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Introducing Professional Standards to the Chinese Superintendency:
A Comparative Study of Leadership Development

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Abstract

Purpose: This article provides a review of the current state of superintendency in China and explores the viability of introducing professional standards from a comparative perspective. Recognizing the increasing need to establish a knowledge base and the growing interest in existing practices, we explore the theoretical justification and practical implication of cross-cultural learning in educational leadership. **Method:** Using data collected from two surveys administered to more than 200 Chinese superintendents and feedback from a follow-up focus group study in 2007, we look at the changing role of system-level education administrator and the forces that drive professionalization in China today. We also examine the extent to which a set of well-established U.S. professional standards for the superintendency align with the priorities of Chinese educational reform. **Findings:** Noteworthy differences are identified between the two educational systems particularly in governance scheme, administrative structure, and occupational path. However, our findings unveil convergence on a set of essential professional competencies that are covered by the U.S. standards and emphasized by the Chinese educational administrators. Comparative analysis also indicates gaps between the current capacity of system-level administrators and the competencies needed by the Chinese national reform. **Implications:** This paper contributes to the efforts of building meaningful dialogues among researchers and practitioners on developing a new generation of education administrators, a top priority of reform efforts in both countries.

Introduction

A movement of performance accountability reform that requires new and stronger leadership is gaining momentum in the People's Republic of China. Since 1978, educational progress in China largely reflects the nation's economic and political reform when Deng Xiaoping became the leader of the Central Community Party and the Chinese State. In a relatively short period of time, China has made great strides toward eliminating illiteracy, providing nine years of basic education to up to 97% of the school-age children for a total of about 180 million, and dramatically expanding the numbers of students in higher education to 25 million, about 21%-22% of high school graduates (National Center for Education Development Research, 2007).

Along with impressive gains of wealth and development, decades of overwhelming emphasis on standardized testing to promote academic achievement is giving ways to both governmental mandates and societal demand for graduates that are well-rounded citizens, equipped with not only book knowledge but moral values, creative mindsets, mental and physical health, and versatile interests (State Council, 1999, 2001a). Educators are raising serious concerns over the consequences of the tightly-controlled, test-based education system that only prepares students to be proficient in exams but lack interpersonal skills and citizenship values.

Recent nationwide educational reform initiatives are pushing for localized control in financial management, curriculum planning, teacher training, and community building (National Center for Education Development Research, 2008; Chu, 2006). Most importantly, it calls for learning outcomes that are holistic and student-centered. These mandates present both

opportunities and challenges to the educational administrators in China today, especially those at the system level overseeing local schools. Recognizing China's historical, political, and cultural influences on education, policy makers and scholars consider the *professionalization* of educational administrators as the most pressing reform measure (Chu, 2003; Gao, Wang & Lin, 2006).

Leadership development literature often lists *professional standards* as the first and foremost element nested in the complex undertaking of leadership development (Chu, 2003; DiPaola & Stronge, 2002; Grogan & Andrews, 2002; Sharp, Malone & Walter, 2003). As the corner stone of professionalization, professional standards for administrators serve important functions: to guide the reform of preparation and assess participant progress, to provide a template for reviewing qualifications, to serve as a framework to evaluate existing administrative practices and to identify gaps, and as a guide to design new training and development programs (Hoyle, Björk, Collier, & Glass, 2005).

Identifying the right standards therefore is considered as the most "developmentally relevant" first step for the Chinese educational reform (Chu, 2003; Liu, Cravens, Huang, Zhang, & Yang, 2007).   Western theories and school leadership models have been gradually introduced since the late 1990's (Zhe, 2004; Zhe & Li, 2006). Among them, professional standards for administrators at the school level and the system level in the United States, the United Kingdome, and other developed nations, have attracted intense interest and are frequently referenced by the Chinese scholars (Liu et al., 2007).

However, while system-level administrators in China have jurisdictions similar to those of superintendents in the United States, there are many significant differences in their roles. To

date, little investigation has taken place to assess the cross-cultural relevance and utility of standards from distinctly different educational systems.

This paper focuses on the aspect of professional standards for system administrators that may provide guidance and insight about the traits, functions of work, and responsibilities expected of educational leaders from a comparative perspective. Specifically, we ask:

Question 1: What are the forces that drive professionalization for the superintendency? To what extent are such forces similar or different for the U.S. and China?

Question 2: To what extent the U.S. professional standards for the superintendency reflect the roles and priorities of Chinese system-level administrators today?

Question 3: What is the viability of professional standards to the Chinese superintendency?

The paper is organized as follows: We first provide an overview of administrative structure for the Chinese education and the role of the local system administrator. We then provide a comparative view of the superintendency in the United States, reflecting upon the national educational reform contexts in the two countries. We also include an introduction to the *Professional Standards for the Superintendency* by the American Association of School Administrators (AASA, 1993). We then proceed to describe the research design, analytic methods, and data for the study. Subsequently, we present our findings and conclusions based on the research questions. Lastly, we discuss the implications and future research ideas.

Professional Standards and the Superintendency

To discuss professor standard for the superintendency, we must first clarify the relationship between *professionalization* and *professional standards*. Once a popular generalization, the term professionalization no longer appears as frequently in the Western sociology literature as it did decades ago (Vollmer & Mills, 1968; Wilensky, 1964). As a label, it has been "loosely applied to increasing specialization and transferability of skill, the proliferation of objective standards of work, the spread of tenure arrangements, licensing, or certification, and the growth of service occupations" (Wilensk, 1964, p.137).

Professional standards serve as the guiding framework for professionalization. According to Wilensky, the process of professionalization requires accredited training, reputable professional association, protection of members' job territory, and formal code of ethics to ensure quality of membership and service (1964). The key difference between occupation and profession is that professionals are those who have received specialized education and training, equipped with field-specific knowledge and skills, and practice their occupations based on a set of collectively recognized standards (Larson; 1977; Collins; 1979; DiMaggio & Powell; 1983; Elmore, 2007).

Some institutional theorists argue that standard-based professionalization inserts "normative pressure", the need to create collective norms for the occupation, and in turn propels isomorphic organizational change – a perspective stems from the theories of Larson (1977) and Collins (1979), and elaborated in full by DiMaggio & Powell (1983). Here professionalization is interpreted as "the collective struggle of an occupation to define the conditions and methods of their work . . . and to establish a cognitive base and legitimation for their occupational

autonomy" (p.152).   In other words, with professional standards, the process of professionalization aims to elevate an occupation to the next level.

However, we do not yet know if this is the case in China. Is there a professionalization movement emerging? Is it driven by the needs for legitimacy and autonomy? Cheng (1995) and Hallinger and Leithwood (1998) have argued for greater cognizance to be taken of societal culture in studies of educational leadership and educational administration. Dimmock (2000) defines the notion of culture as "the enduring sets of beliefs, values and ideologies underpinning structures, processes and practices which distinguish one group of people from another. The group of people may be at school level (organizational culture) or at national level (societal culture)" (p.146). Therefore, the role of the superintendency must be examined in the cultural and historical context and with the impact of political and societal forces taken into consideration.

The Chinese "Superintendency"

To understand the challenges and opportunities faced by the educational administrator that have comparable jurisdiction to that of the U.S. superintendent, we first examine the existing structure of central and local educational administration, then review the changing role of the Chinese "superintendent".

Definition of Superintendency in China

China has traditionally been a centralized nation. The Chinese educational system is equalized centralized as a major function of the government. Division of administrative authorities largely parallels how the overall governance is structured. As indicated in Figure 1, there are four-five levels of hierarchical administrative authority. At the highest level, the

Ministry of Education is the central government's chief branch that sets educational policies and strategic goals for formal schooling. At the next level is the bureau (or commission) of education for 24 provinces, five autonomous regions, and four metropolitan municipalities (Beijing, Shanghai, Tianjing, and Chongqing) directly under the central government. There are 31 in total[1]. At this level, bureaus of education are to interpret and enact Ministry of Education policies and allocate financial resources. Further down the hierarchy is the level of administration – county-level bureau of education – directly responsible for providing basic and secondary public education as a school system (shadowed in Figure 1). There are 2862 of such county bureaus as of 2008 (Liu et al., 2007) serving as the education branch of county government. The head of the local bureau that is in charge of all major functions of providing schooling within the jurisdiction[2], called "the education bureau chief" or the "education director", is the superintendent of the local education system.

