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Editorial

This issue of *Comparative Education Bulletin (CEB)* covers a wide range of emergent issues on the landscape of educational reform and social change in a global age, with rich reflections that contribute to the field of comparative education and development. The eight articles put together here are an appropriate celebration of *CEB*'s 15th anniversary.

This issue was edited at a time when the Comparative Education Society of Hong Kong (CESHK) is experiencing rapid growth, with over 200 participants coming from the Asia-Pacific Region and beyond to enjoy its annual conference on February 23 2013 at the Chinese University of Hong Kong, where the CESHK was founded in 1989. While the *CEB* has had modest beginnings, its vision and mission have gradually extended to serve a larger community beyond the greater China region. This can be seen in the increasing diversity of the CESHK membership which has representatives from Australia, Bangladesh, Belgium, Canada, Finland, Hong Kong, India, Indonesia, Iran, Japan, Macao, Mainland China, Portugal, South Korea, Taiwan, Thailand, the Netherlands, the Philippines, the UK and the USA.

To cope with CESHK's dynamic development, the Executive Committee has been working very hard to move the *CEB* toward a journal of higher quality and better status, with the establishment of an editorial board and a plan of retitling in the near future. We are very thankful for the valuable feedback which has been collected from CESHK's previous presidents and senior scholars in the field. It is their keen and indefatigable support and the important contribution from both authors and anonymous reviewers that make this issue especially valuable.

I thank very much Roger Chao Jr., Liyuan Chen, Tracy Lau and Jae Park for their substantial editorial work. Special thanks go to Ms. Emily Mang at the Comparative Education Research Centre of the University of Hong Kong for her various help.

Jun Li

Editor-in-Chief

Comparative Education Bulletin

Appropriating Higher Education from Neo-Liberalism¹

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Abstract

The attempted imposition of Western neo-liberal ideology in higher education over the past thirty years – manifested in the forms of privatisation, marketisation and accountability – has been met at the national, institutional and individual level with compliance and defiance, as well as instances of local appropriation. Although there has been some homogeneity in responses to neo-liberalism, there has also been diversification in different contexts, as national and local contextual factors have interacted with global forces to produce forms of higher education that correspond more closely to local, peripheral, needs than those of the Anglo-American centre. This paper argues that, when there is an alignment of will among the state, the higher education institutions and those who wish to access higher education, there can be the appropriation of the manifestations of neo-liberal discourse for a national or regional cause that is a counter-current to the hegemony associated with neo-liberalism.

Key words: neo-liberalism, higher education, policy

Introduction

Over the last thirty years, the nature and functions of higher education institutions (HEIs) around the world have changed in fundamental ways as higher education policy and practices have responded to shifts in ideology, geopolitics and socio-economics, and financial realities. The ideology – neo-liberalism – advocates opening up world markets. It has expanded to areas such as education that hitherto were not strongly associated with economic entrepreneurialism and has had a significant impact on the work of academics, student experiences and the strategic positioning of HEIs. Geopolitical shifts have broken down political and economic barriers to international trade, while socio-economic changes, such as post-industrialization and increased popular aspirations, have necessitated widening participation in higher education – straining the capacity of public funding to meet the new demand.

This paper explores the nature of the trends that are common to different contexts (Australia, England, China mainland, Hong Kong and USA) and the drivers that have produced them. It goes on to look at the diversity in the responses of HEIs, and the contextual factors that have shaped them. Some HEIs demonstrate enthusiastic embrace of these trends or – at least – a strong degree of compliance with moves at the state level to bring about reforms in the sector that are in line with them. By contrast, there are instances of resistance or defiance towards the trends expressed at the macro-, meso- or micro-level through the

¹ This is a revised and abbreviated version of Adamson, B. (2012). Beyond the East-West dichotomy, in Adamson, B., Nixon, J. & Su, F. (Eds.), *The reorientation of higher education: Challenging the East-West dichotomy* (pp.284-299), Hong Kong & Dordrecht: Comparative Education Research Centre & Springer; and Adamson, B., Nixon, J., & Su, F (2012). Comparative education and the reorientation of higher education, *ibid* (pp. 12-34).

failure or unwillingness to adopt the reforms, or even the adoption of counter-measures. A third position involves more complex and holistic processes that comprise the appropriation and transformation of neo-liberal ideas to suit the specific strategic goals of the implementers.

Main Drivers of Reform

Varghese (2012) identifies the main drivers that have destabilized the relationship between the state, higher education and domestic students (the group that had predominant access to higher education before the period of transformation).

The first driver comprised concerns over national economic competitiveness in the post-industrial era, which induced many governments to seek a stronger contribution from the higher education sector towards the economic well-being of the state. Second, the shift from higher education being seen as the preserve of a privileged elite to more open access for a larger proportion of the population resulted in the expansion in the provision of higher education and the reorientation of curricula. Third, geopolitical changes and the forces of globalization have enhanced student mobility and also created the notion of higher education as a marketable commodity internationally, thus impacting upon the profile of the student body and hastening the commercialization of education. The latter driver has, in turn allowed institutions to seek complementary forms of funding as the state struggled to pay for the expansion of the sector.

Underpinning all these factors has been a discourse which has been connected with a neo-liberal philosophy. Neo-liberalism emerged in the 1970s in the USA and the UK as an antidote to stagflation and the highly regulated Bretton Woods system of international monetary management that was deemed no longer fit for purpose (Olssen & Peters, 2005). The philosophy emphasizes the role of the private sector in political and economic affairs, holding that competition brings about efficiency. Removing the barriers to international trade would allow the creation of open markets and competition on a global scale, facilitated by the developments in information technology. Many of the tenets of neo-liberalism were embodied in the Washington Consensus, a list of ten recommendations for economic reform that were adopted by numerous governments in the 1990s: fiscal policy discipline; the redirection of public spending towards priorities such as primary education, primary health care and investment in infrastructure: a broadening of the tax base; allowing interest rates to be determined by the market; instituting competitive exchange rates; the reduction of trade protectionism; the encouragement of inward foreign direct investment; the privatization of state enterprises; the opening up of markets and competition through deregulation; and legal protection of property rights (Williamson, 1990).

Governments' belief in the efficiency of the private sector resulted in the spread of neo-liberal discourse to aspects of the public sector, such as higher education, that hitherto had not been conceptualized as being market-driven. Thus the notions of international competitiveness, programmes as commodities, consumer choice, privatization, quality assurance, *inter alia*, entered the lexicon of higher education. The ideological values system that has come to shape HEI work in the context of the neo-liberal discourse is one of social and economic efficiency. This values system views the key role of education as preparing economically-productive citizens, so programmes of study conforming to this view typically focus on the knowledge, skills and attitudes that are deemed relevant to future employment. Students are assessed on their ability to apply the knowledge, skills and attitudes in real-life contexts (Adamson & Morris, 2007). Therefore, programmes of study

that have an obvious link to employment, such as degrees in business administration, would be more likely to be promoted, often to the detriment of more 'academic' subjects, such as philosophy. Partnerships, such as the funding by the business sector of research to be carried out in higher education, the provision of internships and the employment of lecturers with industrial or commercial experience, would be seen as adding 'real world' value to degree programmes. At the same time, funding for research undertaken in higher education would be funnelled towards projects that had commercial applications, in the form of patents or 'knowledge transfer'.

The increased access to higher education – once the preserve of the economically advantaged, the well-connected or the academically outstanding – forms part of the movement towards quality mass education. Industrialization and post-industrialization have raised the affluence and expectations of sectors of the population that previously had few opportunities to enter HEIs. At the same time, developments in technology that were designed to simplify industrial processes somewhat paradoxically require a better educated workforce to design, manage and utilize the hardware and software, while the desire for international economic competitiveness has encouraged governments to open up higher education with the goal of enhancing their pool of human capital. However, increasing the provision of higher education is expensive, and especially burdensome for states in straitened financial times, such as the Asian economic crisis in the late 1990s and the international banking collapse a decade later. Governments therefore encouraged HEIs to seek support from the private sector and from fee-paying domestic and international students on a commercial basis. New higher education institutions were to be built from scratch; existing institutions were to be converted, expanded or upgraded. Because of the timing of their establishment – during a period in which neo-liberal discourse predominated – and the motivation of governments in expanding access to higher education, the nature of the programmes that these newer institutions offer would be expected to reflect the ideology of social and economic efficiency, at the risk of these new entities finding themselves stigmatized for lacking the academic traditions of the longer established higher education institutions.

The third driver arose from the geopolitical shifts that have facilitated greater transnational activity in higher education. The breaking down of political blocs, symbolized by the fall of the Berlin Wall in 1989, smoothed the way for this development, as did the increasing dominance of English as an international language in many domains including academia. Students seeking educational opportunities and cultural experiences abroad would provide higher education institutions with a source of additional income and therefore should be courted assiduously. The portability of credentials was greatly ameliorated by the development of credit transfer systems and the establishment of common frameworks for degree qualifications, such as those envisaged by the Bologna Process, which were originally intended to be confined to states forming a European Higher Education Area but were also embraced elsewhere.

These drivers have had profound implications for the relationship between the funders, providers and recipients of higher education. A new relationship is envisaged whereby the state has a less significant role in the governance of higher education, with some functions being taken over by private agencies, some of which operate transnationally. Formerly, higher education tended to be viewed as a public good, with institutions funded largely by the state mainly for the benefit of domestic students, who studies were subsidised by grants. The role of the state as the major funder permitted it to exercise leadership in the planning

and development of higher education. A belief in the efficiency of the market has weakened this direct leadership to some extent, but other forms of remote control or “driving at a distance” (Marginson, 1997) have emerged, such as quality assurance mechanisms and control of research funding.

Conceptualising higher education institutions as businesses offering a commodity in an international marketplace implies not only new interrelationships between these institutions, the state and the recipients (‘consumers’) of higher education, it also suggests that new forms of governance would need to be adopted. Learning from successful business models and peers, HEIs would have to position themselves competitively and strategically in the market; and demonstrate that they were efficient, economically viable, agile and responsive to consumer demand. They would also need to ensure that the various products on offer were of high quality, preferably benchmarked to standards that were recognized internationally. Productivity—linked either directly or indirectly to monetary values—would form the basis for staff appraisal. Innovations in the processes of producing, marketing and designing the products would provide a competitive edge. In sum, the forces of globalization and the neo-liberal ideology of the market economy has produced a situation in which HEIs have not only been exposed to international market forces, they are also being expected to transform themselves into business enterprises.

The Responses of Higher Education Institutions to Reform

Cheung (2012) suggests that globalization (a major thrust of neo-liberal ideology) is exerting pressure on HEIs in four ways—to follow the trends or to risk being left behind; to produce competitive human capital and to engage in competition as institutions; to assure that the education on offer has the requisite quality and relevance; and to operate as businesses. As a result of these pressures, the nature of HEIs and of academic life within these institutions has undergone rigorous examination and, in many cases, fundamental change. Institutions have been forced to reposition themselves in relation to sometimes rapidly changing markets and to new governmental policies, initiatives and legislative reforms. This section sets out and discusses some general trends that are followed by the large majority of institutions have emerged—internationalization; corporatization and marketization; student diversity, "new" pedagogies; and privatization.

Internationalization

A universal response in all the studies is international development. However, the notion of internationalization is slippery and takes a variety of forms. Mazzarol, Soutar and Seng (2003) distinguish three waves of internationalization in higher education, with each providing the term with a different connotation. The first, which long predated the era of globalization, consisted of students leaving their home countries to study at an institution abroad. The attraction to host HEIs in recent times lies in the ability to charge fees—often at a premium rate—to supplement the dwindling income from domestic sources. Initially, the general movement was from economically developing to developed countries. More than one million Chinese citizens, for instance, went abroad to study, facilitated by the state strategies for economic modernization, between 1979 and 2006 (Hayhoe & Liu, 2010), with the majority going to English-speaking countries such as the USA, Canada, UK and Australia (Shoresman, 1998). In the second wave, which became popular in the 1980s and 1990s, it was no longer necessary for students to travel: instead, HEIs collaborated with international partners in offering joint or dual degrees and similar programmes. Alliances of this kind allowed the institutions access to new markets (either overseas students, or domestic students attracted by the kudos of the partnering institution). Such partnerships

also extended the opportunities for staff to collaborate on research, as international projects carry more cachet than local ones according to the ideology of globalization. Alliances also allow the creation of new entities, such as the regional universities established by a consortium of small states (Martin & Bray, 2012) or the University of Central Asia initiated by the government of Kazakhstan, Kyrgyzstan and Tajikistan and His Highness the Aga Khan (Oleksiyenko, 2012). The partners could be on an equal footing in terms of status and reputation, or they might involve an element of mentorship of one partner by the other, such as the training of talent provided by high-ranking universities in Europe and Asia for the University of Central Asia. The third wave, which emerged at the turn of the millennium, involves the establishment of branch campuses on foreign soil, such as the University of Nottingham-Ningbo (Mok & Chan, 2012), and the virtual delivery of programmes facilitated by advances in information technology. These initiatives reflect market penetration across state borders and could signal the emergence of multinational universities in the same way that certain major companies have established a presence in many countries.

Another dimension of internationalization concerns revisions to the curriculum and broader changes to campus life in order to cater for the more diverse student body and to prepare all students, local and international, for employment in a workplace influenced by globalization. Cheung (2012), notes that common trends in this area of academic life include the creation of an institutional plan for internationalization, comprising a vision statement, policies and strategies; the recruitment and support of staff to integrate international perspectives into the teaching and research activities of the institute; the diversification of the student body and the provision of opportunities for overseas experiences; and the institution-wide provision of pastoral, linguistic, cultural and academic support to enable international students to adapt to and flourish in their new environment.

The role and status of the English language in higher education have been boosted by moves towards internationalization. Recognized as a lingua franca form many spheres of academic activity, English is often adopted as the medium of instruction for programmes and individual courses that cater to students from diverse linguistic backgrounds. To accommodate the students, the HEIs have to tread a fine line in ensuring that their curricula and media of instruction are attractive and accessible, without alienating domestic students. At the same time, staff working in higher education institutions that aspire to achieving international recognition are expected to publish their research in journals that are viewed as prestigious in the particular academic field. The predominance of journals in the USA and the UK—for historical reasons—means that this research will very often be written in English.

Internationalization has proved complex. Some strategic initiatives have resulted in tensions between national and regional interests, or between the geopolitical interests of one partner and those of the other, which King (2012) identifies in China's engagement with African nations in higher education. Mok and Chan (2012) show how China has instituted a regulatory framework to delimit the penetration of foreign HEIs, although creative means have been found to observe the word but not the spirit of the regulations.

Furthermore, the preference for English as the medium of instruction and of research outputs is controversial as it might disadvantage those students and academics who are less proficient in English. Su (2012) relates some of the challenges facing Chinese students in the UK as they grapple with English in their studies and in forming supportive friendship

groups with local students. English might also lead to the neglect of important local issues on the research agenda of academics, as the prestigious journals may be less inclined to publish research articles that do not have relevance for a broader (i.e., international) readership. The controversial language policy espoused by the Chinese University of Hong Kong (see Cheung, 2012) demonstrates the potential for the enhanced role and status of English to be viewed as linguistic and cultural imperialism to the detriment of other languages.

Corporatization and the Market

The expectation that higher education institutions should behave as businesses has resulted in changes to the forms of governance. Typically, changes are characterized by greater accountability to the state, the creation of senior managerial positions or professional administrators, the introduction of quality assurance instruments, the use of productivity and consumer satisfaction as measures of academic effectiveness, and the selection of programmes on the basis of economic relevance and viability. Zipin and Brennan (2012) argue that the rationale for these changes is the hope that HEIs would be able to generate their own income through entrepreneurialism, and that they should be able to demonstrate that the government funding that they did receive was being used in accordance with education policy goals. Increased accountability has taken the forms of detailed reporting to government, with a focus on outputs, and external auditing.

The encouragement for higher education institutions to engage in competition has led to several responses. One is the reification of university rankings established by different agencies (including newspapers, magazines and research centres) for different purposes over the past century, but particularly in recent decades. The US News and World Report uses criteria such as “undergraduate academic excellence”, student graduation and retention rates, faculty resources, and the proportion of alumni who make donations to their *alma mater* (Marginson, 2010). The Shanghai Jiao Tong University’s Academic Ranking of World Universities (ARWU) project was originally designed to chart the progress of China’s research universities through global comparisons, based on citation indices and awards to staff and alumni, such as Nobel Prizes and Fields Medals (Liu & Cheng, 2005). Another ranking system is the Times Higher Education World Rankings, which revamped its methodology in 2010 to take into account the income generated by the university from industry; the international diversity of staff and students; the learning environment; the volume, income and reputation generated by research; and, the citation impact of research output (Baty, 2010). Each of the ranking systems mentioned above have distinctive characteristics and the criteria reflect particular views of academic life. One might query, for instance, the inclusion of Nobel Prizes in the ARWU, or the proportion of alumni donating to the institute, as used in the US News and World Report system. The Times Higher Education World Rankings criteria clearly reflect—and therefore help to institutionalize further—the neo-liberal discourses that are shaping the repositioning of institutions.

The tendency of university management, discussed by Stromquist (2012), has been to view these rankings as a form of competitive league table and to devise policies designed to improve the position of their individual institution. These policies are often guided by the criteria underpinning the rankings. They include promoting research that generates the most external funding and the highest impact factors, as these are often used as key performance indicators. This results in focusing on research projects that require expensive equipment (such as medical and engineering research) and therefore “big ticket” grants, that involve

partnership with industry with a view to creating patentable products, and that are located in fields that have highly prestigious journals with a large readership.

The interpretations of ‘quality’ and ‘excellence’ as reflected by the nature and foci of the typical staff appraisal mechanisms employed in this context, demonstrate the influence of the corporatization on HEIs. Academics are appraised in terms of customer satisfaction (i.e., post-course evaluations by students), income generation (the financial value of grants received), the commercial impact of the products of research (the number of patents registered, for example) and the volume and market-penetration of outputs (the number of research articles, books, book chapters, consultancy reports, etc., and their impact as measured by the citation indices and other instruments), and their efficiency, such as the completion rate of postgraduate students. The encouragement of competition among institutions to obtain research grants, and the weighting accorded to research output for the purposes of contract renewal, tenure and promotion has led to a stronger degree of self-interest and isolation among academics, as observed by respondents in the study conducted in the UK by Murray, McNamara, Jones, Stanley and Fowler (2012).

Another response to the pressure to adopt corporate habits has been the branding of higher education institutions, with the design of logos, marketing strategies and products. An industry has been generated for educational agents and the managers of roadshows—education fairs in which institutions seek to market their programmes to potential students in different countries. To be viable, programmes of study have to attract students in sufficient numbers to ensure the revenue outstrips costs. Programmes of study are approved or cancelled on the grounds of market-appeal and economic viability.

As noted above, the pressure to recruit students can lead to individual institutions seeking to enhance their reputations through the ranking systems. Another approach is to open up more access channels for students, such as by granting credit for a variety of non-formal learning experiences. Other strategies include offering only very popular programmes (usually with a strong connection to the job market), lowering entry and graduation requirements, and shortening the duration of study. The pressure to attract students, both domestic and from overseas, and the overall thrust of neo-liberal ideology and the values of social and economic efficiency, have altered both the nature of programmes and the pedagogy used to deliver them. Concern for economic viability has also impacted upon class sizes, as clearly, it is economically more viable to have one tutor teaching as many students as possible at one time.

Student Diversity

Internationalization and widening participation have changed the student profile significantly, to the extent that education is seen by several countries as a significant export industry. Although the initial flow of students was from developing to developed countries, subsequently, the trend has become multidirectional through academic exchange and study abroad programmes. Greater student diversity on campus creates major challenges for HEIs that go beyond requiring changes to the curriculum. Su (2011) shows that international students often undergo culture shock in both academic domains (as they come to terms with new models of teaching and learning, in an unfamiliar language, and different attitudes towards study among peers) and broader social domains (when establishing support networks and friendship groups, or simply engaging in daily routine matters). How they (and those they interact with) respond to these difficulties shapes their positivity or negativity towards the international student experience. To use the language of the business

sector, HEIs need to be aware that, by recruiting international students, they are not merely selling a commodity (a programme of study); it is a service industry that requires considerable investment in consumer support. Su (2012) suggests that the development of an intercultural ‘third place’ would be an appropriate approach to accommodating internationalization in the student body. However, it is clear from the challenges facing Chinese students in the UK documented by Su that, in some cases, host HEIs are not providing sufficient support and are failing to meet the students’ expectations, forcing the students to respond by creating their own social networks involving the local community or other international students.

New Pedagogies

The drive for cost effectiveness has resulted in pressure on academics to develop different modes of course delivery, often under the label of “new pedagogies” or “innovations in learning and teaching”. The availability of technology that reduces the need for international students to actually move to an overseas HEI or for domestic students with external commitments (such as part-time work) to attend classes has enabled whole programmes to be delivered online, with the only contact that the students have with their tutors and classmates being virtual. Blended learning, whereby online learning opportunities are complemented by face-to-face teaching either delivered at the host institution or offshore at a location convenient for the students, has also become a popular strategy. While there has been rapid development of the software and hardware to support rich online and blended learning, there are nonetheless concerns whether the personal interaction among students and between a student and a tutor can be adequately replicated through the use of technology.

The move towards large class sizes for the sake of economic efficiency presents similar pedagogical challenges, as the environment is less supportive of approaches to learning that are premised on notions of catering to individual needs or on the construction of knowledge through interaction. Fanghanel and Kreber (2012) show how the function of a university in the West has moved away from the Humboldtian tradition (one that involves creating and transmitting discipline and content-based knowledge) to a contemporary emphasis on enabling students to develop transferable soft skills and context-dependent (or “real world”) knowledge. To combat this narrowing of the curriculum, they suggest that academics could explore the pedagogical space to develop a ‘thick’ pedagogy that mixes context-dependent and context-independent knowledge and encourages students to reflect and construct their own knowledge based on the interaction between shared personal experiences and expert knowledge.

Privatization and Privatness

Increasing the role of the private sector in higher education has been multifaceted, covering the establishment of new institutions as joint ventures, such as the independent colleges in China described by Mok and Chan (2012), the tapping of private financial resources as an alternative income stream, and, as discussed above, the creation of partnerships with industry for the purposes of research and work experience for students. In China, privatization is seen as a means of promoting the virtues of excellence, independence and privatness (Hua & Yang, 2008). Excellence is considered to arise from the extra resources that HEIs supported by the private sector are supposed to enjoy in comparison to their public counterparts; independence stems from the private (as opposed to public) sources of funding; privatness refers to the specific interests (which might be profit-making or corporate social responsibility) of the private investors in the HEI.

Although the motivation and financial commitment of these private investors may vary, and thus produce variations in the role and status of the new initiatives, the moves towards privatization have reinforced the linkage between the curriculum offered by HEIs and the values system of social and economic efficiency. This monotheistic adherence to an ideological orientation, by which governance and institutional structures are adjusted to follow the trends initiated by neo-liberal discourse, constricts the capacity to attend to other possible functions of higher education, such as serving as the locus for the preservation and transmission of cultural and academic heritages, for debates on social reconstruction and justice, and for broader-based, whole-person education.

Beyond Compliance

So far, this paper has argued that neo-liberal discourse has produced policies and forms of governance that conceptualize higher education institutions as business corporations engaging in international trade, and that there are trends, set out in the previous section, that have resulted in a degree of homogeneity in responses across contexts. This portrayal, when analysed from a world-systems (Wallerstein, 2004), Bourdieuan or Foucauldian perspective (Marginson, 2008), might be viewed as a hegemonic move by power centres – in this case, Anglo-American states – to assert their dominance over peripheral states through the privileging of their model of higher education and the English language. The means for maintaining this control include the introduction of instruments imitated from Western corporate practices, such as accountability, quality assurance and measurement of outputs (preferably in Anglo-American journals), the breaking down of barriers through trade agreements to allow central HEIs to penetrate peripheral markets, and the funding of research in areas, such as science, technology, engineering, mathematics and economics that have strong roots in Western academic history. Certain disciplines (including teacher education, social work and nurse education) find themselves in a “cleft stick” where there is dissonance between the disciplinary norms and the research agenda that academics within those disciplines are expected to pursue (Murray et al., 2012). At the micro-level, Fanghanel and Kreber (2012) detect an erosion of the academic freedom, autonomy, collegiality and care experienced by staff, for whom teaching has also become more of a technical enterprise than an art.

However, the reality is more complex than a simple imposition of an ideology by dominant parties on weaker ones. The responses of HEIs in different contexts have been diversified, as local contextual factors, such as geography, history and culture, have interacted with the global forces. There are examples of defiance and instances of actions by peripheral parties that go beyond defiance of this ideological imposition, and that involve appropriation of the instruments of neo-liberal ideology for their own purposes, including self-strengthening. This section discusses the extent to which higher education has responded in terms of complying with the trends associated with the prevailing neo-liberal ideology, whether whole-heartedly or by paying lip-service, and the extent to which the sector has defied the call to “follow the trends or perish” or even subverted the instruments of the ideology to its own ends.

When there is an alignment of will among the three parties – the state, the HEIs and those who wish to access higher education – there can be the appropriation of the manifestations of neo-liberal discourse for a national or regional cause that is a counter-current to the hegemony associated with that ideology. The slipperiness of concepts such as ‘internationalization’ and ‘privatization’ affords opportunities for this appropriation.

Interpreting internationalization as regionalization, peripheral places such as Malta, Singapore and Hong Kong can seek to become hubs, or regional central powers. Likewise, China's transnational policy and engagement with Africa in higher education positions that nation as a dominant power—in this case for the benefit of national economic development, not merely income generation. Domestically, China has been edging towards finding a balance between *laissez-faire* and regulation in the development of private sector involvement in HEI so that the synergy between the two sectors can be tapped in ways that meet the state's strategic goals. China has also become a major provider of education for international students, with nearly 200,000 such students (mainly from other Asian countries) studying there in 2007, resulting in an aggregate since 1979 that matches the number of Chinese students studying overseas (Hayhoe & Liu, 2010). Another example of self-strengthening is the University of Central Asia, set up by His Highness the Aga Khan, that combines regionalization (here, the partnership on an equal basis of the three participating states) with strategic internationalization (selected collaboration with established universities for building staff capacity and sustainability) in support of goals for the university that are relevant to the region.

