However, in general, the special features the governance of U.S. research universities can be identified as follows (El-Khawas, 2002):

(1) The provost.
The role of the provost as chief supervisor of academic affairs in U.S. research universities is unique. The position is created to assist the president in managing the most significant task of a research university, knowledge advancement. The provost, serving as an important channel of communication between the president representing the university level and the deans and faculty at the college and department levels, works in support of academic program development, recruitment of quality faculty members, significance of student research and academic resource allocations.

(2) The deans.
The deans of colleges in U.S. research universities are given full authorities to independently decide on college operation issues in collaboration with faculty committees. The deans who are former faculty members understand the needs and

concerns of the faculty members most and are now in a good leadership position to do their best in support of faculty members to face present and future challenges. The deans also exercise the authorities vested in them to explore and seek for the most advantageous resources leading to achieving the greatest honor for his/her college.

(3) The department heads and faculty.

The department heads and the faculty members in the departments work in their areas of special interest under the directions of the deans of the colleges. Faculty members in U.S. research universities are not simply followers. They are given full opportunities of participation in the advancement of their research specialties. They are also strongly encouraged to serve in department, college, university and state level committees to impact on import academic decisions and make professional recommendations for improvement.

GOVERNANCE MODELS OF RESEARCH UNIVERSITIES IN GERMANY

Most of the research universities in Germany are established by the state and supported by state revenues. However, in Germany, it has been the traditional belief that state universities should maintain their integrity free from political interference. As stated by Wilhelm von Humboldt of Humboldt University of Berlin (cited in Hung, 2010), a university in Germany should respect its independence, academic freedom and teaching and research collaboration.

Some of universities in Germany today still are under the traditional four level governance system: university, fachbreich (division), institut (college) and lehrstuhl (chair professorship). All the administrative and business operation of the entire university are managed at the university level. A fachbreich is simply a division by academic discipline which does not have much assigned authority. The real operational power of the university is actually in the hands of the institut. The lehrstuhls are sub-divisions of the institut involving in special research projects. The head of a lehrstuhl will also serve as the head of the institutes on a two-year term by rotation. Committees of academic affairs joined by faculty members are established at the institute and the lehrstuhl levels to help the heads of institutes and lehrstuhls with the decision- making processes (Ma, Li & Liu, 2002).

Today in Germany, most of the research university systems are operated under a modern governance to consist of the university, the college and the department/research center levels (Bauer, Bormann, Kummer, Niedlich, & Rieckmann, 2018). Like in the traditional system, the university level administrators are in charge of all the business and external affairs of the university leaving the academic matters to be managed by the colleges and the departments/research centers. The administrative work at the university level is assisted by faculty members who voluntarily serve on faculty councils and special committees to make recommendations. The department heads take turns to serve as the heads of the colleges in a cycle of two-year term. Research centers with the support of special research grants are headed by chair professors in the respective colleges. All the academic affairs within the colleges and the departments/research centers are managed by professors who form committees of various functions and responsibilities (Ma, Li & Liu, 2002).

The system of governance in research universities in Germany is unique. The present governance though closely aligns with the modern governance in other western countries still maintains some of the basic features of the traditional governance (Bauer, Bormann, Kummer, Niedlich, & Rieckmann, 2018).

First, the academic freedom of professors and students are well respected under the university

governance. Professors are free to research on topics of their own interests and are given much authorities in decision making of academic affairs. Chair professors with research grants are authorized to organize their own academic teams and staff and decide on the directions of their research focus. Students are free to study in their areas of choice even across colleges.

Second, the administrative work and the academic work of the university are clearly divided up to give specific responsibilities to individual groups who would focus on their unique assignments. This division of work seems to work out fine with the administrative work mostly handled at the university level. The faculty at the college and department/research center levels could focus their attention on the development of academics.

Third, in the present governance, department heads are required to serve as heads of the college by rotation. The system has drawn the work of the college and the work of the departments more closely together. The department heads now understand more of the challenges of the college office and are more willing to cooperate with the college heads in performing their academic duties. On the other hand, college heads who are department heads themselves are more open to solicit faculty input in all academic decision-making procedures.

Fourth, the governance system of chair professorship has offered opportunities for top scholars to well establish themselves in their areas of research expertise. They are authorized to set up their research centers for the advancement of knowledge in needed areas. However, it has been seen in some cases, that after the establishment of chair professorship for a while, the governance structure with basic set up of personnel and work practices would become stereotyped with little changes. The chair professor system could be improved by generating mechanisms of opening doors to accommodate inflow of new blood with fresh ideas.

GOVERNANCE MODELS OF RESEARCH UNIVERSITIES IN THE UNITED KINGDOM

The governance of universities in the United Kingdom has inherited from long years of tradition starting from Oxford University, Cambridge University and the University of London. The structure of modern university governance in the United Kingdom consists of four levels: the university, the faculty, the school and the department (Trakman, 2008). The university level is in charge of all university administrative affairs including external relations. This aspect of the system helps save many duplication efforts in handling daily business leaving time for the faculty, the school and the departments to focus on academic affairs. The faculties headed by the deans are divided by academic discipline. The deans of faculties who are responsible to the university president are assigned with the supervisory role of overseeing the development of academic programs under their leadership. Schools of different academic interests are established under the respective faculties. The heads of schools report to their respective deans for matters of program development, personnel affairs and school finance. In fact, schools in the universities of the United Kingdom are pretty much independent entities. They have the authority to design programs, to hire and replace professors and academic staff, and to seek for sources of program support funding. In addition, the heads of schools are authorized to set up new departments or research centers under their schools to reflect the needs of the community. Departments and research centers are created when grants or special funding become available. Such proposals for new departments or centers with full justifications will need to go through the faculty and the university level for formal approval. Professors and academic staff of a university enjoy full opportunities of expressing their opinions through participation in the university level and/or faculty level councils of professors which are scheduled to meet at least once per semester. They can also be elected or voluntarily offer to serve on the many committees or

special taskforces at the faculty or school level to contribute to the operation of the university (Deng & Wu, 1996; Zheng, 2011).

The governance of research universities in the United Kingdom has followed the British tradition but has been modernized to meet the challenges of global competitiveness (Trakman, 2008). The system is unique with the following identified features:

First, the governance system of university, faculty, school and department/research center has clearly specified roles and responsibilities of each of the governance components. However, the system is designed in such a way to place heavy emphasis on the academic capacity of the schools and the departments/research centers. The university upholds the academic freedom and the independent authorities of the schools and the departments/research centers.

Second, the governance system is set up to allow great opportunities of collaboration between the faculty, the school and the departments/research centers. Not only is there a good outline of division of work among the units, but, the flow of work process among the units has also been well established to facilitate high efficiency and effectiveness.

Third, the deans' offices of the faculties in the universities have established a positive environment for the professors and academic staff to share and contribute their best to uphold the honors of the universities they serve. This openness of administrative style has gained the supportive responses of the professors and academic staff who are willing to go extra miles to work for the success of the universities they are proud of.

GOVERNANCE MODELS OF RESEARCH UNIVERSITIES IN FRANCE

The governance of research universities in France is impacted by two significant legislatures of higher education in recent years. The University Independence and Accountability Law of 2007 upheld the authorities of the presidents at the university level of governance. Under the law, the presidents with his/her special committees oversaw all administrative and academic affairs of the universities. However, the Higher Education and Research Capacity Law (2013) has confirmed the change of university governance with the transfer of major academic authorities from the university to the colleges and teaching and research units (Zhou, 2015). Most research universities in France today do follow the directions of the Higher Education and Research Capacity Law (2013). The present governance consists of three levels: the university, the college and the teaching and research units. The university level takes care of most of the administrative business leaving the academic affairs to the colleges and the teaching and research units. The colleges are divided by academic discipline and are coordinating the teaching and research work of all the units under them. The heads of the colleges are elected from among the professors and academic staff within the college to serve a five-year term. The teaching units are offering the bachelor, master's and doctoral programs to meet the labor market needs. The units are also serving as the developing grounds for advanced level learners who plan to pursue a scholarly career. The research units, sometimes called research laboratories, are operated independently with its own unique research interest and source of funding. The research units continue to depend on large government and/or external grants for support. Sometimes, a research unit is divided into several sub-units to indicate their specific research directions (Wang, 2015).

The modern governance of research universities in France follow very closely with the governance of other western countries. The governance of French universities though having much to be expected (Gee, 2016) carries the following identified special features:

First, the governance of research universities follows a college model consisting of teaching and research units as the foundation of academic structure. All the colleges are operated with a high degree of independence. They design their own programs and by-laws for governance. They recruit their own professors and staff with largely external funding support.

Second, the heads of the colleges work with specially assigned committees to manage all matters relating to programs, standards, personnel and finance. All the professors and academic staff of the teaching and research units are invited to serve on any of the committees to which they feel they could contribute. Unique external stakeholders of the teaching and research units are also invited to serve on these committees to provide their professional perspectives. The high involvement of professors and academic staff and external professionals in college operation provide the stakeholders a strong sense of ownership.

COMMON CHARACTERISTICS OF GOVERNANCE MODELS OF RESEARCH UNIVERSITIES IN EUROPE AND NORTH AMERICA

This paper has focused on reviewing the development of governance models of research universities in four major countries in the western world: the United States, Germany, the United Kingdom and France. Some countries have had a long tradition of governance which has now been modernized to reflect the community needs and grant application pre-qualifications (Bleiklie & Kogan, 2007). Some of the common characteristics of governance models of research universities in the western world are presented in the following:

(1) The structure.
Most of the research universities in these four countries are operated under a three-level structure of governance: the university, the college and the departments (or teaching units and research laboratories). To reflect the nature of research universities, most universities have placed much of the focus on the development of the colleges and all the teaching and research units under them. A few universities are operated under a four-level governance: the university, the faculty, the college and the departments. However, to eliminate any administrative duplication, the three-level governance structure is most popularly adopted.

(2) Administration and academics.
Most research universities in this review have clearly indicated a separation of administrative duties from academic responsibilities. While most of the internal and external businesses are managed at the university level, much time and effort are provided for colleges and departments (or teaching and research units) to focus on the academic fields. The teaching units are assigned with the degree programs to develop human resources to meet the local and global challenges. The research units are emphasized on the development of advanced knowledge of new inventions for the improvement of human lives.

(3) College and unit independence.
The governance of most universities is designed in a way to support the independence of colleges and teaching and research units. Since the colleges are divided by academic discipline, the universities have placed trust on the colleges and the teaching and research units to be independently operating by their own with support from the university level from time to time. The trust is grounded on the belief that experts of their fields know the best what to do with the developmental directions they are

heading. This proves to be very successful in respecting scholarly judgements with professional experiences.

(4) Academic freedom.

Academic freedom is fully respected and exercised in the research universities of the western world. Professors and academic staff are given the opportunities to teach and research on the academic subjects of their preference while students have the total freedom to choose to study subjects of their choice even across colleges. Professors and academic staff will provide evidence of justifications of their positions in their areas of expertise. Students are under class advisement of professors in pursuing in their courses of study.

(5) College and department collaboration.

Work collaboration between the colleges and the departments (or teaching and research units) in research universities of the western world is a special feature of their university governance systems. The heads of colleges are open to suggestions of professors and academic staff. They even personally invite professors of special expertise to take the lead on special committees or taskforces. Professors and academic staff voluntarily choose to serve on these committees or taskforces to offer professional services. Through these collaborative efforts, the colleges and the departments (teaching and research units) draw their relationships close together to achieving the university goals.

(6) Financial support.

All the university programs of the western world receive some kinds of government funding appropriation as operational funds as indicated in the government legislatures. However, the appropriation is always limited and insufficient. The colleges and the departments (or teaching and research units) are encouraged to apply for external grants in support of their programs. As a matter of fact, many research laboratories are established because the grant applications become successful. Research laboratories have full authorities in the management of the grant money in support of the grant purposes.

IMPLICATIONS/DISCUSSION

After a review of the governance systems of the major research universities in the western countries, the author is able to reflect on some of the philosophical and theoretical concepts cited earlier in this paper. It is clear that these concepts initiated by previous philosophers and theorists make good sense and have been applied to practical use in the governance systems of major research universities.

Brubacher (1982) asserted that higher education institutes were established obviously for searching to attain higher levels of learning and, at the same time, for preparing knowledgeable and skillful people to meet the social demands. He clarified that program development, redesign or expansion in higher education were necessary because the university programs need to align with changing realities of a country. In modern research universities, the governance has placed much focus on the development of colleges and their departments which are divided into teaching units and research units. The teaching units are preparing students to meet social needs while scholars in the research units work hard to explore in the advancement of knowledge.

In the discussion about academic freedom, Jasper (1946) uttered that academic freedom in universities

should be enjoyed by professors who teach and research on subjects of his/her free will and students who can freely choose to study subjects of their own interest. Brubacher (1982) also declared that division of work is needed to allow some university entities to take care of school business while freeing the professors and academic staff to pursue their academic work. These managing concepts are fully reflected in the governance of research universities today. All the research universities in the reviewed countries highly respect the academic freedom of the professors and the students. They have consolidated the administrative responsibilities at the university level so that professors and academic staff at the college and department levels can concentrate on scholarship development.