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[1] Since 1999, Hong Kong and Macao became two special districts of China. They are not included in this paper due to the distinctive nature of their education systems.
[2] Notice that some counties are still under the city-level bureaus of education (shaded in Figure 1), which is a complexity with old governance structure that won't be dealt with in this paper.

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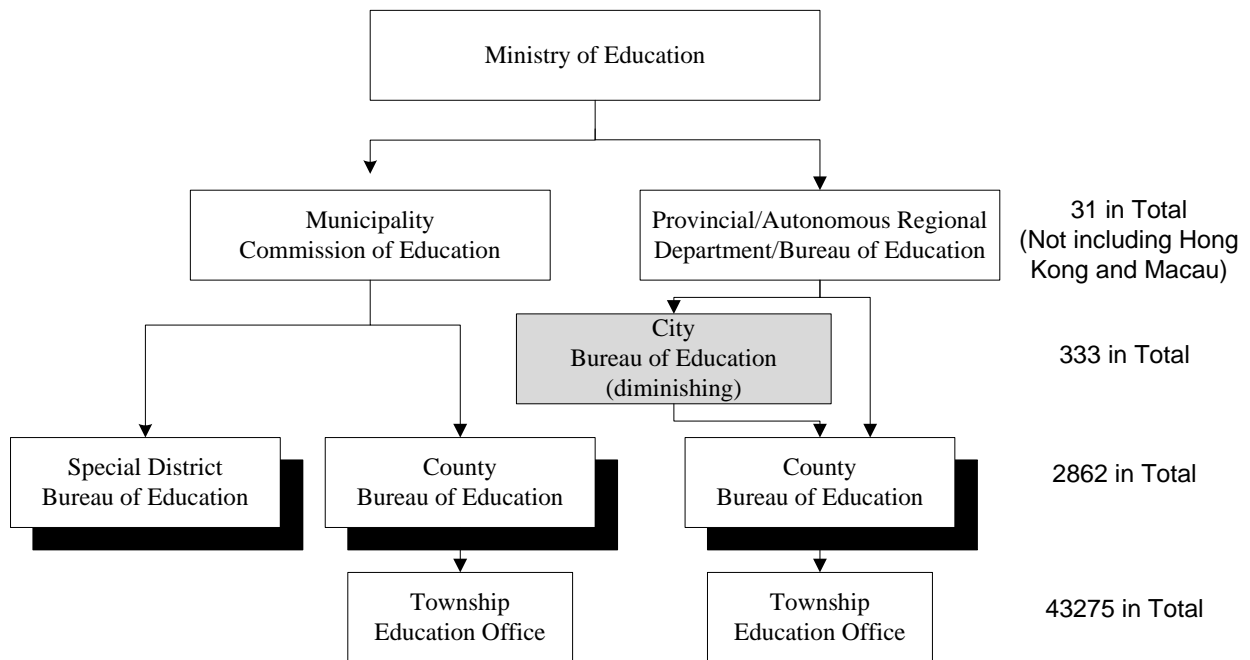
Figure 1: Administrative Structure of the Chinese Education System

Although the Chinese superintendent share the title with his/her counterpart in the United States, there are three key features to the existing administrative structure that are unique in the Chinese context: (a) The function of educational administration exists *within* the centralized government configuration. (b) Educational administrators are ranking governmental officials. (c) Fiscal and personnel management of the school system is controlled by other branches of local government. These structural characteristics have significant ramifications. They set parameters around the positions such as qualification, selection, career path, authority, and responsibility (Li, 2007; Liu, et al., 2007), which will be visited in the follow sections of this paper.

The Changing Role of Chinese Superintendent

Chinese superintendents are typically appointed by the municipal government and receive civil service rankings. Their responsibilities, promotion and evaluations were based on similar

rules that apply to other government officials. Stipulations about government personnel policies clearly indicated that the superintendents' main responsibility is to follow the instruction of the provincial and regional government offices, which received their guidelines from the central government in Beijing (Chinese Communist Party Central Office, 2002). Loyalty in implementing government and party policies was the key area of concern according the stipulations. Effectiveness in managing the school and ensuring education quality were vague concepts. Similarly, teachers, students and parents were rarely mentioned (Huang, 2004).

Although the belief that school administrators are representatives of the governing authority is deeply rooted in the Chinese value system, it is becoming increasingly clear that school superintendents as government officials can no longer serve the needs of the education community and respond to the societal needs. At the macro socioeconomic level, the trend of reforms towards decentralization, marketization and diversification in education has become more and more important in the Asia-Pacific region, particularly when most countries are suffering from the limitation of resources to expand their educational services to meet the diverse and increasing demands of education (Cheng, 2002). Chinese education experienced a radical transformation since 1949, with the founding of the People's Republic of China. Access to higher levels of schooling was purportedly based on merit, particularly on performance in examination. However, government spending on education was persistently low, both in terms of national-effort and fiscal-effort indicators (Tsang, 2002). Economic reform policies since 1978 have also contributed to substantial and even widening economic disparities across areas and regions in the countries (World Bank 1998; Li & Zhao, 1999) and in disparities within education (Tsang, 1994). With universal nine-year compulsory education largely accomplished in most of the areas in China (Ministry of Education, 2005), the focus of educational policy was shifted

towards the expansion of upper-secondary education and to improving school conditions in many rural and poor regions. Beyond the efforts to increase educational access, all eyes are on the new educational reform calling for "quality-oriented education" that is mandate by the central government (State Council, 1999, 2001).

At the system level for the superintendents, the reform presents opportunities and challenges that are manifested in the following areas:

Broaden educational goals beyond academic achievement – The concept of "Quality-oriented education" can be traced back to the Confucius educational philosophy with the idea of educating the *whole* child, embodied by moral values, physical and mental health, and intellectual development (Wong, 1998). However, such holistic approach of student development is exceedingly difficult to implement and assess. The reform calls for systemic change that involves the transformation of virtually every step of the current educational process.

Empower Students, Teachers, and Parents in Learning Decisions – Rather than relying on bureaucracy, schools are called to cultivate the professional force of educators. Decision-making authority will need to be distributed and shared, and participation and collaboration are the desired mode of school operation. In other words, new types of relationships that are based on shared vision and can foster innovation and improvement are needed among students, teachers, and leaders. However, distributed leadership (Spillane, 2006) is a difficult concept to take root in the Chinese culture.

Provide Systemic Support for School-Based Management – Decentralization is a global trend that aims at stimulating competition, attracting diversified funding, and more importantly, encouraging innovation and customer-centered services with local autonomy and ownership (Bray, 1999; Astiz, Wiseman, & Baker, 2002). With schools in China becoming more

decentralized, market-orientated and diversified, they are facing more accountability demands from local government and communities. However, most of the school systems and their leaders lack the capacity and systemic support to benefit from the newfound autonomy.

Consequently, in some regions of China, local governments initiated small-scale elections for school superintendents that are open to the general public based on qualifications and interviews by locally formed committees, although these elections are not system-wide and the vacancies are mostly for assistant superintendent positions (People's Daily, 2007). The research and professional development community, mainly publicly funded universities and government institutions are grappling with the challenging of training a new generation of administrators. They point out that the existing system has several detrimental effects on school management. First, traditionally appointed educational officials have the strong tendency to treat the schools as an extension of the government and manage the school with top-down approaches. Second, the authoritarian nature of the position creates an atmosphere in the school community that gives little consideration of the teacher professional community and student-centered instructional focus. Third, because only seniority matters most as officials, they rely on their prior experiences to manage their schools, without additional training and support to enhance their knowledge, ability and techniques as leaders in education (Huang, 2004).