This process of appropriation, therefore, exploits the ambiguity of the ideological discourse and associated practices in ways that benefit those who are potentially disadvantaged by the new trends. Key elements – a clear vision and plan; governance that balances flexibility with regulation; strategic partnerships across sectors and states; attention to sustainability, capacity-building and viability; and the preservation of essential cultural characteristics – facilitate the realignment of higher education to suit indigenous goals rather than those of the Anglo-American centre, like a judo throw that uses the momentum of an opponent as a form of attack, not merely self-defence. Changes may have originated in western countries and there has been some homogeneity in responses, but heterogeneity is also strongly evident. The influence of the local context (whether at the individual level, institutional level or systemic level) is significant, and this includes HEIs in western and non-western locations. The responses of HEIs in different contexts have been diversified, as national and local contextual factors, such as economics, geography, politics and culture, have interacted with the global forces, producing a multi-faceted interflow of ideas and influences across cultures and between global, regional and local spaces.

Can higher education break free from neo-liberal ideology in an age of global inter-connectivity? When there is an alignment of will among the three parties – the state, the HEIs and those who wish to access higher education – there can be the appropriation of the neo-liberal discourse and strategies for a national or regional cause that is a counter-current to that ideology. Key elements – a clear vision and plan; governance that balances flexibility with regulation; strategic partnerships across sectors and states; attention to sustainability, strong leadership; capacity-building and viability; and the preservation of essential cultural characteristics – facilitate the realignment of higher education to suit local goals rather than those of the Anglo-American centre.

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Cross-Border Higher Education in China: Development, Challenges and Responses

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Abstract

“University” and “universe” are paronyms in English, reflecting a university has been entrusted with the grand cross-border mission by the people. Since the 1980s, economic globalization has promoted globalization of education, and caused global cross-border higher education to flourish. Today, higher education in China is in a crucial period of reform and development. It is the general trend to learn from others and integrate into the world actively. Over the years, the cause of Chinese cross-border higher education advances in the exploration and has achieved remarkable achievements. On the other hand, a number of problems are also uncovered. We should summarize experience and draw lessons for a better development of China’s cross-border higher education in the future, in order to make strong contributions to China in higher education.

Keywords: China, cross-border higher education, cooperative education

Since the late 1980s, thanks to economic globalization, further differentiation of international trade division and comparative advantage of higher education, and the advancement of international organizations, like WTO, cross-border higher education has been flourishing globally, which brings significant impacts on as well as puts forward a number of challenges to the international community, especially in the field of education, international trade and legal framework. The Main elements of the cross-border higher education include participants (supplier and receivers of the cross-border higher education service), operating mechanism (supplying approach and supervision measures) and concepts supporting various activities.

The Definition of Cross-Border Higher Education

The concept of “cross-border education” is frequently used as “transnational education”, “borderless education”, “international education”, and “offshore education”. However, the expression of “cross-border education” is utilized in this paper. In November 2004, UNESCO and OECD drafted and published *Guidelines for Quality Provision in Cross-border Higher Education*, which defines cross-border higher education as “the higher education activities performed by teachers, students, curriculum, institutions, owners or cross-border teaching material with nature of education covering public and private, as well as for-profit and nonprofit activities. Cross-border education occurs in various forms like face-to-face (e.g.

studying abroad or running school in foreign country), and remote education (backed by various technologies including on-line education)” (UNESCO/OECD, 2005).

Based on analyzing the concept mentioned above, several characteristics of cross-border higher education can be concluded: learners and educational institutions belong to different countries and the contents of education are covered from course to the project as well as all other forms of educational services; the school-running system can either be attributed to state system or exist independently; the forms of school-running diversifies, including mobility of students, programs and educational institutions. The former is an age-old phenomenon, and the latter include overseas university, overseas campus, sister programs, joint degree, credits transfer, joint program, remote education cooperation, etc.

In recent years, in addition to the traditional sense of universities, an increasing number of organizations and companies are participating in running cross-border higher education, and their purpose is not to promote academic and research cooperation and exchanges, but for profit.

The Development History and Current Situation of Chinese Cross-Border Higher Education

The practice of cross-border higher education in China is mainly reflected in the flow of students and the cooperation and mobility of institutions and programs.

Personnel Transfer

Personnel transfer can be classified into two parts: Chinese students studying abroad and foreign students studying in China.

Chinese students studying abroad

China has sent outstanding students to study abroad since the 19th century. The students supported by the Boxer Indemnity became elites in all walks of life after returning. After Chinese government implemented the policy of reform and opening up in 1978, the practice of studying abroad entered a full period of steady development. On July 11th of the same year, the *Report of Increasing the Number of Students Studying Abroad* which was submitted to the State Council by the Ministry of Education, formulated a series of policies and principles to expand the amount of students studying abroad (Miao, 2010). The number of government-sponsored students and institute-sponsored students increased over the years. In 1984, the Central Committee of the Communist Party of China requested to remove all the restrictions for those students studying abroad at their own expense, while the State Council also revised and promulgated the *Interim Provisions on Self-Funded Studying abroad* in the same year, broadening the funding channels, reducing restrictions towards self-payment students studying abroad, and increasing their independent choice options. The students studying abroad increased steadily. In 1996, the China Scholarship Council was founded, whose funding mainly comes from the financial appropriation allocated by the National Scholarship Program and private donations at home and abroad. The activity of sending students to study abroad entered a period of fast development.

Table 1

The Chinese students studying abroad both sponsored by the country and self-funded from the year of 1996-2006 (Unit: person)

Year	Self-Funded Student	Government -sponsored students	Institute- or local-government-sponsored students	Total	The proportion of self-funded student in the total
1996	13600	1905	5400	20905	65%
1997	14720	2110	5580	22410	66%
1998	11443	2639	3540	17622	65%
1999	17884	2661	3204	23749	75%
2000	32293	2808	3888	38989	83%
2001	76052	3495	4426	83973	91%
2003	109200	3002	5144	117307	93%
2004	104281	3524	6858	114663	91%
2005	106500	3979	8078	118500	90%
2006	121000	5580	7542	134000	90%

Data Source: Data of 1996-2000 from *The Chinese Educational Administration* by Ji Mingming (1997:1592) and *The China Education Yearbook* by People’s Education press; and data of 2001-2006 from *The Fifty-five Years of New China Statistical Data Compilation* by National Bureau of statistics and the document from the Ministry of Education Website: <http://www.jsj.edu.cn/dongtai/index.html>

It is indicated in Table 1 that the number of students studying abroad experienced a rapid growth since 1996. Within ten years, the number of self-funded students studying abroad increased nearly ten times, and the number of students sent by the central government increased by nearly 300%, while the number sent by institutions and local governments increased relatively slower. Furthermore, the proportion of students studying at their own expense and the total number of students studying abroad increased from 65% in 1996 to 90% in 2006 and at the highest level of 93% in 2003. The total number of the Chinese students studying abroad increased by six times within ten years.

Figure 1

The number of students studying abroad both in total and self-funded from 1996 to 2006. (Unit: Person)

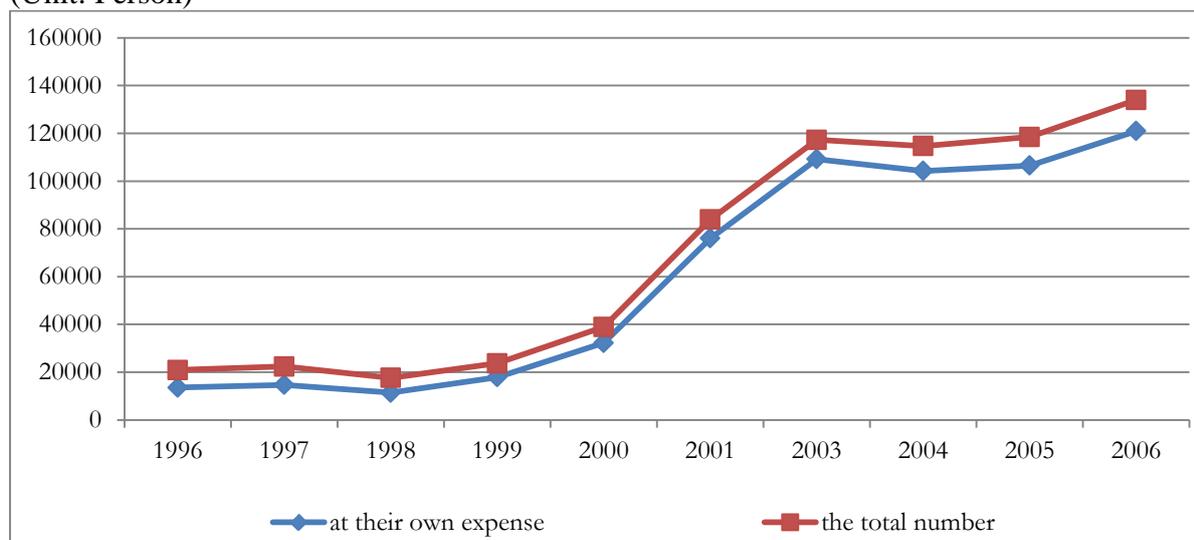
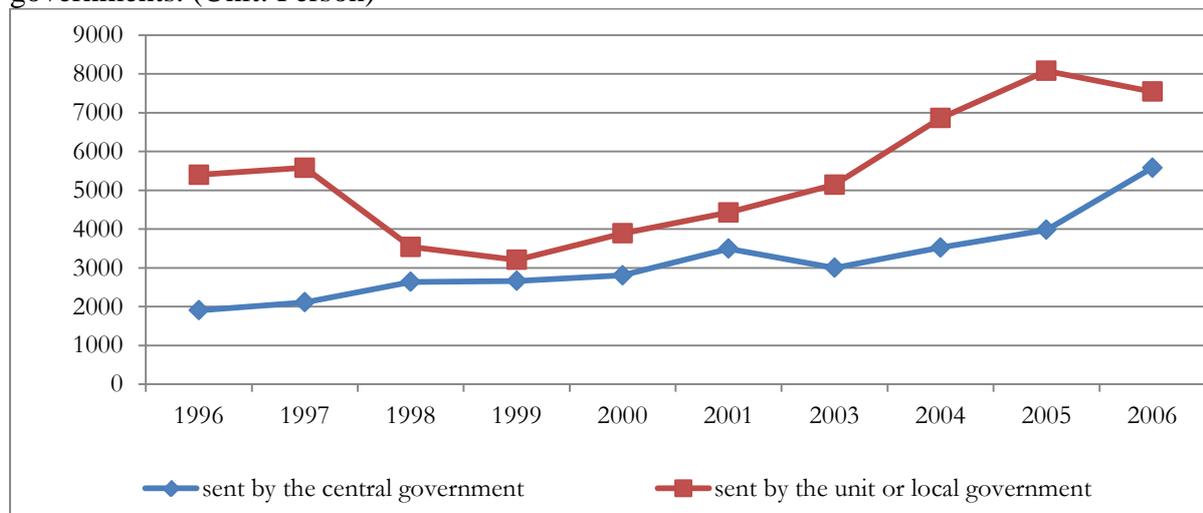


Figure 2

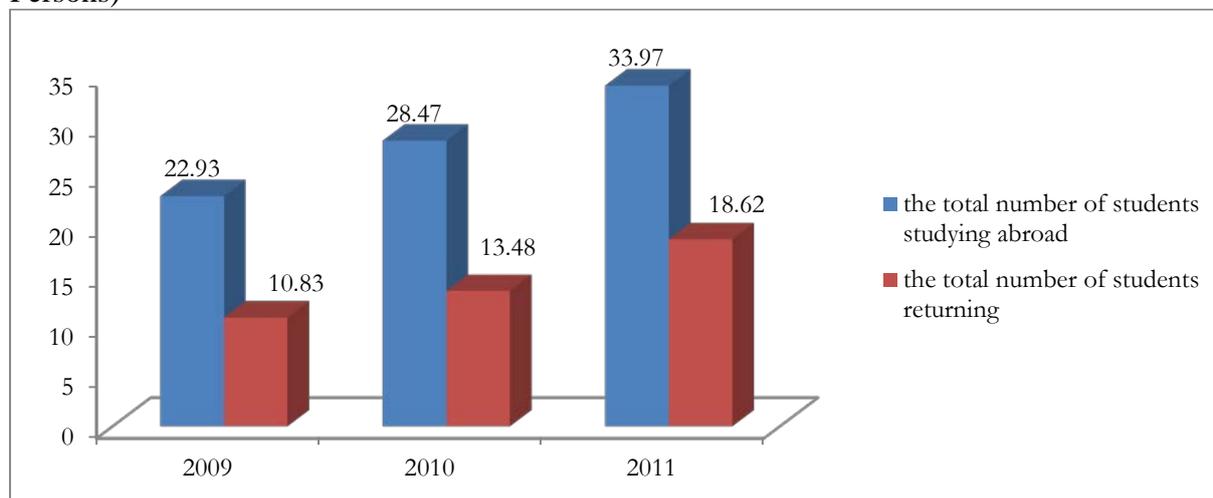
The number of students studying abroad sent by central government and institutions or local governments. (Unit: Person)



It is shown in Table 1 that the number of students studying abroad both in total number and at their own expense has been in the ascendant state since 1996. There was a sharp increase from 2000 to 2003, and a slow growth from 2003 to 2006. It is illustrated in Table 2 that the number of students studying abroad sponsored by the central government entered a period of rapid development since 2003, the number of students sent by institutions and local governments increased alternated with reduced. In general, the total number increased.

Figure 3

The total number of students going abroad for study and returning (Unit: Ten Thousand Persons)



At present, China has signed bilateral agreements on mutual recognition of academic degrees with 38 countries and regions in the world. Under the guidance of “support studying abroad, encourage coming back, let them go abroad and come back at their own will”, China has encouraged more and more young scholars and students to go abroad for advanced studies. The international flow of Chinese teachers, students and researchers going abroad to study adopts two ways, either sponsored by public fund or paid at their own expense. During the eleven years from 1995-2006, the number increased year after year, the students returning

also increased, but the increase number of students returning is less than that students going abroad.

Figure 3 reveals the number of students studying abroad and returning. In 2009, the number of students studying abroad is 229,300, the returning number is 108,300. The numbers of that in 2010 are 284,700 and 134,800, increased by 24.16% and 24.47% respectively. The number of that in 2011 are 339,700 and 186,200, increased by 19.32% and 38.13% respectively. In 2011, the total number of Chinese students studying abroad is 339,700, accounting for 14% of the global total, ranking the first in the world (Wang & Guo, 2005).

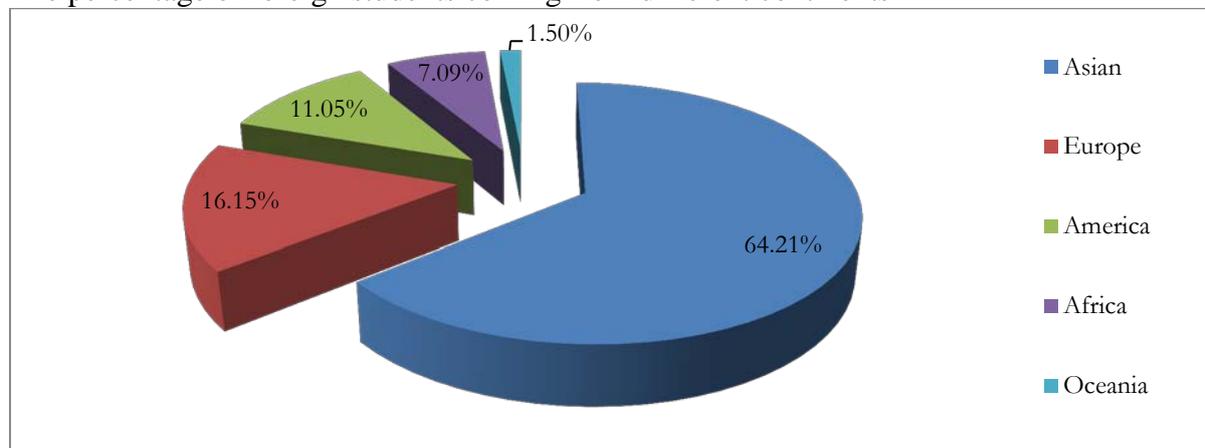
According to the data of UNESCO, China has sent the most students studying abroad in the world. By the end of 2010, the number of Chinese students studying abroad is more than 1,270,000, and the number of students at their own expense account for 93%, the rate of returning is more than 50%. The students are in at least 103 countries and regions in the world; and the number of Chinese students in the United States is more than 440,000 (*A new round of going abroad*, n.d.). According to the latest data, there were 339,700 Chinese students studying abroad in 2011, among which, 12,800 sent by the central government, and 12,100 sent by the institutions and local governments, and 314,800 at their own expense, increased by 19% compared to 2010 (*China Education Yearbook* Editorial Board, 2011).

Foreign students studying in China

China received 33 students from East Europe in 1950, and from then on, more and more foreign students came to China. The number exceeded 260 thousand in 2010, and was 124,003 more than 2005, average annual growth rate is 11.28%, and the percentage of degree foreign students is 40.53% (Ministry of Education, Department of Development Planning, 2012). In 2011, foreign students studying in China all the year round exceeded 290 thousand for the first time. There were 292,611 foreign students coming from 194 countries and regions studying in 660 universities and research institutions in 31 provinces and municipalities (excluding Hong Kong, Macao and Taiwan), compared to the number of 2010, the students increased by 10.38%, and the number of universities increased 40. It is shown in Figure 4 that the geographical distribution of foreign students in China in 2011. The students from Asian countries are the most, accounting for 64.21% (*China Education Yearbook* Editorial Board, 2011).

Figure 4

The percentage of foreign students coming from different continents



Source: *China Education Yearbook* [M] edited by the Newsroom of China Education Yearbook, and issued by People' Education Press, 2011.

Mobility of Institutions and Educational Programs

The mobility of institutions and educational programs is mainly reflected in Sino-foreign cooperation in running schools both at home and abroad. In late 1980s and early 1990s, international education resource was relative surplus while the supply of domestic higher education resource in China was in shortage, and the development of domestic market economy surged in demand for higher education, stimulating the activity of Sino-foreign cooperation to start and develop. In the middle of 1980s, Renmin University and Fudan University of China cooperated with American educational institutions to set up curriculum about economy and law respectively. In September, 1986, Nanjing University - Johns Hopkins University Sino-US Cultural Center which is invested by both the Chinese and American government and universities was established. In 1988, Tianjin University of Finance and Economics cooperated with the United States Oklahoma City University to hold the MBA program which was the first Sino-foreign program to grant a foreign degree (Guo, 2009). According to the *Regulations on Sino-foreign Cooperation in Running Schools*, the definition of Sino-foreign cooperation in running schools program is “the educational institutions within the territory of China providing education service mainly to Chinese students and organized by both Chinese and foreign institutions”. By February 2007, there were more than 1,400 such institutes, among which 2/3 was approved by Administrative department in charge of education in the State Council and the governments at various levels (Lin & Liu, 2008). This number is changing with the development of the cooperation programs and institutions. According to the data of the sixth press conference held by the Ministry of Education, the total number of Sino-foreign cooperation programs and institutions is more than 1,100, including 148 institutions and 951 programs, the total number of students is 430,000, including 290,000 students at the stage of higher education, accounting for 1.5% of the full-time higher education students. The number of graduates of higher education is about 1,100,000. The practice of Sino-foreign cooperation in running schools has made great progress after normalization of the Ministry of Education’s examination and approval system. Since 2010, 114 new Sino-foreign cooperative educational institutions and programs have been approved. At present, there are more than 1,200 Sino-foreign cooperative institutions and programs approved by the Chinese authorities. From the perspective of national policy, the law and its implementation time, the course of the development of Sino-foreign cooperation in running schools can be divided into three phases. The first period (also called “exploration period”) refers to the time before the former State Education Committee publishing the Provision Regulations on Sino-foreign cooperation in Running Schools at the January 26th 1995. The second period (also called “development period”) is from 1995 to March 1st 2003, and since the law of People’s Republic of China on Sino-foreign cooperation in running schools was issued at March 1st 2003, it entered the third period (so called “gradually standardized and development period”).

In addition to cooperative education at home, China also vigorously pushes forward the going-out strategy and the Chinese language promotion project. By December 2010, there are 56 cooperative education institutes held by 23 universities across the country. At present, China has established 322 Confucius institutes and 369 Confucius classrooms in 96 countries around the world, which played a huge role in promoting the Chinese language and culture, as well as developing friendships between people from different counties (Ministry of Education, Department of Development Planning, 2012).

The Main Problems and Challenges in Chinese Cross-Border Higher Education

There is a surplus of resources and capital of higher education in developed countries, which is in urgent need of outputting to the educational market of less developed counties. On the

other hand, the high-quality resource of education in China is in shortage, and is badly in need of the import of high quality resource and international capital. Based on the two reasons above, cross-border higher education in China has been developing rapidly and become an important component of Chinese higher education. However, the domestic higher education has just entered the phase of popularization, and the expansion in scale has brought about a series of problems. For instance, in the aspect of cross-border higher education, the lacking of sound system and rational planning, and the lag of the reform of the domestic higher education, has seriously affected the smooth development of the Chinese cross-border higher education.

The Main Problem Existed in Chinese Cross-border Higher Education

The loss of talents and economic capital

The acceleration of the personnel transfer has led to the loss of quality students and large amount of educational capital. By the end of 2010, Chinese students studying abroad exceeded 1,270,000. At present, there are more than 440,000 Chinese students studying in the United States, which means the loss of folk educational capital has exceeded at least RMB 10 billion. In 2010, there were more than 127,600 Chinese students studying in the United States, who had already spent billions of dollars there which excluded their hidden consumption (*A new round of going abroad*, n.d.). In stark contrast with the tight funding of domestic higher education, the serious crisis suffered by the total investment of higher education has badly affected the quality of education.

There are many failing in the practice of Sino-foreign cooperation in running schools. First of all, the domestic colleges and universities focus on the profit seeking in conducting cooperation in running schools. In order to charge high tuition fees in the name of cooperative education, some provinces lowered the enrolling standard, which greatly reduced the quality of students. Secondly, foreign universities are less qualified which against China's original intention to cooperate with renowned foreign universities and import higher education resources with high quality. At last, the current system cannot guarantee the introduction of foreign educational resources of high quality. According to China's WTO commitment and the Law of People's Republic of China on Sino-foreign Cooperation in Running Schools, the Sino-foreign cooperation in running schools can exist in the form of business operations, and the foreign universities can invest in and hold majority in ownership, but cannot run by themselves. Currently, there isn't legal legislation on the introduction of foreign educational resources, furthermore, the number of independent cooperative educational institutions is in the small quantity and the operational model needs to be improved. All of the above has restricted our introduction of international education resource in large scale.

In recent years, China actively introduces foreign education resources with high quality in different forms. The University of Nottingham Ningbo, Xi'an Jiaotong-Liverpool University, Shanghai New York University, Wenzhou Kean University have been approved, which have independent legal personality and are the exemplary models of introducing foreign educational resources with high quality and with the whole organizational system. These universities made a good attempt in exploring a new form of Sino-foreign cooperative education. As a matter of fact, the main investment model is the land and funds are provided by the Chinese party and no real foreign educational capitals was involved in it.

The lack of innovative talents cultivation and the problems in higher education system
At present, higher education of China suffers from an insufficient cultivation of innovative talents in these areas: program setting, mode of instruction, organizational culture, students' innovation system, and so on. At present, the development of economy and society need the effort of innovative talents. The lack of capacity to cultivate innovative talents will greatly reduce the attractiveness of Chinese universities and research institutes to foreign students. What's more, China's higher education system differs from that of the developed countries, which brought about difficulties for operating cross-border education.

New Challenges Faced by the Chinese Cross-border Higher Education

Transition from labor-intensive economy to knowledge-intensive economy
Currently, China is experiencing the process of changing from labor-intensive economy to knowledge-intensive economy. The former concerns the number of labor, while the latter focuses on the quality of personnel. High-tech talent is the most crucial factor in the development of knowledge-intensive economy (Gu, 2008). Cross-border education bears the burden of training high-tech innovation talents.

In the age of globalization, international competition in higher education become more and more fierce
In the context of globalization, higher education becomes more and more important and was spread around the world as "trade in services" products. The publishing of the "General agreement on trade in services" (GATS) marks the formation of global market of higher education, and then the internationalization of higher education has been developing rapidly. The differences in levels of higher education brought about the inequality in the market and the unbalanced flow of the higher education elements, and as a result, the profit was mainly gained by a few counties strong in higher education. In 2003, for example, the total number of international students worldwide is 2,500 thousand, among which there are 2,100 thousand are in the member countries of OECD. The reality has an impact on Chinese higher education development and personnel training, and corrodes the Chinese traditional culture. The internationalization of higher education has challenged the development of Chinese cross-border higher education and the rejuvenation of the Chinese nation.

The Development Trend of Cross-Border Higher Education in China

Globalization, informationization and knowledge-based economy have become the keywords of the era. Faced with the challenges, "openness" and "innovation" have become the historical missions of the worldwide education systems. On July 29th, 2010, China formally issued the *Guideline of the National Medium- and Long-term Plan for Education Reform and Development (2010-2020)* (hereafter referenced as "*Guideline*"). The *Guideline* set goals and planning for the development of Chinese education during the decade between 2010-2020, proposing the overall principle as "Adhere to facilitating reform and development by opening, develop multilevel and wide-range education exchanges and cooperation, promote the internationalization level of Chinese education, expedite the Chinese education reform and development by referencing internationally advanced education conception and experiences, elevate the international status, influences and competence of Chinese education, meet the requirement of opening to the outside world from China's economic society, and cultivate a team of internationalization talents with global vision, familiar with international rules and capable to deal with the international affairs and competition." The *Guideline* has also illustrated strategic objectives and planning in introducing high-quality education resources, promoting exchange and cooperation level, enhancing mutual recognition of academic degree and diploma between governments, facilitating running the school abroad by the Chinese

leading education institutions, strengthening the international exchange in education, widely carrying out international cooperation and educational service, further enlarge the scale of international students, strengthening the cooperation with international organizations like UNESCO, and actively participating in the bilateral, multilateral, global and regional education cooperation (Gu & Shi, 2010). According to the *Guideline*, the countermeasures for China's cross-border education development are summarized as below.

The Internationalization of Education

The development strategy of internationalization of education was first proposed by the Chinese government and the measures of adhering to facilitating the reform and development by opening to the outside world. Further expand educational dialogue and cooperation, strengthen the exchange and cooperation among nations, import high-quality educational resources, and promote the internationalization level of Chinese education are also indicated. In the era of globalization, the internationalization of higher education is inevitable. Faced with the situation that Chinese talents and capitals are absorbed by the higher education of western countries, China must make great efforts to improve the quality of higher education, and strive to equally communicate and cooperate with foreign higher educational institutes. In addition, Chinese universities should develop the traditional culture of Chinese nation, and thereby equip themselves with unique characteristics which other countries not have, and make it a big advantage of Chinese higher education in the international arena. Furthermore, Chinese government encourages domestic high-level universities and research institutes to set branches overseas, providing convenience for cultivating foreign students as well as communication and cooperation.