As early as 1852, Newman identified the purpose of "liberal education" to provide appropriate preparation of students to become respectful citizens. He claimed that specialized education was focused on developing students' advanced knowledge and skills to assume leadership in society. Modern research universities do organize their academic structure to reflect on Newman's idea to start with a strong undergraduate liberal program to prepare students for advanced learning in higher education. Graduate schools specialize in developing their master's, doctoral and research programs in pursuit for scholarly leadership.

The modern research universities have established unique systems of governance to indicate work division and shared responsibilities among the university offices, the colleges and the departments. Any unavoidable conflicts among the composing entities will be resolved by collaborative efforts. Jessop (1998) already stated that all members of the governance had to mutually communicate to get the issues resolved for the best benefit of the university. This collaborative model of governance has worked in many multi-levelled university systems.

Freeman (2010) followed upon Jessop's collaborative model of governance by bringing up his stakeholders' theory. He explained that stakeholders of an organization include all members of the working team who plan and work together to meet the goals of the organization. He uttered that stakeholders became the actual workforce within the organization to keep things moving. Modern research universities have applied the stakeholder theory to a great extent in university governance. All the many committees and taskforces at the all levels of the university governance involve many professors and academic staff of the university. The stakeholders may also include outside volunteers who contribute to the success of the university by offering monetary and material support in addition to personal time and effort. All the stakeholders of a university are benefitted in witnessing the success of the university.

Robbins and Judge (2008) stated that the study of organizational behavior is focused on the relationship of individual behaviors, group behaviors and the system behaviors within an organization and how they could interactively impact the developmental activities of the organization. In a university setting, motivating the most positive psychological spirit of the employees seems to be most contributing to the university success. Research universities build on the positive behaviors of professors and academic staff by allowing them academic freedom, involving them in all the decision-making processes and permitting the academic colleges, departments and research laboratories to operate independently.

LESSONS LEARNED IN PLANNING FOR GOVERNANCE IN RESEARCH UNIVERSITIES

In planning for the system of governance in research universities, there is much to be considered including the culture and the tradition of the country where the university is located. In addition,

the social demand of labor market and the needs for the country's development has impact on the structure of governance of a research university. However, in view of the governance of research universities in the four advanced western countries in this study, some constructive lessons can be learned from their success stories.

(1) Structure of governance.
The structure of governance in research universities does not need to be complicated. The commonly used three-level governance (university, college and department) seems to work fine. The specific responsibilities and the lines of authorities need to be clearly drawn.

(2) Business and academics.
A smart structure of governance in research universities consolidates the major business affairs at the university level leaving the college and the departments (teaching units and research units) to concentrate on academic development.

(3) College and department collaboration.
Collaborative effort within the colleges and departments need to be strongly encouraged. Professors and academic staff should be invited to get involved in all decision-making processes to promote a good sense of ownership.

(4) Academic freedom and independence.
Academic freedom of professors and academic staff should be fully respected. They should be offered the opportunity to be independently operating with the support of the university.

(5) Tradition vs innovation.
While each university of great fame carries it own historical tradition, it would certainly help the university with more progressive development if it continues to look for exploration of innovative ideas to meet future challenges. The effectiveness of the university governance needs to be practically evaluated on a timely basis.

(6) Sources of additional funding.
In addition to the government appropriations and the student academic fee charges, universities need to explore alternative ways of financing for support of programs in higher education. External grants, alumni support, contract services and other university and business collaboration have proved to work in soliciting additional funds in support of program development in many western universities.

(7) Deanship rotation.
Many research universities in this review have indicated that their college deans are actually elected from the department heads who would serve in the deanship for a period of five years. Then, another department head will be elected to pick up the deanship. This rotation of deanship among department heads serve a good purpose. Now, all the department heads understand the work and challenges of the deanship and are more willing to work collaboratively with the deans' offices.

(8) Faculty and college.
Some research universities in this review have been found to retain a governance to include both faculty and college levels. By carefully examining the functions of

a faculty and a college, we notice that the faculty level is above the college level. Yet, some of the duties and responsibilities of a faculty duplicate those of the college. Unless there is a particular reason to maintain these two levels of governance, it seems reasonable to believe that combining faculty and college into one level saves.

CONCLUSION

This paper ends by identifying some of the common characteristics of the features of governance models in research universities of four western countries. It also summarizes lessons that have been learned from these four countries that could be helpful in planning for the governance structure of upcoming research universities. However, it must be remembered that these success stories happen only in identifiable conditions that support the development of their successes. In planning for governance in developing research universities, planners of higher education need to conduct a thorough assessment of all the available resources together with the favorable political and social climates that could contribute to the success of the adoption and implementation of the governance system.

Some research universities may already have practical governances that prove to work by daily operational experiences. However, it is important that universities continue to look forward to future emerging challenges that may create barriers to university governance effectiveness. Universities need to look for continuous improvement that could drive the university to move forward to advancement. Higher education planners need to bear in mind that the program development of a university depends very much on how it can help serve the needs of the community where it is located. University governance may need to be modified to facilitate the offering of such services. The analysis of governance systems in the United States, Germany, the United Kingdom and France has provided significant contributions to the effort of structuring and restructuring governance systems of research universities worldwide.

REFERENCES

Bauer, M., Bormann, I., Kummer, B., Niedlich, S., & Rieckmann, M. (April, 2018). Sustainability governance at universities: A multi-case study in Germany. A paper presented at the American Educational Research Conference, New York, USA.

Bleiklie, I., & Kogan, M. (2007). Organization and governance of universities. *Higher Education Policy, 20*, 477-493. DOI: 10.1057/palgrave.hep.8300167

Braxton, J. M. (1996). Contrasting perspectives on the relationship between teaching and research. *New Directions for Institutional Research, 90*, 5-14. (ERIC Document No. EJ532783)

Brubacher, J. S. (1982). *On the philosophy of higher education*. San Francisco, CA: Jossay-Bass, Inc. (Chinese translation by J. W. Zheng, etc., 1987, Hangzhou: Zhejiang Province: Zhejiang Education Press.)

Council of Europe (2007). *The democratic mission of higher education*. Strasbourg Ceded, France: Author.

Deng, L., & Wu, Q. X. (1996). An analysis of the governance of comprehensive universities in the United Kingdom. *Wu Bei University Journal (Philosophy and Social Sciences)*, 5, 105-108.

El-Khawas, E. (2002) Governance in US universities. In A. Amaral, G. A. Jones G.A., & B. Karseth (eds). *Governing Higher Education: National Perspectives on Institutional Governance.* Higher Education Dynamics, vol 2. Dordrecht, Netherlands: Springer.

Ehrenberg, R. G. (2005). Governing academia: Who is in charge of modern universities? Ithaca, NJ: Cornell University Press.

Freeman, R. E. (1984). *Strategic management: A stakeholder approach*. New York: Pitman Publishing.

Freeman, R. E., Harrison, J. S., Wicks, S. C., Parmar, B. L., De Colle, S. (2010). *Stakeholder theory: The state of the art.* London: Cambridge University Press.

Gee, O. (2016). *The troubles with French universities laid bare.* Available online at https://www.thelocal.fr/20160929/eight-troubles-with-french-universities-laid-bare

Gibson, J. T. (1976). Educational organizations must be responsive to change. *College Student Journal, 10*(2), 127-130. (ERIC Document No. EJ142699)

Hung, Y. B. (2010). Co-governance: Structure of governance in university laws. Beijing: Science Press.

Jaspers, K. T. (1946). *Concepts of universities*. (Chinese translation by J. Zou, 1991, New Knowledge United Press.)

Jessop, B. (1998). The rise of governance and the risks of failure: The case of economic development. *International Social Science Journal, 50*(155), 29-45.

Luthans, F. (2002). Positive organization behavior. *Academy of Management Perspectives, 16*(1), 57-72.

Ma., L. T., Li, X. H., & Liu, P. C. (2002). Special features of the higher education system in German. *Educational Research,* 10, 79-82.

Newman, J. H. (1852). *The ideas of a university*. London: Aeterna Press. (Chinese translation by N. Gao, 2016. Beijing: Beijing University Press.)

Robbins, S. P., & Judge, T. A. (2008). *Organizational behavior.* (12th ed.). New York: Pearson, Inc. (Chinese translation by Y. Li, 2012. Beijing: Chinese People's University Press.)

Trakman, L. (2008). Modelling university governance. *Higher Education Quarterly, 62*(1 & 2), 63-83. UNSW Law Research Paper No. 2008-19. Available online at SSRN: https://ssrn.com/abstract=1392556

Wa, Y. F. (2014). Good governance in universities. *Jiangsu Higher Education, 6,* 15-21, 26.

Wang, X. Q. (2015). The governance and by-laws of French universities. *Modern University Education,* 4, 19-24.

Yu, G. P. (2014). *The modern governance of a country.* Beijing: Social Science Documentary Press.

Zheng, W. (2011). *The compromise and balance of power in universities of the United Kingdom.* Beijing: Beijing University Press.

Zhou, Z. L. (2015). The internal structure of governance in French universities: An analysis of development from mid-century to 2013. *Educational Research, 3*, 148.

PLANNING FOR EFFECTIVE SCHOOL LEADERSHIP: TEACHERS' PERCEPTIONS OF THE LEADERSHIP SKILLS AND ETHICAL BEHAVIORS OF SCHOOL PRINCIPALS

KATINA WEBSTER
PETER LITCHKA
Loyola University Maryland, U.S.A.

ABSTRACT

Schools need principals who have experienced the most current and compelling theories and practices of school leadership in terms of leading schools to success for each student. There is a considerable amount of research that proposes a definite link between the leadership abilities of a school leader and the impact such leadership has on student success (Darling-Hammond, LaPointe, Meyerson, & Orr, 2007; Heck & Hallinger, 2014; Marzano, Waters, & McNulty, 2005). School principals, like leaders in other fields, encounter differing levels of success, which can be influenced by the leadership abilities and ethical behaviors of the school principal. This quantitative study, which took place in a large metropolitan area of the Mid-Atlantic region of the United States, examines the relationship between the overall leadership abilities of school principals with their ethical leadership behaviors, as perceived by teachers. This study found a strong (and expected) relationship between the overall leadership abilities of school principals and ethical behaviors, as perceived by teachers. However, statistically significant differences were found among the perceptions in the areas of gender, ethnicity, experience, types of school (elementary, middle, high) and jurisdiction (public, private, religious).

INTRODUCTION

Planning for the preparation for aspiring school principals and support for current school principals is of critical importance to policymakers and institutions of higher learning that have educational leadership programs. In particular, school districts need principals who have experienced the most current and compelling theories and practices of school leadership for both the current and future context of improving student achievement and the teaching/learning environment of schools. In addition, there is a considerable amount of research that proposes a definite link between the leadership abilities of a school leader and the impact such leadership has on student achievement (Darling-Hammond, LaPointe, Meyerson, & Orr, 2007; Heck & Hallinger, 2014; Marzano, Waters, & McNulty, 2005).

In most cases, the preparation and support for school principals originates from colleges and universities that offer graduate level programs and degrees in educational leadership, management, and administration. Currently, such accredited institutions are guided by national and state educational leadership standards, such as the Professional Standards for Educational Leaders (PSEL) (NPBEA, 2015). The state of Maryland, where this study occurred, replaced its own educational leadership framework with the PSEL to guide administrator preparation, licensure, and evaluation in Maryland. (Maryland State Department of Education, 2018, p. 4).

Thus, it is quite obvious that planning, problem-solving, and decision-making are some of the most important parts of the contemporary school leader. And with this, school leaders are often faced with ethical and moral dilemmas. Fullan (2011) suggests that school leaders facing such dilemmas are

often asked to apply "once-and-for-all answers that are complex, rife with paradoxes and dilemmas" (p.2). According to Starratt (2005),

> The school leader has access to organizational structures and processes that affect the core work of teaching and learning. These structures and processes are not ethically neutral. They either promote the integrity of the school's work-authentic learning-or they curtail or block its integrity. (p. 128)

We expect our school leaders will have a core set of values that will guide their leadership in helping them to create a learning environment conducive to academic achievement and personal growth for all students in a manner that is consistent with ethics and morals of society. Yet, according to Bowen, Bessette and Chan (2006),

> Our society has come to expect that school leaders will make ethical decisions for the common good and that their actions will be driven by a commitment to moral and academic excellence. It would follow, then, that people preparing for school administration careers receive systematic education about ethics related to leadership. Unfortunately, this has not been the case (para. 1).

During the past several decades, Americans have been witnesses to a frequent number of ethical lapses by numerous elected and appointed members of national, state, and local governments, as well as on Wall Street and in boardrooms across the nation. Just as disturbing, this lack of integrity and morality has found its way into the American system of schools, where numerous school leaders, principals, and teachers have been found to violate both educational law and ethics, particularly when it comes to standardized testing results. According to National Center for Fair and Open Testing (NCFOT), cheating on standardized tests has been documented in 37 states, with high profile cases involving school administrators found in both California and Georgia (NCFOT, 2013).