Timing for professionalizing high-level educational administrators has never been better and the need never more urgent. As the Chinese society gradually opens to the global market and with the momentum of economic reform, the tight control over the education system is relaxed. The decentralization of governance, the need for diversified financial resources, the ever intensifying competition among schools and their students for access to higher education, and the demand from an increasingly global job market for talents that are not just book-smart,

all these factors combined pushed the necessity of redefining the role of educational administrators to the top of the educational policy agenda.

As a part of the policy analysis commissioned by the Ministry of Education, eight elements were proposed as key to professionalize educational administrators: (a) long-term specialized training; (b) comprehensive knowledge base; (c) respected ethic code; (d) clear professional practice guidelines; (e) rigorous qualification requirements; (f) professional autonomy; (g) relatively high social esteem and income level; and (h) established professional organizations (Chu, 2003).

While advocates and researchers in China are painstakingly substantiating the urgency to develop a new generation of educational leaders, research interest on superintendents is only sprouting and very little scholarly work can be found. In seeking theoretical and empirical evidence of the positive impact of professionalization in education administration, Chinese policy-makers and researchers found it beneficial to look into the paths that have been traveled by their counterparts in other countries.

Superintendency in the United States

Across the Pacific, the stakes of having effective educational leaders are high in the climate of system-wide accountability. American public schools are charged with the daunting tasks of improving student achievement and closing performance gaps among groups within an increasingly diverse student population (Catano & Stronge, 2006; Portin, Feldman, & Knapp, 2006; Thomas et al., 2000). For the 15,000 or so school districts in the United States, the superintendents are at the forefront of this charge. Although deeply rooted in history of U.S. public education, the role of the superintendent is evolving. In this section we focus on the

current context within which the superintendents serve and the role of professional standards in this transformation.

The Evolution of Superintendency in the U.S.

From being seen as a manager to ensure the efficient running of the schools to taking on the responsibility of an instructional leader, the historical development of the superintendency in the recent decade largely reflect the growing focus on academic achievement and the preparation of students for the rise of international competition (Grogan & Andrew, 2002). This impetus has become ever more intense under the 2001 enactment of No Child Left Behind (NCLB) that mandates accountability through the development and implementation of state and national performance standards and high-stakes testing.

Although the rhetoric of making changes to schools is hardly new, never before have the effectiveness of schools been so closely monitored and measured by quantifiable standards across schools, districts and states. Compared with the other waves of school reform that all emphasize accountability, the current reform efforts have the "important features" that include the emphasis on the development and use of ambitious contend standards as the bases for assessment and accountability; the emphasis on setting demanding performance standards and on the inclusion of all students; and the attachment of high-stakes accountability mechanisms for school, teachers, and sometimes, students (Linn, 2000).

Thus, the job expectations of the superintendency expanded once again to include the capacity to generate broad-based community support for whatever reform efforts were developed to increase student achievement. And just like the principalship (Knapp, Copland, & Talbert,

2003; Murphy, Goldring, Elliott, & Porter, 2006), a greater emphasis was placed on the superintendent's role in instructional leadership (Grogan, 2000).

A prominent governance feature of the U.S. school districts is the publicly elected school board and its role of hiring and overseeing the work of the superintendent. By design, the superintendent is given the authority and responsibilities to shape and implement policies and strategies that are deemed effective and suitable for the schools in the district. While this locally-driven structure is still in place in a majority of the U.S. school districts today, the increased expectations for the superintendents since the 1990s were accompanied by a loss of positional power (Grogan & Andrews, 2002). Superintendents found themselves much more at the mercy of policy makers than ever before. During this decade, state and local bureaucracies gained more control and influence over public education. These perceptions encouraged various citizen groups to seek input into educational policy making (Berends, 2004). At the same time, the charter school movement, privatization of public education services and management, and state or mayoral takeovers of school board functions also contributed to the erosion of superintendents' authority and policy-making leadership (Glass et al, 2000).

Most recently, both the superintendency and the principalship have been characterized as enormously challenging positions. Not only are superintendents compelled to look outward as the earlier criticisms suggested, but they are also expected to be knowledgeable of all facets of education within the district. School administrators are expected to focus their schools on student learning, yet children come to school less prepared to engage in learning activities. The breakdown in communities and family structures places enormous pressures on children, out-of-school demands compete for learning time, and teachers operate on outdated notions of instruction (Sharp, 2003; Cooper et al, 2002; Grogan & Andrews, 2002). Therefore, while the

external mandate and pressure of accountability on the public education system have made

identifying and developing competent and skillful school administrators an unquestionable

priority, there is a great need to strengthen professional status and legitimacy. The push for

professionalization comes from the superintendents themselves and the entities that provide

training.

Standard-Based Professionalization

In United States, standard-based criteria for the superintendency are well established and

to a varying degree incorporated into the practice of preparing, licensing, and developing

administrators (Hoyle et al., 2005).

The impact of professionalization on organizational effectiveness and efficiency is a very

complex issue, for which scholars and practitioners alike hold diverse and sometimes opposing

views. Despite the difficulty in identifying educational leadership domains due to the

complexity of the work (see Glasman & Heck, 1992; Hart, 1992; Marcoulide, Larsen & Heck,

1995; Huff, 2006; Oyinlade, 2006), various approaches to the dilemma have been attempted,

such as using specific job tasks or lists of responsibilities (Ginsberg, 1992), or to define key

competencies, knowledge and skills that educational leaders should possess (Thomas, Holdaway

& Ward, 2000).

In an attempt to define the profession of the superintendency, the American Association

of School Administrators (AASA) established a commission that developed a set of eight

professional standards and a corresponding set of competencies (AASA, 1993). They are:

leadership and district culture, policy and governance, communications and community relations,

organizational management, curriculum planning and development, instructional management,

human resources management, and values and ethics of leadership. These standards are intended "to reflect changing realities of public schooling and superintendent leadership roles, reform superintendent preparation enterprise, focus staff development, provide criteria for reemployment and continuing performance evaluation, and guide state licensure, superintendent evaluation, and regional and national program accreditation" (Holye et al., 2005, p. 11)

Following the establishment of the AASA standards, the Interstate School Leaders Licensure Consortium (ISLLC) standards integrated the AASA performance standards and several other sets of professional standards for school administrators (Council of Chief State School Officers, 1996). The six ISLLC standards cover the leadership domain of (a) vision of learning, (b) school culture, (c) management of the organization, operation, and resources, (d) collaboration with family and community members, (e) ethics, and (f) influence in larger contexts (CCSSO, 1996). The ISLLC standards have recently been updated to reflect the "new information and lessons learned about education leadership" (Council of Chief State School Officers, 2008, p.1).

The AASA standards for the superintendency, although establish much earlier than the ISLLC standards, are considered by some to have a closer connection to the role of superintendent than the ISLLC standards (Hoyle et al., 2005). The National Policy Board advisory group for the Education Leadership Constituent Council (ELCC), for example, pointed out that the ISLLC standards were limited in their scope and their skill and knowledge base for system administrators (Hoyle, 2005 citing National Policy Board for Educational Administration minutes in 2000). The AASA standards focus on strategic elements of superintendents' work while the ISLLC standards may be more suitable for principals at the school level. Professional standards should differentiate these two levels when possible.

Regardless of the specific target audience of the standards, when coupled with professional responsibilities, standards offered by AASA or ISLLC provide a framework for defining the role of educational administrators and serve as a basis for measuring and developing necessary knowledge and skills for their jobs. More importantly, these standards mark an unambiguous shift away from management to leadership for learning (Hoyle et al., 2008).

In 1999, the Virginia General Assembly took standards setting to the next level when it enacted legislation requiring uniform performance standards be used by local school boards in evaluating superintendents (DiPaola & Stronge, 2002). A 2000 survey by the American Association of School Administrators found that the Standards for the Superintendency (AASA, 1993) were reflected in materials collected from all states for superintendent evaluation procedures, guidelines and instruments issued by state departments of education. According to the Council of Chief State School Officers, many states have either used the original Interstate School Leaders Licensure Consortium (ISLLC) Standards in part or in their entirety to guide education leadership policy planning and decisions (Sanders & Simpson, 2005).