Make Use of High-quality Foreign Educational Resources

Regards to mobility of programs and institutes, the government should encourage schools of all types and all levels to carry out international communication and cooperation in various forms, run several model Sino-foreign cooperative schools and programs, and explore a variety of ways to make better use of foreign education resources. During the coming period, focusing on intensive development, strengthening the construction of quality assurance system, and introducing international high-quality resources in various channels will be the key points of the work for cross-border education in China. On the basis of further development and expansion, the international recognized and excellent cooperative partners and projects should be selected in a wider range to elevate the cooperation level. The relevant regulations and laws pertaining to Sino-foreign cooperation in running schools should be set up and perfected to create a sound institutional environment and ensure the quality of the cooperation projects. International educational capitals should be vigorously introduced and excellent imported educational resources should be explored in multiple areas. The investment of cross-border education should be increased to improve the quality of cooperation fundamentally. The cooperative education market should be actively set up based on the volunteer and self-appraisal and guaranteed by quality benchmark. The certificate of industrial self-discipline should be implemented to strengthen the construction of admission standard and follow-up quality standard. In addition, the regular and systematic assessment and audit should be carried out for the approved projects and institutions.

Promote the Formation of Credit Transfer Systems as well as Degree and Diploma Mutual Reorganization System with Other Countries and Regions

In order to build a deeper and long-lasting cooperative and win-win relationship, China should share the high-quality educational resource, expand the scale of Chinese and foreign students exchange as well as the degree and diploma mutual recognize inter-government,

support the exchange of teachers and students, credit transfer, degree granted each other or associated, so as to raise the overall level of discipline construction and quality of personnel training. Chinese government should learn from the European Credit Transfer System and NAFTA system of mutual recognition of credits, to establish effective mutual recognition of credits standard and corresponding organization with cooperating countries and universities. In the aspect of mutual recognition and grant for the degree and diploma, Chinese higher education management institutes and schools should fully communicate with the foreign cooperating unit in order to formulate standards agreed by both parties for granting degree and diploma.

Encourage Foreigners to further Education and Research in China

In order to encourage personnel movement, Chinese government proposes to expand the scale of foreign students, increase Chinese Scholarship to mainly support the students from developing countries, cultivate professionals and technical personnel for developing countries; optimize personnel structure of foreign students, increase the disciplines and majors instructing in foreign languages, continuously improve the quality of foreign students studying in China; attract more world-class experts and scholars engaged in teaching, research and management, introduce high-end talents and academic team overseas by plan; introduce overseas excellent textbooks, improve the proportion of foreign teachers in higher education institutes; attract the excellent students studying abroad to return, and so on. China is striving to become the Asian's largest student destination country by 2020, and the number of foreign students will reach 500,000.

Strengthen Cooperation with International Organizations

Chinese government and higher education institutions should strengthen cooperation with UNESCO and play a more active role in bilateral, multilateral, regional and global cooperation. As globalization keeps developing, the international organizations and international rules are playing an increasingly important role, and international resources have become the key factor of influence on higher education. According to Gu (2008), if higher education in China is to integrate with the world, it is of great necessity to participate in international affairs, international or regional education organizations, strengthen information exchange and communication, and be active in research and constitution of international education policy, rules, law and standard to forge an international environment favorable for education opening and development of China.

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Comparing Colonial and Postcolonial Nationalistic Education in Pro-Beijing Schools in Hong Kong

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Abstract

This paper examines and compares the features and the practices of education in the pro-Beijing in Hong Kong between the colonial era and the post-colonial era. This research analyzes the ways in which pro-Beijing schools changed their orientation and the organization of nationalistic education to reflect fundamental changes in the relationship between the school and the wider Hong Kong society in the colonial and the postcolonial eras. Local pro-Beijing schools are used to illustrate the link between ideology and the influence of schools on the curriculum. Hong Kong in the new era has witnessed radical changes in the political landscape. These changes have brought about new development in its education system, in particular in nationalistic education. Studies on the development of nationalistic education will cast an interesting light on the long-standing question about the nature of the relationship between political culture and the education system.

Keywords: nationalistic Education, Pro-Beijing Schools in Hong Kong, history of education

Introduction

This paper examines and compares the features and the practices of education in the pro-Beijing in Hong Kong between the colonial era and the post-colonial era. Education in Hong Kong pro-Beijing schools during the colonial and post-colonial eras is the ideal subject for a comparative study that focuses on similarities and differences. Analysis of the different educational practices and features of patriotic education must be understood within the framework the social context. For this reason, it is useful to begin with an outline of the historical background for the development of the pro-Beijing schools.

Most pro-Beijing schools in Hong Kong were established in the 1940s by different groups of pro-Beijing educators. In the beginning these schools were established to meet the demand for affordable education from the local Chinese and to prepare people for the possible change of sovereignty from a British colony to becoming part of China. However, under pressure from the British government of Hong Kong and the changes of the socio-economic conditions, members of the local pro-Beijing organizations were marginalized and consolidated into a closely-knit faction over the last fifty years the colonial rule. These schools became the only Beijing-connected schools, and provided nationalistic education in line with the political stance of Beijing. The handover has brought about profound changes in the ambience in which pro-Beijing schools operate. This paper argues that pro-Beijing schools in Hong Kong have reorganized their connection with the local society and authorities (local Hong

Kong government and Beijing government) by making adjustments in their educational practices.

It aims to illustrate the interplay between politics and nationalistic education using a case study of the process by which pro-Beijing schools were transformed, and the adjustment of Hong Kong to its new political situation. This sociological-historical study also tries to explain how these schools constructed an alternative culture that opposed the colonial government in the past, and how it has re-positioned itself in response to the changing socio-political landscape. There has been little academic research on the pro-Beijing faction in Hong Kong, and not many English academic papers have been published on the practices, teaching and learning in pro-Beijing schools and the evolution of pro-Beijing camp. This research supplies new material and new perspectives in this field of research.

Theoretical Underpinning of the Study

Nationalistic education comprises all those educational activities designed to develop norms, practices and beliefs in line with national values. It consists of three dimensions. First, it develops positive feelings towards state-supporting rituals, ceremonies, symbols and ideas and the persons that express or incorporate these values. Second, it develops competencies related to operating as a national citizen. Third, it develops negative feelings toward countries, ideologies, symbols and persons considered contra-national (Nelson 1976).

However, in the case of Hong Kong there were competing views about the appropriate national allegiance of citizens. The British government sought to promote political stability and association with the British culture, while the pro-Beijing faction sought to promote pan-Chinese nationalism, and a sense of loyalty towards the People's Republic of China (PRC). Education therefore became an arena of contest between two different views of what it meant to be a citizen in Hong Kong.

This research focuses on the social history of the pro-Beijing schools in the changing socio-historical context of Hong Kong as the territory moved from being a colony and entered the post-colonial era. The agreement between the PRC and the British government which set the scene for a peaceful transfer of sovereignty in 1997 transformed the political landscape, and reduced the level of confrontation between the competing societal groups. This had major repercussions for all education in Hong Kong, and not only the pro-Beijing schools. The impending transfer of sovereignty of Hong Kong to the PRC created pressure for the educational system to prepare students for the post-1997 Hong Kong.

Nationalistic education played an important role in shaping the politics and society of Hong Kong. Pro-Beijing schools were the only type of schools that prepared students for the rule of the PRC from the 1940s onwards. During the colonial era, they were the main, or only, provider of nationalistic education, promoting PRC-oriented political affiliation in a period when the predominant environment, fostered by the Hong Kong government, was apolitical. Education thus comes to reflect the struggle over the cultural, social and political order of meanings. Changes in educational practices in the post-colonial era provide an insight into the connection between power and education in the social context of Hong Kong.

Methodology

This inquiry focuses on the complex process of change. There are three important sources of data for this research. The first source is interviews with forty-two informants. These were drawn from four groups involved: (1) government officials (former or present); (2) educators and sympathizers or affiliates of the pro-Beijing faction at the time; (3) administrators of the pro-Beijing schools; and (4) teachers and students (former or present). Although their individual experiences are not explicitly described here, their recollections provided important elements of the practice of nationalistic education. The reactions of the individuals in the processes of transformation and accommodation are investigated insofar as these reactions affected the implementation of the curriculum. The second source is contemporary reports of the crucial events in Hong Kong relating to the behaviour pattern, routines and repeated operations of the nationalistic education practiced in the schools. For example, there were teaching practices that were repeated, songs that were sung by students and/ or teachers, and activities that played a key role in the daily life of the schools. The third source is my own observation. My interest in the social history of the left wing circle was aroused by my four years of work experience in two pro-Beijing schools in the 1990s and 2000s. I experienced the culture, practices, the ways of thinking, norms and values of these pro-Beijing schools.

Pro-Beijing Schools in the Changing Socio-political Landscape

A huge literature focuses on change in education systems. However, few studies focus on the alternative pro-Beijing system in Hong Kong. Different phases of history have brought different challenges to education. Colonial periods were different from post-colonial periods. This study highlights the facts that patterns change significantly over time. Changes in a system bring different meanings, effects, and implications for different groups of people.

The formation of the pro-Beijing faction was not sudden, but arose in the course of development and evolution. It can be considered as a living organism that can languish in difficult times or flourish and bloom in more favourable times. The pro-Beijing faction was organized through different institutes which provided the necessities of daily life, such as education, entertainment and medical services (Lau, 2010). In this sense, the pro-Beijing faction in Hong Kong not only involved a hierarchy, but it was a self-sufficient organism and system that regulated the *modus vivendi* of the members. This included their careers, their studies, their style of life, their retirement, and, sometimes, even their choice of spouse.

On many points the connection between these pro-Beijing schools and the PRC government must remain an issue of speculation. No publication has ever established a formal or official connection. I have interviewed 42 informants and none of them clarified this connection explicitly. Many even deny that they received financial support from the PRC. However, even if we do not consider official documents stored in the National Archives of the UK government as reliable sources, it is clear that these schools have close connections with the state and with senior officials in the government. It is common for senior staff and the head of the New China Agency (renamed the Central Government's Liaison Office in 1997) to attend schools activities. A large number of graduates from these schools worked in PRC-affiliated or official organizations. Many senior school members were/are members of The National People's Congress and the Committee of the Chinese People's Political

Consultative Council. Many former and present local insiders admitted the connection in their writings (Ng, 2011; Ore, 2005; Zhou 2002).

Dozens of pro-Beijing schools were established in Hong Kong during the 1940s to 1950s, including Chung Ye School, Nan Fang School, Heung To, Mong Kok Workers' Children's School, Fishermen's Children's School, Hon Wah Middle School, Chung Wah School, Sun Kiu School, Fukien School, Tai Tak School, Tai Tung School, Nanshan Public School and Pui Kiu Middle School. They have proclaimed their loyalty to the PRC government since 1949. The main feature of these pro-Beijing schools is the use of nationalistic educational practices and ideology. It is the only type of school that had a mission in line with the political stance of the Beijing government and aimed to prepare student for the reintegration of Hong Kong to the PRC. These schools were popular in the 1940s to mid-1960s largely because of the shortage of low-priced educational places and the rapid growth of the local population. Thousands of students, ranging from students of the appropriate age to adult students, received education in the day and/or night pro-Beijing schools before the mid-1960s.

With the expansion of free compulsory education in the 1970s, great emphasis was placed on the ranking system. Schools whose students had average/ low academic performance in the public examinations were not popular. Without financial support from the government (until 1991) and unable to enrol enough students, many pro-Beijing schools closed down in the 1960s and 1970s. In the end, only six were left in 1991 when the Direct Subsidy Scheme (government sponsorship system) was introduced. Competition between schools and students is fierce, as job and advanced-school placements are rigorously based on the ranking system for schools. For secondary schools, there is a system of five (later three) bands, and no pro-Beijing school is in the first rank, and most belong to the lowest two rank even now. The popularity of these pro-Beijing schools is lower than it was in the 1940s and 1950s.

Due to government policy and the social atmosphere, mainstream schools in Hong Kong were fearful of involvement in politics and the contemporary chaotic conditions in China. Their apolitical and a-nationalistic tendencies were evident in the conspicuous absence of politics in their provision of education before 1990 (Lee 2004; Vickers 2003; Wong 2002). For years, the implementation of nationalistic and political education was illegal. In the government's eyes, education in pro-Beijing schools was strongly connected with political indoctrination and communist infiltration (Grantham 1965).

The pro-Beijing schools rejected the government curriculum. To them, it represented the ideology of the British Hong Kong government and was in conflict with the fundamental principles of the PRC government (Lau 2010). The contrast was obvious, as Hong Kong was a foreign-ruled capitalist colony, while the PRC was a socialist sovereign state. The pro-Beijing faction expected schools to supplement, and even replace, families, to socialize new generations in a new role of Chinese nationals. Education in pro-Beijing schools contributed to the cultivation of a sense of national identity and loyalty to the PRC (Lam 1994).

In the 1980s and 1990s, for many people in Hong Kong, the idea of 'country', 'nation' and the PRC, by and large, denoted a remote, political, Maoist-style China

(Degolyer 2001). The culture-ethnicity they could identify with was a romantic and poetic image of the ancient China (Luk 2000). With changes in the political and socio-economic setting, the interplay of politics and education has altered the features of nationalistic education in Hong Kong. The growing political sophistication of nationalistic education is not only the result of efforts made by the Education Bureau, but is also due to the evolution of the socio-political landscape. The curriculum and practices of pro-Beijing schools and the official curriculum reflect the long road to reunification in our society.

The anticipated return of Hong Kong to China in 1997 led to an expansion of the political sphere. This received even more intensive attention after the Tiananmen Incident of 1989. With the need to have indigenous political leaders, the role of education in preparing students for the post-1997 period became significant. In this circumstance, major changes in the curriculum took place in the transitional period and the post-1997 era. Items of the education reforms included adding new subjects, modifying existing subjects, emphasizing nationalistic and political education and revising policies on the medium of instruction. The transfer of sovereignty has also given pro-Beijing schools an opportunity to prepare students for transforming the post-1997 Hong Kong society, in line with the nationalistic agenda that they had nurtured for decades.

The impending return of sovereignty provided the context for education to play a role in transforming political socialization and arousing political awareness in Hong Kong. The task of preparing students for the post-1997 Hong Kong was first pursued by including more Chinese elements in school curricula, such as Chinese cultural heritage, and the contemporary political and socio-economic development of China (Morris and Chan 1997). Knowledge about the contemporary China is important if China's sovereignty includes the people of Hong Kong.

A further reform was advanced by the recommendations of the "Education Commission Report No. 3" (Education Department 1989) which aimed to strengthen the influence of nationalistic education. Young people were expected to be aware of political and community affairs, and be familiar with civic knowledge. National identity was also supposed to cultivate a sense of belonging to the Special Administrative Region (Hong Kong) as well to China as a whole (Postiglione 1993). In this political climate, civic education was repoliticized and renationalized and nationalistic educational elements were introduced into the guidelines for civic education and liberal studies (Leung and Ng 2004; Leung 2007). The Curriculum Development Committee introduced and revised the Guidelines on Civic Education in School in 1985 and 1996, respectively (Leung 2007). Liberal Studies is a compulsory educational subject in the New Senior Secondary (NSS) curriculum, which applies to all mainstream school students from 2009 onwards. The same rationale also applies to the content and purposes of the curriculum related to nationalistic education. Subjects related to nationalistic education reflect the political attitudes promoted by the government. This curriculum has changed in different historical periods.

Colonial and Postcolonial Nationalistic Education in Pro-Beijing Schools

The changes introduced by the government to strengthen nationalistic education were, by and large, in line with the traditions of pro-Beijing schools. The focus on the preparations for the change of sovereignty was what these pro-Beijing schools had

been doing for decades. As Hong Kong was entering the new era, the pro-Beijing patriotic camp was interested in playing a transforming role in the society, which they had waited to do for decades. Changes in the pro-Beijing schools' curriculum indicate that they have attempted to integrate themselves into the mainstream society since the mid-1980s. The changes in their orientation, organization and underlying ideology have been reflected on their revised nationalistic education developed since the 1980s. The nationalistic education of the pro-Beijing schools was effectively transformed into a new education which could be accepted by all, the local 'Hongkongese' and the 'Chinese' in Hong Kong society.

The following sections describe the efforts made to develop features of nationalistic education in the pro-Beijing schools in Hong Kong. Similarities and differences in nationalistic education in patriotic schools before and after 1997 are identified. The period described as the 'colonial era' covers the period from the 1940s to the early 1980s. The 'postcolonial era' covers the transitional period from the late 1980s and into the post-1997 era.

Nationalistic education in pro-Beijing schools is considered to be a pedagogy of resistance and struggle against the colonial government curriculum and educational policies during the colonial era. The pro-Beijing schools have reorganized the connection of power and education during the transitional and the post-1997 eras (postcolonial era). These schools have demonstrated the power of schools themselves to build a counter-hegemonic curriculum and reconstruct a pro-hegemonic curriculum in the social context of Hong Kong.

In order to review the discourse of nationalistic education, examples are cited from the social history of the pro-Beijing schools. Five common aspects were examined in the colonial and post-colonial periods. These were (1) Attitude towards Public Examinations; (2) Textbooks and Teaching Materials; (3) Assemblies and Talks; and (4) Class Teacher Lessons.

The curriculum is 'an organization of study'. In this research, I attempt to include 'academic, athletic, emotional, social experiences; and interpersonal relationship in the school context' (Beyer and Apple 1998). The items "Attitude towards Public Examinations" and "Textbooks and Teaching Materials" relate to students' academic performance. "Assemblies and Talks" and "Class Teacher Lessons" relate to the students' role in society.

Attitude towards Public Examinations

Colonial era

What distinguished the pro-Beijing schools in the colonial era was that they supported the Beijing government. Their withdrawal from taking public examination was the strongest possible protest against colonial education during the colonial period (Lau 2010b; Wong 2002). Members of the pro-Beijing schools considered public examinations in Hong Kong a means of controlling school knowledge). Students who withdrew from public examinations indicated the subordination of their individual interests to the interests of the whole country (or the faction).

Postcolonial era

Pro-Beijing school teachers and students, like members of the other mainstream schools, consider academic performance to be a ladder to occupational mobility. The change in attitude toward public examinations indicates the patriotic system's acceptance of a common norm and value of the individuals within the system.

From the school journals of Pui Kiu Middle School, one of the leading pro-Beijing schools in Hong Kong, we can see this change. From Volume 10, 1979, the school journal started to report on students' academic performance. In the school journal of November 1984, on the first page, immediately after the congratulatory message from Xu Jiatur's, head of the Hong Kong branch of New China Agency at the time, is a report listing students' academic performance and awards (PKMS 1984). The same pattern was followed in many editions of school journal during the 1980s, and most editions in the early 1980s. The academic performance of students occupied a prominent position and was a substantial portion of the content. Page after page of records, tables, charts and photos listing students' outstanding performance in public examinations and joint school competitions were published in every edition of school publications. The school's new emphasis on academic performance replaced the school's political stance. In order to increase its chance of producing university graduates, Pui Kiu Middle School also started to recruit students from English medium of instruction schools to fill Grade 12 and Grade 13 places preparing students for the A-Level examination from 1979 onwards (PKMS 1996). Producing university graduates, particularly graduates of the University of Hong Kong, increased the likelihood of having Administrator Officer (AO) graduate(s).

This examination-oriented approach was in sharp contrast to the anti-public-examination attitude manifested in the colonial period. The oppositional attitude towards the government's 'capitalist education' was abandoned. This agreement in views towards public examinations between the school and the mainstream highlights the convergence in education.

Textbooks and Teaching Materials

Colonial era

Some pro-Beijing schools used teaching materials from the mainland, complying with the standard of the Cultural Revolution for classroom teaching. On 18 April 1958, a raid was made on the library of the Pui Kiu Middle School and 19 communist books were taken by the officer-in-charge of the Hong Kong Island of the Inspectorate Education Section (Zhou 2002). In Pui Kiu Middle School 50th Anniversary Edition of the school journal, two pictures of graduate students, from 1967 and 1968, were found with hands holding the little red book in front of the camera (Pui Kiu 1996, p. 54-55). All this evidence suggests that some pro-Beijing school students were using books and teaching materials which were not approved by the Education Department.

Postcolonial era

Since 2000, all schools in the public sector have implemented School Based Management and they are free to choose textbooks and tailor-made teaching materials. Some pro-Beijing schools also use tailor-made teaching kits for teaching integrated humanities, history, geography and liberal studies.

Textbooks and teaching materials are important if an alternative curriculum is constructed. These items record the ideology, codes and norms of the faction. These books and teaching materials are tools for transmitting shared norms and values to the individuals in the pro-Beijing system. During the post-colonial era, both mainstream schools and pro-Beijing schools are free to choose any textbooks and teaching materials in accordance with each school's standards.

Assemblies and Talks

Colonial era

Pro-Beijing schools in general held their morning assembly with talks and discussion on contemporary China, the achievements of the New China and even debates on socialist doctrines. Flag-raising ceremonies were held once or twice a year in many pro-Beijing schools and were reported in school journals (Zhou 2002, PKMS, 1976). These acts were considered a declaration of loyalty to the PRC and the Chinese Communist Party in the colonial era.

Postcolonial era

In school assemblies and talks, students are reminded repeatedly of the transfer of sovereignty, their role in society and the importance of Chinese national identity. Concerning human development, emphasis is placed on traditional Chinese virtues, such as filial piety, austerity and diligence.

Even in the post-colonial period, socialist and communist doctrines are not often discussed, although other cultural and ethical values from Chinese traditions are maintained. What is shared between these two periods is the sense that the school has a mission to play a role in society. Themes of Chinese culture, moral values and traditional social norms are found in both periods. The aim of achieving a strong China is also shared in both periods.

Class Teacher Lessons

Colonial era

Political discussion was carried out in regular classes. Reading or sharing supplementary materials from the mainland, such as People's Daily, Little Red Book and Communist handbooks, were technically illegal in colonial days. Every students read newspapers, usually Takung Pao, Wenwei Po and sometimes People's Daily, together with their class teacher every morning during the Cultural Revolution period.

Post-colonial era

Although the tradition of newspaper reading is retained in the post-colonial era, the content of the material is no longer controlled. Newspaper reading is no longer compulsory. Students are allowed to order and read Ming Pao, Sing Tao, South China Morning Post and are not limited to Wenwei Pao and Ta Kung Po. Teachers are free to discuss topic unrelated to China's achievement and students are free to read entertainment news during the class teacher lessons. The traditional insistence on teaching nationalistic values in class teacher lessons has been discontinued in the postcolonial era.

Conclusion

This research analyzes the ways in which pro-Beijing schools changed their orientation and the organization of nationalistic education to reflect fundamental changes in the relationship between the school and the wider Hong Kong society in the colonial and the postcolonial eras. Local pro-Beijing schools are used to illustrate the link between ideology and the influence of schools on the curriculum. The complexity of the issue increases with the changing social-political conditions of Hong Kong and the later transfer of sovereignty.

Researchers such as Sweeting (1993), Vickers (2003) and Leung Yan Wing (2007) argue that education in Hong Kong has always been influenced by political considerations. The reversion of Hong Kong's sovereignty to the PRC could be seen as a process leading to increased self-determination within the principle of 'one country and two systems'. Hong Kong should, therefore, be managed by native Hong Kong leaders. The changes in the political culture and the prospect of having native political leaders affected educational policymaking.

Education plays an important role in shaping the national identity of the Hong Kong population. Hong Kong in the new era has witnessed radical changes in the political landscape. These changes have brought about new development in its education system, in particular in nationalistic education. Continued studies of the evolution of Hong Kong national identity, in line with a series of complex and shifting factors in Hong Kong society, will cast an interesting light on the long-standing question about the nature of the relationship between political culture and the education system.

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Looking Outside the School: ‘Out of School’ Ethnic Minority Children in Hong Kong¹

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Abstract

There is a growing literature including popular media articles reporting many issues about the current education provision for the ethnic minority students in Hong Kong. The Equal Opportunity Commission has also formally noticed Education Bureau of its concerns about the education of ethnic minority students. It especially recognized an issue with reference to the disproportionately low participation rates of ethnic minority children in upper secondary and post-secondary education compared to the majority ethnic Chinese children. This paper uses two important frameworks to focus on the extent of ‘out of school’ ethnic minority children in Hong Kong i.e. ‘Five Dimensions of Exclusion’ by UNICEF and the UNESCO Institute for Statistics and ‘Seven Zones of Exclusion’ by Consortium for Research on Educational Access, Transitions and Equity (CREATE). An analysis of 2006 census data confirms that a good number of ethnic minority children are not within the school; this includes the pre-primary, lower secondary, upper secondary and post-secondary age-group children. This paper concludes with suggestions concerning a research and policy agenda in the area of ethnic minority education in Hong Kong.

Key words: ‘Out of School’ Children; Ethnic Minority Students; Drop Out

Introduction

There is a growing literature reporting many issues about the current education provision for the ethnic minority students in Hong Kong (Chong, 2011; Connelly, Gube & Thapa 2012; Heung, 2006; Hong Kong Unison Limited, 2009, 2010, 2011, 2012; Hue, 2011; Kapai, 2011; Kennedy, 2011a, 2011b; Kennedy & Hue, 2011; Ku, Chan & Sandhu, 2005; Loper, 2004; Novianti, 2007, Yang Memorial Methodist Social Service 2000, 2002). Many popular media articles are also continuously featuring these issues (e.g. Benitez, 2011; Bhowmik, 2012a,

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2012b; Cheng, 2011; Deng, 2011a, 2011b; South China Morning Post, 2006; Thapa, 2012; Zhao, 2011). In addition, the Equal Opportunities Commission (EOC) has formally notified the Education Bureau (EDB) of its concerns about the education of ethnic minority students (Equal Opportunities Commission [EOC], 2011). While the focus of the related research has been on the provision of adequate education (Education Bureau [EDB], 2011a, 2011b; Education Commission [EC], 2000) and the extent to which such provisions meet the requirements of the Racial Discrimination Ordinance (Home Affairs Bureau [HAB], 2008), little attention has been paid so far to the status of ethnic minority students ('immigrants' or 'citizens'), the entitlements that such status gives them in the Hong Kong context, the extent to which there remains 'out of school' ethnic minority children in Hong Kong (possibly as a result of their status) and the policy implications of these issues (Bhowmik & Kennedy, 2012). The following framework reflects the areas of research relating to ethnic minority students in Hong Kong and also the questions that at this stage remain unanswered (Bhowmik & Kennedy, 2012).