In this study, we examine whether the school principal's ethical leadership is positively associated with effective school leadership, as perceived by teachers. Standard Two of the PSEL states, "Effective educational leaders act ethically and according to professional norms to promote each student's academic success and well-being", contending that effective leadership cannot occur in schools if ethical norms and standards are not embraced and modeled by the principal (NPBEA, p. 10).

This quantitative study focuses on the relationship between the overall leadership abilities of school principals with their ethical leadership behaviors, as perceived by teachers. The purpose was to determine the relationship between the leadership abilities and ethical leadership behaviors of school principals, the extent of this relationship, and the degree to which teachers perceive this relationship in terms of gender, ethnicity, experience of both teachers and their principals as well as the type, location and jurisdiction of the schools, and finally, the quality of the school in terms of student achievement. School principals, like leaders in other fields, encounter differing levels of success. Such success can occur from within the internal dynamics of the school (i.e., relationships, culture, etc.), from external forces (i.e., parents, community, school district central administration), both of which can be influenced by the leadership abilities and ethical behaviors of the school principal, in terms of the school principal's professional development and related practices.

One group that observes and interacts on a daily basis with the school principal is the teaching staff. Their observations and experiences play a critical role in how the principal's leadership abilities and ethical behaviors are perceived. Thus, the problem is to determine if leadership and

ethics are related to the performance of the principal, as perceived by teachers, and if such are influenced by various teacher demographics. Solving this problem could be of considerable benefit to policymakers and institutions of higher learning involved with the development and support of current and aspiring leaders in determining curricula, professional development, and the theory and practice of contemporary school leadership.

RESEARCH QUESTIONS

There were two research questions that guided this study:

1. To what extent did teachers perceive a relationship between their principal's overall leadership abilities with their ethical behaviors?

2. To what extend did the demographics of the teachers have an impact on their perceived relationship between their principal's overall leadership abilities with their ethical behaviors?

LITERATURE REVIEW

Leadership

James Burns (1978) identified two types of leadership in his seminal work, *Leadership*. For decades, organizations across fields have relied on Burns distinction between transactional and transformational leadership to identify the styles of those in power. Transactional leaders favor a rewards and punishment approach, whereas, transformational leaders favor a holistic view of an organization and its future. Transformational leaders establish norms for behavior (Cohen, et al., 2009), build capacity amongst followers and find value in what each individual or group brings to the ultimate fulfillment of organizational goals (Sergiovanni, 2007). In the field of education, emphasis on managerial tasks has decreased. In order to meet the challenges of leading today's schools, principals must combine the best of each style (Varol & Varol, 2012) by becoming more transformational in their thoughts and actions (Bromley & Kirschner-Bromley, 2007).

According to Bernard Bass (1985), there are five elements of transformational leadership: Idealized Attributes, Idealized Behaviors, Inspirational Motivation, Intellectual Stimulation and Individualized Consideration. Teachers identify better with principals they perceive having higher levels of idealized attributes such as a sense of power and confidence, setting aside self for the greater good of the school vision, and instilling a sense of pride (Allen, Grigsby, & Peters, 2015). Ronit Bogler (2001) found teachers have higher rates of job satisfaction when their efforts are recognized, provided opportunities for self-development and allowed to participate in the decision-making process.

Most recently discussed as a companion to transformational theory (Copeland, 2014), charismatic leadership is also considered a pathway for increasing effectiveness among leaders (Bass & Avolio, 1994). Charismatic leaders translate intricate thoughts and concepts into relatable messages using stories, metaphors and other communication methods that have emotional appeal (Weber, 1958). Yukl (1999) suggests the two leadership styles may overlap but are distinct in their design. However, not enough empirical evidence exists to support the notion that charismatic leadership improves organizational outcomes. House and Shamir (1993) define charismatic leadership as:

> An interaction between leaders and followers that results in (1) making the followers' self-esteem contingent on the vision and mission articulated by the leader, (2) strong

internalization of the leader's values and goals by the followers, (3) strong personal or moral (as opposed to calculative) commitment to these values and goals, and (4) a willingness on the part of followers to transcend their self-interests for the sake of the collective (team or organization) (p. 86).

In contrast, Boje (2008) defines a charismatic leader as one who comes to power based on personal appeal and charm as opposed to intellect or specific skills. Shamir and Howell (2018) studied contextual variables related to the emergence of charismatic leadership and the relationship between organizational leadership and setting. Shamir, Howell and others contend some environments promote charismatic leadership more than others and there are conditions under which charismatic leadership is more likely to emerge and be effective (Shamir & Howell, 2018; Lovelace, Neely, Allen, & Hunter, 2019).

Researchers also point out charismatic leaders use of manipulation. Mills (1990) defines manipulation as a way of exerting influence in which the target does not know he or she has been influenced. In the past, the use of manipulation has been considered unethical (Bass, 1998; Brown & Trevino, 2006; Uvinen, Lamsa, Sintonen, & Takala, 2012). Uvinen, Lamsa, Sintonen and Takala (2012) suggest there is a fine line between manipulation and inspiration. When the intent of manipulation is to do good, as in encouraging followers to reach personal goals or constructing a vision of organizational culture, some level of manipulation may be acceptable. Among other findings, Uvinen et al. (2012) discovered, "some leaders considered manipulation as an inescapable part of their work" and part of their everyday routines. Providing misleading information was the most common type of manipulation.

When charismatic leaders are elevated by their followers because of their presence and personality, other leaders would rather place followers in the forefront instead of themselves (Greenleaf, 1977; Lamb, 1999). Servant and spiritual leaders intrinsically uplift others and share power for the good of the organization (Lamb, 1999). Servant and spiritual leaders demonstrate ethical, moral, caring behavior and are motivated by a proclivity to serve rather than lead (McLaughlin, 2009; Washington, Sutton, & Sauser, 2014). Spiritual leaders inspire others using hope and faith to project a shared vision that is empowering and based on service to all stakeholders (Fry, 2003; Smith, Minor, & Brashen, 2018). In turn, followers are driven, dedicated, connected to others and their inner self (Institute for Spiritual Leadership, 2013; Sholikhah, Wang & Li, 2019).

Authentic leaders recognize the importance of unity and collective effort. Authenticity is a cornerstone of values-based leadership frameworks (Duignan, 2014). The Authentic Leadership Theory (ALT) arose from a need to deeply consider leader's inner ethical and moral qualities in relationship to how leaders address difficult situations (George, 2003; May, Chan, Hodges & Avolio, 2003; Avolio & Gardner, 2005). Duncan, Green, Gergen and Ecung (2017) present four dimensions of authentic leadership, including self-awareness, balanced processing, internalized moral perspective and relational transparency. Xiong, Lin, Li, and Wang (2016) identify self-awareness, self-regulation and self-development as essential characteristics of authentic leaders. Introspection alone is not enough to tackle current social, organizational or educational challenges on its own.

Educational Leadership
Educational leaders are charged with guiding teachers and others to improve the learning experience for all students, K-12 and beyond, while also respecting their cultural differences (Wright, Arnold, & Khalifa, 2018). Leaders often face complex situations that call for difficult decisions to be made. Mintrop (2012) suggests three ways to respond to demands: Resistance, alignment and coherence.

Leaders can ignore mandates, risking heavy consequences and job security; Maintain the status quo by aligning school goals with system goals, or establish a culture of shared responsibility and consistency between external and school-based systems.

Currently, issues of equity dominate the discourse around educational leadership (Wright et al., 2018). Critical Race Theory (CRT) serves as an overarching social justice philosophy that seeks to interrupt patterns of exclusion and inequality (Tillman, 2002; Martinez, 2014). According to Martinez (2014), Critical Race Theory, "…[brings] together issues of power, race, and racism…and argues ignoring racial difference maintains and perpetuates the status quo with its deeply institutionalized injustices to racial minorities" (p. 9).The disconnect between the needs of marginalized populations and schools creates tensions not easily remedied (Wright, et al., 2018).

Wright, Arnold and Chalifa (2018) offer Culturally Responsive School Leadership (CRSL), "[as] a pivotal metric for understanding effective and impactful relationships between urban community members and educational leadership" (p. 819). CRSL promotes school-community collaboration and highlights the necessity for professional growth and curriculum development (Khalifa, Gooden, & Davis, 2016). When school systems intentionally or unintentionally reinforce the disconnect by exposing students to poor instruction and unrelatable curriculum, ethical dilemmas arise in tackling the bureaucratic structures hindering equitable access (Larson & Ovando, 2001; Parker & Villalpando, 2007)

Ethics and Ethical Leadership

The terms ethics and morals are often used interchangeably (Thompson, 2004) when describing the principles of right and wrong, values, and codes of conduct (Derr, 2012; Ethic, 2011). Ethics tends to be used to avert the religious connotations associated with the term morality (Thompson, 2004). Doing what is right or having a moral compass is the ability to determine and undertake the best action in a specific situation to serve the common good (Thompson, 2004; Schwartz and Sharpe, 2010). Maxwell (2007) believes ethics can be taught with tailored instruction, while Derr (2012) believes ethics are taught and developed at a young age.

Ethical leaders motivate others by making decisions with integrity, holding others accountable for ethical standards and modeling ethical behavior (Derr, 2012; Martinez, Ruiz, & Ruiz, 2011). In the current climate, the efforts of ethical leaders to act fairly and justly are necessary to interrupt the seemingly common place of moral deficiency and loss of public trust (Brown & Trevino, 2006; Ben-Hur & Johnson, 2012; Copeland, 2014; Ehrich, Harris, Klenowski, Smeed, & Spina, 2015). Thompson (2004) adds there is a moral aspect to the excise of power that is not always acknowledged. He insists, "…there are almost daily examples of moral confusion and paralysis impeding leadership at every level" (p.29). The rise of values-based leadership practices reflects a need for something more (Copeland, 2014). Critics contend the approaches lack empirical evidence and strong theoretical frameworks, which has raised some skepticism (Copeland, 2014; Duignan, 2014).

Copeland (2014) proposes a theoretical framework that places leaders into quadrants based on their behaviors:

Figure 1
Transformational and Ethical Leadership

Q 1 (Ineffective Leaders)	Q3 (Unrealized Gains; Walkers not Talkers)
Low authentic/ethical behaviors Low transformational behaviors	High authentic/ethical behaviors Low transformational behaviors
Q2 (Fakers, Talkers not Walkers)	**Q4 (Maximizers)**
Low authentic/ethical behaviors High transformational behaviors	High authentic/ethical behaviors High transformational behaviors

Though becoming a quadrant four leader is optimum, it is a challenge to balance authenticity, one's ethical self, and an organizational culture that may not be aligned with either (Badaracco, 1997; Duignan, 2014).

The Machiavellian approach to ethical leadership frames decision making in terms of doing the least bad thing (Cosans & Reina, 2018). The least bad thing is the preferred outcome when the alternative is equally bad or worse, which describes Machiavelli's ethics of compromise (Cosans & Reina, 2018) Machiavelli accounts for this moral dilemma and supports the notion that individuals in positions of power are often required to do bad things (Machiavelli, 1532). He also recognizes the value in adapting to circumstances based on the demands of a given situation (Machiavelli, 1532; Fiedler, 1954; Cosans & Reina, 2018). The ability to make such ethical choices requires moral intelligence and ethical reasoning (Velasquez, 1998; Lennick & Kier, 2011). The building blocks of moral intelligence are self-awareness and self-management. Ethical reasoning is activated when virtues such as integrity, courage and honesty are at odds with lack of integrity and dishonesty, which fuels the internal struggle (Velasquez, 1998; Lennick & Kier, 2011; Uvinen, et al, 2012).

Ethics and the Leadership of School Principal
The demographics of schools across the United States have changed significantly. The percentages of students of color have increased at a rate far greater than percentages of principals who are Black, Latino or Asian (Parker & Villalpando, 2007). Equity and access for marginalized groups is at the center of school and system-wide improvement, creating fertile ground for ethical dilemmas (Cooper, 2009). Ehrich, Harris, Klenowski, Smeed, and Spina (2015) studied current school leaders who faced conflicting responsibilities and ethical dilemmas using Starratt's (1996) multi-dimensional framework, which includes the Ethic of Care, Ethic of Justice, and Ethic of Critique. The researchers identified practices of school leaders that fit into one or more of the ethic categories and determined how they balanced competing accountability structures. Leaders demonstrating the ethic of care were concerned with supporting the whole child and maximizing potential. Leaders demonstrating the ethic of justice insisted upon equitable access to learning opportunities and academic success (Santamaria, 2013). Leaders demonstrating the ethic of critique questioned educational systems and teacher practices in order to bring about change and new ways of thinking about students (Ehrich, et al, 2015). Starratt (1996) maintains the three ethics are interrelated and one often influences the other. Ehrich, et al. (2015) found leaders are able to articulate their understanding of ethics and acknowledge they are guided by personal values when making decisions, however, no principal, "… reported overtly speaking with their staff about the topic of ethics" (p. 13).