The 2000 study by AASA of the superintendency found that the criteria most frequently used to evaluate superintendents were "periodic/systemic accountability" and "assessing performance of district attempts to met standards" (DiPaola & Stronge, 2002), indicating that the national trend of high-stakes testing has had an impact on how superintendents are being evaluated.

However, the adoption of standards does not necessarily equate to full enactment and integration of such standards into the professional practice. While professional standards for educational leaders are widely adopted in most of the states, the manner in which they are incorporated varies greatly. Many states lack well-documented requirements or guidelines for

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evaluating superintendents, and advocates for superintendent professionalization still face the changes of aligning preparation, development, and evaluation components with the standards (DiPaola & Stronge, 2002; Cooper et al., 2002).

Professional Standards as a Framework for Comparative Learning

Our review of current policy contexts shows that professionalization movements in the United States and China are taking place under very different conditions. One apparent difference is in the governance structure. Superintendents in the U.S. operate in a locally-driven policy environment and report to a school board elected by the general public with term limits, while Chinese superintendents are life-long civil service employees of the municipal government in a centralized system. However, this contrast is becoming less stark. Increasingly U.S. superintendents have to be more accountable to federal and state standards and the Chinese superintendents find themselves with more autonomy and at same time facing higher pressure to rely on their own leadership skills and actions.

The second difference is in the focus of national educational reform. The Chinese reform for "quality-oriented education" presents a seemingly reverse policy direction of what is taking place in the United States. Since passage of NCLB, the issue of Adequate Yearly Progress (AYP), the academic proficiency standards that all public schools have to meet annually, has dominated education policy debate. There are those who see adequate yearly progress, or AYP, as the vehicle through which the federal government will finally foster quality education in America's public schools. There are almost as many individuals, at least according to popular polls, who view AYP as the tool opponents of public education will use to dismantle our

traditional system of public schools. In the U.S., researchers and educators point out that under the NCLB Act, there is a growing focus on student *academic* learning because the core challenge facing America's schools, especially urban schools, is improving student achievement and decreasing the achievement gap. School leadership, especially instructional and transformational leadership, is widely recognized as important in promoting processes and conditions such as rigorous academic standards, high-quality instruction, and a culture of collective responsibility for students' academic success (Goldring & Cravens, 2007; Murphy et al., 2007). The focus on *social* learning, however, is not at the forefront of the new accountability system, at least in terms of performance standards and widely publicized "report cards" (Burroughs, Groce & Webeck, 2005; Rothstein, 2004).

The third difference resides in the forces that drive for professionalization. In the United States, the main forces that drive professionalization are generated by professional associations and training entities. Professionalization in an occupation, such as the case in the superintendency, is a form of collective rationality aiming at securing and strengthening the role of the membership. In addition to university-run training and state-regulated licensure requirements, professional networks that span organizations and diffuse new models are also vehicles for the definition and promulgation of normative rules about organizational and professional behavior (DiMaggio and Powell, 1983; Elmore, 2007). Interestingly, in China, the push for professionalization come from government-run training entities that are commissioned by the central government for educational policy planning and implementation (Chu, 2003; Liu et al., 2007). We see a purposeful government exercising out of necessity to improve its leadership force in order to maintain the competitiveness of the country as a whole (Mok, 2009).

The concerns over intellectual imperialism and the damage that may be caused by wholesale importation of theories and practices are real and of merit (Hallinger & Leithwood, 1996). On the other hand, cross-cultural learning of educational theories and practices is an inescapable global trend. Between the U.S. and China, an increasing number of young researchers are being trained in leading U.S. institutions and eager to apply the acquired knowledge at home (National Center for Education Development Research, 2008). Every year the Chinese government sends cohorts of public administrators to U.S. universities for professional development, among them school principals and system-level superintendents (Cong, 2007). The more meaningful question is: How can we maximize the benefit of learning across distinctive educational settings?

Heck noted (1996) that this is only possible if we can investigate and understand the extent to which leader behaviors are culturally common or culturally specific across context. Not only may the particular leadership frame being emphasized vary culturally, but the same frame may have different meaning within different cultures. Therefore professional standards based on leadership theories and research findings must be examined with great care in validating the content coverage and conceptual concepts cross-culturally (for an in-depth treatment of this issue, see Heck, 1996).

The Chinese and U.S. reforms are heading toward the common goal of improved student learning but are at different starting points, with different emphases, and under different conditions. The contextual differences lead us to pondering the impact of the affordances and constraints of reform in the existing culture – while players at different levels of administration may share the object and outcome, the reform action will inevitably led to changes in the roles, norms, and membership, and their role definitions in the system (Ng, 2008). The efforts that

U.S. education community has made in the recent decades toward professional standards have the potential to benefit the Chinese reformer, not as a best-practice model, not as an object of cross-cultural borrowing, but as a framework for comparison and for meaningful dialogues. With this framework, one can assess which elements and the extent to which the exiting standards, generated in one setting, are shared both in concept and in practice in a different setting. Here the framework is used as a tool to discover the cross-cultural convergence and divergence, and to shed light on the relevance and utility of the referenced standards.

Method

We employ multiple methods and data sources to triangulate the viability of introducing professional standards to the Chinese superintendency. Specifically, we use a three-step approach involving two surveys and one round of focus group study (Figure 2). We administered two surveys to two different groups of Chinese Superintendents that attended their annual training sessions at the National Academy of Education Administration in 2007. The first survey aims at getting a current snap shot of the job profile for the Chinese superintendency. The second survey takes the understanding of the Chinese superintendency further by providing a comparative analysis between a set of U.S. standards and the functions and priorities as perceived by Chinese superintendents. Lastly, the findings from the two surveys were presented to a small number of the superintendents from each survey group. The focus group study provides more insight on job profile of superintendents, the reasons behind the perceived convergence and divergences in standards, and the readiness for professionalization.

Sampling and data collection for this paper took place as the result of a collaborative research effort with National Education Administrative Academy (NAEA). NAEA is the Chinese government's centralized training arm for system-level educational administrators including country superintendents, bureau chiefs at the provincial level, and university presidents nationwide. Superintendents in China are required to attend training offered by NAEA once every five years. Training topics focus largely on policy and stipulation updates, but with increasing management and technical competency emphasis in recent years (Cong, 2007). Attendees are selected each year with a rotation process where a set number of slots are given to each province-level bureau of education to ensure proportional share of opportunities among counties. Therefore, although not selected through a true randomization process, superintendent attendees in each cohort represent local counties with a full range of diversity in county size, economic conditions, and student population.