Table 1: Framework for Research on Ethnic Minority Students in Hong Kong

In School	Out of School
<ol style="list-style-type: none"> 1. Why there is continuing dissatisfaction with the schooling provided for ethnic minority students in Hong Kong? 2. How well prepared are Hong Kong schools and teachers for meeting the needs of ethnic minority students? 	<ol style="list-style-type: none"> 1. Can the concept of 'out of school' be applied to ethnic minority students in Hong Kong? 2. Do current government policies recognize 'out of school' ethnic minority students? 3. What do 'out of school' ethnic minority students do in Hong Kong, especially those who would normally be in secondary schooling?
<ol style="list-style-type: none"> 1. How does the discourse of 'integration' influence the education policy agenda for ethnic minority students in Hong Kong? 2. How would a policy agenda that focused on multiculturalism produce a different kind of education policy? 	<ol style="list-style-type: none"> 1. What rights do ethnic minorities have in Hong Kong? 2. How have ethnic minorities or their representatives pushed for rights relating to education? 3. How has any rights agenda for ethnic minority students been received in Hong Kong?

Source: (Bhowmik & Kennedy, 2012)

While it seems that to date all the research has been on the ethnic minority students who are already in the schools, the above mentioned framework clearly shows that there has been no research yet on the ‘out of school’ ethnic minority children. In addition, equal opportunities commission especially recognized an issue that there are disproportionate low participation rates of ethnic minority children in upper secondary and post-secondary education compared to the majority ethnic Chinese children (EOC, 2011). This paper therefore focuses on the extent of ‘out of school’ ethnic minority children in Hong Kong. For this it employs two important frameworks i.e. ‘Five Dimensions of Exclusion’ by UNICEF and the UNESCO Institute for Statistics (UNICEF and the UNESCO Institute for Statistics, 2010) and ‘Seven Zones of Exclusion’ by Consortium for Research on Educational Access, Transitions and Equity (CREATE) (Lewin, 2007) and analyses 2006 census data (Census and Statistics Department, 2007).

‘Out Of School’ Construct

UNICEF and the UNESCO Institute for Statistics (2010) use ‘Five Dimensions of Exclusion’ as a framework for better understanding ‘out of school’ students. The framework has five dimensions of exclusion. Dimension 1 considers children of pre-primary school age who are not in pre-primary or primary school; Dimension 2 refers to children of primary school age who are not in primary or secondary school; Dimension 3 includes children of lower-secondary school age who are not in primary or secondary school; Dimension 4 considers children who are in primary school but at risk of dropping out; and Dimension 5 includes children who are in lower-secondary school but at risk of dropping out.

Another framework provided by Consortium for Research on Educational Access, Transitions and Equity (CREATE) considers ‘Seven Zones of Exclusion’ to understand ‘out of school’ children (Lewin, 2007). Zone 0 refers to the children who are out of pre-primary school; Zone 1 contains those children who are never enrolled in primary school; Zone 2 considers those primary children who are dropped out at the early stage or before completing the cycle; Zone 3 includes those primary children who are in school but at risk of dropping out; Zone 4 includes those children who failed to transit to lower secondary school; Zone 5 considers those lower secondary children dropped out before completing the cycle; Zone 6 contains lower secondary children who are in school but at risk of dropping out.

Both frameworks put significant emphasize on ‘meaningful participations’ of students which is something more than only attending school. While students are coming to the school it is not always case that they are actively engaged in their school and classroom activities. There are also students who have attendance and progression problems. Literature in this area strongly suggests that all these types of students are at the risk of dropping out (Hunt, 2008;

Lewin, 2007; Rumberger, 2011). Therefore, both ‘meaningful participations’ and ‘at risk of dropping out’ have a strong relationship with access, transition and exclusion in education.

It appears that both frameworks consider ‘out of school’ construct for the students up to the end of lower secondary level. Perhaps their most usages in the context of development might be one of the reasons for that. Yet, drop out discourse in the context of USA considers students until the achievement of high school diploma (Rumberger, 2011). While there are two different upper limits we see from the literature, I will generally use the construct here to identify ‘out of school’ ethnic minority children all through from pre-primary to post-secondary level of education in Hong Kong.

‘Out of School’ Children in Hong Kong

Before looking at the extent of ‘out of school’ ethnic minority children, it is important to have an understanding first on the scenario of overall ‘out of school’ children in Hong Kong. There is a dearth of research both nationally and internationally that has examined ‘out of school’ children in the context of Hong Kong. For example, Education for All (EFA) Global Monitoring Reports (e.g. UNESCO, 2010, 2011) does not report on educational statistics of Hong Kong Special Administrative Region, while this report provides all the basic educational statistics for rest of the world. However, Global Education Digest report by UNESCO Institute for Statistics (2011) provides some statistics on ‘out of school’ children not only in Hong Kong but also in other jurisdiction in the region.

Global Education Digest reports that 13% pre-primary age-group children in Hong Kong were not in school in the year 2009 (UNESCO Institute for Statistics, 2011, p. 94). It is to mention here that pre-primary education has not been yet compulsory and free in Hong Kong. And Hong Kong has a policy of 12 years free education of which 9 years are compulsory. The typical compulsory education age-group is 6-14 that normally covers grades from I to IX. Global Education Digest also reports on the percentage and number of out of school children of primary and lower secondary age-groups in the year 2009. While the percentage of ‘out of school’ children for primary age-group was about 2%, the percentage for lower secondary age-group was 9% (UNESCO Institute for Statistics, 2011, p. 134). The World Bank (2012) data centre also provides some useful statistics about ‘out of school’ children in primary level in Hong Kong. It is to be noted that there are inconsistency in 2009 ‘out of school’ children data between the two datasets. While Global Education Digest reports ‘out of school’ figure for Hong Kong primary age-group children 6000, the World Bank data centre reports primary ‘out of school’ children about 12000. However, these international reports make it very clear that the phenomenon of ‘out of school’ children does very much exist in Hong Kong context. But nothing is mentioned publicly about the existence of this phenomenon. It apparently

looks like not an area to have concentration yet. And these data do not report about the upper secondary and post-secondary age-group students. Given this context, identifying the right number of ‘out of school’ ethnic minority children is very difficult.

Ethnic Minority Population in Hong Kong

The general discourse encouraged by the HKSAR government about ‘ethnic minorities’ refers to the ‘people from non-Chinese ethnicities’ (Census and Statistics Department, 2007, P. 2). According to the 2006 census (2007, P. 15), about 5% (exact figure is 342198) of the total population of HKSAR were ethnic minorities mainly belonging to the ethnic group of Filipinos, Indonesians, White, Indians, Nepalese, Japanese, Thais, Pakistanis, Koreans and Bangladeshis etc. The recent summary result for 2011 census shows an increase of the total number of ethnic minority population, which does now account for 6.4% (the number is 451183) of the total Hong Kong population (Census and Statistics Department, 2012, p. 37). The numbers of ethnic minority children under the below 15 and 15-24 age-groups are 32289 and 41936 respectively which is about 15% less than the corresponding figures for the year 2001 (Census and Statistics Department, 2007).

‘Out of School’ Ethnic Minority Children in Hong Kong

Educational statistics on ethnic minority children are not readily available and there are significant inconsistencies in data presented for the ethnic minorities not only in education but also in other areas (Chung & Leung, 2011; Kennedy, 2011a, 2012). For example, the number of ethnic minority children enrolled in primary and secondary schools in the year 2007-08 were 5583 and 3272 respectively (Mrs. Shek, Education Officer, Education Commission, EDB), whereas another source (Hong Kong SAR Government, 2008, pp 6-7) reports this figure 5671 and 3097 respectively. And the 2006 figure reported by census data in the previous year was just double of the mentioned 2007-08 data set, 12879 and 7036 respectively (Census and Statistics Department, 2007). The Equal Opportunities Commission (2011) has also asserted the need for using the forthcoming 2011 population census to capture the information for ethnic minority population in general, and school age children in particular in order for formulating appropriate education policies and support measures.

Table 2 shows the school attendance rates of ethnic minority students by age-group. In the year 2006, about 16% ethnic minority children were not attending to school in their pre-primary ages while this rate for whole population is 11%. There is also considerable gap in the school attendance rates of ethnic minority students under age-group (17-18) compared to the whole population. The most important statistics from this table is the school attendance rate for ethnic minority students at the age (19-24) is only 6.7% where the rate for whole population is 37.3%. These both age groups (17-18 and 19-24) are the time for potentially

attending upper secondary schools and higher education.

Table 2: School Attendance Rates of Ethnic Minority Students by age-group

Age-group	Ethnic Minority		Whole Population	
	2001	2006	2001	2006
3-5	86	83.9	94.7	89.1
6-11	99.3	99.5	99.9	99.9
12-16	96	98	97.5	98.9
17-18	54.7	74.3	71	82.8
19-24	3.7	6.7	26.4	37.3
25	0.2	0.4	0.3	0.4
Aged 3 and over	9.7	9.5	21.4	20

Source: Census and Statistics Department, 2007, p. 43.

The proportion of Ethnic minority students studying full time courses in Hong Kong is about 4.0% in the year 2006, amongst them 2.9% belonged to the age-group below 15 and the rest are to age-group 15 and over (Census and Statistics Department, 2007, p. 51). Table 3 shows that, a total of 8845 students (18%) under the age-group below 15 are not in any full time courses at school. What is not clear though from this statistics is which education level they belong to mostly. But it can be assumed that they mainly belong to pre-primary, lower secondary, upper secondary and higher education group which is also consistent with the analysis that has been presented in the case of table 2. If we assume the primary enrolment figure (12819) is stable over time a number of interesting points could be made (Kennedy, 2011a, 2012) from this statistics (table 3): About 48% ethnic minority children are out of pre-primary education in Hong Kong. Only 28% of primary-age cohort ethnic minority students can move into lower secondary level. And about 19% and 6% of that cohort can make upper secondary and sixth form respectively. The participation rate of that cohort in all sort of post-secondary education is only 10%.

Table 3: Ethnic Minority Students are at Full-time courses by age-group in 2006

Level	Ethnic Minority <15		Ethnic Minority Aged 15 and over at full time course	Whole population	
	Age group total	at full time course		<15	15 and over
Pre-primary		6777		166364	30
Primary		12819	60	439630	1484
Lower Secondary		3550	955	189183	78897
Upper Secondary		298	2233	1926	187454
Sixth form			737		62549
Post-secondary			1293		147014
Total	32289	23444	5278	797103 (939675)	477428

Source: (Census and Statistics Department, 2007, p. 51)

It is very clear from the analysis of Tables 2 and 3 that a good number of ethnic minority children are not in Hong Kong schools. Now we will look at what these quantitative data mean using two ‘out of school’ frameworks we mentioned before.

If we consider ‘Five Dimensions of Exclusion’ (UNICEF and the UNESCO Institute for Statistics, 2010) framework for Hong Kong context, dimension 1 and dimension 3 definitely prevails in Hong Kong education in the case of ethnic minority children based on the data and statistics available. It is not clear about dimension 2, because the particular age-group (6-11) specific population data is not available at the census report to reach into any conclusion. Since there is major transition issue from primary to lower secondary and lower secondary to upper secondary exists in school as analyzed above in table 2 and 3, it is very likely that many ethnic minority students in primary and lower secondary level are not meaningfully participating in their school and learning activities which ultimately leads them to the risk of dropping out. Therefore, it is fair to say that dimension 4 and 5 also prevails in Hong Kong education in the case of ethnic minority students.

Table 4: 'Out of School' Ethnic Minority Children in Hong Kong

'Out of School' children	UNICEF and UNESCO Institute for Statistics (2010) 'Five Dimensions of Exclusion'	CREATE's 'Zones of Exclusion' (Lewin, 2007)	Ethnic Minority Children in Hong Kong
not in Pre-primary/primary school	Dimension 1	Zone 0	prevails
not in Primary/secondary school, dropped out from primary, at risk of dropping out	Dimension 2	Zone 1	not clear yet due to lack of data
		Zone 2	
not in Primary/secondary school, no transition to lower Secondary, dropped out from lower secondary, at risk of dropping out	Dimension 4	Zone 3	prevails
	Dimension 3	Zone 4	prevails
		Zone 5	prevails
Dimension 5	Zone 6	prevails	

'Seven Zones of Exclusion' framework (Lewin, 2007) reveals that 'out of school' ethnic minority children definitely prevails in zone 0, zone 4 and zone 5 based on the data and statistics available. It is not clear whether 'out of school' ethnic minority children prevails in zone 1 and zone 2, because the particular age-group (6-11) specific population data is not available at the census report to reach into any conclusion. Since there is major transition issue from primary to lower secondary and lower secondary to upper secondary exists in school as analyzed above in table 2 and 3, it is very likely that many ethnic minority students in primary and lower secondary level are not meaningfully participating in their school and learning activities which ultimately leads them to the risk of dropping out. Therefore, it is fair to say that ethnic minority students also prevail in zone 3 and zone 6.

Both frameworks clearly show that 'out of school' ethnic minority children prevail in pre-primary and lower secondary level. In addition, the analysis of table 2 and 3 confirms that 'out of school' children also very much prevail in upper secondary and post-secondary level.

Research and Policy Implication

It is clear that there has not been enough data available in public domain to identify the right number of 'out of school' children overall in Hong Kong and for ethnic minority in particular. Even if where data are available there are significant inconsistencies found in some cases. Therefore, there is an urgent need for more, consistent and better quality data in this area and that data need to be disaggregated so that the extent of 'out of school' phenomenon for both Chinese and ethnic minority children can be determined. However, the analysis of the 2006 census data (Census and Statistics Department, 2007) in the previous section showed that a good number of ethnic minority children are not within the school; this includes the pre-primary, lower secondary, upper secondary and post-secondary age-group children and young people. In addition, from a deeper discourse of access and transition in education, very little is known about the 'meaningful participation' of the ethnic minority children in Hong Kong schools and those ethnic minority children who are 'at risk of dropping out' given that both have a significant relationship with the access, transition and exclusion in education. This paper, therefore, strongly argues for a need to research extensively in the area of 'out of school' ethnic minority children in Hong Kong. While understanding on the full extent of 'out of school' ethnic minority children in Hong Kong is very important, in-depth understanding on the reasons for being 'out of school' children and exploring what their 'out of school' life looks like are even more important for varieties of social, political, economic and cultural reasons.

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Korean Comparative Education Research Trends during the First Decade of the New Millennium

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Abstract

The main purpose of this article is to explore the Korean comparative education research trends during the first decade of the new millennium in accordance with authors, themes, and methods. The research method is a close observation of the journal analysis on the basis of two hundred and eighty articles published in the Journal of Korean Comparative Education between the year 2000 and 2009. The major findings are as follows: First, there is a lack of diversity, owing to serious imbalance in authors, themes, and methods, as well as the small number of countries examined in these articles. Second, there is a lack of professionalization, due to the fact that the research has failed to give the most attention to the comparative education theory and furthermore, has used the non-comparative research methods, especially in single-country studies. Third, comparison is applied as a policy tool rather than as a method, since the Korean comparative education research has focused mainly on education policy in themes, while mostly using the non-comparative research methods. Last, the country is emphasised both as the unit of analysis for comparison and as the type of research.

Key words: comparative education, journal analysis, Korean education

Introduction

A new millennium is generally regarded as a turning point in many aspects of human life. At the turn of this new millennium, there is a revitalisation of comparative education as an internationalised and globalised academic field of study because of the intensified impacts of globalisation and the rapid development of the information and communication technology (Cowen & Kazamias, 2009; Crossley, 2000; Crossley & Jarvis, 2000; Crossley & Watson, 2009; Rust, Johnstone, & Allaf, 2009; Wilson, 2003). This revitalisation may be remarkably prominent in East Asia (Arnove, 2007; Bray, 2002; Bray, 2008).

Among the East Asian countries, the Korean comparative education research has been paid relatively little international attention in comparison to China and Japan (Bray & Gui, 2001; Gu, 2003; Shibata, 2010; Wang, Dong, & Shibata, 2009; Wong & Fairbrother, 2007). However, South Korea has significantly contributed to the global development of comparative education in the following ways (Bray, 2002). First, the Korean Comparative Education Society (hereafter called the KCES), the only official society to research comparative education exclusively in South Korea, has contributed very prominently to the founding and development of the World Council of Comparative Education Societies (hereafter called the WCCES), which is the umbrella organisation of the comparative

education research in the world. Furthermore, the KCES was created 11 years and 21 years each in advance of its Chinese and Hong Kong counterparts respectively, and 28 years in advance of the Comparative Education Society of Asia. Finally, the 11th World Congress of Comparative Education was held in South Korea in 2001.

In addition, East Asian comparative education research has paid little attention to its journal analysis in comparison with its historical analysis. However, the journal analysis has generally been perceived as the effective avenue for communicating the remarkable research trends and revealing the identities of the field (Wolhuter, 2008). Therefore, in this study, Korean comparative education research trends will be analysed on the basis of the total two hundred and eighty articles published in the *Journal of Korean Comparative Education* (hereafter called the JKCE) during the first decade of the new millennium for three reasons. First, the new millennium is generally perceived as the moment to think about the future as one of the promising topics, which the current comparative education research has often missed (Watson, 1999). Next, before the new millennium, there had been only a few methods to adequately control the quality of journal articles in South Korea. Finally, the JKCE is the only official journal of the world-renowned KCES and the major public forum of Korean comparative education.

This journal analysis on Korean comparative education research trends is expected to contribute very significantly to the theory building and future research in comparative education in three ways. First, it can provide both the Western comparative education researchers and their eastern counterparts with the knowledge base for widening and deepening their understanding of the recent Korean comparative education research trends, because it will be based on the insiders' perspectives by means of the authors' prior knowledge about South Korea. Furthermore, it can be conducive to more relevant, valid, reliable, and unbiased theory building in the global comparative education research, which to date has been dominated by the excessively Westernised comparative education theories and methods. Finally, it can provide the frameworks of references for the journal analysis of the comparative education research trends in other countries and their comparisons with those of South Korea.

Analytical Framework

The analytical framework in this study consists of three parts: authors, themes, and methods.

Authors

In this study, two factors of the authors will be taken into consideration. First, the number of the authors who contribute to the article will be analysed, because it can be conducive to exploring the possibility of the collaboration in the Korean comparative education research for bridging the cultures and traditions of comparative education that Crossley (2000, 2008a) emphasised.

The second factor will be the authors' gender, since the female authors can choose different perspectives, topics, and methods in the comparative education research from their male counterparts for two reasons. First, they may have different academic and professional lives and experiences. Second, they may interpret them differently. In order to investigate the authors' gender more precisely, the researcher information database is provided by the National Research Foundations of Korea, which is the most reliable database on the researchers in South Korea.

Themes

Thematic analysis can contribute to finding out what have been key issues in the Korean comparative education research during the first decade of the new millennium. For this thematic analysis, both the titles of the articles published in the JKCE and their contents will be investigated, because it would be difficult to gain sufficient information about the themes that their authors intend to explore from the analysis by only looking at the titles (Little, 2000).

For the thematic analysis, two factors will be considered. The first factor, the level of education, will be categorised into early childhood education, primary education, secondary education, higher education, and further education.

The second factor, the perspectives, will be classified into education theory, education policy, and educational management. This classification is based on the so-called two culture thesis to distinguish education theory/research from education policy/practice and the macro perspective (education policy) from the micro one (educational management). There has been criticism about the two-culture thesis because of its disregard for their interactions (Alexander, 2009; Crossley, 1999; Crossley, 2000; Crossley, 2008a; Ginsburg & Gorostiaga, 2001). However, to date, there has been no Korean comparative education research to consider this interaction.

Methods

The analysis of methods in this study will focus on whether the article in the JKCE has applied the comparative research methods or not. In this study, the comparative research methods imply only those who have used comparison explicitly as research methods. If the article in the JKCE has chosen these methods, the next step will be to investigate whether the unit of analysis for comparison is the country or the region. In this study, the region means the inter-governmental organisation such as the European Union. The final step for the articles with the comparative research methods will be the frequency analysis of the countries or the regions investigated in these articles.

There are three reasons why the region will be investigated as the unit of analysis for comparison in this study. First, the validity of the nation-state as the single dominant unit of analysis for comparison as the globalised world has been continuously challenged with reading the global more precisely (Altbach & Kelly, 1986; Bray, 2003; Bray & Thomas, 1995, Clayton, 2004; Cowen, 2000; Crossley, 1999; Crossley & Jarvis, 2000; Dale, 2009; Dale & Roberston, 2009; Mitter, 2004; Steiner-Khamsi, 2009; Wolhuter, 2008). Furthermore, the creation of the blocks for economic cooperation and the promotion of the free trade have fostered the cross-bordering and transnational mobility in education (Watson, 1999). Finally, the regional study can contribute to comparing both the similarities and the differences of the responses of the countries to new challenges faced in education within the same region (Watson, 1999).

If the article in the JKCE has not chosen the comparative research methods, the next step will be to decide whether the article used the single-country study or the international study. In this study, the single country study means the study focusing on education in only one country, while the international study refers to the study concerning with the investigation of the roles and/or the activities of the international organisations in education. The next step

will be the frequency analysis of the countries or the international organisations investigated in the articles.

Data Analysis

Data analysis in this study consists of three parts in compliance with its analytical framework: authors, themes, and methods.

Authors

The analysis of the authors consists of two parts as mentioned in the analytical framework in this study: their numbers and gender.

Numbers of the authors

Four hundred and seven authors in total have published two hundred and eighty articles to the JKCE during the first decade of the new millennium. The number of single-author's articles (188 out of 280) doubles that of co-authors' articles (92). This overwhelming number of the single authorship implies that collaboration was less frequent in the Korean comparative education research.

This less frequent collaboration means the insufficient use of the multi-disciplinary and cross-bordering nature of comparative education as the most prestigious comparative advantage (Crossley, 1999; Crossley, 2000; Crossley, 2005; Crossley 2008a; Crossley, 2009; Crossley & Jarvis, 2001; Crossley & Watson, 2009; Klees, 2008; Watson, 1999). Also, the less frequent collaboration can reduce the diversity in the perspectives that could be constructed, deconstructed, and reconstructed through the intellectually challenging dialogue, the creative experience sharing, and the bridge-making between researchers and practitioners, insiders and outsiders, and educational specialists and social scientists (Crossley, 1999; Crossley, 2000; Crossley, 2005; Crossley, 2008a; Crossley, 2009; Watson, 1999).

Two factors contribute to this less frequent collaboration in the Korean comparative education research. The first factor is the difficulties in the inter-disciplinary communication and the cross-cultural dialogue in designing and performing the research. The second factor is the devaluation of the collaborative research, both in the faculty evaluation and in the mass-communication-initiated higher education evaluation without paying due weight to its time-consuming and energy-exploiting nature.

Authors' gender

The number of the male authors (260 out of 407) amount to almost double of their female counterparts (147). The dominant male authorship implies the danger of reducing diversity in the perspectives on the Korean comparative education research. The serious gender imbalance both in the universities and in the educational research institutions have resulted in this overwhelming number of the male-representation of the authors. However, the current implementation of the policies for actively promoting gender-equity is expected to foster the female researchers' contributions to the development of the Korean comparative education research in the near future.

Themes

Thematic analysis consists of two parts, as mentioned in the analytical framework of this study: levels of education and perspectives.

Levels of education

The Korean comparative education research has centred on primary and secondary education (132 out of 280) and higher education (97), while its researchers have paid little attention to further education (33), early childhood education (11), and general education covering all levels of education (7). Two factors contribute to the imbalance of the levels of education investigated. The first factor is derived from the current Korean education reform trends and debates. More specifically, the focus of the current Korean education reform on school improvement, teacher accountability, and university autonomy have contributed to the most frequent investigation of primary and secondary education and higher education.

The second factor is the number of the post-graduate programs on each level of education as one of the main sources for the professional knowledge creation and diffusion (Wiseman & Matherly, 2009). For example, in South Korea, the recent creation of the post-graduate programs on higher education in the prestigious four-year universities have promoted the recruitment of the new faculty members majoring in higher education, resulting in the rapid growth of the post-graduate students' interests in higher education. However, there have been a few post-graduate programs on early childhood education.

Perspectives

An overpowering number of the articles (186 out of 280) has used the macro-perspective focusing on education policy. It implies that comparison can be used as a policy tool in South Korea. It has been consistent with the purpose and underlying rationale of comparative education: learning and transferring the ideas for education reform in the home countries from education policies and practices in other countries (Broadfoot, 2009; Crossley, 2008b; Crossley & Watson, 2009; Grant, 2000; Hans, 1964; Steiner-Khamsi, 2009; Watson, 2001). However, in order to effectively learn and transfer these policies and practices, it would be necessary to consider the context adequately and critically (Crossley, 2008b; Crossley, 2009; Crossley & Watson, 2009; Steiner-Khamsi, 2010).

However, the Korean comparative education researchers seem to have paid very little attention to education theory (27) and the micro-perspective centring on educational management (67). The tendency for the mainstream education researchers to publish the articles on education theory in the major journals of their own disciplines may contribute to the least attention paid to education theory.

In the following section, the key trends of the frequency analysis of the topics with the macro and micro perspectives and in education theory will be suggested.

Macro-perspective

As shown in the Table 1, with the macro-perspective, education reform (43), educational assessment (22), and teacher education (17) are the most frequently investigated topics, while private tuition (1), private school (2), governance (2), international development (2), gender (2), and career education (2) are topics with the least concern from the Korean comparative education researchers. It is interesting that both the most frequently investigated topics and the least frequently investigated ones are related to the current Korean and global education reform trends and debates. Also, the dominant representation of the male authors in the articles analysed in this study have contributed to the least attention paid on gender.

Table 1 Education Policy

No.	Sub-Themes	Frequency	Percentage
1	Education reform	43	23.12
2	Educational assessment	22	11.83
3	Teacher education	17	9.14
4	Curriculum policy	14	7.53
5	Life-long education	13	6.99
6	Education law	9	4.84
7	International understanding	8	4.30
	HRM policy	8	4.30
9	College entrance	7	3.76
10	Educational system	6	3.23
11	Education finance	5	2.69
	Home schooling	5	2.69
	Educational welfare	5	2.69
14	Multicultural education	4	2.15
15	National HRD	3	1.61
	Internationalisation	3	1.61
	Special education	3	1.61
18	Governance	2	1.08
	International development	2	1.08
	Private school	2	1.08
	Gender	2	1.08
	Career education	2	1.08
23	Private tuition	1	0.54
	Total	186	100

Micro-perspective

As shown in the Table 2, with the micro-perspective, curriculum management (18) and teaching and learning (12) are the most frequently investigated topics, while education reform (1), educational assessment (1), education finance (2), gifted education (2), and special education (2) are paid the least attention from the Korean comparative education researchers. The most frequently investigated topics have revealed the possibilities and potentials of the new kinds of comparative education focused on learning and pedagogy in the Korean comparative education research in the new millennium (Alexander, 2000; Alexander, 2009; Broadfoot, 1999; Broadfoot, 2000; Broadfoot, 2009) .