In addition, researchers acknowledge the context in which leaders work, influences their success or failure (Tallerico, 2000; Roegman, 2017). Roegman (2017) presents a framework based on social, organizational, personal, and occupational contexts. Studying school superintendents, he discovered overlap between contexts that challenge what it means to lead for equity. For instance, superintendents often make decisions based on the opinions of their constituency and society at large. Such overlap can present opportunities as well as restrictions when attempting to balance the best interests of schools, school systems and their personal code of ethics (Robey, Shi, & Seward, 2019). A respondent in Larsen and Derrington's (2012) study of students in an educational leadership program advised, "Sticking to your moral compass will lead to consequences, but that does not mean you act in a morally dubious way to keep everyone happy" (p. 10).

Marshall and Ward (2004) claim leaders continue to be trained to maintain the status quo leaving little room to effectively implement equity driven practices. They found administrators who completed their formal training programs further in the past were less likely to perceive issues of equity were emphasized as an important aspect of school leadership (Robey, Shi, & Seward, 2019). Administrators are then left to make ethical decisions without a process or model (Larsen & Derrington, 2012; Gardiner & Tenuto, 2015). Nevertheless, administrators ranging from Pre-kindergarten to grade 12 consider the ethical aspects of leadership more critical today as new and unfamiliar ethical dilemmas emerge (Gardiner and Tenuto, 2015).

Teacher Perceptions of Principal Leadership

Schools thrive when leadership is shared, decisions are made collaboratively, and teachers feel valued for their expertise. Devine and Alger (2011) contend a collective approach to leadership and substantial participation from teachers yields school success. When examining how teachers perceive instructional teacher leaders versus principals, they found instructional teacher leaders were perceived as more transformational, while principals were perceived to exhibit more transactional behaviors. Overall, teachers work harder and are more inspired within a transformational school culture. Principals are encouraged to develop multiple sources and levels of leadership to advance the mission of continuous school improvement (Devine & Alger, 2011).

School improvement occurs when principals are perceived as trustworthy, honest, and admired by their followers (Kouzes & Posner, 2002; Oyer, 2015). According to Mishra (1996) four factors frame a person's decision to trust: competence and ability; openness and integrity; concern for others; reliability and consistency. Perceptions of a principal's abilities outweigh the principal's own perceptions and serve as an indicator of successful school leadership (Kouzes & Posner, 1990; Oyer, 2015).

METHODOLOGY
Participants
The subjects of this study were teachers from a large metropolitan area within the Mid-Atlantic region of the United States. In addition, these teachers were enrolled in a graduate program for educational leadership, supervision, and administration at a private, Catholic university located within the largest city of this metropolitan area.

Research Design and Procedures
After receiving approval from the university's Institutional Review Board (IRB), the examiners contacted the subjects via email, requesting their participation in this anonymous survey. The survey was sent via Survey Monkey, an online survey platform and was divided into three sections:

Part 1: *Teacher Demographic Data*, which had 9 items that each participating teacher was asked to respond to according to their own current context. The items for this section included the following:

- Teacher gender (female, male)
- Teacher ethnicity (African-American, Asian-Asian Pacific, Caucasian, Hispanic, other)
- Teacher experience (1-5 years, 6-10 years, 11-15 years, 16-20 years, and 20+ years).
- Type of school (elementary, elementary/middle, middle, middle/high, high school, other)
- Location of school (urban, suburban, rural, combination)
- Jurisdiction of school (public, private, Catholic, charter, other)
- Gender of principal (female, male)
- Ethnicity of principal (African-American, Asian-Asian Pacific, Caucasian, Hispanic, other)
- Quality of school (Exceptional, Effective, Ineffective)

Part 2-*Leadership Practices Inventory* (*LPI*), based on the *Five Practices of Exemplary Leadership* (Kouzes & Posner, 1993, 2017), is an instrument that involves both leaders (self-assess) and observers/followers to assess the leader through perceptions of the degree in which the leader demonstrates leadership behaviors, using a Likert-scale for each of the 30 statements.

Responses are added up for *each* of the five subscales (*Model the Way, Inspire a Shared Vision, Challenge the Process, Enable Others to Act,* and *Encourage the Heart*). This instrument has been used throughout the world, across cultures, languages, and professions (including educational leadership), and has been validated on a number of occasions (Posner and Kouzes, 1993; Carless, 2010; Zagorsek, Stough, & Jaklic, 2006).

Part 3: *Perceived Leader Integrity Scale* (*PLIS*), developed by Craig and Gustafson (1998), attempts to assess the ethics of a leader by measuring the degree to which followers perceive them behaving in relationship to appropriate and accepted standards of ethical leadership for leaders. Researchers have concluded that this instrument is valid and strongly related to ethical and transformational leadership (Craig & Gustafson, 1998; Parry and Proctor-Thomson, 2002.

Instruments

The instrument itself is made up of 30 items, using a Likert rating scale. The responses are added up for a total score, resulting in three interpretations: High Ethical (leader is highly ethical, trustworthy, and principled), Moderate Ethical (leader is somewhat ethical but may be unethical in certain situations), and Low Ethical (leader is dishonest, unfair, and unprincipled on a regular basis).

RESULTS

A total of 423 surveys were sent, with 258 surveys completed (60.9%). Of the total completed surveys, 194 (75.2%) of the participating teachers identified themselves as female, while 64 (24.8%) identified themselves as male. These results are very much in alignment with the national data regarding gender of teachers (NCES, 2019).

Regarding the ethnicity of teachers, 154 (59.7%) identified themselves as Caucasian, followed by African-American (n=81, 31.4%), with the remaining participants, coded as Other Teachers (n=23,

8.9%) identified as Hispanic, Asian-American, or other.

In terms of teacher experience, those teachers with 6-10 years of experience had the highest frequency (n=87, 33.7%), followed in order by teachers with 11-15 years of experience (n=59, 22.9%), those with 2-5 years of experience (n=52, 20.2%), teachers with 16-20 years (n=40, 15.5%), and finally, those teachers with 20+ years of experience (n=20, 7.8%). No teacher participant indicated that it was their first year of teaching.

In the particular state where this study occurred, a number of school districts have re-aligned the structure of grades found within a school. In addition to the tradition structure of elementary, middle, and high school, two additional types have been added: elementary/middle (grades K-6) and middle/high (grades 6-12). Participating teachers indicated that their schools were structured as follows: elementary (n=97, 37.6%), elementary/middle (n=39, 15.1%), middle (n=38, 14.7%), middle/high (n=10, 3.9%), high school (n=67, 26.0%) and other (n=7, 2.7%).

Regarding the location of the participating teachers' school, teachers indicated that their schools were located in suburban area (n=125, 48.4%), urban area (106, 41.1%), combination of urban and suburban (n=21, 8.1%), and only a very few teachers described the location of their school as rural (n=6, 2.3%).

With respect to the jurisdiction of the schools of the participating teachers, more than three-quarters indicated that they worked in a public school (n=201, 77.9%), followed by Catholic schools (n=28, 10.9%), charter schools (15, 5.8%), private school (n=11, 4.3%), and other schools (n=3, 1.2%).

Regarding the gender of their principal, approximately two-thirds reported that their principal was female (n=173, 67.1%) while the remaining teachers indicated that their principal was male (n=85, 32.9%).

Regarding the ethnicity of their principal, teachers indicated that slightly more than half were Caucasian (n=132, 51.2%), followed by African-American principals (n=115, 44.6%), with the remaining being identified as either Hispanic (n=3, 1.2%) or Other (n=8, 3.1%).

Teachers were asked to indicate the quality of their schools, according to a rating scale of Effective, Satisfactory, or Ineffective. The results were that more than one hundred teachers (n=105, 40.7%) indicated their school was Satisfactory, followed by Effective (n=82, 31.8.7%), and finally, Ineffective (n=71, 27.5%).

Tests
The reliability of the both the *Leadership Practices Inventory (LPI)* and *Perceived Leadership Integrity Scale (PLIS)* was represented by using the Cronbach alpha coefficient, which suggests that values of 0.7 or higher indicate internal consistency. For the *LPI*, which had five subscales, the overall inter-item correlation matrix was .954. For the six items from both instruments, the overall inter-item correlation matrix was .874. None of the 36 correlations has a value of less than .70. Both questionnaires have reached acceptable reliability.

Table 1:
Descriptive Data for Scales and Subscales

Item	N	Min.	Max.	Mean	Std. Deviation
MTW	258	6.00	30.00	14.13	5.98
ISV	258	6.00	29.00	14.53	5.38
CTP	258	6.00	28.00	14.82	5.14
EOA	258	6.00	29.00	14.25	5.50
ETH	258	6.00	30.00	14.15	5.64
PLIS	258	30.00	105.00	60.32	18.17

To address the first research question, *To what extent is there a relationship between a school principal's leadership abilities with her/his ethical leadership behaviors, as perceived by teachers,* a correlation test was used. It was determined that the correlation between the *LPI* and *PLIS* was strongly positive and statistically significant, $r(257)=+.88$, $p<.001$.

To address the second research question, *If such a relationship occurs and it is strong and statistically significant, to what extent does the context of the teachers have an impact on this relationship*, a series of *t*-tests were used to examine the impact various independent variables had on the dependent variables found within the subscales of both the *LPI* and *PLIS*.

An independent sample *t*-test was used to measure the impact the gender of the teacher participants would have on each of the six sub-scales of both instruments, combined. Female teachers rated their principals higher for each subscale, but the differences were *not* statistically significant.

To examine the degree in which the ethnicity of the teacher participants may impact the subscales for both instruments, *One-way ANOVA* was used. Statistically significant differences were found among the various ethnic groups in the following subscales: *Model the Way* ($F=$ 2, 255)=3.10, $p=.047$*, Inspire a Shared Vision* ($F=3.47$, $p=.032$)*, Challenge the Process* ($F=4.13$, $p=.017$)*, Enable Others to Act,* ($F=4.08$, $p=.018$), *Encourage the Heart*($F=5.63$, $p=.004$)*,* and *PLIS Total*($F=5.28$, $p=.006$*.* Post-hoc tests revealed the following statistically significant findings:

- Other Teachers rated their principals significantly higher than African-American teachers in *Model the Way*, *Challenge the Process*, *Encourage the Heart*, and *PLIS Total*.

- Other Teachers rated their principals significantly higher than Caucasian teachers in *Inspire a Shared Vision*, *Challenge the Process*, *Enable Others to Act*, *Encourage the Heart*, and *PLIS Total*.

One-way ANOVA was used to examine differences among teacher participants according to their years of experience in teaching with the six subscales. Statistically significant differences were found among the following subscales: *Model the Way (F=3.32, p_.011)* and *Enable Others to Act (F=2.28, p_.047*. Post-hoc analysis determined that in both cases, teachers with 6-10 years of experience rated their principals significantly higher than teachers with 11-15 years of experience.

One-way ANOVA was also used to examine differences among teacher participants according to the type of school in which they were presently teaching with the six subscales. Statistically significant

differences were found among the following subscales: *Model the Way(F*=3.14, *p_*.009), *Challenge the Process (F*=3.35; *p*=.006), *Enabling Others to Act (F*=2.65, *p*=.024), and *Encourage the Heart (F*=2.31, *p*=.044).

Post-hoc analysis determined that in four of the cases where significant differences occurred, elementary school teachers rated their principals significantly higher than those in elementary/ middle schools (*Model the Way, Enable Others to Act, Encourage the Heart,* and *PLIS Total*). For the fifth case, middle school teachers rated their principals significantly higher than middle/high school principals in the case of *Challenge the Process.*

One-way ANOVA was used to examine differences among teacher participants according to the location of school in which they were presently teaching with the six subscales. However, differences in mean scores among teachers from urban, suburban, rural, and/or combined for the six subscales were not found to be statistically significant.

One-way ANOVA was used to examine differences among teacher participants according to the jurisdiction of the school in which they presently teaching with the six subscales. Statistically significant differences in the means were found within the following: *Model the Way (F*=3.92, *p*=.004), *Inspire a Shared Vision (F*=4.61, *p*=.001), *Enable Others to Act (F*=2.49, *p*=.044), *Encourage the Heart (F*=2.73, *p*=.030) and *PLIS Total (F*=3.95, *p*=.004).

In the *post-hoc analysis,* for each of the subscales that had statistically significant differences in the means, it was found that teachers in public schools had ratings of the principals that were significantly higher than those teachers in Catholic schools for each of the scales. In addition, teachers from private schools rated their principals significantly higher than Catholic school teachers in *Inspire a Shared Vision.*

One-way ANOVA was used to examine differences among teacher participants according to the ethnicity of the principal of the school in which they presently teaching with subscales. Statistically significant differences in mean scores from teachers were found within the following: *Enable Others to Act* (*F*=3.29, *p*=.039), *Encourage the Heart* (*F*=3.26, *p*=.040), and PLIS Total (*F*=3.24, *p*=.041). *Post-hoc analysis* determined that African-American principals were rated significantly higher than Caucasian principals in each of the three scales identified.

An independent sample *t*-test was used to measure the impact the gender of the participating teachers' principal may have on each of the sub-scales. Female principals were rated higher than male principals by participating teachers, but such differences were found not to be statistically significant.