Survey 1
Superintendency Job Profile

Purpose: Understand the current state of Chinese superintendency

N=124, February 2007

Survey 2
Superintendency Standards Alignment

Purpose: Identify convergence and divergence of AASA Standards with the functions and priorities of Chinese superintendency

N=120, April 2007

Focus Group

Discussion of Two Survey Results

Purpose: Provide in-depth explanation of job profile; offer insight on the comparison of standards, and the readiness of professionalization
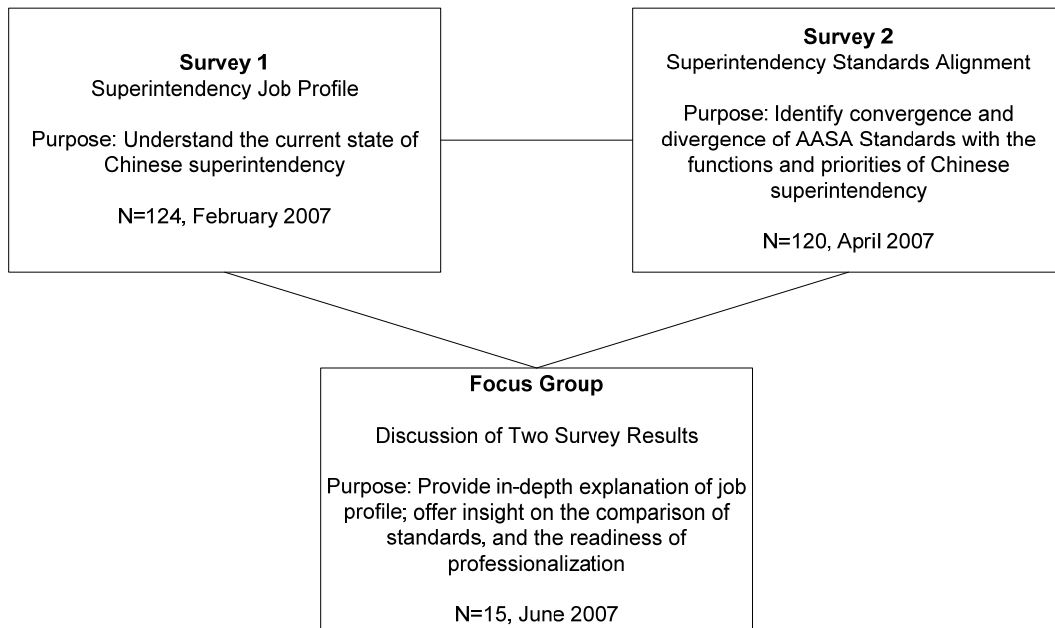
N=15, June 2007

Figure 2: Study Design

Each study component is described separately to cover its sample, instrumentation, and data analysis in the sections that follow.

Survey 1: Superintendency Job Profile

Sample: The survey was administered to all of the superintendents that participated in the first-Quarter 2007 training at NAEA. One hundred and forty (140) surveys were issued, 124 were valid returns (88.6%). Participants are from 28 provinces or autonomous regions. Among the counties, a full range of local economic conditions were represented, from very developed (9%), developed (16%), developing (36%), to poor (39%).

Instrumentation: The first survey instrument, *Superintendency Job Profile Survey*, is comprised of 40 multiple choice items developed jointly by the authors with a team of faculty members at NAEA. The multiple-choice format was used for categorical coding of the results and to lessen the burden of survey on the participants. It was written in Chinese (see Appendix I). The 40 questions are divided into three domains on aspects related to the "state" of superintendency in China: (1) qualifications and experiences; (2) knowledge, skills and abilities; and (3) core functions and responsibilities of the occupations.

Data Analysis: The Analysis is descriptive in nature for the purpose of illustrating the three aspects related to the "state" of superintendency in terms of norms and irregularities.

Survey 2: Superintendency Standards Alignment

Sample: The second survey was administered to another group of superintendents that were attending the second-quarter training at NAEA in April 2007. The return rate for the second survey is 74%. Of the 120 surveyed, 96 filled out the survey and 89 were complete.

Participants are from 25 provinces or autonomous regions. Similar to the first group, among the counties, a full range of local economic conditions were represented, from very developed (15%), developed (16%), developing (43%), to poor (26%). This survey is administered to a different group of superintendents to reduce the survey burden of the first group, also to tap the feedback from a wider sample for triangulation of results.

Instrumentation: This survey is based on direct translation of the Professional Standards for the Superintendency that was established by the American Association of School Administrators (AASA) in 1992.

A three-step procedure will be used for the translation of the AASA standards to ensure linguistic equivalence: initial translation, back-translation by a second party, and independent evaluation by a third language expert (Widenfelt et al., 2005). Several items were slightly modified only for better clarification purposes so that the standards and their indicators remain the construct equivalent.

The survey includes the eight AASA standards, each comes with a set of indicators of "what a superintendent should know and be able to do" (AASA, 1993, p.9). On a Likert scale of one to five, the Chinese superintendents were asked to rate each item on two dimensions: (1) Relevance: the extent to which it is a part of his or her current position, and (2) importance: the extent to which it is import to his or her school district (see Appendix II).

Data analysis: Three indices are included to establish preliminary content validity of the AASA standards: a) The average ratings among survey respondents for each indicator; b) the results of using a criterion model to gauge the average indicator ratings – a rating larger than 3.5 is selected as the cutoff for significant level of congruence in either current job responsibilities or assumed importance; and c) internal consistency analysis, using Cronbach's alphas and inter-

item correlations, which measures correlations between individual indicator ratings and the total of all individual ratings supporting the same standard. These indices provide useful although preliminary evidence regarding the extent to which the eight core standards and their indicators identified by AASA (1993) reflect the responsibilities and priorities of the Chinese superintendency.

Focus Group

Participants: Twenty Chinese superintendents, 10 from each survey group, were invited to be in the focus group. They were identified by the research team with a stratified randomization process to represent the four economic development levels of counties. Fifteen superintendents were able to participate, eight from the first survey, and 7 from the second survey. Five U.S. superintendents joined the conversation on the second day as a part of a U.S. – China leadership exchange forum.

Format: The results of the two surveys were presented to the focus group for a two-day discussion. The discussions were structured to focus on the two common themes for professionalization: (a) performance accountability and professional norms and legitimacy, and (b) governance structure and educational reform direction. Detailed notes from the discussions were analyzed and summarized.

<div align="center">

Findings

</div>

Survey One

The *Superintendency Profile Survey* covers three areas about the superintendency: (1) qualifications and experiences; (2) knowledge, skills and abilities; and (3) core functions and

responsibilities of the occupations. The types of districts represented by the survey respondents are diverse in the sample.

Indication of Strong Qualification and Experience in Education

Information reported by the sampled superintendents indicates the following collective characteristics: First, there are a significant number of superintendents that were relatively new (one to three years) to the job (63%). This is especially noticeable in smaller and economically disadvantaged district. Second, a majority (78%) of the superintendents had formal education that is at or higher than the bachelor degree level. Having a bachelor degree was the norm, at 65% of the total, while only 13% had master's degrees and only one out of 124 was a Ph.D. Third, superintendents came from three main work backgrounds: school principals (29%), other areas of educational system (20%), and governmental positions outside of education (26%). About 90% of the superintendents surveyed believed that it was very important to have experiences related to the field of education. Academic preparation and teaching experiences were also considered as essential qualification requirements by the superintendents.

Weak Evaluation Mechanism to Capture Core Knowledge, Skills and Abilities

Superintendents in the sample considered strategic planning, communication, coordination, implementing reform initiatives, and creative thinking as key to successfully fulfill their responsibilities. About 50% of the superintendents reported being held accountable to one or a combination of the four performance appraisal formats: a) provide regular reports to the higher level officials just as other governmental departments; b) receive examination of job performance by their direct supervisors; c) provide reports to local community; and d) provide updates to all educational employees in the school district. However, these performance

measures were informal in nature. Only about 20% of superintendents reported having formal evaluation systems in place for school principal evaluations.

Demanding Job with Insufficient Systemic Support

The surveyed superintendents identified their top four major responsibilities as: coordinating educational delivery in the district, allocating and managing financial resources, providing instructional guidance and monitoring, and building relations with all other relevant external entities. The respondents pointed out that their top concerns are in four areas: building teacher capacity, securing financial resources, promoting equality in education, and enhancing student character-building and morale. The most time-consuming task, according to the superintendents, was to secure sufficient funding for the district for infrastructure and improvements. This concern was particularly prevalent among superintendents from less developed regions in China.

Importantly, 57% of the superintendents saw the need to push for educational reform so that the system is centered on learning. Many of them believed that true change would require major shift in management philosophy and structure, where the top-down bureaucratic control had to make way for democratic and team-oriented decision-making processes. Getting sufficient feedback from the general public was considered a valued way of building an effective school system by nearly 70% of the superintendents. However, only about 14% of them listed formal mechanisms to support such belief. More than 30% of the superintendents supported the bottom-up approach of managing the district and implementing district priorities. About the same number of superintendents also advocated the approach of empowering staff with vision and support. However, 80% of the superintendents pointed out that implementing any new

leadership models might be far from foreseeable reality in their districts, largely due to decades

of institutional bureaucracy and resistance to change by career governmental employees.