Comparison between the Macro- and micro-perspectives

It is interesting to find out that the attentions to education reform and educational assessment are polarized following the perspectives which the Korean comparative education researchers choose. More specifically, they are the least frequently investigated topics with the micro-perspectives, while having been paid the most attention with the macro-perspectives.

However, considering the social demands in South Korea and the current international interests, it is very surprising that education finance is one of the least frequently investigated topics with the micro-perspectives, not to mention the insufficient attention from the macro-perspectives. For example, the discussion on how to secure the 7% of the GDP for education finance has been one of the most important educational issues in the recent Korean

presidential elections. Also, educational funding has been one of the most serious concerns to the government around the world arguing over its size in the national budget (Broadfoot, 2002).

Also, it is noteworthy that regardless of which perspectives the authors have chosen, there is insufficient attention paid to international understanding as one of three key research topics on international education as a twin field of comparative education (Wiseman & Motherly, 2009). The existence of the distinctly practitioner-based professional association on Education for International Understanding since 2000, which has published its own journals since 2006 in South Korea may have contributed to this lack of interest.

Table 2 Educational Management

No	Sub-themes	Frequency	Percentage
1	Curriculum	18	26.87
2	Teaching and learning	12	17.91
3	Educational system	8	11.94
4	Human resource management	6	8.96
	Student service	6	8.96
6	Organisation	5	7.46
7	International understanding	4	5.97
8	Education finance	2	2.99
	Gifted education	2	2.99
	Special education	2	2.99
11	Education reform	1	1.49
	Educational assessment	1	1.49
Total		67	100

Education theory

As shown in the Table 3, the number of the articles on education theory is too small to analyse the frequencies of the topics investigated in the articles. Therefore, in this section, mentioning of the two key trends may be essential. First, the philosophy of education (16 out of 27) is the most frequently investigated topic on education theory. It may be reflected on the fact that the foreign educational thinkers have usually been regarded as one of the research areas of the philosophy of education.

Second, very little attention has been paid to the comparative education theory (2). It could be understood as a result of the absence of the post-graduate programs on comparative education in South Korea which may have served as one of the key sources for the expertise for its professionalisation (Wiseman & Matherly, 2009).

Table 3 Education Theory

No.	Themes	Frequency	Percentage
1	Educational philosophy	16	59.26
2	Educational history	2	7.41
	Comparative education theory	2	7.41
	Gifted education	2	7.41
	Life-long education	2	7.41

6	Curriculum	1	3.70
	Teaching and learning	1	3.70
	Trend analysis	1	3.70
Total		27	100

Methods

The articles with the non-comparative research methods (180 out of 280) nearly double that of their comparative counterparts (100). Two factors have contributed to the greater use of the former. First, the comparative research methods demand more money and time than their non-comparative counterparts (Carnoy, 2006). Second, there have been no post-graduate programs on comparative education in South Korea as one of the key sources for the professional knowledge, as previously mentioned in the section on education theory, due to the lack of the formal opportunities for training and orientation toward comparative education theories and methods.

In the following section, the analysis of the Korean comparative education research trends will be presented on the comparative research methods first and then on their non-comparative counterparts.

Comparative research methods

Surprisingly, in every article with comparative research methods analysed in this study, only the country, and not the region, is used as the unit of analysis for comparison. The maintenance of the power of the nation-state over education through law-making and national curriculum and assessment in the globalised world have contributed to this exclusive use of the country as the unit (Carnoy, 2006; Dale & Robertson, 2002; Green, 1997; Watson, 1999). However, the exclusive use may overlook the within-country differences (Manzon, 2007; Watson, 1999; Wolhuter, 2008).

In the following section, the frequency analysis of the countries will be presented. As shown in the Table 4, the number of countries investigated in the articles, counting to only seventeen, seems too small a number. A small number of countries implies the lack of diversity in the investigated countries. Six most frequently investigated countries in the articles applying the comparative research methods are both English-speaking countries such as the U.S.A. (40), the U.K. (19), and Australia (11) as well as the Southeast Asian countries such as South Korea (24), Japan (19), and China (12).

Table 4 Countries in the Comparative Research Methods

No.	Country	Frequency	Percentage
1	U.S.A.	40	23.95
2	South Korea	24	14.37
3	Japan	19	11.38
	U.K.	19	11.38
5	China	12	7.19
6	Australia	11	6.59
7	Canada,	9	5.39
	France	9	5.39
	Germany	9	5.39
10	Russia	4	2.40

	Sweden	4	2.40
12	Singapore	2	1.20
13	Finland	1	0.60
	India,	1	0.60
	Netherland,	1	0.60
	New Zealand	1	0.60
	Taiwan	1	0.60
Total	17	167	100

There are two contributing factors to this case of imbalance. The first factor is that the Korean comparative education researchers tend to choose the countries where they had obtained their doctoral degrees from. For example, the overwhelming majority of the mainstream educational scholars have obtained their degrees from the universities in the U.S.A. Also, the scholars majoring in the Eastern history and philosophy of education usually get their degrees from Japan and China.

The second factor is the language. More specifically, the authors' proficiency in foreign language, which usually leads to English being the most widely used language have contributed to the most frequent choice of the U.S.A., the U.K. and Australia as the countries for comparison.

Non-comparative research methods

In the following section, two questions will be answered in accordance with the analytical framework in this study. First, what types of studies have the articles with the non-comparative research methods usually used? Second, which countries or international organisations are frequently investigated in these articles?

Type

Almost all articles with the non-comparative research methods (158 out of 180) are the single country studies. The maintenance of the power of the nation-state over education through law-making and national curriculum and assessment in the globalised world seems to contribute to this large use of such studies (Carnoy, 2006; Dale & Robertson, 2002; Green, 1997; Watson, 1999). The overwhelming use of the single-country studies may engage the Korean comparative education researchers in the findings of the facts on foreign education rather than comparative education.

Countries

As shown in the Table 5, the number of countries investigated in the articles, which counts to be only fifteen, is too insufficient for comparison. It implies the lack of diversity in the investigated countries. Six most frequently investigated countries in the articles concerning the single country studies are the U.S.A. (53), Japan (21), South Korea (20), Germany (15), China (14) and the U.K. (11). These are very similar to their comparative counterparts with the exception of German. This may be a direct result from the fact that the scholars majoring in the Western history and philosophy of education usually obtain their doctoral degrees from German.

Regardless of which research methods have been chosen, the fact that there is only one article investigating Finland as the country for comparison for each research method is noteworthy for two reasons. First, South Korea and Finland have very often been compared in the mass

media in terms of their outcomes of the international comparative educational assessments. Second, the progressive Korean educators have been very interested in Finland's education and have wanted to obtain implications for the reform of Korean education.

Table 5 Countries in Single Country Studies

No.	Country	Frequency	Percentage
1	U.S.A.	53	33.13
2	Japan	21	13.13
3	South Korea	20	12.50
4	Germany	15	9.38
5	China	14	8.75
6	U.K.	11	6.88
7	Russia	7	4.38
	Australia	7	4.38
9	France	4	2.50
10	New Zealand	2	1.25
	Canada	2	1.25
12	Cuba	1	0.63
	Finland	1	0.63
	Sweden	1	0.63
	Taiwan	1	0.63
Total	15	164	100

International studies

Only ten articles with the non-comparative research methods are international studies. Out of the ten, six deals with the international organisations, while the four are developmental studies. Among the former, four write about OECD, while the other two are on UNESCO. Surprisingly, there are no articles on World Bank, from which two factors could be inferred. One may be the relatively less impact the World Bank has on Korean education policy-making. The other factor is the relatively few roles the Korean government plays in the World Bank. The four developmental studies focus on the roles and activities of Korean government in international educational development.

Conclusion and Suggestions

In this study, the trends of the authors, themes, and methods of the Korean comparative education research have been analysed on the basis of the two hundred and eighty articles published in the JKCE during the first decade of the new millennium. The first trend is the lack of diversity, examining the serious imbalance in authors, themes, and methods, as well as the small number of countries investigated in these articles. The second trend is the lack of professionalisation, resulting from paying not enough attention to the comparative education theory and using overwhelming amount of the non-comparative research methods, especially in the single-country studies. The absence of the post-graduate programs on comparative education in South Korea may have contributed to the lack of professionalisation (Wiseman & Matherly, 2009). The third trend is the use of comparison as a policy tool rather than as a method, since the Korean comparative education research has focused mainly on education policy in themes, while overwhelmingly using the non-comparative research methods. The last trend is the emphasis on the country both as the unit of analysis for comparison and as the type of research.

A number of implications can be drawn for future research and education policy from the findings made above. First, it would be desirable to investigate the Korean comparative education research trends beyond the JCKE because the mainstream education scholars seem to often publish the research in the journals of their own disciplines. Furthermore, it would be essential to promote collaboration both within South Korea and among other countries for more diversity in the Korean comparative education research, making the use of its prestigious comparative advantage (Crossley, 1999; Crossley, 2000; Crossley, 2005; Crossley, 2009; Crossley & Jarvis, 2001; Crossley & Watson, 2009; Klees, 2008; Watson, 1999). Finally, it would be necessary to explore how the post-graduate programs on comparative education in other countries can be transferred for the critical development of the South Korean counterparts after the sufficient consideration on the contextual differences.

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Measuring Teachers Personality by Applying “Big Five Personality” Based on Teachers Gender and School Level: A Comparative Analysis

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Abstract

The objective of this study is aim at verifying whether teachers personality could be measured conceptually by implementing "big five personality" based on teachers gender and school level. A survey and ex post facto methods have been applied in this study by involving 34 elementary school male teachers and around 340 female teachers, 60 primary school male teachers followed by 276 female teachers and around 56 secondary school male teachers and also 183 female teachers. Those samples derived from Lampung Province, Indonesia. Based on data analysis found that most of variables have a factor loading higher than .399 and communalities higher than 80%. There is no significant difference between male and female personality teachers at all school level, however teachers personality affected by school level. Therefore, it could be concluded that "big five personality" which usually applied for measuring employees personality, could be implemented for measuring teachers personality, but it should be taken into consideration also the effect of school level.

Key words: teachers' personality, big-five personality, gender, factor loading, and communalities.

Introduction

Education is one of the important sectors for every country in the world. The process of education is inevitable process due to its role in changing human mindset to be more rational person. Some countries, however, in implementing its development policy mostly focusing on other sectors such as economic, political, or communications, etc., which they think is more important rather than focusing on educational sector. The balancing of development focus should be mostly taken into consideration, especially between education and other sectors.

In this context, the government attention should be put more emphasizing on developing and improving teachers programs, since logically presumed that the quality of education is mostly rely on teachers performances.

Fortunately, Indonesian Government was becoming suddenly conscious about teachers development which indicated by the establishing of Government Laws, no. 14/2005 about Teacher and Lecturer. It was too late for prioritizing the development which focusing on teachers themselves since we all acknowledge that after more than 60 year as an independent Nation, the development of teacher had been more neglected comparing with other sectors. Nevertheless, according to this Government Laws, Indonesian teachers should be more glad and happier because they began to improve their own competence otherwise they will not get compensation due to they do not pass at the certificate examination which conducted through teachers' portfolio evaluation.

Those competencies are pedagogic, social, professional, and personality competence. And this personality competence will contribute around 14 items used in measuring it in order to pass educator certificate examination, especially in measuring teachers' performance.

This is the problem when those items or indicators for measuring personality are analyzed theoretically, most of the items do not have strong foundations that being used to measure what actually to be measured. In this case, those items are not related to what the definition of personality is.

This is the reason why this research is implemented due to unclearness theoretically what the government need to measure in term of personality competence which to my opinion, this competence is the most important competence which should be taken into consideration.

That is why it is still required a study (scientific study) in developing a personality instrument, particularly for teachers at all schools level in order to find out some factors that are fix with the variables by confirming through factor analysis between theoretical base with empirical verification.

Therefore, on this occasion, research problems might be well formulated as follows "which variables (each factor has 4 variables) has communality and significant factor loading on its factor empirically based on teachers sexual and school level differences?"

Theoretical Framework

Some Policies about Teachers

In order to accomplish those teachers academic qualification as mentioned at the government Law no 14/2005, some policies dealing with those qualification such as Government Regulation no. 74/2008 about teachers, Minister of National Education Regulation (MNER) No. 58/2008 about the Institution who responsible for offering bachelor degree in service teachers education, MNER no. 8/2009 about program for in-service teacher education, and MNER no. 10/2009 about in service teachers certification.

Government regulation no. 74/2008

This government regulation derived from government law no. 14/2005 about teachers and lecturers which for teachers again repeated at the chapter 2 which states that teachers should have the academic qualification competency, educator certificate, healthy both physically or psychologically, and have ability to achieve the national education goal (chapter 2).

At chapter 3, art 1 states that competence means a set of knowledge, skills, and behavior which should be mastered, organized, and actualized by teachers in doing their professionalism to be teachers.

And then, at chapter 3 art 2 mentioned that teachers should have four competencies as follows: (1) Pedagogic competence is a teachers ability in managing students instructional, such as teachers comprehension in basic of education, curriculum development, instructional planning, instructional technology, students' evaluation, etc.; (2) Personality competence consist of some teachers behavior such as wise, mature, honest, stability, sportive, good conduct, belief in God, etc.; (3) Social competence is teachers ability as a part of society like communication, openness, have a lot of friends; and (4) Professional competence is teachers ability to master their own subject matters, technology, art and culture.

Those policies which concerns with the academic qualification and teachers personality competence might be not implemented effectively due to budget allocation is insufficient in supporting these policies in order to achieve professional teachers in a short time.

That is why the government, in this case the Ministry of National Education, formulated new policy (MNER) no. 58/2008 about in service teachers “sarjana” (S1) degree which is aiming at the accomplishment of the acceleration of academic qualification improvement for in service teachers education (chapter 2). It is limited requirement for Universities who want to be host for offering this program of teachers profession education which the chosen University should get the approval from the Ministry of National Education (MNE), as stated at chapter 4, art 1.

The problem of pre service teachers education is students teacher were not well prepared and planned to be professional teachers. Therefore, most of teachers at all level of education should be compulsory to participate at the program for teachers profession education, except for them who have passed the certification examination for getting educator certificate to be professional teachers.

According to the data (Dasuki, 2010), the amount of all public teachers in Indonesia, position on November 2009, is about 2.607.464 teachers, it was projected until 2010 is about 817.699 teachers. Unfortunately, from those are only 722.211 teachers passed the examination to get the educator certificate until 2010. So, it is around 1.789.765 teachers have not been certified yet.

For those teachers who did not pass the certification examination which conducted by portfolio system, according to MNER no. 10/2009, chapter 2, art. 7 are allowed to take for the second chance by completing again their documents for portfolio evaluation or enroll at the teachers profession education (TPE). The length of the program the teachers should take mostly will depend on his/her educational level background which will determine the amount of credit semester would be taken by the teachers.

There are two ways for teachers to get the educator certificate, by participating in competence examination which carried out by portfolio evaluation, especially for those who have had degree “sarjana” S1 or diploma IV in a given field of study or have been 50 years old with working experience as teacher more than 20 year or have had government official rank IV a, and directly to get the certificate because teachers hold a master or doctoral degree in education (MNER, no 10/2009, chapter 2, art. 1 and 2 and chapter 2, art 11).

Those policies, concern with in service teachers education, starting from the academic qualification to be teacher, certified, and join the teachers profession education or directly given the certificate because holding master/doctor degree in education, indicate the government of Indonesia has a strong motivation, contribution, attention and appreciation toward all teachers, in improving them to be more professional teachers. Logically, this would be one of the strategies to improve the quality of education in Indonesia in term of making the people smarter and more prosperous as realizing of the implementation of our constitution.

Concepts of personality

According to Moorhead & Griffin (2010, p. 61), personality is a set psychological traits which relatively stable that is able to distinguish someone from another. Even still debatable, those traits inherent from his/her parents which is called “the nature argument”, or has been influenced by their environment which is called “the nurture argument”.

In reality, it indicates that both either biological factors or environmental factors pays important role in determining personality. A psychologist has identified a thousand of human personality traits which distinguish someone with the others. There are five traits which is related to the organizational behavior called “big five personality traits” which define as a set of basic characteristics relevant to the organization (Moorhead & Griffin, 2010, pp. 61-62).

Those “Big five” is as follows: (1) Agreeableness: ability to understand others; (2) Conscientiousness: related to several goals which everyone focus on; (3) Negative emotionality: low in this trait characterized by “relatively poised, calm, resilient, dan secure,” but when it is high it is more “excitable,” unsecure, reactive, not mood. So, for those who has “less negative emotionality” would be enable for managing stress, pressure and work tension; (4) Extraversion reflected by one’ trait which is sociable), talkative, asertive, and easier to communicate. The opposite is Introvert; and (5) Openness reflected by the strength in believing and possess the range of interest. These traits consist of intention to accept new ideas, change his/her own ideas, trust, and attitude in responding new information.

Figure 1. The “Big Five” Personality Framework (Moorhead & Griffin, 2010)

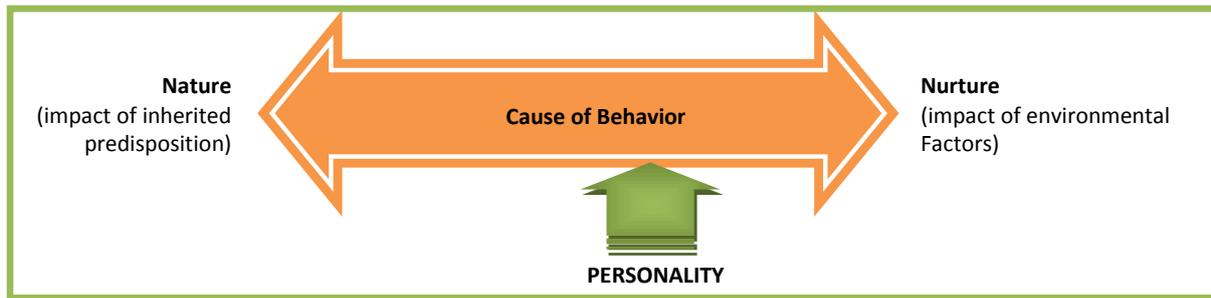


In addition to this, McShane & Glinow (2010, pp. 38-39) stated that personality is “the relatively enduring pattern of thought, emotions, and behaviors that characterize a person, along with psychological processes behind those characteristics.” This definition is more depth because it talked about thought, besides emotion and behavior as well. Almost all of definitions tend to describe personality which distinguishes ones with the others.

Another definition which is almost the same was given by Andre (2008, pp. 32-34), but Andre involves one of the personality concepts called locus of control (LOC). LOC, according to Andre is measuring about to what extend each of individual believe that they are able to control some events that influence them. There are two type of LOC, first is internal LOC which tend to believe that all events facing human being as a result of his/her own behavior and actions, whereas external LOC depicts the tendency to believe the faith, chance and other powerful things will be determined by those events.

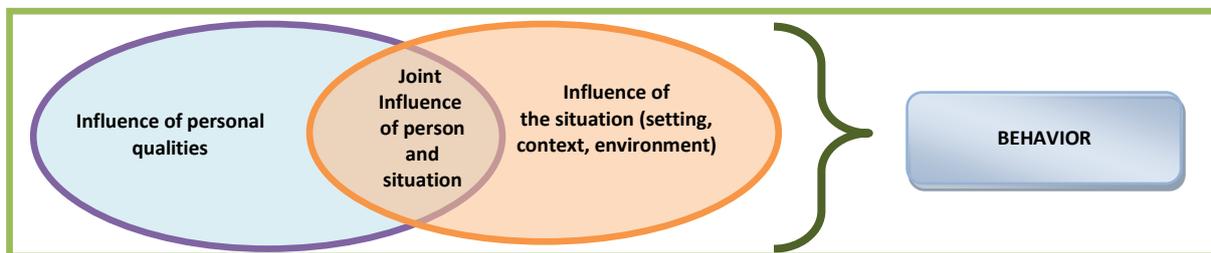
Personality, as defined by Greenberg (2010, pp.68-69), is pattern of behavior, thought and emotion which relatively unique and stable that reflected by individual that differentiate with other and this characteristic is very important for job (p.68). Greenberg illustrated some factors influence personality as seen on the following figure.

Figure 2. Is Personality the Result of Nature or Nurture? (Greenberg, 2010)



Personality is also presumably as one of determinant factors which affect behavior, according to Greenberg this process called “interactionist perspective,” and it can be illustrated as follows:

Figure 3. The Interactionist Perspective (Greenberg, 2010)



Related to the concept of “big five” described by Moorhead & Griffin (2010), Greenberg (2010) applied the same name as well, but with a different term i.e. “big five dimensions of personality”. On the other hand, Andre (2008 p. 37) called by using another term “big five personality profile” and the name of all dimensions are still the same. However, Greenberg (2010) called “emotional stability” instead of “negative emotionality” just like what has been proposed by Moorhead & Griffin above.

Other term given by Mc. Shane & Glinow (2010, p. 39) which called “five factor model of personality” or “FFM,” yang which completely described those indicators for each dimension as illustrated as follows:

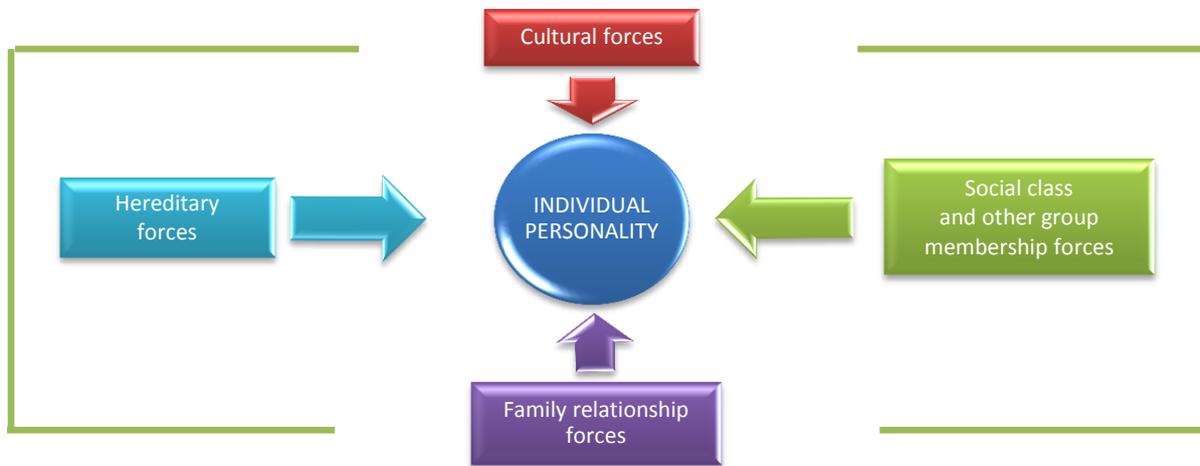
Figure 4. Indicators of Big Five Personality (McShane & Glinow, 2010)

Personality dimension	People with a high score on this dimension tend to be more:
Conscientiousness	Careful, dependable, self-disciplined
Agreeableness	Courteous, good-natured, emphatic, caring
Neuroticism	Anxious, hostile, depressed
Openness to experience	Imaginative, creative, curious, sensitive
Extroversion	Outgoing, talkative, sociable, assertive

On the other occasion, Ivancevich, Konopaske & Matteson (2011) stated that personality is related to a set of person’ feeling and behavior that is relatively stable which significantly formed by genetic factors and environment. They, then, stated that personality as a result of

natural factors (nature) and environmental factors (nurture). They illustrated some factors that affect individual personality as can be seen on figure as follow:

Figure 5. Some Major Forces Influencing Personality (Ivancevich, et al., 2011)



Moreover, Colquitt, LePine & Wesson (2013) described more detail and complete about personality which according to them that personality is closely related to the structure and traits (propensities) belong to each person that depicts the pattern of human characteristic such as thought, emotion and behavior. Personality creates person’ social reputation for example, the way a person behave which could be perceived by his/her family, friends, employees and even by supervisor.

Therefore, Colquitt et.al. admitted that by that way personality “captures what people are like”, so on the other hand, ability “which captures what people can do.” Besides, Colquitt, et al. define “traits” as a regular tendency of each person in responding the environment such as “traits”. In this case, Colquitt, et.al. stated that environmental factor could be called as “cultural values” which defined as sharing trust that will determine a person’ behavior at a certain culture. In related to the concept of “big five”, they have described those indicators on each dimension as illustrated at this figure below.

Figure 6. Traits Adjectives Associated with Big Five (Colquitt, et al., 2013)

C	A	N	O	E
Conscientiousness	Agreeableness	Neuroticism	Openness	Extraversion
<ul style="list-style-type: none"> • Dependable • Organized • Reliable • Ambitious • Hardworking • Persevering 	<ul style="list-style-type: none"> • Kind • Cooperative • Sympathetic • Helpful • Courteous • Warm 	<ul style="list-style-type: none"> • Nervous • Moody • Emotional • Insecure • Jealous • Unstable 	<ul style="list-style-type: none"> • Curious • Imaginative • Creative • Complex • Refined • Sophisticated 	<ul style="list-style-type: none"> • Talkative • Sociable • Passionate • Assertive • Bold • Dominant
NOT	NOT	NOT	NOT	NOT
<ul style="list-style-type: none"> • Careless • Sloppy • Inefficient • Negligent • Lazy • Irresponsible 	<ul style="list-style-type: none"> • Critical • Antagonistic • Callous • Selfish • Rude • Cold 	<ul style="list-style-type: none"> • Calm • Steady • Relaxed • At ease • Secure • Contented 	<ul style="list-style-type: none"> • Uniquisitive • Conventional • Conforming • Simple • Unartistic • Traditional 	<ul style="list-style-type: none"> • Quite • Shy • Inhibited • Bashful • Reserved • Submissive

Research Methodology

Since the objective of this research is aiming at obtaining information concerning with personality factors that loading on to each factors, research method that is suitable to this research is survey. Analysis should be applied is factor analysis using varimax approach. This approach used because all factors dimensionally build a concept of personality basically supported by theories.

The population, in this research, is all of teachers in Lampung Province, South Sumatra. It was about 2500 teachers from all level of education are to be sampling frame. Sample has been selected randomly, by simple random sampling after instrument have been administered to all teachers, then it was found final size of sample involved 34 elementary school male teachers and around 340 female teachers, and also 60 primary school male teachers followed by 276 female teachers, and finally 56 secondary school male teachers and 183 female teachers.

The data has been collected by administering an instrument of personality based on big-five personality profile (Rae, 2008; Colquit, et al., 2013, McShane & Glinow, 2010; Ivancevich, 2011; Robbin & Judge, 2013, etc.) which is used to use in organizational behavior research. The contents of this instrument consist of five dimensions (factors) i.e. Conscientiousness (C), Agreeableness (A), Neuroticism (N/emotional stability), Openness (O) and Extraversion (E), that is why called big-five personality profile. Each of those factors has four variables, so there are 20 variables (items) included in this instrument.