One-way ANOVA was used to examine differences among teacher participants according to the quality of the school in which they presently teaching with the subscales. However, results did not find statistically significant differences in mean scores from teachers within the three groups.

Regression analysis was conducted to test if the teacher demographics significantly predict participants' ratings of their principals, according to the six scales.

For *Model the Way*, the results of the regression indicated predictors explained 8.3% of the variance *F*=2.50, p=.009. It was found that only school jurisdiction (β=-1.17, *p*=.001) significantly predicted principals' ability to *Model the Way*.

For *Inspire a Shared Vision,* the results of the regression indicated two predictors explained 8.3%

of the variance F=2.50, p=.009. It was found that teacher ethnicity (β=.1.14, p=.030.) and school jurisdiction (β=-1.202, p=.001) significantly predicted principals' ability to *Inspire a Shared Vision*.

For *Challenge the Process,* the results of the regression did not indicate any predictors for the variance (F=1.74, p=.08)

For *Enable Others to Act,* the results of the regression indicated two predictors explained 7.4% of the variance F=2.21, p=.022. It was found that teacher ethnicity (β=.1.53, p=.005) and location of schools (β=.875, p<.046.) significantly predicted principals' ability to *Enable Others to Act*.

For *Encourage the Heart,* the results of regression analysis indicated two predictors explained 7.8% of the variance F=2.34, =.015. It was found that teacher ethnicity (β=.1.78, p=.001) and school jurisdiction (β=-.869, p=.024) significantly predicted principals' ability to *Challenge the Process*.

For *PLIS Total,* the results of regression analysis indicated three predictors explained 12.5% of the variance F=3.21, p=.001. It was found that teacher ethnicity (β=6.345, p=.001), location of the school (β=3.73, p=.042), and school jurisdiction (β=-3.50, p=.004) significantly predicted principals' ability to lead with integrity.

DISCUSSION

The purpose of this study was to examine the relationship between effective leadership of school principals and their ethical behaviors, as perceived by teachers. Furthermore, an examination of the demographics of both principals and teachers was completed to see if any of such independent variables had an impact on the teachers' perspectives.

Contributions of the Study

In line with expectations, the results of this study found a very strong and positive correlation between the leadership of school principals and their ethical behavior (the overall inter-item correlation matrix was .874), which has been found consistently throughout the literature.

However, the results also indicated that teacher perceptions had significant impact on the degree they felt their principal effectively led the school and acted in an ethical manner. The ethnicity of teachers, their experience, the type of school, the school's jurisdiction, and the ethnicity of the principal all were found to be statistically significant in terms of the impact such had on the type of leadership principals provided. Of particular note, was that Catholic School principals were perceived by their teachers to be significantly less effective and less ethical than the public school principals in each of the six scales. The only demographic context that did not have a statistically significant difference among teachers was that in the location of the school (urban, suburban, rural).

Implications

These findings suggest that it is important to recognize that not only are their significant differences in how teachers perceive the leadership and ethical behaviors of their principals, but the existence of situational pressures that may have an impact on how a principal leads a school. For example, it has been reported over the past decades the amount of stress principals are under regarding the impact of high stakes testing and other accountability measures, which may in turn, impact their ability to not only lead effectively, but to lead in an ethical manner as well.

Thus, as policymakers and graduate school programs that provide school leadership preparation programs continue to reflect upon the current context of school leadership, ethical leadership should be at the forefront, as has been consistently found, a principal most likely will not be effective

without having a foundation of appropriate ethical behavior.

We suggest further research in the following areas:

- Investigate the self-reporting of school principal's perceptions of their own leadership and ethical behavior as compared to teachers' perceptions.

- Examine school principals' experiences that have shaped their leadership and ethical behaviors.

- Study cultural factors that influence various demographic groups of teachers' (gender, ethnicity, experience, type of school, etc.) perceptions.

- Explore the contemporary culture of Catholic schools, in terms of principal leadership and ethics, and how such are perceived by Catholic school teachers.

IMPLICATIONS

School systems approach ethics, servant leadership and leading with a moral compass differently. Some more overtly than others. Implications exist for the type of support school leaders receive, in not just tactical or strategic approaches, but ethical decision making as well. Due to the high levels of accountability discussed and other factors, there is less emphasis and validation of soft skills and little recognition of a need for an ethical framework as context for how to lead. Highly effective leadership requires balance. This research suggests there is an imbalance at the school system and graduate program level that favors building leadership capacity void of direct instruction in ethics and ethical decision making. Training not only school-based administrators, but new teachers, teacher leaders, and central office staff to ensure ethical leadership becomes part of a school system's culture may influence the perception of individuals inside and outside of the organization. It may also be beneficial for school-based and central office administrators to operationalize what ethical leadership is and looks like in practice with intentionality and context for why ethical leadership is critical to overall school success.

In summary, effective school leadership includes many abilities and behaviors that have evolved over the past century, including leading and managing the school in a manner that is inspiring and empowering. We believe though, that development of appropriate ethical behaviors of school principals does not just happen. Aspiring school leaders and current principals must learn, understand, and apply the principles of not only effective school leadership, but the philosophy of ethics and ethical decision-making as related to the success of teachers and students in a manner that it obvious and unquestionable.

REFERENCES

Allen, N., Grisby, B., & Peters, M. L. (2015). Does leadership matter? Examining the relationship among transformational leadership, school climate, and student achievement. *NCPEA International Journal of Educational Leadership Preparation*, *10*(2), 1-22.

Avolio, B. J., & Gardner, W. L. (2005). Authentic leadership development: Getting to the root of positive forms of leadership. *The Leadership Quarterly*, *16*, 315-338.

Badaracco, J. (1997). *Defining moments: When managers must choose between right and right.* Boston, Mass: Harvard Business School Press.

Bass, B. M. (1998). The ethics of transformational leadership. In J. B. Ciulla (Ed.), *Ethics: The heart of leadership* (pp. 169–192). Westport, CT: Praeger.

Bass, B. M., & Avolio, B. J. (1994). *Improving organizational effectiveness through transformational leadership.* Thousand Oaks, CA: Sage Publications.

Ben-Hur, S., & Johnson, K. (2012). Ethical leadership lessons from Moses. *Journal of Management Development*, *31*(9), 962-973. doi:10.1108/02621711211259901

Berkovich, I. (2016). School leaders and transformational leadership theory: Time to part ways? *Journal of Educational Administration*, *54*(5), 609-622. doi:10.1108/JEA-11-2015-0100

Bogler, R. (2001). The influence of leadership style on teacher job satisfaction. *Educational Administration Quarterly*, *37*(5), 662-683.

Boje, D. (1991). The storytelling organization: A study of story performance in an office-supply firm. *Administrative Science Quarterly*, *36*(1), 106–126.

Boje, D. (2008). *Storytelling organizations*. Retrieved: http://dx.doi.org/10.4135/9781446214305 Bowen, C., Bessette, H. & Chan, T. (2006). Including ethics in the study of educational leadership.

Journal of College and Character, 7(7). 1-7.

Bromley, H. R., & Kirschner-Bromley, V. A. (2007). Are you a transformational leader? *The Physician Executive, 33*, 54-57.

Brown, M. E., & Treviño, L. K. (2006). Ethical leadership: A review and future directions. *The Leadership Quarterly, 17*(3), 595-616.

Burns, J. M. (1978). *Leadership*. New York, NY: Harper & Row.

Caldwell, C., Hayes, L. A., Karri, R., & Bernal, P. (2008). Ethical stewardship-Implications for leadership and trust. *Journal of Business Ethics*, *78*, 153-164. doi:10.1007/s10551-006-9320-1

Carless, S. (2010). Assessing the discriminant validity of the *Leadership Practices Inventory*. *Journal of Occupational and Organizational Psychology,74*(2), 233-239.

Ciulla, J. B., & Forsyth, D. R. (2011). Leadership ethics. In A. Bryman, D. Collinson, K. Grint, B. Jackson, & M. Uhl-Bien (Eds.), *The sage handbook of leadership* (pp. 229–241). London: Sage.

Cohen, J., McCabe, E., Michelli, N., & Pickeral, T. (2009). School climate: Research, policy, practice, and teacher education. *Teachers College Record*, *111*(1), 180-123.

Cooper, C. W. (2009). Performing cultural work in demographically changing schools: Implications for expanding transformative leadership frameworks. *Educational Administration Quarterly*, *45*, 694–724. doi:10.1177/0013161x09341639

Copeland, M. K. (2014). The emerging significance of values-based leadership: A literature review. *International Journal of Leadership Studies, 8*(2), 105-135.

Cosans, C. E., & Reina, C. S. (2018). The leadership ethics of Machiavelli's prince. *Business Ethics Quarterly, 28*(3), 275-300. doi:10.1017/beq.2017.13

Craig, S., & Gustafson, S. (1998). Perceived Leader Integrity Scale: An instrument for assessing employee perceptions of leader integrity. *Leadership Quarterly, 9*(2), 127-145.

Darling-Hammond, L., LaPointe, M., Meyerson, D., & Orr, M. T. (2007). *Preparing school leaders for a changing world: Lessons from exemplary leadership development programs.* Stanford, CA: Stanford University. Retrieved from http://www.wallacefoundation.org/knowledge-center/school-leadership/key-research/Documents/Preparing-School-Leaders.pdf

Derr, C. L. (2012). Ethics and leadership. *Journal of Leadership, Accountability, and Ethics*, *9*(6), 66-71.

Devine, J., & Alger, G. (2011). Teachers' perceptions of the leadership styles of middle school principals and instructional leaders. *Academic Leadership Journal*, *9*(4), 1-22.

Duignan, P. A. (2014). Authenticity in educational leadership: History, ideal, reality. *Journal of Educational Administration*, *52*(2), 152-172.

Duncan, P., Green, M., Gergen, E., & Ecung, W. (2017). Authentic leadership-is it more than emotional intelligence? *Administrative Issues Journal*, *7*(2), 11-22. doi:10.5929/2017.7.2.2

Ehrich, L. C., Harris, J., Klenowski, V., Smeed, J., & Spina, N. (2015). The centrality of ethical leadership. *Journal of Educational Administration*, *53*(2), 197-214.

Fiedler, F. E. (1954). Assumed similarity measures as predictors of team effectiveness. *The Journal of Abnormal and Social Psychology*, *49*, 381-388.

Fry, L. W. (2003). Toward a theory of spiritual leadership. *The Leadership Quarterly*, *14*(6), 693-727.

Fullan, M. (2011). *The moral imperative realized.* Thousand Oaks, CA: Corwin Press.

Gardiner, M. E., & Tenuto, P. L. (2015). Reflections of practicing school principals on ethical leadership and decision making: Confronting social injustice. *Principal's Research Review*, *10*(6), 1-9.

George, W. (2003). *Authentic leadership: rediscovering the secrets to creating lasting value*. San Francisco: Jossey-Bass.

Heck, R., & Hallinger, P. (2014). Modeling the longitudinal effects of school leadership on teaching and learning. Journal of Educational Administration, 52(5), 653-681. doi: 10.1108/JEA-08-2013-0097

House, R. J., & Shamir, B. (1993). Toward the integration of transformational, charismatic, and visionary theories. In M. M. Chemers & R. Ayman (Eds.), *Leadership theory and research: Perspectives and directions* (pp. 81-108). San Diego: Academic Press.

International Institute for Spiritual Leadership. (2013). What is spiritual leadership? Retrieved from http://iispiritualleadership.com/spiritual-leadership/

Khalifa, M. A., Gooden, M. A., & Davis, J. E. (2016). Culturally responsive school leadership: A synthesis of the literature. *Review of Educational Research*, *86*(4), 1272-1311. doi:10.3102/0034654316630383

Kouzes, J. M., & Posner, B. Z. (1990). The credibility factor: What followers expect from their leaders. *Management Review*, *79*(1), 29-33.

Kouzes, J. M., & Posner, B. Z. (2002). *The leadership challenge* (3rd ed.). San Francisco, CA: Jossey-Bass.

Kouzes, J. M., & Posner, B. (2017). *The Leadership Challenge* (6th.ed). Hoboken, NJ: John Wiley and Sons.

Larsen, D. E., Derrington, M. L. (2012). Calibrating one's moral compass: How principal preparation shapes school leaders. *International Journal of Educational Leadership Preparation*, *7*(2), 1-12.

Larson, C. L., & Ovando, C. J. (2001). *The color of bureaucracy: The politics of equity in multicultural school communities*. Belmont, CA: Wadsworth

Lovelace, J. B., Neely, B. H., Allen, J. B., & Hunter, S. T. (2019). Charismatic, ideological, & pragmatic (CIP) model of leadership: A critical review and agenda for future research. *The Leadership Quarterly, 30*, 96-110.

Machiavelli, N. (1513/1996). *Machiavelli and his friends: Their personal correspondence.* Translated by J. B. Atkinson & D. S. DeKalb: Northern Illinois University Press.

Marshall, C., & Ward, M. (2004). "Yes, but . . .": Education leaders discuss social justice. *Journal of School Leadership, 14*(1), 530-563.

Martinez, A. Y. (2014). Critical race theory: Its origins, history, and importance to the discourses and rhetoric of race. *Journal of Literary Studies, 27*(2), 9-27.