Survey Two

Table 1 and Table 2 provide summaries of how the sampled superintendents reflected on

the standards and indicators for the American superintendency in terms of *relevance* to their

current positions and *importance* of such standards to the success of their school districts.

High Consistency on Ratings

Overall, we see that the Chinese superintendents in the sample consistently rated the

AASA standards as relevant to their current cope of work and also important to the success of

their school district. With only a few exceptions the eight standards received average ratings

between 3 and 4 for both relevance and importance on a Likert scale from one to five (1=low and

5=high). The standard deviations were consistently below 1.0. Cronbach's alphas for the eight

standards formed by multiple numbers of leadership indicators were sufficiently high, ranging

from 0.78 to 0.93 for relevance, and from 0.74 to 0.93 for importance. In addition, we also

included inter-item correlations to check how much each item contributes to the scale as an

additional measure of within-scale internal consistency. All of the average inter-item correlation

coefficients were above the appropriate value of 0.40 (Ascher-Svanum, 1999). The Cronbach's

alphas and the inter-item correlations indicate that the superintendents in the sample provided

consistent responses to the 78 competency indicators of leadership that constructed the eight

AASA standards, adding an important aspect of empirical evidence for the content validity of the

standards.

Table 1: The Relevance of AASA Standards to Chinese Superintendents' Current Scope of Work

(N=89)

AASA Standards	Number of Competencies	M	SD	Cronbach's alpha	Range of Inter-item Correlations
Leadership and District Culture	14	3.65	0.50	0.83	0.54-0.66
Policy and Governance	5	3.78	0.63	0.78	0.66-0.80
Communications and Community Relations	17	3.73	0.55	0.91	0.47-0.78
Organizational Management	5	3.62	0.65	0.91	0.57-0.80
Curriculum Planning and Development	10	3.46	0.66	0.91	0.63-0.84
Instructional Management	12	3.40	0.64	0.93	0.62-0.86
Human Resource Management	9	3.27	0.65	0.90	0.52-0.83
Values and Ethics	6	3.85	0.63	0.85	0.64-0.72

Table 2: The Importance of AASA Standards to District Success
as Perceived by Chinese Superintendents (N=89)

Standards	Number of Competencies	M	SD	Cronbach's alpha	Range of Inter-item Correlations
Leadership and District Culture	14	3.83	0.55	0.87	0.49-0.74
Policy and Governance	5	3.86	0.61	0.74	0.56-0.76
Communications and Community Relations	17	3.84	0.54	0.91	0.50-0.76
Organizational Management	5	3.83	0.61	0.9	0.61-0.79
Curriculum Planning and Development	10	3.74	0.62	0.91	0.58-0.83
Instructional Management	12	3.65	0.61	0.93	0.60-0.80
Human Resource Management	9	3.56	0.65	0.90	0.66-0.80
Values and Ethics	6	3.99	0.63	0.85	0.69-0.78

Variation among Ratings on Importance and Relevance

To further investigate the alignment between the AASA standards and Chinese superintendency, Figure 3 illustrates how the average ratings of the eight standards for both dimensions compare among themselves in terms of relevance to the current scope of work and importance to the district. We see that the average ratings for the importance appear to be consistently higher than what are reported on how much the superintendents are engaged in the activities in their own jobs. Such differences between the two dimensions are more noticeable among the three standards that have relatively lower average ratings for the job relevance dimension: human resource management, instructional management, and curriculum planning and development.
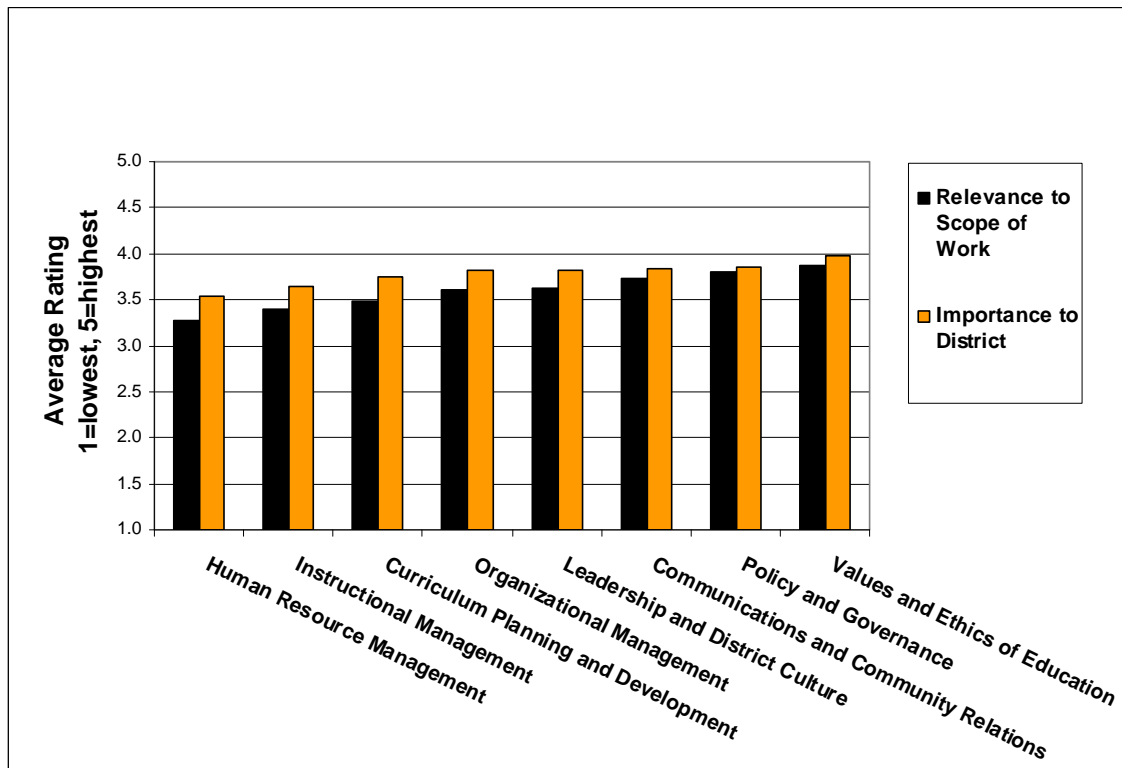
Figure 3. Relevance and Importance of AASA Standards to the Chinese Superintendency (N=89)

To measure the intensity of Chinese superintendents' perception on the "reality gap" between what are being done and what are considered important to their districts, we set up a criterion model based on the range of the results, selecting 3.5 as the cutoff average rating to identify the indicators that are at a more-than-average level. The proportion of competency indicators above 3.5 within each standard is obtained for both relevance and importance. Because the indicators make up the standards, the higher the proportion of high ratings within each standard, the stronger this standard reflects either relevance or importance by the Chinese superintendents. The comparison between the two dimensions therefore provides a closer look at how much Chinese superintendents are currently directly engaged in activities that are considered as important to their districts (Figure 4). For example, while the superintendents consider all 12 (100%) of the competency indicators for curriculum planning and development as important (above 3.5 on the rating scale) to their districts, only 3 out of the 12 (25%) of the indicators received average ratings above 3.5 for high engagement in curriculum-related tasks. The largest and very observable gaps, as seen in Figure 4, are for the three previously identified standards: human resource management, instrument management, and curriculum planning and development. On the contrary, there are only minuscule or nonexistent gaps between the two dimensions for the rest of five standards. The variation of the "reality gap" among the eight standards between what is being done and what is perceived as important presents an interesting picture of the extent to which each AASA standard align with the Chinese superintendency on these two dimensions. Based on this picture, while there is a stronger alignment for all the standards on their importance, the standards related to instruction, curriculum and human