Each of item has 5 options categories from most accurate until least accurate in term of how respondents describe his/herself related to statement given to him/her, so scoring should be respectively as follows for positive item; most accurate = 5; accurate 4; undecided 3, not accurate 2, and least accurate 1; conversely for negative statements. Instrument reliability was found .596 after calculated by Alpha Cronbach formula through SPSS PC ver.18.

Finally the data has been analyzed by applying SPSS PC, factor analysis separately conducted for teachers from elementary, primary and secondary school and for male and female teachers from each school level. In this case, varimax rotation has been adopted due to all factors being analyzed were basically based on theoretical framework which most expert called it as a "big five personality." In comparing teachers personality based on teachers gender and school level, one-way ANOVA has been applied.

Research Findings and Discussion

Findings Related to Factor Analysis

Table 1.

Elementary School Male Teachers, (n = 34)

Communalities					
Var. Code	Comm.	Var. Code	Comm	Var. Code	Comm
A03	.616	B02	.696	C04	.616
A08	.675	B07	.672	C09	.607
A13	.800	B12	.605	C14	.751
A18	.576	B17	.817	C19	.826
D05	.852	E01	.738		

Table 2.

Elementary School Female Teachers, (n = 340)

Communalities					
Var. Code	Comm.	Var. Code	Comm	Var. Code	Comm
A03	.631	B02	.606	C04	.565
A08	.639	B07	.572	C09	.461
A13	.634	B12	.668	C14	.666
A18	.587	B17	.575	C19	.580
D05	.401	E01	.689		

D10	.702	E06	.568				D10	.450	E06	.591			
D15	.748	E11	.735				D15	.346	E11	.660			
D20	.797	E16	.796				D20	.636	E16	.638			
Factor Loading for Each Variables (items) on Five Factors							Factor Loading for Each Variables (items) on Five Factors						
No	Var. Code	Factor					No	Var. Code	Factors				
		1	2	3	4	5			1	2	3	4	5
1	A03	.580					1	A03	.622				
2	A08	.536					2	A08	.565				
3	A13	.430					3	A13	-.512				
4	A18	.673					4	A18	.547				
5	B02		.482				5	B02		.396*			
6	B07		.648				6	B07		.481			
7	B12		.629				7	B12		.667			
8	B17		.877				8	B17		.570			
9	C04			.570			9	C04			.414		
10	C09			.632			10	C09			.492		
11	C14			.505			11	C14			-.484		
12	C19			.715			12	C19			.458		
13	D05				.819		13	D05				-.456	
14	D10				.618		14	D10				.490	
15	D15				.670		15	D15				.458	
16	D20				.772		16	D20				.348*	
17	E01					.509	17	E01					.599
18	E06					.525	18	E06					.514
19	E11					.729	19	E11					.402
20	E16					-.778	20	E16					.538

From the above tables, it could be interpreted that the variables/items code A13 and D05 has highest percentage of communalities, far above the criteria used for factor analysis, > .500, but on table 1 it is found that item code E16 has a negative factor loading which means that this variable/item could not be explained by its factor and suggested to be omitted from the scale.

Comparing with the table 2 it is found the same result where two variables have a negative factor loading i.e.; A13 and C14, however fortunately item code A13 could still be retained since it has high percentage of communality, .800, which means around 80 % this item can share a correlation to other variables. Another finding is found on table 2 where only one item has lowest communality, .346 which far below the criteria, therefore needed to be taken into account, whether it might be omitted or revised.

The same result also found on table 3 where there is only an item is not loading positively i.e. D10, but communality for C14 is highest on table 3, in this case for primary school male teachers

Table 3.
Primary School Male Teachers,
(n = 60)

Communalities					
Var. Code	Comm.	Var. Code	Comm	Var. Code	Comm
A03	.677	B02	.775	C04	.539

Table 4.
Primary School Female Teachers,
(n = 276)

Communalities					
Var. Code	Comm.	Var. Code	Comm	Var. Code	Comm
A03	.462	B02	.701	C04	.593

A08	.797	B07	.658	C09	.784	A08	.584	B07	.576	C09	.593			
A13	.721	B12	.500	C14	.843	A13	.601	B12	.698	C14	.375			
A18	.796	B17	.710	C19	.793	A18	.453	B17	.578	C19	.512			
D05	.699	E01	.701			D05	.615	E01	.589					
D10	.711	E06	.688			D10	.545	E06	.752					
D15	.811	E11	.609			D15	.667	E11	.580					
D20	.786	E16	.586			D20	.616	E16	.610					
Factor Loading for Each Variables (items) on Five Factors						Factor Loading for Each Variables (items) on Five Factors								
No	Var. Code	Factor					No	Var. Code	Factor					
		1	2	3	4	5			1	2	3	4	5	
1	A03	.535					1	A03	.417					
2	A08	.694					2	A08	.565					
3	A13	.538					3	A13	.433					
4	A18	.685					4	A18	.546					
5	B02		.429				5	B02		.506				
6	B07		.691				6	B07		.443				
7	B12		.479				7	B12		.644				
8	B17		.558				8	B17		.497				
9	C04			.513			9	C04			.466			
10	C09			.585			10	C09			.482			
11	C14			.571			11	C14			.409			
12	C19			.536			12	C19			.563			
13	D05				.707		13	D05				.591		
14	D10				-.618		14	D10				.440		
15	D15				.564		15	D15				.314*		
16	D20				.448		16	D20				.560		
17	E01					.555	17	E01					.585	
18	E06					.554	18	E06					.441	
19	E11					.525	19	E11					.538	
20	E16					.468	20	E16					-.598	

However, on table 4, it is again found which communalities below the criteria, especially for item code C14 and on table 4 only item code E16 has negative factor loading, so those items might not be in accordance to the scale what really scale want to measure, in term of construct validity.

Table 5.
Secondary School Male Teachers, (n = 56)

Communalities					
Var. Code	Comm.	Var. Code	Comm	Var. Code	Comm
A03	.660	B02	.801	C04	.766
A08	.542	B07	.661	C09	.749
A13	.627	B12	.675	C14	.635
A18	.666	B17	.726	C19	.617
D05	.732	E01	.697		
D10	.698	E06	.547		
D15	.589	E11	.700		
D20	.707	E16	.637		
Factor Loading for Each Variables (items) on Five Factors					

Table 6.
Secondary School Female Teachers,
(n=183)

Communalities					
Var. Code	Comm.	Var. Code	Comm	Var. Code	Comm
A03	.549	B02	.558	C04	.527
A08	.493	B07	.506	C09	.424
A13	.620	B12	.697	C14	.536
A18	.659	B17	.717	C19	.566
D05	.523	E01	.618		
D10	.400	E06	.477		
D15	.750	E11	.546		
D20	.618	E16	.692		
Factor Loading for Each Variables (items) on Five Factors					

No	Var. Code	Factor				
		1	2	3	4	5
1	A03	.612				
2	A08	.688				
3	A13	.655				
4	A18	.574				
5	B02		.768			
6	B07		.596			
7	B12		.620			
8	B17		.501			
9	C04			.633		
10	C09			.751		
11	C14			.637		
12	C19			.667		
13	D05				.706	
14	D10				.541	
15	D15				-.457	
16	D20				.507	
17	E01					.773
18	E06					-.473
19	E11					.459
20	E16					.567

No	Var. Code	Factors				
		1	2	3	4	5
1	A03	.687				
2	A08	.415				
3	A13	.690				
4	A18	.809				
5	B02		.513			
6	B07		.594			
7	B12		.606			
8	B17		.843			
9	C04			.677		
10	C09			.474		
11	C14			.617		
12	C19			.721		
13	D05				.684	
14	D10				.489	
15	D15				.758	
16	D20				.836	
17	E01					.583
18	E06					.552
19	E11					.514
20	E16					.788

It is surprisingly, among the table 5 and 6, found that all variables fix with the criteria of factor analysis, from communalities or factor loading point of view, where all the items have high value of communalities and positive and above the criteria for factor loading, but again 2 items found on table 5 which have a negative factor loading, i.e. D15 and E06.

Based on those findings, it could be summarized all those findings by including statement or phrase especially for items or variables which extremely show either positive or negative contribution to the scale through out of five factors unidimensionally. Those findings are as follow:

Communalities found > .800 or > 80%

A13; I LIKE SYSTEMATIC ARRANGEMENT (CONSCIENTIOUSNESS)

C19; I SELDOM FEEL NERVOUS (NEUROTICISM)

D05; I HAVE A CLEAR IMAGINATION (OPENNESS)

Those three items are all found from elementary school male teachers, which means that in answering or responding the instruments, male teachers were probably more consistent than female teachers at different school level. It is logic when phrases of these items are considered to be a result of teachers personal description that they do like an order, never feel get nervous because they are male teachers and eager to be more curious as an indicator of openness variable.

That is why those items have high communalities due to those respondents felt that they have been accurately described by those items/variables.

C14; I GET ANGRY EASILY (NEUROTICISM)

This is also happen for item C14 which for primary school male teachers honestly were easily described accurately by this item statement since male teachers were more easier to get angry rather than female teachers in a given situation.

Communalities < .400

D15; I HAVE DIFFICULTY UNDERSTANDING UNCLEAR IDEAS (OPENNESS)

For elementary school female teachers who got low communality, especially for this item, is surprisingly because item has not been accurately described teachers personally since most of female teachers, in general, do not have difficulty to imagine an abstract ideas. That is why this item has low communality values.

C14; I GET ANGRY EASILY (NEUROTICISM)

This item actually is not fix to measure neuroticism since respondents, to be honest, do not like to be described accurately that their emotion are unstable. That is why this item has low communality as well.

Bad Factor Loading (< .400)

D20; I DON'T HAVE A BROAD IMAGINATION (OPENNESS)

This is a controversial findings since elementary school female, this item should produce high factor loading on a given factor namely Agreeableness, however it has lower factor loading than statistical criteria for being good factor loading. For item code D20 is consistent with personality of female teachers because they have psychologically good imagination, therefore, this item is not able to be perceived by female teachers for being described accurately, then factor loading positive but still below the criteria.

D15; I HAVE DIFFICULTY UNDERSTANDING UNCLEAR IDEAS (OPENNESS)

This finding is not different with item code D20, because it was a negative statement from this item, therefore, the reason is the same even though it is positive.

Negative factor loadings

E16; I KEEP IN HIDE (EXTRAVERSION)

(from elementary school male teachers and primary female teachers)

A13; I LIKE SYSTEMATIC ARRANGEMENT (CONSCIENTIOUSNESS)

C14; I GET ANGRY EASILY (NEUROTICISM)

D10; I AM NOT INTERESTED IN UNCLEAR IDEAS (OPENNESS)

(all are from elementary school female teachers)

D15; I HAVE DIFFICULTY UNDERSTANDING UNCLEAR IDEAS (OPENNESS)

E06; I DON'T TALK TO A STRANGER (EXTRAVERSION)

(both from primary school male teachers).

In this case, negative factor loading means that items or variables do not have a consistency in what is actually factor want to measure, therefore the amount of variances belong to those variables could not be explained by a given factor/s, even it will be rotated by varimax or oblique, it would not change this findings.

It is probably brought about by the phrases which are not actually able to describe respondents accurately, while on the other hand most of respondents choose reversely. Let's take an example item E16, since most of male teachers at elementary school never get silent due to their personality are closely to sociable, one of the indicators being extravert, so they gave an answer accurate for negative statement given by the item. Finally, factor loading might be negative, even though the value is high.

As result of data analysis show that most of the findings indicate that, in term of the effect of teachers gender on teachers personality, there is no significant differences between male and female teachers personality (see table below).

Findings Related to the Effect of Teachers Gender

Table 7.

Differences between Male and Female teachers personality at Elementary School

Sex	n	Mean	t-cal	Sig.
Male	34	66.47	-.727 ^{ns}	.468
Female	340	67.18		

ns : non significant.

Table 8.

Differences between Male and Female at every Teachers Personality Factors

Factors	Sex		t-cal	Sig.
	Male (mean)	Female (mean)		
A	14.79	15.35	-1.469	.372
B	14.14	14.21	-.178	.859
C	12.67	13.13	-1.310	.191
D	13.02	12.92	.250	.372
E	11.82	11.54	.790	.430

A=Conscientiousness; B=Agreeableness; C=Neuroticism; D=Openness; E= Extraversion.

Similar result show that, eventhough analysis directed to each personality factors, there is still no significant differences occurred between male and female teachers personality (see table 8 above).

Table 9.

Differences between Male and Female Teachers Personality at Primary School

Sex	n	Mean	t-cal	Sig.
Male	60	66.43	.526	.334
Female	276	65.93		

Table 10.

Differences between Male and Female at every Teachers Personality Factors

Factors	Sex		t-cal	Sig.
	Male (mean)	Female (mean)		
A	13.68	13.42	.932	.350
B	12.63	12.96	-1.230	.220
C	11.90	11.88	.062	.950
D	12.65	12.64	.005	.996
E	15.56	15.01	-1.967*	.050

*p < .05

Table 11.

Differences between Male and Female Teachers Personality at Secondary School

Sex	n	Mean	t-cal	Sig.
Male	56	68.28	-1.669	.096
Female	183	69.84		

Table 12.

Differences between Male and Female at every Teachers Personality Factors

Factors	Sex		t-cal	Sig.
	Male (mean)	Female (mean)		
A	15.00	15.51	-1.632	.104
B	14.53	15.18	-1.93*	.050
C	12.76	13.27	-1.761	.070
D	13.37	13.44	-.196	.845
E	12.60	12.42	.685	.494

* p < .05

From table 10 and 11, it is found that there is significant difference on teachers extraversion between male and female teachers at primary school level (see table 10) and for male – female teachers agreeableness at secondary school level (see table 12). These findings mean that female teachers is more extravert at primary school and more agreeable at secondary school. These results, however, do not have effect on the over all findings which indicate that teachers gender do not affect on school teachers personality in general.

Table 13.

Differences between Male and Female at All Level of School

Sex	n	t-cal	Sig.
Male	150	-.413	.080
Female	799		

Findings Related to the Effect of Schools Level

A surprised result reveals that teachers personality has been affected by school level where those teachers teach, elementary, primary or secondary schools. These findings indicate that it is probably those significant differences brought about by teachers level of education since most of elementary teachers have not been holding “sarjana” degree. The highest their level of education is diploma two and based on Government Regulation, in 2014, all of them should be holding at least “sarjana” degree or they will not eligible to get “educator certificate.”

Eventhough comparasion made for each of personality factors such as A for conscientiousness, B for agreeableness, C for emotionl stability, D for openness to experiences and E for extraversion, there is still found highly significant differences on teachers personality among schools level. The highest mean score for personality found at teachers from secondary school which support the above argument that level of education affect teachers personality where all of teachers at this school holding “sarjana” degree or even some of them holding “master” or “doctorate” degree.

It has not be proven yet, however, that the the more higher degree teachers hold, it would be the more accurate they describe their own personality. The high mean socre, in this case,

mean that teachers have the high average in accuracy describing their own after they read statement given on the personality instrument.

Table 14.
ANOVA for All Male and All Female Teachers Personality at Differences Level of Schools

	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	1691.369	2	845.685	22.946***	.000
Within Groups	34865.019	946	36.855		
Total	36556.388	948			

*** p < .001

However, when the comparison break down between male and female teachers, the analysis result indicate that there is no significant differences found for male teachers among all school level (see table 15 below). This mean that male teachers personality across the level of school are not affected by differences where they are teaching. This finding is good for us when we want to implement personality instrument since there is no differences found among male teachers.

Table 15.
ANOVA for All Male Teachers at Difference Level of School

	Sum of Squares	Df	Mean Square	F	Sig.
Between Groups	118.701	2	59.350	1.248ns	.290
Within Groups	6992.632	147	47.569		
Total	7111.333	149			

ns= non significant

But, difference result found for female teachers across school level where there is very highly significant differences female teachers personality found (see table 16 below). This result is not surprising since in general school level has an affect on teachers personality which mean that there is very highly significant differences of teachers personality found (see table 14 above).

Table 16.
ANOVA for All Female Teachers Personality at Difference Level of School

	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	1697.911	2	848.956	24.360***	.000
Within Groups	27740.557	796	34.850		
Total	29438.468	798			

*** p < .001

Table 17.
Comparison of Each Teachers Personality Factors across Schools Level

School Level	Personality Factor				
	A	B	C	D	E
Elementary School	F-cal = 89.006***	F-cal = 75.487***	F-cal = 40.016***	F-cal = 8.687**	F-cal = 314.494***
Primary School					
Secondary School					

** p < .01; *** p < .001

Based on this table 17 indicate that for each personality factors is also found very highly significant and highly significant (only for D) differences among teachers personality which this result support generally that school level has an affect on teachers personality. The highest mean score found at teachers from secondary schools for A, B, C, D factors but for E factor (Extravert) the highest found at primary school teachers. Why primary school teachers have highest extravert personality is still questionable and need other research to be carried out.

Conclusion

On this occasion there are some conclusions could be drawn from these findings regarding with factor analysis results as follow; (1) There are three items (variables) may not be consistent to across Teachers sexual different and school level. Those items are C 14; D 15; AND E 16; and (2) Consistency is only found at the data revealed by secondary school female teachers due to they produce good communalities and fix factor loading as well.

Some conclusions derived from 2nd and 3rd findings can be summarized as follow: (1) There is no differences of teachers personality between male and female teachers for all schools level; (2) When analysis directed to each personality factors, it is still, male and female teachers have the same personality, except for extraversion at primary schhol and agreeableness at secondary school, nut in general sexual difference does not have an affect on teachers personality; (3) These findings mean that in administering teachers personality instrument, sexual differences does not need to be taken into account; (4) Teachers personality among school level differ, so school level (elementary, primary and seconday school) have an affect on teachers personality; (5) Eventhough analysis directed to each of personality factors (A,B,C,D and E), school level still do have a strong effect on across the all factors of personality; and (6) The highest mean score of teachers personality found from secondary school teachers. It is still questionable whether this finding brought about by teachers level of education. It is expected to be carried out another research.

Based on those conclusions, it could be recommended that “big five personality” which actually derived from instrument for measuring employees personality at work-place, in organizational behavior and management, could might be implemented also for measuring teachers personality competence as required by Government Regulation No. 74/2008 about Teachers.

When it is forced to apply what has been developed so far, it might be misleading for decision maker at the operational level, since those are not simply measuring personality conceptually, but rather close to measure social values, norm, cultural and even religion of teachers which could be examined from these indicators below (Dasuki, 2010): (1) Acting in accordance with religious norms, legal, social, and national culture of Indonesia; (2) Present ourselves as being honest, noble, and as exemplar for students and community; (3) Showing yourself as a person of steady, stable, mature, wise, and authoritative; (4) Demonstrate the work ethic, high responsibility, a sense of pride to be a teacher and self-confidence; and (5) Uphold the professional code of ethics teachers. None of above statements related to concepts of personality such as described at part II from this paper except for wording like stable, self-confidence, honest and mature probably close to personality indicators.

Needless to say, this primarily research could be utilized as a supporting tool for objectively measuring one of the most unique competences comparing with pedagogy, social,

professional competences, PERSONALITY. However, it is still required next continuing research by selecting more sample and work-place backgrounds.

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Empirical Studies on Principal Leadership and Educational Achievement in the Recent Decades: From the Perspective of “Countries of Origin”

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Abstract

This study aimed at synthesizing methodological features and substantive findings of some selected output in the field of educational leadership published from 1996 and onwards, i.e., since Hallinger and Heck’s comprehensive and conclusive reviews came out. Apart from examining methodological variety of the selections in terms of research design, sample, instrumentation, analytical approaches, strengths and limitations were also pinpointed. Further the main findings were synthesized, with the common themes extracted and discussed. As identified, the selected studies featured large samples, reliable instruments, and sophisticated analytical approaches, all which were well integrated with the research designs. The effects of principal leadership on school or student achievement through mediating variables, e.g., professional development, were identified in most studies. In a nutshell, this study outlined the recent development of empirical studies on educational leadership in line with their countries of origin. It added to the body of review literature a timely extension from both methodological and substantive perspectives.

Key words: principal leadership, school improvement, student outcomes, professional development

Introduction

Principal leadership has been pointed out to be “second only to classroom instruction among all school-related factors that contribute to what students learn at school”, and it might contribute approximately one fourth to the overall school effects (Leithwood, Day, Sammons, Hopkins, & Harris, 2006, p. 17; Day, Sammons, Hopkins, Harris, Leithwood, Gu, Brown, Ahtaridou, & Kington, 2009; Ko, Hallinger, & Walker, 2012). Although different voices have been heard at times (e.g., Nettle, 2005; Orr, 2007), the number of research manifesting positive findings is increasing.

In the meantime, the terrain of educational leadership research has boasted a growing number of

reviews and meta-analyses grounded on empirical output (e.g., Hallinger & Heck, 1996a, 1996b; Hallinger, 2010; Hallinger, 2011; Bryman, 2004; Witziers, Bosker, & Kruger, 2003; Leithwood & Jantzi, 2005; Robinson, Lloyd, & Rowe, 2008; Harris, 2005; 2008). However, a large number of them focused on the synthesis and abstraction of substantive findings; few equally examined the trend of methodological development ever since Hallinger and Heck's (1998) comprehensive review was published. Focusing on the period from 1980 to 1995, Hallinger and Heck's review series had been historical heritage in the domain. To extend review in this field chronically, the present study involved a selected series of empirical research published since 1996. Special attention was paid to a few large-scale government-funded research projects led by the few prominent scholars, whose output has accounted for an overwhelming majority of the publications in this field to date.

Method of the Review

Selection Strategies

To avoid overlapping with Hallinger and Heck's (1996a, 1996b, 1998) review work, empirical studies published in peer-referred journals and books from 1996 and onwards were identified as appropriate for this review. The variety of key words for the retrieval from the literature included principal leadership, educational leadership, headteacher, headmaster, school effectiveness, school improvement, student outcomes, educational achievement, etc. Searched thoroughly the multiple sources included E-resources such as ERIC, ProQuest, Google Scholar, the relevant online journals, and journals and books from the library catalogues of all university libraries in Hong Kong.

After several rounds of search, 23 studies published since 1996 were targeted (listed in the appendix according to sources of the data). A number of doctoral theses were also found relevant. However, they were not included considering the concerns of the quality. The selected studies all conceptually embarked on principal leadership and had school improvement and/or student achievement as the distal ends. Studies that did not center on the effects of principal leadership but merely had it imbedded in some other major inquiries were excluded.

The types of principal leadership (e.g., distributed leadership, transformational leadership) were not the interest of the study. However, papers examining effects of leadership from other sources, e.g., teacher, parents, were not embraced. Though a relatively small number of publications, the threshold for entry as high as such ensured the quality, as well as the recency, of works involved. For the convenience of expression, the overarching term "principal leadership" was used to encompass the different types of leadership behaviors or practices, with no further attempt to compare them or categorize them. The term "educational achievement" was used, where

appropriate, to address school improvement and/or student achievement.

There was also no further attempt to narrow down the search results to those that explicitly measured school or student academic attainment as the outcome variable. In other words, there were possibly some other types of student outcomes which were not precisely academic. For example, the student outcomes in Silins and Mulford's (2002) study were measures of levels of student participation in and engagement with school, which were closely associated with student performance and the quality of student learning. The association was reassured in their 2003 conclusive report. The author particularly focused on empirical research in the hope of sketching methodological features and advances in this field in recent decades. In brief, the overarching method was that of a synthesis rather than a meta-analysis, which aggregates findings across studies (Robinson, LLOYD, & Rowe, 2008; Lipsey & Wilson, 2001).

Although the body of selected research was not large, not each of them was covered in detail. Instead, studies that represented particular methodological features or revealed common themes were of particular interest. Those from the same data sources or implemented in the same countries, hence complementary, were specifically noted. To conduct analysis of research methodology, issues of data collection, analyses, and interpretation, should be addressed (Hallinger & Heck, 1996b; Everhart, 1988). Therefore, this review began with research design, sampling and instrumentation, and then moved a step further to explore the analytical approaches and techniques. The strengths and weaknesses of the research methods were noted on the delineation.

For a glimpse of the recent development outside the early start countries, papers originated from the pioneering regions, such as Hong Kong, were covered. While representing more of cross-cultural replication attempts, they somewhat were landmarks of the newly acclaimed territory. By and large, the purpose of current study was to outline the mainstream of research on educational leadership from countries which had been holding orthodox positions in the field in the past decades.

Research Problems

Although most reviews and meta-analyses reported indirect but "educationally significant" effect of principal leadership on student outcomes (e.g., Leithwood, Seashore Louis, Anderson, & Wahlstrom, 2004, p. 10; Pitner, 1988; Hallinger & Heck, 1998; Heck & Hallinger, 2009; Louis, Leithwood, Wahlstrom, & Anderson, 2010; Witziers, Bosker, & Kruger, 2003), there had been exceptions (e.g., Neidermeyer, 2003). The differences in the voices heard might be partly attributed to the methodological or statistical approaches that were used to identify possible relationships.

Different from dozens of reviews on substantive findings in the field (e.g., Leithwood & Jantzi, 2005; Harris, 2005), the present study took a closer look at the methodological varieties and advances, as well as substantive findings, since 1996. In addition to research design, sample size, instrumentation, etc., this study particularly examined the analytical approaches and techniques the selected literature adopted.

Objectives of this study were as follows:

1. To identify the methodological varieties and characteristics the selected studies presented, and pinpoint the strengths and weaknesses from the methodological perspective.
2. To synthesize the substantive findings and identify some common understandings for discussion.

Methodological Variety

Research Design

Quantitative investigations were not intentionally targeted. Rather, a balanced combination of quantitative and qualitative leadership research was attempted, though the latter was less explosive in number and less distinct in nature. The selection finally included 14 quantitative studies, eight qualitative and one mixed-methods. Sammons, Gu, Day, and Ko 's (2011) study was the one that made the exception by integrating case studies and longitudinal quantitative approach for investigations in depth and in width. They noted that, "the use of MM (mixed-methods) increased the possibilities of identifying various patterns of association and possible causal connections between variation in different indicators of school performance and measures of school processes and the way these are linked with different features of leadership practices" (p. 85).

All the eight qualitative studies were cross-sectional multiple case studies. As claimed "multiple case studies offer the prospect of producing results that are less likely to be deemed to be idiosyncratic; further, the process of comparison enhances the researcher's capacity for drawing theoretical inferences" (Bryman, 2004, p. 750).