Martinez, R., Ruiz, C., and Ruiz, P. (2011). Improving the 'leader-follower' relationship: Top manager or supervisor? The ethical leadership trickle-down effect on follower job response. *Journal of Business Ethics*, *99*(4), 587-608. doi:10.1007/s10551-010-0670-3

Maryland State Department of Education (2018). *Principal Evaluation Guidebook (Draft)*. Retrieved from: http://www.marylandpublicschools.org/about/Documents/OTPE/PSEL/ PrincipalEvaluationGuidebook10312018.pdf

Marzano, R., Waters, T., & McNulty, B. (2005). *School leadership that works. From research to results*. Aurora, Colorado: McREL.

Maxwell, J. C. (2007). *The 21 irrefutable laws of leadership*. Nashville: Thomas Nelson.

May, D. R., Chan, A. Y. L., Hodges, T. D., & Avolio, B. J. (2003). Developing the moral component of authentic leadership. *Organizational Dynamics*, *32*(3), 247-260.

Mills, C. W. (1990[1959]). *The sociological imagination*. New York, NY: Oxford University Press.

Mintrop, H. (2012). Bridging accountability obligations, professional values and (perceived) student needs with integrity. *Journal of Educational Administration, 50*(5), 695 – 726. doi:10.1108/09578231211249871

Mishra, A. K. (1996). Organizational responses to crisis: The centrality of trust. In Kramer, R. M., & Tyler, T. R. (Eds.). *Trust in organizations: Frontiers of theory and research*. (pp.261-287). Newbury Park, CA: Sage.

Oplatka, I., & Tako, E. (2009). School teachers' constructions of desirable educational leadership: A career stage perspective. *School leadership and Management*, *29*, 425-444.

Oyer, B. (2015). Teacher perceptions of principals' confidence, humility, and effectiveness: implications for educational leadership. *Journal of School Leadership, 25*, 684-719. doi:10.1177/105268461502500405

Parker, L., & Villapando, O. (2007). A racialized perspective on education leadership: Critical race theory in educational administration. *Educational Administration Quarterly*, *23*(5), 519-524.

Parry, K., & Proctor-Thomson, S. (2002). Perceived integrity of transformational leaders in organizational settings. *Journal of Business Ethics, 35*, 75-96.

Posner, B., & Kouzes, J., (1993). Psychometric properties of the *Leadership Practices Inventory*-updated. *Educational and Psychological Measurement*, *53*(1), 191-199.

Robey, P. V., Shi, Q., & Savard, S. J. J. (2019). Ethics, equity, and community engagement: urban school administrators rate their preparation programs. *Journal of School Leadership*, *29*(2), 167-184. doi:10.1177/1052684619832152

Roegman, R. (2017). How contexts matter: A framework for understanding the role of contexts in equity-focused educational leadership. *Journal of School Leadership*, *27*, 6-30. doi:10.1177 /105268461702700101.

Santamaria, L. (2013). Critical change for the greater good: Multicultural perceptions in educational leadership toward social justice and equity. *Educational Administration Quarterly*, *20*(10), 1-45. doi:10.1177/0013161X13505287

Sergiovanni, T. (2007). *Rethinking leadership*. Thousand Oaks, CA: Corwin Press.

Shamir, B., & Howell, J. M. (1999). Organizational and contextual influences on the emergence and effectiveness of charismatic leadership. *The Leadership Quarterly*, *10*, 257-283. Retrieved from http://doi.org/bv3vgd

Shamir, B., & Howell, J. M. (2018). Organizational and contextual influences on the emergence and effectiveness of charismatic leadership. In *Leadership Now: Reflections on the Legacy of Boas Shamir* (pp. 255-281). Emerald Publishing Limited.

Sholikhah, Z., Wang, X., & Li, W. (2019). The role of spiritual leadership in fostering discretionary behaviors: The mediating effect of organization-based self-esteem and workplace spirituality. *International Journal of Law and Management*, *61*(1), 232-249. doi:10.1108/IJLMA-04-2018-0081

Smith, G., Minor, M., & Brashen, H. (2018). Spiritual leadership: A guide to a leadership style that embraces multiple perspectives. *Journal of Instructional Research*, *7*, 80-88.

Starratt, R. J. (1996). *Transforming educational administration: Meaning, community, and excellence.* New York, McGraw-Hill.

Starratt, R. J. (2005). Responsible leadership. *The Educational Forum,69*(2), pp. 124-133.

Tallerico, M. (2000). *Accessing the superintendency: The unwritten rules.* Thousand Oaks, CA: Corwin Press.

Thompson, L. J. (2004). Moral leadership in a postmodern world. *Journal of Leadership and Organizational Studies*, *11*(1), 27-37.

Uvinen, T. P., Lamsa, A-M., Sintonen, T. & Takala, T. (2012). Leadership manipulation and ethics in storytelling. *Journal of Business Ethics*, *116,* 415-431. doi:10.1007/s10551-012-1454-8

Velasquez, M. G. (1998). *Business ethics: Concepts and cases* (4th ed.). Upper Saddle River, NJ: Prentice Hall.

Washington, R. R., Sutton, C. D., & Sauser Jr., W. I. (2014). How distinct is servant leadership theory? Empirical comparisons with competing theories. *Journal of Leadership, Accountability, and Ethics*, *11*(1), 11-16.

Weber, M. (1947). *Theory of social and economic organization*. New York, NY: The Free Press.

Weber, M. (1958). The three types of legitimate rule. *Berkeley Publications in Society and Institutions, 4*(1), 1-11. Translated by Hans Gerth.

Wright, J. S., Arnold, N. W., Khalifa, M. (2018). Diverging approaches to educational leadership: The impact of tradition in a changing education landscape. *Journal of School Leadership*, *28*, 815-833.

Xiong, K., Lin, W., Li, J. C., & Wang, L. (2016). *Psychological Reports*, *118*(3), 829-848. doi:10.1177/0033294116644370

Yukl, G. A. (1999). An evaluation of conceptual weaknesses in transformational and charismatic leadership theories. *The Leadership Quarterly*, *10*, 285–305.

Zagorsek, H., Stough, S., & Jaklic, R. (2006). Analysis of the reliability of the Leadership Practices Inventory in the item response theory framework. *International Journal of Selection and Assessment* 14(2), 180-192.

PARENTAL PERCEPTIONS OF HOLISTIC
EARLY CHILDHOOD EDUCATION IN HONG KONG

DAVID TZE-KIN NG
JOHN W. FISHER
MEI LAN AU
SING KAI LO
The Education University of Hong Kong, China

ABSTRACT

Early Childhood Education is important in developing ethical, intellectual, physical, social, and aesthetic aspects of children together with cognitive skills. Parents play an important role in their children's early life and provide a role model. Additionally, holistic education seeks to incorporate principles of wholeness, interconnectedness and spirituality. This study examined how well parental perceptions of kindergartens (KG) aligned with goals of Holistic Early Childhood Education (HECE) in Hong Kong. Written survey responses were received from 1383 parents and 165 teachers, including principals from 22 kindergartens across three Districts in Hong Kong. The findings of the study indicated that parents' and teachers' perceptions of kindergartens aligned with HECE policy in HK for young children's development and practice in the kindergarten programs. These findings clearly indicate a cohesion between parents' and teachers' concern and official Hong Kong education documents regarding holistic development of young children in kindergartens in Hong Kong.

INTRODUCTION

Early Childhood Education is important in developing the ethical, intellectual, physical, social and aesthetic aspects of a child as well as his/her language and cognitive skills in the early part of life (HKSAR, 2013). As pointed out by the Committee on Free Kindergarten Education, "Parents play a very important role in their child's early life and are their role model. Parents, being the child's primary educators at home, can be a major influence on the child's healthy development and effective learning at schools. Their support and proactive involvement with kindergartens help consolidate the child's learning and development during the schooling in kindergartens." (Committee on Free KG Education, 2015, p. 98). On the other hand, the holistic education movement seeks to integrate the idealistic ideas of humanistic education with philosophically holistic ideas including the principles of wholeness, interconnectedness and spirituality.

In 2007 the HKSAR government introduced a "Pre-primary Education Voucher Scheme" (PEVS) as a sign to demonstrate the government's commitment to improve the quality of KG education (Hong Kong Curriculum Development Council, 2006). The Committee on Free Kindergarten Education (the 2015 Committee) reported that "parents' involvement" and "quality holistic education" are two important aspects of KG education. The committee also helped to provide equitable access to quality holistic KG education that promotes lifelong development of a person. The government responded positively to the report stating that free "quality kindergarten education" policy will be planned for action in the academic year of 2017/2018 (Leung, C.Y. 2016, HK Government News, 13/1/2016). However, research on parental perceptions on holistic childhood education is still lacking in Hong Kong. Proper understanding of parental perceptions on holistic early childhood education is an important starting point for identifying parental involvement in early childhood education.

The purpose of this study was to investigate the parental perceptions of holistic early childhood education in Hong Kong to find out the extent of parents' agreement with the teachers and the HKSAR government policies. This article only covers the six aspects of Holistic Early Childhood Education (HECE) portion of a broader study which also includes expectations, involvement and provision of the holistic early childhood education services.

RESEARCH QUESTIONS

Major Research Question:
What are the parental perceptions of holistic early childhood education in Hong Kong?

Sub-questions:
    a. How well do parents' perceptions of HECE match official statements on Early Childhood Education in Hong Kong?
    b. How well do parents' perceptions of HECE match those of the teachers in Hong Kong kindergartens?

SIGNIFICANCE OF THE STUDY

This study is significant in several ways. First, it revealed the current situation of parental perceptions of holistic early childhood education in the Hong Kong context which is lacking at the moment. Second, it identified the level of significance that parents in Hong Kong place on their children's holistic development and growth. Third, it also showed the extent of agreement between the parents' perceptions and the teachers' views on the characteristics of holistic early childhood education. It is hoped that the findings from this study will inspire scholars to undertake further studies on holistic education for young children.

LITERATURE REVIEW

The Concept of Holistic Education
For Mayes and others, quality education should be seen as "whole-person education" and cannot be completed without the wholistic aspect of education (Mayes, et al., 2007). According to Rossiter (1996), personal development is a central objective of education through which aesthetic sensitivity and emotions are linked together with attitudes, values and beliefs. In the Chinese cultural context, holistic education includes ethical, intellectual, physical, social, aesthetic, and spiritual aspects of education (Chan, 2011; Lau, 2010).

Earlier researchers had proposed education be seen as an art of cultivating the ethical, social and psychological dimensions including creativity and self-realization of the developing child (Dewey, 1916 & 1938). Other researchers also advocated that the development of the ethical, emotional, social, and spiritual aspects of the child is vital for overall development, and that the development of these areas must start from early years (Gardner, 1969; Isaacs, 1932.).

In the USA, Ron Miller advocated holistic education for children as a response to the dominant worldview of conventional education, claiming that all needs of a child's life should be considered in education (Miller, 1988). Though there might be different emphases in the term used, many would agree that holistic education is whole-person education and more attention should be given to the holistic aspect of education (Miller, 2000). In short, holistic education is not one method of technique or curriculum, nor is it simply a child-centered approach to teaching. It is indeed a new educational paradigm, based on a new set of assumptions about human life and human potentials,

especially the interconnectedness of everything in the universe (Clark, 1991).

Development of Holistic Education in the Asian Context

Lin (1996) proposed another theoretical framework for the study of holistic education in a Chinese context, suggesting that holistic education should be concerned with, and keeping balance in, the development of the whole person, hence each student's body, mind and spirit. Besides the provision of comprehensive, general knowledge education and the training of life-skills, it should also care for the development of good character, high standard of morality, social responsibility, and a holistic worldview. Nakagawa (2011) described the four dimensions of holistic education as physical, mental, emotional and spiritual, and argued that the neglect of emotional and spiritual aspects in education would end up in the deterioration of human's unity and insufficient development.

The Hong Kong Council of Social Service (2015) reported that both the parents and teachers were showing awareness that the development of loving and trusting relationships and holistic childhood development were the two most important components in early childhood education. Ho (2002) affirmed the importance of parental participation as essential both for effective schooling as well as healthy growth and development of children. Additionally, results of Lau's study (2011) also indicated a significant correlation between the parents' involvement and their young children's readiness for primary school education. Lau argued that Spirituality Education should be seen having a closer connection with humanistic education rather than with religious education. She also confirmed that about half of the schools in Hong Kong and Macau upheld spiritual education in addition to the five commonly known domains, namely: moral, intellectual, physical, social and aesthetic. She claimed that spiritual education should be the sixth domain of school education, and hence, the missing gap of holistic education.

According to Lau (2014), there was still a gap between the expectations of parents and kindergarten educators on how kindergarten education should be delivered. Parents have expressed their dissatisfaction regarding the communication between parents and the KG. This current study on parental perceptions of holistic early childhood education was planned to provide some new insights into the viewpoints of both parents and kindergarten educators.