resources are much less aligned as compared to the standard for values, ethics, culture, policy
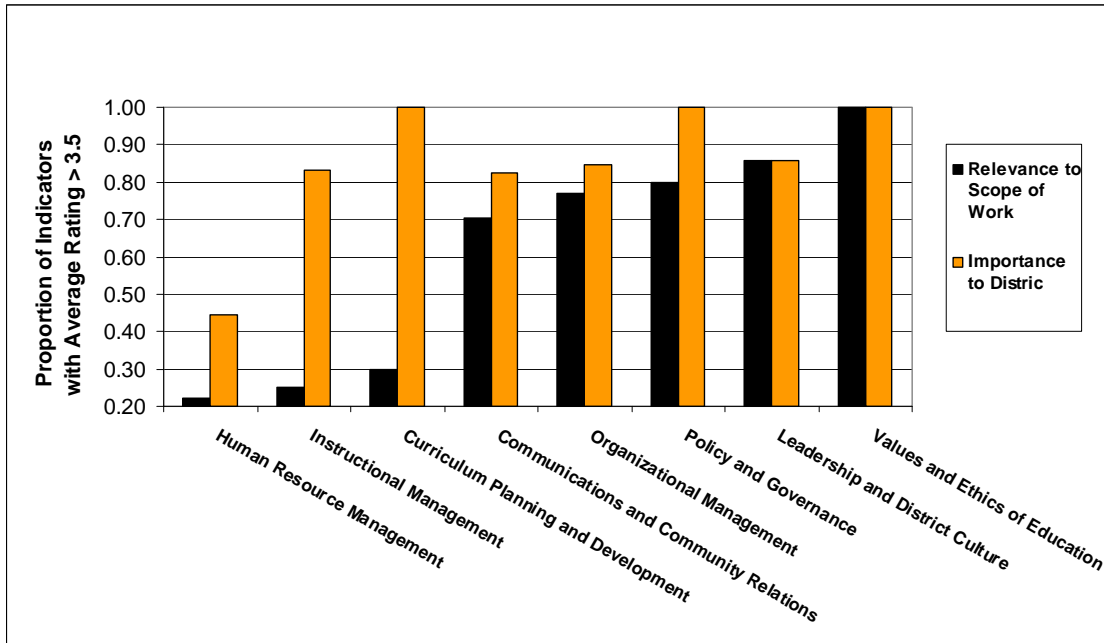
and governance in terms of relevance,

Figure 4. AASA Standards "Reality – Gap" Analysis (N=89)

Focus Group

During the focus-group discussions, selected questions based on the findings of the two

surveys were asked to the participants, which provided additional clarification and insight on

professional standards for the superintendency in both countries.

Functions and Responsibilities

The feedback by the participants largely confirmed the common themes identified by

literature and policy review with lively testimonials. In recognizing the differences in

governance structure, American superintendents emphasized that as much as curriculum and

instruction are considered as classroom teachers' territory, it is the responsibility of the district

administration to ensure that there is ambitious academic content provided to all students in core

academic subjects and there are effective instructional practices that maximize student academic

and social learning. The Chinese superintendents, on the other hand, pointed out that curriculum

standards and instructional materials were based on national standards and central planning.

With the pressure of the existing national examination system, there is little room for

superintendents to insert their influence on instructional decisions taking place in schools. When

the superintendents compared their typical daily routines and summarized their major tasks,

Chinese superintendents reported spending more time on administrative meetings unrelated to

education, securing financial support for schools, and less time on visiting schools, meeting with

faculty, and providing guidance on teaching and learning. For example, among the 15 Chinese

superintendents, 11 reported that they were responsible for raising funds for the school systems

with quotas ranging from approximately $400,000 to $9,000,000 depending on the size of the

county and local economy.

These discussions further validated the findings of the "reality gap" from the alignment

analysis. On human resource matters, to the surprise of their U.S. counterparts, the Chinese

superintendents explained that typically personnel decisions were handled by a separate

department of the county government and were largely out of the direct control of the

superintendents. However, it was also pointed out that such management structure had been

gradually modified especially in more developed cities so that the districts would have more

autonomy in hiring and firing.

Reform Priorities and Reality-Gap

The most insightful discussions occurred when discussing the educational reform directions of NCLB in the U.S. and the "quality-orientated education" in China. Superintendents compared the push for academic learning by NCLB with the refocus of social learning by the current Chinese educational reform, and discussed the impact of performance accountability mandates on their role as superintendents.

Each participant studied the terms used in the alignment survey and shared their understanding of the key concepts. For example, the term "learning" has connotation that combines the meaning of studying and developing when translated into Chinese. Consistently the participants emphasized that it was important to include the concept of developing and not just the focus on studying for high test scores. But the latter was more of a priority for Chinese schools and students. Chinese superintendents asked if there was an intended focus for this component in the U.S today: "Are both academic and social learning equally important, or the focus was more on academic achievement?"

With more questions than answers, participants pinpointed the issues that are at the center of a transforming policy environment. Should professional standards be aligned with the current practice or the policy intent? What if there are gaps between the new standards by which leaders are held accountable and the reality that superintendents are in? If the standards are to drive the behaviors of educational leaders toward reaching the objectives, how should the "reality gap" be taken into consideration be used, for evaluations, for professional development, or both?

The Chinese superintendents concurred with the survey finding that implementing new leadership models would be difficult with decades of institutional bureaucracy and resistance to change by career governmental employees. The existence of "reality-gap" was also recognized by the U.S. superintendents in their own context. They pointed out it is true that professional

standards are well-established in preparation training, licensure examines, and professional development programs. However, should there be an alignment survey about what the superintendents' day-to-day job profile and the AASA standards, as they hypothesized, there would bound to be gaps discovered between reality and standards, especially in the area of providing instructional leadership for student learning.

Conclusion

This paper started with the review of research literature and the policy contexts for professionalization of superintendents in the United States and China. We then conducted empirical studies collecting evidence for the viability of introducing professional standards to the Chinese superintendency. Based on the findings from the two surveys and the focus group, we are able to draw preliminary conclusions regarding the three research questions.

Forces that drive professionalization for the superintendency

We find that the forces that drive superintendent professionalization in China are gaining momentum. Such forces may be rooted in different cultural contexts from those that drive professionalization in the U.S., but they stem from the need to establish occupational values and norms, to provide guidelines on must-have knowledge and skills, and to garner the professional reputation for the position. How well and to which extent such forces are accepted in China and the United States by superintendents may be different, partially due to the varying developmental stages of leadership theories, established occupational paths and professional development practices in the two countries.

Recent research on the superintendency indicates that in the United States, the top-down bureaucratic management is being replaced by bottom-up executive leadership that encourages shared decision making among school staff, community, business, and other stakeholders. Superintendents must be skilled collaborators who can rally all available resources to support better education for all children living in our multicultural society (AASA, 1993; Grogan & Andrews, 2002, Cooper et al, 2002; Darling-Hammond, 2006). In an era of accountability, school leaders also must be equipped with knowledge and skills to improve school performance that is largely measured by student achievement. As a result, the forces that drive professionalization in America come both externally from government mandates and societal demands, and internally from superintendents themselves for stronger professional credibility and legitimacy.

The preliminary results of the two surveys administered to about 200 superintendents and the focus-group study demonstrate that as educational leaders in their local districts, superintendents in China are facing many similar challenges brought on by economic and societal changes. However, the Chinese superintendency is at a different stage. Moving educational administrators out of the government system may be the first step to be rid of the political linkage that the position carried in the past. Scholars that advocate this transformation emphasize that administrators should be treated the same as other career occupations such as doctors, teachers, or lawyers that have to satisfy certain occupational requirements including qualifications and performance standards (Wang, 2003). School superintendents, ranked higher than the principals, are more directly connected with the local and central government and are therefore under stricter top-down control. What is encouraging is that the surveys indicate that superintendents in China are increasingly aware of the need for educational reform and the

importance of building leadership capacities. The superintendents are also better educated and with more direct experience in education than the older generations of school officials. These are important conditions for promoting and implement professionalization for the superintendency.