Six out of the 14 quantitative non-experimental studies followed a cross-sectional design (e.g., Silins & Mulford, 2002; Mulford & Silins, 2003; Louis, Dretzke, & Wahlstrom, 2010; Leithwood & Jantzi, 2006). Another six employed longitudinal design, and used data collected through several rounds of questionnaire surveys and used standardized student gain scores where possible. Heck and Hallinger's studies (2009; 2010) mainly followed the pattern of longitudinal, time-series study and used measured changes of the variables across the time span. They also tested the use of both static cross-sectional models and dynamic longitudinal models

to capture and compare changes of a multitude of hierarchical factors and their interrelatedness.

Sample Type and Size

The current selections somehow represented diversity of the countries from which the data came. Of the 23 studies, all the quantitative ones had large sample sizes. The two from Silins and Mulford using convenience samples were based on a three-year (2009-2011) Australian government-funded project, Leadership for organisational learning and student outcomes (LOLSO in short). Participants were 2503 teachers and 3500 Year 10 students from a total of 96 schools, which were half the secondary schools in South Australia and all the secondary schools in Tasmania. Using a purposive sample of five schools in Tasmania and nine schools in Victoria, Gurr, Drysdale and Mulford's (2006) multiple perspective case study was part of the International Successful School Principalship Project (ISSPP), which involved eight countries across four continents (to be exact, the USA, England, Australia, Canada, Denmark, Norway, Sweden and China). Dinham's (2005) AESOP (An Exceptional Schooling Outcomes Project) qualitative study was also funded by Australian Research Council and investigated processes leading to outstanding educational outcomes in Years 7-10 in public schools in New South Wales.

Heck and Hallinger, and Moriyama's data were collected across a period of four years from over 190 elementary schools in one state of America. A random sample of nearly 13,000 students was traced from Year 3 through to Year 5, and their teachers were traced from the first year to the fourth year. Leithwood and Mascall turned out to be using data from the same sources as Louis, Dretzke, and Wahlstrom did, namely, a stratified random sample of 180 primary and secondary schools from 45 districts of nine states in the USA.

Among the four studies stemmed from UK-based investigations, Penlinton, Kington, and Day's (2008) case study was part of Sammons, Gu, Day, and Ko's three-year research project (2006-2009) commissioned by the Department for Children, Schools and Families (DCSF) in England. The latter used student value-added data over three years from a purposive sample of more than 600 effective and improving primary schools and secondary schools. The random sample of heads and key staff was stratified from the purposive school sample. Leithwood and Jantzi's purposively-sampled UK data were independent, so were Harris, Chapman, Muijs, Russ, and Stoll's case study data.

Foster's (2005) case studies used a purposive sample of two secondary schools in Western Canada. In the same vein, Leithwood et al. used eight schools and interviewed as many as 67 district staff, school administrators, leaders and teachers for their Canada-based case studies (Leithwood, Mascall, Strauss, Sacks, Memon, & Ysahkina, 2007). With some other colleagues,

Leithwood also did one quantitative study with 1445 teachers from 199 Canadian elementary schools using data from a large, five-year, still-ongoing evaluation of a provincially sponsored project.

Two of the three Hong Kong studies (Lee, Walker, & Chui, 2012; Ko, Walker, & Hallinger, 2012) were generated from the same territory-wide project entitled Missing Link I (MLI), which initially had a convenience sample of over 50 secondary schools, i.e., one tenth of the total number of schools in Hong Kong Special Administrative Region of China. Ho's (2010) was an independent case study using two well-performing preschools in Hong Kong. The two studies from Cyprus and Paraguay not only enriched the variety of the cultural contexts, but also had relatively large sample sizes. The one by Borden even used a stratified random sample from all 300 public schools in Paraguay. It ended up with 1317 of 1644 teachers' questionnaires, and 265 of 300 principals' questionnaires.

Although not all the quantitative studies used national samples, their sample sizes were large enough to represent the populations from which they were chosen (Hallinger & Heck, 1996b). With smaller samples, the qualitative studies had cases purposefully selected. A good example was Penlington, Kington, and Day's, for which 20 schools (10 primary and 10 secondary) were selected on account of sustained school improvement (over at least three consecutive years) and student outcomes. By and large, the researchers apparently attempted to counterbalance the limitations of nonprobability sampling in their research. In spite of the sampling deficiencies of individual studies, when put together the deficiencies counteract and become less serious (Hallinger & Heck, 1996b). However, this does not mean that the findings can be replicated or generalized across the entire population in particular educational settings. Nonprobability samples such as convenience samples have, by nature, limited inferential power. However, the convergence of data from a large dataset represents compensating power (Jick, 1979).

Instrumentation

In terms of qualitative studies, interviews with headteachers, key staff, teachers, etc., dominated. For comprehensiveness and triangulation, Harris et al. further collected contextual, performance, and inspection data from their two primary and six secondary schools. In addition to headteachers, their semi-structured interviews were conducted also with "a cross section of subject leaders, classroom teachers, support staff, and groups of pupils" at each school (2005, p. 411). Observations and documentary analysis were also preferred by some researchers (e.g., Dinham, 2005; Jacobson, Johnson, Ylimaki, & Giles, 2005).

Questionnaire survey was the fundamental strategy for data collection in the quantitative studies or quantitative parts of studies. These large-scale studies tended to use a combination of

subscales, some adapted, some self-created. The survey items were generally tested and refined through a few rounds to ensure the reliability and validity. Most studies reported the internal consistency coefficients or the results of factor analyses. In this case Sammons and colleagues (2011) and Leithwood and Jantzi (2006) made good examples.

Survey strategies that were often adopted by quantitative studies were better at examining the scope and extent of leadership behaviors. When it comes to the inquiry of nature, process, and consequences of leadership practices, case studies facilitated the “understanding of the situation as it unfolds” through interviews or observations (Harris, Leithwood, Day, Sammons, & Hopkins, 2007, p. 345). In other words, though better at generalizing research findings, quantitative approach itself was not enough to generate theories, nor enough to tackle the theoretical controversies and complexity. By contrast, qualitative approach, such as case study, offered valuable insights into leadership research, which sophisticated quantitative techniques, could hardly attempt (Harris, 2005). This does not mean that, the quantitative studies were a-theoretical. The over-dominance of quantitative research somehow represented more of possibilities for replications across cultures but less of adventures into unknown theoretical territories.

Analytical Approaches and Techniques

Given the lack of a common framework for analysis, the subsequent summary was from the perspective of analytical approaches and techniques. Briefly, most of the studies aimed at verifying theoretical propositions or methodological approaches with respect to the effects of principal leadership on educational achievement. The case studies explored the nature of the relationship, and relevant themes emerged during the content analysis. The process of data analysis was provided in great detail. The selected qualitative studies presented more of explorations into different cultural settings rather than mere replications across cultures. Though better at generating theories, qualitative approach itself was not enough for the generalization of research findings, which quantitative studies were better at.

There was no clear watershed from which quantitative approach took the place of qualitative method in the field of principal leadership research due to the advancement of statistical techniques. However, quantitative approaches were found predominate in the past decade, as far as the selected literature was concerned. A large majority of the selections adopted path analysis or structural equation modeling (SEM) methods (e.g., Leithwood, & Jantzi, 2006; Borden, 2011). Some integrated structural equation modeling with longitudinal design (e.g., Sammons, Gu, Day, & Ko, 2011). Multilevel modeling and hierarchical linear modeling were also popular considering the nested nature of schooling (e.g., van de Grift and Houtveen, 1999; Kythreotis, Pashiardis, & Kyriakides, 2010; Lee, Walker, and Chui, 2012). Linear regressions were rarely

used. While used, the regressions were based on value-added scores of Hong Kong secondary school students over a three-year period of time (e.g., Ko, Hallinger, & Walker, 2012).

However, although van de Grift and Houtveen (1999) had made the breakthrough by using measures of variables and student outcomes transformed through Rasch modeling method, this methodologically more rigorous method has not found used in studies of recent years. Following the classical testing theory (CTT), raw scores have been conventionally used in this field, in which way ordinal raw scores obtained from rating scales are used as interval data. Based on item-response theory, the Rasch measurement model (Rasch, 1960) starts from interval measures that have been converted from raw ordinal data, and has the desirable scaling properties of linear interval measurement (Bond, 2003; Bond & Fox, 2001; Embretson & Reise, 2000; Wang 2010).

On the whole, principal leadership was operationalized through latent traits that were measured through survey items, and used as the independent variables in all quantitative studies. Effects of it on educational achievement were the fundamental inquiry in the studies. Although basically developing in the same direction, mediating or moderation effects of some other variables on the relationship between principal leadership and educational achievement were examined in some of the studies. Technically, the quantitative studies all employed advanced statistical techniques to explore the direct or indirect relationship from questionnaire survey data. Over-reliance on descriptive and comparative analysis was much less seen. Also rarely seen was single factor correlational analysis. Multiple factor and multiple level analyses were the statistical preference in recent years, which no doubt was dependent of the research questions and design. All in all, the purpose of research is to construct theory or accumulate knowledge; methodological approaches and statistical techniques are means but not ends of research work.

Findings and Discussion

Despite of the “ample evidence in the literature that effective leadership can and does positively affect school and student outcomes” (Bredeson, 1996, p. 255), the present study still found the need to contribute to the body of knowledge by summarizing and synthesizing findings from these recent prominent works. Considering that the studies were all based on different conceptual lenses and theoretical assumptions, the author put the findings regarding relationship between principal leadership and educational achievement at the centerpiece. The other outcome variables and mediating or moderating variables were not taken a closer look unless they appeared influential in a few other studies as well.

As pioneers of organizational learning, Silins and Mulford (2002) had identified four dimensions that characterized schools as learning organizations and five significant predictors of

schools operating as learning organizations. They particularly investigated facilitative function of leadership on organizational learning and effects of both leadership and organizational learning on secondary school student outcomes. They concluded that “organizational learning is a significant mediator of the principal's leadership and resource effects on teachers' work and through teachers' work on student participation in and engagement with school” (2002, p. 443).

Using three waves of data from different projects, Van de Grift and Houtveen (1999) found significant relationship between educational leadership and pupil achievement in the second wave, but not in the first wave. Heck and Hallinger (2009, 2010) found small but significant indirect effects of leadership on student academic development from a longitudinal perspective. They further confirmed the mutual-reinforcement of principal leadership and school capacity building, the latter playing mediating function between leadership factors and student outcomes. Also based on a big US project, Louis and colleagues reported that student math test scores were not found relate to principal leadership but significantly relate to teachers’ focused instruction, teacher professional learning community and teachers’ trust towards the principal. Using data from the same source, Leithwood and Jantzi claimed that “collective leadership does explain significant variation in student achievement across schools, and patterns of leadership influence differed among schools with different levels of student achievement” (2008, p. 554). This contrast may be attributed to the reason that Leithwood and Mascall took collective leadership as a teacher level rather than a school level factor. With Jantzi, Leithwood specified from their UK-based longitudinal investigation that “the potency of leadership for increasing student learning hinges on the specific classroom practices which leaders stimulate, encourage, and promote” (2006, p. 223).

In their very recent conclusive report, Sammons and colleagues identified distinctive dimensions from leadership practices and school and classroom procedures and manifested strategies that had been adopted to raise student achievement. They also verified indirect effects of leadership on the overall school achievement through a variety of school and classroom factors. Extracted from their data pool, Penlinton, Kington, and Day’s case studies used data collected in the first year after the commencement of the project. The findings were that principals leadership exerted powerful indirect impact on student learning “through the way that they establish positive, success cultures of teaching and learning in the school” (2008, p. 78). Harris et al. pointed out from their (2006) case studies that, influential external conditions and internal conditions affected schools together. They also suggested strategies that had evidenced positive impact on student learning on an individual basis. However, these strategies may not be able to “offset the macro effects of external disadvantages upon internal conditions” (p. 420).

Apart from the main findings that all the selected studies had somewhat in common, they also

reported an array of some other findings. For example, some (e.g., Hallinger & Heck, 2010; Silins & Mulford, 2002; Mulford & Silins, 2003) found school size but not principal or teacher personal attributes an influential factor at predicting student attainment. Those using indirect-effects models had identified mediating factors that acted between principal leadership and educational achievement. The mediators ranged from organizational learning (Silins & Mulford, 2002), socio-curricular organization (Hallinger, 2010), to characteristics of the organization as its goals, culture, and structure (Leithwood & Jantzi, 2006).

In addition to the UK and Canadian case studies that highlighted the potency of professional development and school-based professional learning community, Ho's independent Hong Kong case studies also specified the importance of professionalization of teachers for curriculum innovation. The Australian multi-perspective case studies asserted that "successful leaders also facilitated school-wide professional learning, which was central to the process of organizational change" (Gurr, Drysdale, & Mulford, 2006, p. 377). Evidence from most of the quantitative studies cumulatively confirmed this point, Ko and his colleagues' study being a good example.

Continuous professional development was also found one of the four dimensions that characterized schools as learning organizations (Silins & Mulford, 2002). Professional development basically referred to "the development of a person in his or her professional role" (Villegas-Reimers, 2003, p. 11). Through ongoing staff professional development principals could shape school conditions and influence teachers' instructional practice and consequently student outcomes (Youngs & King, 2002, p. 643; Darling-Hammond, 1999; Robinson, Lloyd, & Rowe, 2008; Falk, 2001). Hattie's (2009) meta-analysis reported an effect size as high as 0.62 for school-wide professional development on student achievement.

Louis, Dretzke and Wahlstrom especially recommended the building of school-wide learning community for teacher's capacity building and improved instruction. Usually "oriented toward teacher learning and professional development" (Little, 2006, p. 15), professional learning community was defined as "a special environment within which teachers work together to improve their practice and improve student learning" (Louis, Dretzke, Wahlstrom, 2010, p. 37). They (2010) specified that, "effective leadership strengthened professional community", and at school level teachers' professional community was "directly responsible for the learning of students" (p. 37). An increasing number of evidence showed that school-based teachers' professional learning community encouraged improved instruction, and consequently student achievement (Louis, Marks, & Kruse, 1994; Pancucci, 2008; Vescio, Ross, & Adams, 2008). In Louis and Marks' (1998) study an effective professional learning community contributed to 85% of the total variance in student outcome across schools.

In a broader sense, the collaborative organizational learning was not necessarily confined to teacher-teacher interactions. It could involve principals and administrators, and stretch over beyond schools. Again principal's initiatives on continuous professional development promoted construction and operation of school-wide professional learning, and subsequently staff work capacity.

Conclusion

The selected publications were mostly stemmed from the few origins where there educational leadership studies had been undergoing for decades. All published more recently in peer-refereed journals, this selection boasted the depth, if not the width, and advances of research on principal leadership in countries which had been involved. Conducted in diverse educational contexts, with varied samples, using different instruments and approaches for data analyses, the selected studies identified the most recent development of this knowledge domain and outlined patterns of the quality works. Although most of them used purposive or random samples, (quasi) experimental designs with control groups and educational leadership as the experimental variable are still the preference (van de Grift & Houtveen, 1999; Hallinger & Heck, 1986). Standard school or student attainment, esp., those in the form of value-added scores or moving average scores, will be better at measuring the outcome variables. While cross-validating some key findings from quantitative investigations, the qualitative case studies advanced into unknown quarters of the area. Taken together, they complemented each other and demonstrated a wider terrain of leadership research. It should be noted that, although "syntheses of this sort lose some of the rich detail found in individual cases", they may give readers "a better sense of what is similar and different across cases and countries" (Leithwood & Day, 2007, p. 3). Nevertheless, the overall patterns and effects of principal leadership identified from these studies may "hide significant variations and discrepancies" and do not promise cross-cultural replication (Harris, 2008, 178).

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Appendix

Extraction of Key Information from the Selected Studies

No.	Authors (& project name, if applicable)	School type(s)	Research design & statistical approaches	Data collection instrument(s)	Sample nature, size and composition	Main findings
1	van de Grift, W., & Houtveen, A. A. M. (2010)	The Netherlands Primary schools	Quantitative Longitudinal Multilevel modeling	Questionnaire survey with teachers	Convenience sample: 1989 - teachers from 250 Schools 1993 - teachers from 383 Schools 1998 - teachers from 306 schools	While in 1989 no significant relationship between educational leadership and pupil achievement was found, the results of 1993 showed a significant relationship between educational leadership and average pupil achievement over 3 successive years corrected for school environment.
2	Silins, H., & Mulford, B. (2002) LOSLO (1997-1999) Leadership for organizational learning and student outcomes:	Australia Secondary schools	Quantitative Cross- sectional	Questionnaire survey with teachers	Convenience sample: 96 schools - half the secondary schools in South Australia and all the secondary schools in Tasmania ; over 5000 students and 3700 teachers and their principals	4 dimensions characterizing high schools as learning organizations and 5 significant predictors of learning organizations were identified. Organizational learning was a significant mediator of the principal's leadership and resource effects on teachers' work and through teachers' work on student participation in and engagement with school. Students increased capacity for learning when they voiced their opinions in class, participated in decision making and goal setting and participated in extra-curricular activities.

3	<p>Mulford, B., & Silins, H. (2003)</p> <p>LOSLO (1997-1999) Leadership for organizational learning and student outcomes:</p>	<p>Australia</p> <p>Secondary schools</p>	<p>Quantitative</p> <p>Longitudinal</p>	<p>Questionnaire survey</p>	<p>Convenience sample: half the secondary schools in South Australia and all the secondary schools in Tasmania (a total of 96 schools)</p> <p>3,500 Year 10 students and 2,500 of their teachers and headteachers</p>	<p>The headteacher's gender or the teacher's years in education or their school, age or gender were not factors promoting organizational learning, but school size was.</p> <p>Engagement and commitment were closely linked to student performance, and to the quality of student learning. Engagement was a direct predictor of retention but only indirectly influences achievement.</p> <p>The size and socio-economic status (SES) of the school and the pupil's perception of their home educational environment also influenced student outcomes.</p> <p>OL, or a 'collective teacher efficacy', was the important intervening variable between leadership and teacher work and then student outcomes.</p>
4	<p>Gurr, D., Drysdale, L., & Mulford, B. (2006)</p> <p>ISSPP - International Successful School Principalship Project</p>	<p>Australia</p> <p>Secondary schools</p>	<p>Qualitative</p> <p>Multiple perspective cases studies</p>	<p>Semi-structured interviews</p> <p>Documentary analysis</p>	<p>Purposive sample: 5 schools in Tasmania and 9 schools in Victoria</p>	<p>The characteristics and qualities of the principal showed a common and consistent set of personal traits and behaviors. The importance of the principals' values and beliefs as a theme was found in both studies, as was their important contributions in the areas of capacity building and teaching and learning</p>

5	Dinham, S. (2005) ÆSOP (An Exceptional Schooling Outcomes Project) funded by Australian Research Council (2002-2003)	Australia	Qualitative	Interview Observation Documentary analysis	Purposive sample: 50 sites selected for study at 38 secondary schools	With both subject departments and teams responsible for cross-school programs, leadership was found to be a key factor in the achievement of outstanding educational outcome. Often, this leadership was exercised by the Principal, but additional key personnel included Headteachers (heads of faculties/departments), Deputy Principals, and teachers playing leading roles in faculties and programs
6	Heck, R. H., & Hallinger, P. (2009).	USA Elementary schools	Quantitative Longitudinal	State survey for teachers Observed leadership scores	Random sample: 195 public schools and 13,389 3rd-grade students. Survey to all certified staff, grade 5 students, and a random sample of parents.	Leadership and capacity building were mutually reinforcing in their effects on each other, and exercised a cumulative impact on student learning; changes in these mutually-reinforcing constructs were also positively associated with school growth rates in math. Changes in perceptions of distributed leadership and academic capacity were significantly related to student perceptions of the quality of the school's socio-curricular organization.

7	Hallinger, P. & Heck, R. H. (2010)	USA Elementary schools	Quantitative Longitudinal, time-series study	Annual surveys of teachers and parents Observed leadership scores for each measurement occasion	Random sample: 192 elementary schools in a US state and 12,480 students. Surveys administered to each school's teachers on three occasions (years 1, 3 and 4)	<p>Positive change in collaborative leadership was significantly related to growth in academic capacity. Significant and substantial relationship between change in academic capacity and student growth rates was found.</p> <p>The indirect effects of change in collaborative leadership (operating through the mediating change in academic capacity factor) on growth rates in reading achievement was significant.</p> <p>The effects of both collaborative leadership and academic capacity were stronger when reading growth was the outcome.</p> <p>Significant direct effects of collaborative leadership on change in the schools' academic capacity and indirect effects on rates of growth in student reading achievement was identified.</p>
8	Heck, R. H., & Moriyama, K. (2010)	USA Elementary schools	Quantitative Longitudinal Multilevel structural modeling	Questionnaire survey with teachers and parents	Random sample: 198 public elementary schools in a western state of the USA	<p>Net of context and composition factors, improvement-focused school leadership directly affected subsequent school instructional practices. In turn, instructional practices affected added-year outcomes validating theoretical linkages between context and composition, mediating school processes, and desirable student outcomes.</p> <p>Relevance of school leadership was found a means of facilitating school improvement through building instructional practices in the school.</p>

9	Louis, K. S., Dretzke, B., & Wahlstrom, K. (2010) Learning From Leadership	USA Elementary and secondary schools	Quantitative Cross-Sectional Hierarchical multiple regression Structural equation modeling	Questionnaire survey with teachers	Stratified sample: 180 schools from a random sampling of 45 districts in 9 states.	Both shared and instructionally focused leadership were complementary approaches for improving schools. Student math achievement scores were significantly associated with focused instruction, professional community and teachers' trust in the principal but were not significantly associated with principal behaviors. Trust in the principal and professional community was both associated with student math achievement. Shared leadership was one important means of creating a learning organization in which efforts were focused on ways in which increasing instructional capacity could influence student learning.
10	Jacobson, S. L., Johnson, L., Ylimaki, R., & Giles, C. (2005)	USA Elementary schools	Qualitative Case study	Interview	Purposive sample: 7 schools from 5 different districts in western New York	The principals formed a diverse group, varying in gender, race, experience and education. But they shared some common characteristics, most notably, all seven demonstrated facility with the core leadership practices of direction setting, developing people and redesigning the organization. The three principles that enabled these leaders to translate their core practices into school success were accountability, caring and learning.

11	Leithwood, K. & Mascall, B. (2008) Learning From Leadership	USA Elementary and secondary schools	Quantitative Longitudinal Path analytic techniques	Questionnaire survey with teachers	Stratified sample: 2,570 teacher responses from 90 elementary and secondary schools	The influence of collective leadership was most strongly linked to student achievement through teacher motivation. Patterns of leadership influence differed among schools with different levels of student achievement. Nonetheless, the influence of parents and students was significantly related to student achievement, likely reflecting the well-known effects of student SES on achievement.
12	Leithwood, K. & Jantzi, D. (2006).	UK Primary schools	Quantitative Cross-sectional Path analytic techniques	Questionnaire survey with teachers Measures of student achievement: gains in Key Stage 2 results.	Purposive sample: from a national sample of teachers and headmasters in England (Some 2,290 teachers from 655 primary schools)	Transformational leadership had very strong direct effects on teachers' work settings and motivation with weaker but still significant effects on teachers' capacities. School leadership had an important influence on teachers' change of their classroom practices. There was a significant gulf between classroom practices that were "changed" and practices that actually led to greater pupil learning; the potency of leadership for increasing student learning hinged on the specific classroom practices which leaders stimulated, encouraged, and promoted.

13	<p>Sammons, P., Gu, Q., Day, C., & Ko, J. (2011)</p> <p>Three-year research project (2006-2009) commissioned by the Department for Children, Schools and Families (DCSF) in England</p>	<p>UK</p> <p>Elementary and secondary schools</p>	<p>Mixed-methods</p> <p>Longitudinal</p> <p>Structural equation modeling</p>	<p>Questionnaire surveys of principals and key staff'</p> <p>20 qualitative school case studies</p> <p>Interviews</p>	<p>Purposive sample: elementary and secondary schools which were effective and improving over 3 years.</p> <p>Random sample: heads and key staff</p> <p>Questionnaire survey: 378 primary and 362 secondary schools</p>	<p>Principal leadership had both direct and indirect effects on a range of school and classroom processes that in turn predicted changes (improvements) in schools' academic performance.</p> <p>School socio-economic context was important in understanding differences in school performance results and their improvement trajectories.</p> <p>Rapidly improving schools in England showed improvement across a range of areas to do with practice, climate and learning conditions.</p> <p>The effects of leadership on improvements in pupils' academic outcomes were weaker and seemed to operate indirectly.</p> <p>The leadership practices of the head and of the SMT influenced, directly or indirectly, the improvement of different aspects of school culture, processes and conditions, which then indirectly impacted on the change in pupil academic outcomes through improvements in several important intermediate outcomes.</p>
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14	Penlington, C., Kington, A., & Day, C. (2008)	UK Elementary and secondary schools	Qualitative Case studies	Interview: 20 principals, 70 key staff and 40 colleagues	Purposive sample: 20 schools (10 primary and 10 secondary) selected on the basis of their sustained improvement (over at least 3 years) in terms of pupil outcomes	Development of the capacities (knowledge, responsibilities and skills) of the staff was key to improving the overall performance of the staff team in raising pupil outcomes. The primacy of the headteacher was leading the sustained improvement of pupil outcomes. Headteachers had very powerful indirect effects on pupil outcomes, through the way that they directly established positive, success cultures of teaching and learning in the school.
15	Harris, A., Chapman, C., Muijs, D., Russ, J. & Stoll, L. (2006)	UK Elementary and secondary schools	Qualitative Case studies	Semi-structured interviews with headteachers and a cross section of subject leaders, classroom teachers, support staff, and groups of pupils at each school	Purposive sample: 8 (6 secondary and two primary) schools in the former coalfield areas	There were a set of prevailing external conditions and a set of internal conditions across all the schools that were associated with raising attainment. While such strategies were unlikely to offset the macro effects of disadvantage, there was some evidence of positive influences upon individual pupil learning.

16	Leithwood, K., Mascall, B., Strauss, T., Sacks, R., Memon, N., & Ysahkina, A. (2007).	Canada Elementary and secondary schools	Qualitative Case studies	Interview data from a total of 67 district staff, school administrators, non-administra tive school leaders and teachers	Purposive sample: 8 schools reflecting a balance of elementary and secondary schools (four each)	Learning from one another formed professional learning communities that nurtured the exercise of leadership. The likelihood of teacher leadership was increased when teachers had access to professional development aiming at developing the skills and knowledge they would require to effectively enact leadership roles. Important capacities for teachers to acquire through such professional development were: finely honed skills in communication, group process facilitation, enquiry, conflict mediation and dialogue.
17	Leithwood, K., Patten, S., & Jantzi, D. (2010)	Canada Elementary schools	Quantitative Cross-section al Path analysis	Questionnaire survey Interview	Convenience sample: 1445 teachers from 199 schools	The Four Paths model of how leadership influenced student learning as a whole explained 43% of the variation in student achievement. Variables on the Rational, Emotions, and Family Paths explained similarly significant amounts of that variation. Variables on the Organizational Path were unrelated to student achievement. Leadership had its greatest influence on the Organizational Path and least influence on the Family Path. Instructional time and teachers' professional community contributed equally to the amount of variation in student achievement explained by the Organizational Path.