METHODOLOGY

Project Design

This study is aimed at examining the perceptions of parents of kindergarteners on holistic early childhood education in Hong Kong. A survey design with both quantitative and qualitative components was used to collect relevant data from parents in a randomly-selected cohort of kindergartens. Research data were also collected from teachers and principals on items that were similar to those completed by parents. These data were analyzed by using statistical measures for comparison.

Participants

Random sampling was used to select a total of 51 kindergartens (KGs) from a grand total of 1,014 kindergartens from 3 major districts in Hong Kong. Of the 51 kindergartens selected, 22 agreed to participate in the survey. All the teachers and parents in these 22 kindergartens were invited to participate in the study.

The Survey Instruments

The researcher composed two four-page survey questionnaires, based on relevant literature and

input from parents, teachers and school principals; one for parents and one for teachers and principals. The demographic questions had appropriate response sets, ranging from three to six responses. The investigative questions made use of a 5-point Likert scale for responses ranging from 5 = very important, 4 = important, 3 = neutral, 2 = less important to 1 = not important. The instruments were reviewed by six kindergarten principals, eight teachers and ten parents associated with early childhood education. The structure and content of the questionnaires were scrutinised to ensure their appropriateness, comprehensiveness, readability and accuracy.

A pilot test and retest on the two questionnaires were carried out with 45 parents and teachers who were not participants in the research project. Following the pilot test, two focus group interviews were held with eight parents and six teachers including principals of KGs separately, to refine the structure and contents of the questionnaire. The final version of the survey questionnaires was divided into two sections, A and B. Section A has six main questions asking for demographic information of the parent/teachers involved. Section B of the survey questionnaire had five sub-sections. Subsection (1) asked for parents'/teachers' views on the importance of six aspects of Holistic Early Childhood Education, namely (a) ethical aspect (b) intellectual aspect (c) physical aspect (d) social aspect (e) aesthetics aspect (f) spiritual aspect (with or without religion). Subsection (2) elicited responses on 24 topics that respondents thought should be included in Holistic Early Childhood Education, based on the nominated 5-point scale. A twenty-fifth item was allowed for qualitative comments revealing other areas of concern, relevant to HECE. Since this article reports part of an entire study, other subsections relating to expectations, provisions and parental involvement are not included in this report.

Data Collection

Lists of kindergartens in the 3 major districts in Hong Kong were obtained from the Hong Kong Education Bureau. The principals of the kindergartens, selected by random sampling, were contacted in sequence for permission to conduct the survey with the parents and teachers of their respective kindergartens, who were then invited to participate on a voluntary and anonymous basis. Twenty-two principals agreed to participate, within the tight time frame available, to distribute, collect and return the survey forms. Participation in the study was voluntary and responses were anonymous, ensuring confidentiality for participants, thus enabling them to freely express their views from the privacy of their homes. The participating principals and teachers were also invited to complete the survey in their own time. As a result, completed survey forms were received from 1439 parents/guardians and 165 kindergarten teachers including principals.

Data Analysis

For the quantitative responses of the parents, teachers and principals, frequency counts, means and standard deviations were assessed using SPSS for Windows Version 21. Parents' and teachers' quantitative responses were compared by using t-test to determine if any significant differences existed in the responses of the two groups. T-test was also employed to examine if any of the demographic variables made any difference in the parents' and teachers' responses. Systematic analyses of the data were undertaken to identify the significant relationships present within the six aspects of HECE. Principal Components Analysis was undertaken with these six aspects to see if a reduced number of factors could emerge from the six aspects. Correlations were also employed to test relationships between key variables between parents and teachers. Qualitative responses of parents' perceptions of 'other areas of concern for HECE' were carefully examined and evaluated to reveal how well they fitted into the six aspects of HECE listed in the HKSAR documents.

RESULTS

The Demographic Properties of Participants

Of the fifty-one kindergartens that were invited to participate in this research project, twenty-two responded positively, with 1,604 completed questionnaires from 1439 parents and 165 teachers. Of all the parent participants, 10.91% were from Hong Kong Island, 15.91% from Kowloon and 73.18% from the New Territories. A similar trend in distribution was noted among the teachers with 7.27% from Hong Kong Island, 19.4% from Kowloon and 73.33% from the New Territories. Parents from the New Territories (57.2%) in this study were reported to have significantly higher Socio-Economic Status (SES) compared with parents from the other districts. It was found that 1% of the parents completed primary school, 58% secondary school, 35% four-year university and 6% post-graduate education.

Parents' and Teachers' Perceptions toward Kindergartens

Perceptions of six aspects of holistic early childhood education

Parents' and teachers' views were sought with reference to the six aspects of HECE listed in the HKSAR official documents on HECE using the five-point Likert scale. The results in Table 1 below confirm that parents' and teachers' perceptions on HECE are in agreement with HKSAR Government policy and scholars' understanding of holistic education. The only difference in responses between parents and teachers was shown on the spirituality aspect (4.33 vs 3.89) in favour of the parents.

In order to see if a reduced number of factors could emerge from the six aspects, Principal Components Analysis was undertaken with the six aspects related to HECE. Before performing Principal Components Analysis (PCA), the data were assessed for suitability for data analysis. Coefficients of .3 and above were found for each of the six aspects in the correlation matrices for staff and parents. The Kaiser-Meyer-Olkin values were .84 and .85 respectively, which were well above the recommended minimum value of .6 and Bartlett's Test of Sphericity reached statistical significance in each sample, supporting the factorability of the correlation matrices.

Principal Components Analysis revealed just one factor in each sample, with eigenvalues exceeding 1 (see Table 2), which explained 63.3% of variance among the teachers and 56.3% of variance among the parents. The resultant factor obtained by combining these six aspects was called HECE, because it relates to principles and practices of Holistic Early Childhood Education. The alpha values for the HECE factor were .88 for teachers and .80 for parents, which are above the accepted minimum of .7.

Table 1. *Comparing parent and teacher scores on HECE*

Aspects	Participants	N	Means	SD	T-value	Significance
Ethical	Teacher	165	4.79	.42		
	Parent	1383	4.78	.43	.33	No
Intellectual	Teacher	165	4.44	.53		
	Parent	1383	4.49	.55	-1.04	No
Physical	Teacher	165	4.42	.54		
	Parent	1383	4.38	.61	.80	No
Social	Teacher	165	4.66	.50		

	Parent	1383	4.59	.54	1.63	No
Aesthetic	Teacher	165	4.39	.56		
	Parent	1383	4.35	.65	.92	No
Spiritual	Teacher	165	4.33	.66		
	Parent	1383	3.89	.92	7.72	Yes

Table 2. Component matrices from Principal Components Analysis of six aspects in HECE

Aspects	Teacher HECE	Parent HECE
Ethical	.671	.674
Intellectual	.857	.799
Physical	.891	.841
Social	.795	.824
Aesthetic	.869	.826
Spiritual	.656	.468
Eigenvalue	3.796	3.381

Demographic difference in HECE

Demographic data of parents and teachers were examined for any difference in the perceptions of parents and teachers in their responses to holistic early childhood education. The age of parents and teachers, and teachers' educational background and teaching experiences were investigated in this study.

Age

Parents' and teachers' ages were divided into two groups: (1) under 30 years old and (2) 30 years old or older. Significant influence on the six aspects of HECE was not found by age of parents and teachers. T-test was used to examine the difference in the HECE responses between the two age groups of parents (t = .223) and teachers (t = -.978). No significant difference was detected in the parents' and the teachers' responses by their corresponding age groups.

Education level

Parents' education was classified by two levels: (1) primary to Form 3 secondary and (2) Form 4 secondary to university. Teachers' education level was classified by two levels: (1) secondary up to college and (2) undergraduate to post-graduate. A significant relationship was found for the influence of parental education level on HECE overall (t = -2.50, p<.05) with more highly educated parents expressing greater agreement with HKSAR HECE policy. Teachers' level of education (t = -1.91, p=.058) narrowly missed showing significant influence on HECE policy.

Teachers' years of work

Teachers' years of work was divided into two groups: (1) under15 years; and (2) 15 years or more. Teachers' years of work did not quite show significant influence on their perceptions of HECE policy as a result of t-test analysis (t = -1.79, p=.076).

Parents' Feedback on Holistic Early Childhood Education

The qualitative comments made by 31 parents, in response to question B(2)(y), have been sorted

into categories that line up with the six main aspects of HECE presented in the HKSAR official documents, in the form of citations.

Ethical aspect – Additional comments by parents support the ethical aspect of HECE. Some parents even place ethical emphasis above academic importance. Some representative quotations from parents are cited as follows:

"Children should learn to accept responsibility"

"Children should love and respect parents",

"Building good character and positive values are more important than acquiring knowledge",

"Develop children's sense of responsibility and positive values"

Intellectual aspect – Issues in this aspect are focussed on developing children's recognition of their own potential; initiation to learn; and creativity to problem solving. In general, parents felt that in addition to knowledge acquisition, children's positive attitude to learning needs to be developed at an early age. Some citations from parents include:

"Build up children's self-confidence",

"Knowledge is secondary to children, learning experience and to express feeling are more important",

"Children should learn to have initiative, self-aware, and be optimistic ",

"Children should learn to solve problems"

Physical aspect – Parents confirmed that physical skills and health were important while appreciation of sports should also be developed. Parents agreed that learning could take place in outdoor physical environments rather than confined in classrooms of four walls. Some citations from parents are:

"More sports and healthy body are important to children"

"More outdoor activities, more learning outside classroom"

Social aspect – Parents' comments addressed children's care, love and sharing with others. Children need to recognize their unique contributions to society and learn to appreciate other people and acquire communication skills. Some citations from parents are:

"Encourage more communication with classmates"

"Teach children social responsibility"

"Children should learn sharing of experience and belongings with others"

Aesthetics aspect – Children should be educated to express themselves clearly with admiration of aesthetics, to appreciate the beauty of nature, and learn to value natural resources. Some citations from parents are:

"Children should learn emotion management"

"Children should learn to value world resources e.g. water, paper and avoid unnecessary wastages"

"Teach children to appreciate beauty of nature e.g. water, flowers, trees, birds, animals, etc."

Spiritual aspect – Children's education needs to include the development of spiritual thoughts and their love and care for their fellow human beings with all their heart. Some citations from parents are:

"Children should learn to love parents, brothers and sisters, friends and classmates"

"Perfect life is to love others, love self and love God".

It is clear that through inspection of quantitative and qualitative data in this study there is a high degree of congruence between the quantitative and qualitative findings. The qualitative comments add support to the quantitative findings with actual citations of parents' exact words. This confirmation of the overall findings of this study through a triangulation approach makes the recommendations of this study more convincing.

DISCUSSION

The lack of strong findings on demographic variables significantly predicting variation in HECE may be due to two reasons. First, it could be said that the factors used were not sensitive enough or not adequate for the task. Maybe more variables should have been used, such as personal income, religious affiliation, and number and age of children in the family. Alternatively, it can be said that the results from this study show that young children have near to equal opportunity for development in HECE in Hong Kong kindergartens, irrespective of any differences between their parents or teachers (as assessed by demographics), who are all working hard together with the desire and effort to do their best to effect young children's holistic education.

The HKSAR Government's policy in early childhood education has been supported by parents and agreed upon as being basically in the right direction, in line with proposals of many current educators of early childhood education. Although academic study for children was considered important by parents and teachers, respondents showed support for the clear trends from developed nations that, for holistic education of young children, development of good character (e.g., honesty, happy learning, follow rules), and quality (e.g., positive attitude, love and respect parents, obedience) are considered more important than academic study. This point came through clearly in both the survey results and freely provided comments. Young children need to enjoy life and be nurtured in a secure environment by loving, caring adults and encouraged to discover and optimise their (God-given) potential, to be the best they can be, for holistic early childhood education to be fully realised.

It is believed that the parents in this study are truly representative of all, or even the majority of parents in Hong Kong. If they follow through in carrying out the activities they consider important for developing their children's holistic education by working with kindergarten teachers and their children personally, the development of Holistic Early Childhood Education will be much facilitated. Additionally, if increased funding from HKSAR government could provide improved opportunities, in quality and quantity, through more student places, teacher and parent education focussed on the six aspects of Holistic Early Childhood Education, then the future for holistic education of young children in Hong Kong will look very positive.

IMPLICATIONS FOR FURTHER POSSIBLE STUDIES

Further studies could follow on from the research reported here. They would all be beneficial to further developing holistic early childhood education:

This study reported briefly on the perceptions of parents and teachers who did not comment on their understanding of current practices in kindergartens in Hong Kong. So, having objective observers noting actual practices over a period of time, in different settings with different groups at different times of day would help give a clear picture as to how well the desirable goals of holistic education are being put into practice in Hong Kong kindergartens.

A longitudinal study could track the children from kindergarten to primary school to determine whether the holistic education foundation being constructed in kindergartens would positively influence their subsequent schooling with emphasis on academics.

Studies could be developed to examine what education would benefit kindergarten parents in helping them work with their children in their holistic development. This could include psychology, active listening skills, motivation, relaxation, and assisting children's learning.

Additionally, it could be of benefit to review the significant emphasis of academics on the kindergarten holistic curriculum. Besides, the meaning of spiritual well-being and its application to development of genuinely holistic early childhood education in kindergartens in Hong Kong is also worth investigating.