18	Foster, R. (2005)	Western Canada Secondary schools	Qualitative Case studies	Individual interviews and focus group interviews Direct observation of classrooms and school activities Documentary analysis	Purposive sample: 2 secondary schools and 31 interviewees (15 from one school and 16 from the other, including principals, vice principals, teachers, students and parents)	Teachers' collaboration and on-going professional learning was critical in the development of leadership to sustain school success. High degree of correspondence among the principals' and long-time teachers' responses concerning the future was found important. Newer staff members' conceptions of school improvement differed. Students' and parents' views differed from the educators' views, but were similar to one another's.
19	Lee, M. S., Walker, A., & Chui, Y. L. (2012) Missing Link I (2009-2011)	Hong Kong Secondary school	Quantitative Post-hoc cross-sectional cross-level interaction analysis of hierarchical linear modeling	Questionnaire survey with key staff and students	Convenience sample: 42 secondary schools; 180 key staff members; 2,032 Secondary 7 students; Self-reported HKCEE scores from the students	School contextual characteristics made a substantial difference in student achievement. Instructional leadership practices centered on teaching and learning further elevated the positive effect of school attachment on student achievement. In contrast, leadership practices related to accountability and quality assurance undermined student learning by weakening the positive effect of student perceptions of school attachment on academic performance.

20	Ko, J., Hallinger, P., & Walker, A. (2012) Missing Link I (2009-2011)	Hong Kong Secondary school	Quantitative longitudinal post-hoc survey design Multiple regressions	Questionnaire survey with key staff	Convenience sample: 39 secondary schools in Hong Kong	<i>Professional Learning Community and Workload</i> came out as the two most important factors in predicting student outcomes. <i>Resource Management</i> was the only predictor principal leadership dimension. Mediating variables related to the working relationship among teachers in the schools were <i>trust, communication</i> and <i>professional learning community</i> .
21	Ho, C. W. D. (2010).	Hong Kong Preschools	Qualitative Case studies	Questionnaire survey Interview Observation	Purposive sample: 2 quality preschools	The factors challenging leadership practice in the change process were the quality assurance policy, pressure from interfacing with primary education, keen competition among preschools in the local field, and increased demands for accountability. Though the two schools adopted different approaches to curriculum innovation, the exercise of school leadership in both schools was still largely centralized. Building the capacity of the frontline teachers through strengthening the leading role of the teachers and enhancing the professional competence of teachers were important.

22	Kythreotis, A., Pashiardis, P., & Kyriakides, L. (2010)	Cyprus Primary schools	Quantitative Longitudinal Multilevel modeling	Questionnaire survey with students and principals	Stratified sampling: 22 schools, 55 classes and 1,224 primary students; 22 primary school principals	Principals' leadership had direct effects upon student academic achievement. Moreover, student achievement gains were found to be related with five factors at the school level, the principals' human resource leadership style and four dimensions of organizational culture. At the classroom level, three dimensions of learning culture significantly influenced student achievement in each subject.
23	Borden, A. M. (2011)	Paraguay Primary schools	Quantitative Cross-sectional Structural equation modeling	Questionnaire survey with teachers and principals	Stratified random: a national sample of 300 schools - 1317 of 1644 teachers' questionnaires, 265 of 300 principals' questionnaires and 265 of the ACE questionnaires	Student achievement was higher at schools where principals were available to take part in efforts to improve instruction, than at schools where principals were not available, due to teaching responsibilities. Higher levels of student achievement at schools where principals were available to improve instruction were associated with lower student grade repetition rates.

“人·制度”二元重構的比較教育研究之轉向——基於人類學視野
The “Human · Policy” Two-dimensional Reconstruction of Comparative Education Research: From Perspectives of Anthropology

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摘要 Abstract

人類學的視野對比較教育研究之轉向具有重大的理論與實踐意義。本文試從人類學之學科屬性出發，提出比較教育學研究不僅應借鑒人類學的研究方法，而更應該從思維層面出發，運用人類學的思維模式來引導比較教育研究之轉向。這種轉向包含比較教育研究根基、研究物件、研究基本單元、研究範式等方面的內容。

Enlightenments from Anthropology play important role in the sustainable development of Comparative Education Research. The author tries to put forward some constructive suggestions by analyzing the usage of thinking mode of Anthropology in this research field. These suggestions refer to the Research Basis of Comparative Education Research, the Research Object, the Research Unit and Research Paradigm and so on.

關鍵詞 Key Words: 人類學 Anthropology、視野 Perspective、比較教育研究 Comparative Education Research、可持續發展 Sustainable Development

古希臘哲學家蘇格拉底(Socrates)曾發出“人啊，認識你自己！”的吶喊。這種關注人本身的思維方式給文藝復興提供了顛覆當時以神為本位的思維方式的工具，使當時的時代開始關注人本身的問題，開始強調人自身的屬性、人的發展等問題。隨著大工業時代的到來，生產方式的現代化所帶來的是對人的認識的機械化，人開始逐漸淪為機器的附庸，人的本質屬性開始異化。後現代思維範式的興起，開始使人們逐漸恢復對機器生產方式認知的理性，人們開始嘗試著找回自身。比較教育學研究在這一過程中，也開始逐漸發生轉向，從 1817 年法國的朱利安(Marc-Antoine Julian)發表《關於比較教育的工作綱要與初步意見》起，比較教育研究就開始帶有工業社會所特有的注重功利性、注重效率性、注重制度建設等的特徵，而且 19 至 20 世紀時大批民族國家崛起時國家重建的需求必然會要求大量借鑒現代化程度較高國家的教育經驗，這種教育經驗的借鑒中最為直接、最為有效的當屬教育制度的借鑒，因此，在比較教育學歷史上，甚至直到今天，其研究仍然是以借鑒現代化程度較高國家之教育制度、教育體制為主要對象與主要任務。但是，隨著各國國民教育制度的逐漸完善，各國交往的日益深入，各國之間制度借鑒的問題開始衍生，突出表現為現階段以西方化為本質特徵的“現代化”與帶有本民族特色的“本土化”這兩種特質之間的衝突。如何協調“現代化”與“本土化”之間的關係問題已不是

以往傳統思維方式的比較教育所能解決的問題，因此，比較教育研究迫切的需要實現轉向。

本文試從人類學的視野出發，對比較教育研究之基本單元、研究物件、研究範式進行反思，提出從人類學視野出發，不僅從研究方法，還從比較研究思維模式出發，以實現比較教育研究之轉向的可能。

人類學的學科屬性

人類學主要包含體質人類學與文化人類學兩大類。這兩類研究都以人為研究物件。其中體質人類學更加側重於人本身的生理、體質外貌等特性的研究。文化人類學則注重各不同文化環境中的人的屬性等的研究。而人不僅僅是單獨存在的個體，人的存在必然涉及到社會各種關係以及與人有關的各種學科，因此，人類學的研究又帶有跨文化性的特色。在研究方法方面，人種志是其主要的研究方法。

以人為研究物件

與所有的學科一樣，人類學的形成與發展都經歷了一個歷史過程。最初對人本身的關注較多的是古希臘時期的眾多人文學者，如蘇格拉底、柏拉圖等人。隨後歐洲中世紀時期宗教統治下所形成的“原罪說”思維方式的影響下，對神的關注取代了對人的關注。而文藝復興的興起所帶來的是對人本身的本質的肯定，雖然隨後歷經的工業革命時代在一定程度上造成了人的異化問題，但是，不可否認的是，自文藝復興時期以來，人開始成為大寫的人，人們也開始關注人，人也就逐漸成為人們所研究的物件，為後來人類學的形成奠定了歷史與理論基礎。人類學一詞最早出現於 1501 年由德國學者馬格納斯·洪特(Magus Hundt)的《人類是萬物之靈》一書中，書名為 *Anthropologium de hominis dignitate* 中的 *Anthropologium* 即“人類學”，但本書中的人類學則主要以人體解剖學和生理學為主要內容，切合體質人類學的內容。(張有雋，周建新，林海,2003)而到 1871 年英國學者泰勒(E.B.Tylor)的《原始文化》和 1877 年美國學者摩爾根(L.H.Morgan)的《古代社會》出版之後，人類學一詞所包含的內容已經不僅僅限於人體解剖學和生理學的內容，而逐漸的把人類學的文化屬性包含進來。不論人類學作為一門學科最早起源於何時，貫穿其中的一個本質的屬性就是它始終是以人為研究物件的。這種研究物件從早期的單個的人、體質的人逐漸發展為研究群體的人、社會的人、族群的人以及各種環境條件之下的人。包含在各種正式的、體制性的學校教育制度與環境條件下的人以及在各種非正式的、非體制性的教育方式與環境條件下的人，由此形成了教育學與人類學交叉而成的教育人類學學科。教育人類學主要以非體制性的教育方式為環境條件的人為研究物件，而且根據許多學者的觀點，如北京大學社會學系錢民輝教授認為“教育人類學是人類學的一門分支學科，它的理論方法和知識體系主要來自人類學而不是教育學”(錢民輝，2005)。因此，無論是人類學還是教育人類學，都主要以人為研究物件，這裡的人包含人類學形成初期的單個的人、體質的人，也包含人類學成熟時期的群體的人、社會的人等。

以跨文化性為主要特色

隨著社會環境、現代技術、學科發展等因素的影響，人類學的研究從以往單純注重生物性的人逐漸拓展到生物性與文化性並重的研究階段。這就逐漸的形成體質人類學與文化人類學這兩大人類學研究的分支。而在文化人類學方面主要有美國的文化人類學流

派與英國的社會人類學流派這兩大派別，其中尤其以美國的文化人類學研究中跨文化性特色最為突出。究其原因，首先是人類學學科中對人自身本質認識的不斷發展。美國在人類的文化性方面做過很多研究，如在有關少數民族的文化與學生成就的測量就表明，少數民族學生學業成就的影響因素所涉及到的不僅僅包含少數民族人種的智力、生理、體質等方面，而且更值得關注的，影響更大的是少數民族特有本土文化與美國主流文化之間的差異問題。因此，由此得出的結論是人不僅僅是人種、生理、生物意義上的人，而更加是文化環境中的人。這種認識為人類學研究的跨文化性特色打下了堅實的基礎。其次是在於現階段世界各國對自身文化屬性以及世界未來多元文明格局的覺醒。如隨著戰後文化交流與移民浪潮的衝擊，多元文化開始困擾西方各國，較為突出的是比利時政府在 20 世紀 70 年代的數年間僅僅因為教育語言的選擇問題，迫使三屆政府相繼倒臺，可見處理和推進各民族和睦相處，解決多元文化和種族教育問題，日益突出。(馮增俊，2006)然後還在於全球化與現代化通訊技術促使各國不同文明背景下不同人交往模式與文明存在模式的變更。正如哈佛大學教授撒母耳·亨廷頓(Samuel P. Huntington)在其《文明的衝突與世界秩序的重建》一書中指出的，現階段人類已經開始逐漸步入多元文明的世界，未來世界的文化格局是多元文明的格局，多元化的文化格局取代了冷戰時期以意識形態鬥爭為主的兩級文化格局。

以人種志為方法論與主要研究方法

簡單地說，人類學是研究人的科學。經過漫長的經驗總結與理論化，人種志(ethnography)在 20 世紀初期作為人類學其獨特的研究方法而逐漸形成。正如“比較”在比較教育學中的地位一樣，人種志在人類學中不僅具有思維層面的方法論意義，也具有工具-操作層面的具體方法的意義。在思維層面，人種志是作為一種方法論而存在，主要是指以人種志的思維範式對人類學的研究物件進行的研究。在具體的工具-操作層面，人種志這一概念最早於 1807 年由坎普爾(Campbell)提出，其基本含義是對民族的記錄或描述。在運用這一方法進行調查研究時，人類學家將自己作為研究工具，深入某一原始民族或異域文化，經過長期的資料收集過程，最後完成對該民族或文化的詳盡描述。(沈麗萍，2004)雖然有部分學者，如部分美國文化人類學者認為人種志在一定程度上也可以作為人類學的一個分支學科而存在，但本文則基本是從人種志作為人類學研究的方法論與具體的方法的角度而進行論述的。此外，除了人種志這一具有重大意義的方法論與具體方法之外，人類學也採用如需深入現場進行調查、具有強在場性的“田野調查法”(field study)和需要深度參與、具有強參與性的“參與性觀察法”(participant observe)。

總的來說，人類學是以人為研究物件的，即包含生物性的人，也包含文化性的人；人類學因其研究物件的特殊性，所以其研究也帶有跨文化性的特色；而人種志則是人類學研究中重要的思維方式與具體的研究方法。

人類學視野在比較教育研究中運用的可能性

人類學視野在比較教育研究中運用的可能性包含以下四點：比較教育學根基之重構、比較教育學研究物件之立體化、比較教育學基本單位之拓展與比較教育學範式之轉向。

比較教育學根基之重構

根據比較教育學者約翰.A.拉斯卡(John A.Laska)於 1973 年在美國《比較教育評論》上所發表的《比較教育的未來——三個基本問題》一文,比較教育是一個具有依附性的,並依附於教育學的學術領域。因此,只有徹底的瞭解教育學的學科屬性才能從根本上解決比較教育學的身份危機問題。教育學的學科屬性的確定也經歷了一個轉向的時期,19 世紀時俄國教育學家烏申斯基因對當時“教育活動規則的彙集”的教育學十分不滿而提出教育學的研究物件應該是人,而非繁瑣空洞的規則和條文。他的代表性話語是“如果教育學希望全面的去教育人,那麼它就必須首先全面的去瞭解人”(李複新、瞿葆奎, 2003)。在這種思想的推動之下,烏申斯基花費五年的時間撰寫其著名的代表作《人是教育的對象》。因此,如果比較教育學要提升自身的學科性,就必須對教育學這一學科中注重人的維度加以關注。也就是說,傳統的比較教育學主要以教育制度為研究物件,而較少涉及教育制度環境下的人,而制度的運行無論是從其制定根源還是從其運行的動力學、管理的物件等角度來說,都離不開制度環境下的人。以往比較教育學研究對教育制度的重視與烏申斯基時代的教育學是“教育活動規則的彙集”這一描述具有內在的相似性,因此,比較教育學之根基需要重構,應從以往過於注重教育學領域中“教育活動規則的彙集”轉向注重教育活動規則與教育活動規則中的人這兩個維度,以制度與人為其建構之根基。這種重構不僅有利於比較教育學本身的學科建設,也能夠在一定程度上實現比較教育學之父巴黎的朱利安在《關於比較教育的工作綱要與初步建議》中所提出的通過構建教育裡的比較學科而提升教育學的科學性之構想。

比較教育學研究物件之立體化

比較教育學如果從 1817 年法國巴黎的朱利安所發表的《關於比較教育的工作綱要與初步意見》開始算起,迄今已有將近兩百年的歷史了。在這將近兩百年的時間裡,比較教育學始終以借鑒他國先進的教育制度為己任,顧明遠先生曾經也說過,自建國以來,沒有哪個教育學科對教育制度的研究與借鑒比得上比較教育學。比較教育研究在借鑒西方發達國家的教育制度與實踐方面做出了巨大的貢獻,這是值得肯定的,但是,在人類學看來,以往比較教育研究物件中存在著嚴重的人的缺失問題。任何制度的緣起、制定、運行與調整都離不開人,因此,未來比較教育學研究物件之轉向表現為在注重他國教育制度的同時也開始注重各種教育制度環境下的人,實現比較教育學研究物件中教育制度與教育制度環境下的人的並存。從以往以教育制度研究為主要物件的扁平化的、線性化的模式轉換為人與教育制度互動的立體化、非線性化的模式。

比較教育學基本單位之拓展

在有關比較教育學研究基本單元的研究中,北京師範大學的朱旭東教授的研究較為深入,他一直主張比較教育學的基本單元是民族國家,並認為“民族國家作為比較教育和國際教育研究單位的合理性基礎在於民族國家的生存方式”(朱旭東, 2011)。朱教授在肯定民族國家是比較教育學研究的基本單元之時,也不否認以區域為一級單位的比較教育研究,“無論是以民族國家為一級單位的比較教育與國際教育研究,還是以教育問題或主題為一級單位的民族國家或區域的比較教育和國際教育研究,抑或是以區域為一級單位的比較教育和國際教育研究都離不開民族國家這個核心概念。”(朱旭東, 2011)此外,在比較教育學領域也逐漸出現了主張區域研究的潮流,如貝雷迪曾提出比較教育研究的基本單位可大可小,沒有既定的標準,主要因研究者個人的需要而定。而美國比較教育學家莫爾曼(Arthur H. Moehlman)認為要從“文化區域”的角度出發對比較教育進行研究,所謂“文化區域”是指以文化為標準進行劃分的文化圈,而當今世界的文化圈主要包括歐洲文化圈、亞洲文化圈、非洲文化圈和美洲文化圈等幾大組成部分(張德偉,

2009)。日本比較教育學家馬越徹則於上個世紀九十年代開始宣導比較教育領域的區域研究，他認為區域既可以是超國家層面的區域，也可以是次國家層面的國家內部區域。而貝磊(Bray.Mark)和湯瑪斯(Thomas.R.Murray)則認為“比較教育往往為跨國比較所主導而甚少進行國內比較。與之相反，其他很多領域則聚焦在當地而沒有從國際研究的視角中汲取營養”（貝磊等，2011）。因此，通過相互交流可以“加強不同領域之間的聯繫會使各個領域受益”（貝磊等，2011）。在這種思想的指導下，貝磊和湯瑪斯提出了比較教育分析的立方體模型框架，該立方體框架由三個維度組成，第一個維度是地理/低於層次，由七個層次組成：世界區域/大洲、國家、州/省、地區、學校、課堂和個體；第二個維度是非地域人口統計群體，包括種族、宗教、年齡、性別乃至全部人口；第三個維度為教育與社會方面的要素，如課程、教學方法、教育財政、教育管理結構、政治變化和勞動力市場等。（貝磊等，2011）以上這些學者在比較教育基本單位方面的見解對比較教育學的發展具有重大意義，逐漸打破以往以單一的國家為基本單位所進行的單一層面的比較教育研究，開始逐漸走向多維度、多層面的系統基本單位階段。其中尤其以貝磊和湯瑪斯提出的比較教育立方體分析框架最為顯著，他們明確的把非地域人口統計群體納入到比較教育分析框架之中，注重人口在種族、宗教、年齡、性別乃至全部人口所具有的人口統計特徵，這種比較教育學基本單位之拓展表明比較教育學研究中人的維度開始受到重視。

在比較教育研究中納入人的維度，並不意味著要取代教育人類學研究，而是與教育人類學共同協作，為人類理解自身，進而理解教育學、比較教育學、人類學打好基礎。具體來說，比較教育研究中納入的人是正式的學校化的教育制度環境中的人，而教育人類學研究則更加注重的是非正式的非制度化的教育環境中的人。

比較教育學研究範式之轉向

湯瑪斯·庫恩(Thomas.S.Kuhn)曾指出“範式”是指一個科學共同體成員所共有的東西，是由共有的信念、價值、技術等構成的整體。（庫恩，2003）換言之，一個科學共同體由共有一個範式的人組成。他們受過近似的教育和專業訓練，鑽研過同樣的技術文獻，並從中獲取許多同樣的教益（陳向明，2008）。比較教育學產生的近兩百年間，各種研究範式不斷湧現，如實證主義範式、歷史主義範式、批判理論範式、後現代主義範式等都對比較教育學的發展產生過重大作用，但是其中尤其以實證主義範式的特色與影響最為鮮明。根據朱利安在《關於比較教育的工作綱要與初步意見》中指出“有必要為教育這門科學建立事實和觀察的庫藏，要列分析表進行排列分析，從中演繹出一定的原則和明確的規則，使教育成為近乎實證性的科學。”（趙中建等，1994）因此，比較教育學自產生之日起就帶有實證主義範式之特色。比較教育學在早期就帶有實證主義範式之特色的原因一部分與當時的科學背景有著密切的關係。19世紀正值自然科學發展取得重大成就的時期，自然科學的大發展帶來了自然科學研究範式影響力的擴大，這種研究範式以定量、精確性、科學性為主要的特色，而當時的學者無論是自然科學領域的還是社會科學、人文科學領域的人，都試圖把這種實證主義的研究範式引入自己所在學科，力圖使本學科科學化。其中對教育學、比較教育學發展影響較大的是社會學創始人孔德(Comte)，他開創了把自然科學的實證主義研究範式引入到社會科學的研究中。由此引發了社會科學、人文科學中的實證主義潮流，在教育學領域中教育實驗學應運而生。比較教育學科在這種注重科學之精神的影響下，也提出了許多具有獨創性的研究成果，如貝雷迪(G.Bereday)的“比較四步法”、諾亞(H.J.Noah)與埃克斯坦(M.Eckstein)的“比較研究七步法”、霍姆斯(B.Holmes)的“教育問題法”等，這些比較教育學者開創了一個比較教育研究的實證主義時代。

但是，實證主義無法回答不同教育現象背後獨特的背景與原因是什麼（周鈞，2011），也無法從根本上解決比較教育內部所存在的身份危機，因此實證主義開始受到攻擊。在後現代主義的影響下，比較教育學界開始認識到比較教育學學科屬性上的“波粒二象性”，不再用“理性中心主義”“二元對立說”來界定與認識本學科的發展。而是從比較教育學學科本身所具有的人文學科與社會學科屬性出發來認識本學科。人文學科與社會學科的一大特色就是與人以及人的活動聯繫緊密，而伴隨著比較教育學根基之重構以及比較教育學研究物件中人的維度的肯定，因此，在本學科的研究中運用人種志方法對深刻認識並發展本學科具有重大的意義。國外比較教育學者以加拿大學者梅斯曼(Masemann)為代表，而現階段我國也有部分學者提出在比較教育學中運用人種志的方法來進行研究，如西南大學的徐輝教授、東北師範大學的張德偉教授、劉彥尊教授，上海師範大學的蔡寶來教授等，本處不對人種志方法的內涵等做具體的介紹。在肯定人種志研究範式可能對比較教育學研究的重大作用之時，我們不能否認其他研究範式對比較教育研究順利開展的重大意義，因此，基於比較教育研究中人的維度的擴展以及比較教育學科的“波粒二象性”特性，比較教育學的研究範式並不是單一的，而是多樣化並存，最終走向混合研究範式，而人種志的研究範式將會在其中發揮重大作用。

人類學視野下比較教育學研究轉向的重要意義

人類學視野下比較教育學轉向包含比較教育學根基之重構、研究物件之拓展、研究基本單元之轉向以及研究範式之轉向這四大方面的內容。這種轉向一方面有利於比較教育學更加深刻的認識其建立之根基，構建根基更加深厚的比較教育學科理論；同時有利於比較教育學自身話語權的恢復，重新獲取生產性，為它學科提供可供消費的學術觀點。

構建根基更加深厚的比較教育學科理論

對於比較教育學及其研究而言，一個比較永恆的話題莫過於其身份危機問題。許多學者對本學科的身份危機問題都提出了自己的見解，而畢業於北京師範大學的李現平博士則更是撰寫了以比較教育身份危機為題的博士論文。根據李現平在其博士論文中的觀點，比較教育的身份危機主要有四種表現形式：第一種是比較教育學的學科統一性危機；第二種是社會地位和社會價值危機；第三種是學者的歸屬感與認同感危機；第四種是區域性比較教育文化群體的生存危機。雖然這四種危機之間存在著內在的必然聯繫，存在著相互影響、相互滲透與相互強化的關係（李現平，2005），但是對於比較教育學科的建設來說，尤其以比較教育學的學科統一性危機最為根本。通過把人類學的思維方式與研究範式引入到比較教育學學科建設之中，促使比較教育研究中比較教育的研究根基、研究物件、研究基本單位以及研究範式發生系統轉向，而非僅僅從研究方法或者是學科建設的某一個角度出發實現學科轉向。這種系統轉向不僅符合當今全球化與文化多元化的潮流，也符合現今非線性的、複雜的系統科學理論與方法論，而且更加有利於比較教育學科的理論建設。

為它學科提供可供消費的學術觀點

有關學科制度化與規範化的研究方面，朱旭東教授曾指出比較教育學身份危機一直無法突破的原因部分在於比較教育學沒有為它學科提供可供消費的學術觀點，而比較教育學自身話語權的喪失是導致比較教育學學術生產性較低的一個原因，“它（比較教育學）失落了比較教育文本和話語存在的價值，它缺失了比較教育在某一教育問題上的話語權。本來存在通過比較生產出一種供其他研究者消費的觀點的可能性，但由於自身的

放棄，比較教育的知識或觀念的生產性功能沒有了”（朱旭東，1996）。這說明比較教育學本身是具有自身獨特的、內在的話語體系的，只不過由於自身的放棄導致比較教育學的學術話語生產性功能喪失，這也意味著比較教育學自身的話語權與話語體系是能夠通過學科轉向而逐漸恢復的。通過把人這一維度引入比較教育學研究物件中、重建比較教育學根基中的人以及應用人種志的研究範式能夠使比較教育學貼近教育學研究的核心問題，貼近教育實踐的現實。只有把握了比較教育學研究中的教育實踐現實，比較教育學才能獲得源源不斷的發展動力，恢復自身的話語權，為它學科提供可供消費的學術觀點。

縱觀教育學領域的學科發展歷程，包含教育學自身也曾發生過轉向，如烏申斯基在19世紀提出的人是教育的物件，促使教育學從“教育活動規則的彙集”轉向“全面的瞭解人”。此外，教育社會學在20世紀70年代也發生過轉向，從傳統的以教育制度為核心的傳統的教育社會學轉向以研究知識的社會分配，教育內容的改革的新的教育社會學（李複新、瞿葆奎，2003）。這種轉向的作用正如湯瑪斯·庫恩在《科學革命的結構》中所說的，當一個範式受到致命挑戰時，科學家共同體所從事的活動便從“常規科學”進入“反常時期”，然後進入“非常規時期”，直至進入另外一種範式指導下的“常規科學”時期（陳向明，2008）。因此，當舊的範式不能解決學科發展的突出問題時，範式便要發生轉換，這就要求比較教育學研究者必須具備一些新觀念和新思維。（陳時見、袁利平、2007）因此，比較教育學學科轉向並不必然是壞事，而是為學科的生長提供一個新的生長點與新的生長範式，從而促進比較教育學科能夠在環境變化的影響之下積極調整發展方向，在證明自身的同時為它學科提供可供消費的學術觀點。

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