No single study is likely to comprehensively address all factors related to a given topic. Hence, further research projects could follow from this study to extend understanding of holistic education from young children's points of view, as well as drill down further on effectiveness of current practices in kindergartens and by parents, in addition to assessing any added benefits to the holistic education of young children that could result from improved education of teachers and parents.

CONCLUSION

This study focused on the perceptions that parents have for the holistic education of their young children in kindergartens in Hong Kong. It was very timely considering the fact that the HKSAR had recently announced a sizable increase in funding for kindergartens in 2017/18 academic year. The findings of this study revealed the current state of parental perceptions of holistic early childhood education in Hong Kong and confirmed the level of significance that parents in Hong Kong place on their children's holistic development and growth. The study also showed the extent of high agreement between the parents' perceptions and teachers' views on the characteristics of holistic early childhood education. This finding of agreement in Holistic Early Childhood Education is of vital importance, not only for young children currently in kindergartens but also for increased opportunities being provided by more funding to support the operation of kindergartens by the HKSAR government from 2017. Overall, parents and kindergarten teachers in this study reported a high degree of agreement with the educational views expressed in HKSAR official documents in the six key aspects of ethical, intellectual, physical, social, aesthetics and spiritual aspects, being the major components of holistic early childhood education.

REFERENCES

Chan, S. L. (2011). The meanings and functions of spiritual education. *New Horizons in Education 59*(2), 90-92.

Clark, E. T., Jr. (1991). Holistic Education: A search for wholeness. In Miller, R. (Ed.) *New Directions in Education: Selections from Holistic Education Review* p.53. Brandon, VT: Holistic Education Press.

Committee on Free Kindergarten Education. (2015). *Children First: Right Start for All*. Hong Kong: Committee on Free Kindergarten Education.

Dewey, J. (1916). *Democracy and Education*. New York: Macmillan.

Dewey, J. (1938). *Experience and Education*. New York: Delta Kappa Phi.

Gardner, (1969). *Susan Isaacs: The First Biography*. London: Methuen.

HKSAR Government (2013, January 28) *2013 Policy Address- Policy Initiatives of Education Bureau.* HKSAR Government Legislative Council Panel on Education: LC Paper No. CB (4) 318/12-13(01). Retrieved from http://www.edb.gov.hk/en/about-edb/legco/policy-address/2013Education.pdf

Ho, S. C. E. (2002). *Home School Community Collaboration: From Theory, Research to Practice* (in Chinese). Hong Kong: The Chinese University of Hong Kong Press.

Hong Kong Council of Social Service. (2015) *Report of the Survey on HK Government's Responsibility in Early Childhood Education.* Retrieved from: http://www.hkcss.org. hk/c/cont_detail.asp?type_id= 9& content_ id=2626.

Hong Kong Curriculum Development Council. (2006). *Guide to the Pre-Primary Curriculum* pp.7-12. Hong Kong: Curriculum Development Council.

Isaacs, S. (1932). *The Children We Teach*. London: University of London Press.

Lau, G. (2010). Research on children's concepts of god and its implications on educational inequality in early childhood educational reform in Hong Kong. *International Journal of Educational Reform, 19*(4), 224-246.

Lau, E. Y. H. (2014). "Chinese Parents' involvement and practices of parental involvement during school transition". *Early Child Development and Care, 184*(3),403- 415.

Leung, C. Y. (2016, January 13). 2016 Policy Address. Retrieved from: www.policyaddress.gov.hk/2016/eng/p190.html

Lin, C. (1996). A study of the implementation of Holistic Education at Chung Yuan University Taiwan. In, Proceedings of International Conference on Holistic Education. Taipei: Municipal Library Press.

Mayes, C. et al. (2007). *Understanding the Whole Student: Holistic Multicultural Education*. Lanham, Maryland: Rowman & Littlefield Education.

Miller, J. (1988). *The Holistic Curriculum*. Toronto: OISE Press.

Miller, J. (2000). *Education and the Soul: Toward a Spiritual Curriculum*. New York: State University of New York Press.

Nakagawa, Y. (2011). A multidimensional view of Holistic Education: From Eastern Perspectives. In Creating Human Support Services, pp.85-96.

Rossiter, G.M. (1996). The moral and spiritual dimensions of education: some reflections on the British experience. *Journal of Moral Education, 25*(2),201-214.

ACKNOWLEDGEMENT

APPENDIX

Relevant sections of the survey questionnaire employed in this study

(A) Information about parents of child (Please ✔ ☐ as appropriate)

    (1) District of Kindergarten

HK	☐	KLN	☐	NT	☐

    (2) Relation with Child

Father	☐	Mother	☐	Grand Father	☐
Grand Mother	☐	Auntie	☐	Others	☐

    (3) Age of Parent

25-30	☐	31-35	☐	36-40	☐
41-45	☐	46-50	☐	Others	☐

    (4) Highest Education Level of Parent

Primary	☐	High School F1-F3	☐	High School F4-F7	☐
College Graduate	☐	University Graduate	☐	Master or Above	☐

    (5) Nationality of Parent (Or District of Residency)

Mainland China	☐	Hong Kong	☐	Macau	☐
Taiwan	☐	Others	☐		☐

    (6) Class of Child

K1	☐	K2	☐	K3	☐

    (7) How important are each of the following relationships for you personally?

	Very Important	Important	Normal	Less Important	Not Important
(a) with yourself	☐	☐	☐	☐	☐
(b) with other people	☐	☐	☐	☐	☐
(c) with the environment	☐	☐	☐	☐	☐
(d) with God (or heaven)	☐	☐	☐	☐	☐

(B) Please ✔ ☐ as appropriate, Very Important, Important, Normal, Less Important, Not Important

    (1) For your child's holistic early childhood education, strong emphasis should be placed on :

	Very Important	Important	Normal	Less Important	Not Important
(b) Ethical aspect	☐	☐	☐	☐	☐
(a) Intellectual aspect	☐	☐	☐	☐	☐
(b) Physical aspect	☐	☐	☐	☐	☐
(c) Social aspect	☐	☐	☐	☐	☐
(d) Aesthetics aspect	☐	☐	☐	☐	☐
(e) Spiritual aspect (with or without religion)	☐	☐	☐	☐	☐

(2) Holistic early childhood education should include the following:

	Very Important	Important	Normal	Less Important	Not Important
(a) Love & respect to parents	☐	☐	☐	☐	☐
(b) Obedience to parents	☐	☐	☐	☐	☐
(c) Love & care for brothers & sisters	☐	☐	☐	☐	☐
(d) Paying respect to principal & teachers	☐	☐	☐	☐	☐
(e) Honesty	☐	☐	☐	☐	☐
(f) Happy learning	☐	☐	☐	☐	☐
(g) Learning of Social skills	☐	☐	☐	☐	☐
(h) General knowledge skills (e.g. language, mathematics, music etc)	☐	☐	☐	☐	☐
(i) Self-confidence & reflection learning	☐	☐	☐	☐	☐
(j) Facing failure & losses	☐	☐	☐	☐	☐
(k) Physical & motor skills	☐	☐	☐	☐	☐
(l) Maintain physical health	☐	☐	☐	☐	☐
(m) Appreciation of all kinds of sports	☐	☐	☐	☐	☐
(n) Follow discipline & rules	☐	☐	☐	☐	☐
(o) Building trust of others	☐	☐	☐	☐	☐
(p) Sharing of love & belongings	☐	☐	☐	☐	☐
(q) Care & concern for others	☐	☐	☐	☐	☐
(r) Appreciation of music, culture & arts	☐	☐	☐	☐	☐
(s) Appreciation of nature (sky, land, mountains, water, flowers, trees & living creatures)	☐	☐	☐	☐	☐
(t) To love & value living	☐	☐	☐	☐	☐
(u) Appreciation of blessings & happiness	☐	☐	☐	☐	☐
(v) Love & care towards the young & animals	☐	☐	☐	☐	☐
(w) Love & care towards flowers & plants	☐	☐	☐	☐	☐
(x) Love & respect God (or other transcendents)	☐	☐	☐	☐	☐
(y) Others (Please list areas of concern on the lines provided)	_____ _____				

END OF SURVEY

INVITATION TO SUBMIT MANUSCRIPTS

The editor of *Educational Planning*, a refereed journal of educational planning issues, invites the submission of original manuscripts for publication consideration. *Educational Planning* is the official journal of the International Society for Educational Planning. The audience of the journal includes national and provincial/state planners, university faculty, school district administrators and planners, and other practitioners associated with educational planning.

The purpose of the publication is to serve as a meeting place for scholar-researcher and the practitioner-educator through the presentation of articles that have practical relevance to current issues and that broaden the knowledge base of the discipline. *Educational Planning* disseminates the results of pertinent educational research, presents contemporary ideas for consideration, and provides general information to assist subscribers with their professional responsibilities.

Manuscripts preferred for inclusion are those from practitioners, reports of empirical research, expository writings including analyses of topical problems, or case studies. Unsolicited manuscripts are welcomed.

The following criteria have been established for the submission of manuscripts.

STYLE: All formatting should adhere strictly to the current guidelines set in the Publication Manual of the American Psychological Association.

LENGTH: The manuscript, including all references, figures or illustrations, charts, and/or graphs, should not exceed 20 pages. In addition, an Abstract (between 150-500 words on a separate sheet of paper) describing the focus of the manuscript should be included at the beginning of the manuscript.

WORD PROCESSING: SINGLE-SPACE all text using TIMES NEW ROMAN with a 10 point type. Headings and sub-headings should be in ARIEL with a 10 point type. Provide 1.0 inch margins top and bottom, and 1.5 inch left and right, with 1.0 inch header and 1.0 inch footer. The body of the manuscript must be no wider than 5 ½ inches to fit the paper. Lengthily tables, drawings, and charts or graphs should be scaled to the dimensions given and should preferably be camera-ready.

FORM of SUBMISSION: Send the manuscript to the Editor electronically in Microsoft Word as an attachment to an email. The email address is: tchan@kennesaw.edu

The manuscript should include the following:
Title Page
      Title of the manuscript
      Date of Submission
      Author(s) name, mailing address, telephone number, email address, and fax number
      Biographical sketch not to exceed 75 words
Abstract
      An abstract not to exceed 500 words on a separate page
Body of the Manuscript
      Text of the manuscript not to exceed 20 pages, including references, tables, etc.
If the manuscript does not meet the guidelines exactly, it will NOT be reviewed and will be returned to the author.
Author(s) name or any other identifying information should not be included on the abstract or the manuscript. Authors are responsible for copyright clearance and accuracy of information presented and submission implies that the same manuscript has not been submitted t other publications.

Editorial reviewers and editors will review all manuscripts. Points of view are those of the individual authors and not necessarily of ISEP.

      Please send manuscripts to: Dr. Tack Chan – tchan@kennesaw.edu
For more information about ISEP go to: www.isep.info

Fiftieth Annual Conference
International Society for Educational Planning

Washington, DC
October 13-16, 2020

Conference Registration Includes:

Registration & Membership
Breakfasts, Luncheons
Journal Subscriptions

To Register Visit:
www.isep.info

For further information contact:
Abebayehu Tekleselassie
silassie@gwu.edu

Conference Hotel
Embassy Suites
Washington, DC

Reservations:
1-202-974-6010

Mention ISEP

ISEP
MEMBERSHIP SUBSCRIPTION FORM
(Please Print)

Name: _____
<p style="text-align: center">Last   First   Middle</p>

Organization/Department: _____

Mailing Address: _____

     _____
<p style="text-align: center">City   Province/State</p>

     _____
<p style="text-align: center">Postal Code   Country</p>

Email: _____

Fees: Professional Membership and Subscription to Educational Planning = $125.00 USD

Payment by check, money order, or Purchase Order required with application.
NOTE: Annual Membership is based upon the calendar year – January to December.

<p style="text-align: center">MAKE CHECK PAYABLE TO: ISEP
RETURN MEMBERSHIP APPLICATION AND PAYMENT TO:
Dr. Carol S. Cash
Secretary/Treasurer, ISEP
ccash48@vt.edu
6543 Cold Harbor Road
Mechanicsville, VA 23111
USA</p>

ORGANIZATION

The Society was founded December 10, 1970 in Washington, DC. Over 50 local, state, national, and international planners attended the first organizational meeting.

Since then its continued growth demonstrates the need for a professions organization with educational planning as its exclusive concern.

PURPOSE

The International Society for Educational Planning was established to foster the professional knowledge sand interests of educational planners. Through conferences and publications, the society promotes the interchange of ideas within the planning community. The membership includes persons from the ranks of governmental agencies, school-based practitioners, and higher education.

MEMBERSHIP IN THE SOCIETY

Membership in the society is open to any person active or interested in educational planning and the purposes of the Society. To join the Society or renew a membership please complete and submit the enclosed form.
Please forward check/money order/PO to:
ISEP
Dr. Carol S. Cash, Secretary/Treasurer
6543 Cold Harbor road
Mechanicsville, VA 23111
USA

EDUCATIONAL PLANNING