Relevance and Utility of U.S. professional standards for the Chinese superintendency

We find some initial evidence that the U.S. professional standards for the superintendency do reflect many of the major responsibilities and priorities of their Chinese counterparts. In other words, there is preliminary support for the notion that educational leadership domains contain culturally invariant elements, which may enable cross-cultural comparison and learning in knowledge, skills and abilities for school leaders. This is an important but the very first step in reaching construct equivalence for the leadership standards in this comparative study.

We also find that among the standards that are recommended to the American superintendents, Chinese superintendents consistently rated the importance of the standard indicators higher than the extent to which they are engaged in the activities as parts of their own jobs, particularly in human resource management, instructional management, and curriculum planning and development. These differences may be indications that current superintendents are not engaged in some of the very powerful leadership behaviors that lead to better student learning namely teacher development, rigorous curriculum, and quality instructions, even though they are considered important.

Viability of introducing professional standards to the Chinese superintendency

While the current trend of educational reforms has been triggered by common forces such as globalization, techonological development and economic transformation, there are tremendous diversity and differences in the region. We note that when studying the motivation and reasoning for professionalization, attention should first be given to the social, historical and political context in which educational systems and their leaders reside.

As we introduce the concept of standard-based professionalization, we realize that the Chinese superintendents remain as state-patronized and controlled civil servants and cannot form autonomous professional communities as their counterparts in America. How will professionalization driven by top-down state power may play out is yet to be seen.

Among our findings, the existence of the "reality gap" is most informative. The discovery of what is lacking may provide the necessary push for establishing the knowledgebase and the systemic support for professionalization. Future research may focus on developing a deeper understanding of the sociopolitical nature of the gap, and more importantly, on the establishment of professional standards and training programs that will close the gaps. Furthermore, professional standards for Chinese superintendents will need to reflect the major educational reform efforts taking place in China that emphasize social learning, creative thinking, and physical health.

Limitations and Future Research Suggestions

The cultural and contextual concerns tell us that it is not necessarily the "language of leadership" (e.g. vision, ethics, curriculum planning, etc.) but the meaning and enactment of these actually matter. What the alignment analysis of the AASA standards can tell us is limited.

First, to achieve critical understanding of cross-cultural comparison in interpreting findings, cognitive probe into the construct equivalence achieved is necessary but was missing from our study.   For example, although the Chinese superintendents' response of 'values and ethics of education' aligns perfectly with the indicators of AASA professional standards, cognitive interview may find out if the respondent shares the same meaning in different cultural contexts. Second, our alignment is limited to the domain of the AASA standards. We did not cover the responsibilities and priorities for the Chinese superintendency that may exist beyond the AASA standards and indicators.

This paper underscores the importance of considering all parts of the instrumentation in instrumentation and data analysis with the cultural and language differences in mind (van de Vijver & Leung, 2000; Hambleton, Merenda, & Spielberger, 2005). The examination and interpretation of cross-cultural comparisons needs to go beyond the narrow context of just the translation or adaptation of content. Western theories may not fit in the "cultural dimensions" of the Chinese society (Gao, Wang & Lin, 2006), where the tradition of centralized governance, emphasis on personal morality, and male-dominance tendency may hamper the implementation of Western models that rely on decentralized approaches and clarity in laws and regulations.

Adding to the complexity, many of the Chinese educational reform mandates are yet to be implemented and cannot be fully achieved without significant changes to the current national examination system. For example, instructional leadership with innovative, student-centered pedagogy has little chance to succeed under the immense pressure for students, teachers, and parents to focus on preparing for the exams for survival instead of true quality of education. Performance goals established based on professional standards that do not have systemic support will be impossible for leaders to reach, making such standards meaningless even potentially

harmful to improving student learning. In other words, the adoption and modification of the

leadership standards cannot happen without a relatively stable policy environment with well

established reform objectives that are backed with systemic support.

This paper is as much about introducing professional standards as about seeking suitable

pathways to compare and thereby benefit from educational theories and models cross-culturally.

China is a huge country with immense diversities and disparities, in terms of its peoples,

geographical areas, cultural practices, religious beliefs, and socio-economic development.

Educational development is likely to be different in different parts of the country. A uniform

educational policy is often not applicable across the country; local adaptation and modification

are necessary.

The pendulum swings of educational reform efforts in both countries are striving to

achieve the common objective of improved student learning. Educational policy-makers,

researchers and practitioners can benefit from learning the past and current practices of both

countries and draw useful lessons from the information.

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调查问卷

一、 单项选择题

1、您的现任职务是： _____ 。
A 主任/局长（支部书记）　　B 副主任/副局长（副支部书记）

2、您的年龄为： _____ 。
A35 岁以下　　　　B36 岁——45 岁　　　　C46 岁——55 岁　　　　D56 岁——65 岁

3、您最后的学历为 _____ 。
A 中专　　　B 大专　　　C 本科　　　D 硕士研究生　　　E 博士研究生

4、您最后的学位为 _____ 。
A 学士　　　B 硕士　　　C 博士

5、您已在本岗位的工作年限为： _____ 。
A1 年以内　　　　B1-3 年　　　　C 3-5 年　　　　D6-10 年　　　　E10 年以上

6、至今为止，您在教育系统内部工作的年限
A 2 年以内　　　B 3-5 年　　　C 6-10 年　　　D 11-20 年　　　E 20 年以上

7、您认为以下哪种类型人选更适宜担任教育局局长： _____ 。
A 教育专家型　　　　　　　　　　　　B 管理专家型
C 教育弱势、管理强势型　　　　　　　D 教育强势、管理弱势型

8、您认为有长期在教育系统内部工作的经历是否是担任教育局长的重要条件： _____ 。
A 是　　　　B 否

9、您是否愿意各级教育行政机关由控制管理型政府转变为服务型管理政府，并认同这种转变有助于教育的健康快速发展： _____ 。
A 愿意并认同　　　B 不愿意但认同　　　C 不愿意也不认同　　　D 其他： _____ 。

10、您对建设学习型机关的理解是：
A 改变组织管理模式（由控制型转变为学习型）　　　B 建立定期工作研究制度
C 主张组织成员进修提高　　　　　　　　　　　　　D 不太了解学习型机关的含义
E 其他： _____ 。

11、您所在教育局的教育督导工作在整个教育局的工作中处于何种地位： _____ 。
A 主导地位　　　B 附属地位　　　C 一般地位　　　D 没有地位

12、您所在教育局教研室的工作方式主要是：
A 研究自己感兴趣的教育问题　　　B 研究本地区教育、教学改革中面临的问题
C 指导、带动所在地区学校的科研工作　　　D 没有发挥应有的作用

13、您所在教育局是否设立了比较规范的鼓励基层民众、师生员工反映各有关教育问题建议或意见的制度： _____ 。
A 有这种鼓励制度，而且很规范　　　　　　　B 有这种鼓励制度，但不太规范
C 没有明确的鼓励制度，但有规范的群众意见、建议受理制度
D 没有明确的鼓励制度，而且群众意见、建议受理制度也不很规范
E 完全是在凭经验、习惯处理群众意见、建议　　　F 其他

14、作为教育局长，您对目前您带领的领导班子是否满意？： _____ 。
A 非常满意，　　B 比较满意　　C 不满意

15、作为教育局长，您领导改革的主要方式是什么？_____。

    A 从上到下的组织推动　　　　　　　　B 从下到上的改革动力

    C 个人魅力　　　　　　　　　　　　　D 教育思想的指导

    E 强制＋说服　　　　　　　　　　　　F 愿景＋授权＋协调

    G 其他_____。

16、您对自己当前的能力满意吗？_____。

    A 非常满意　　　B 比较满意　　　C 基本满意　　　D 不满意　　　E 很不满意

17、在当前工作中，您关注的核心工作是：_____。

    A 教育规划　　　　B 组织协调　　　　　C 经费筹措　　　D 教师队伍建设

    E 政策执行　　　　F 人事制度改革　　　　　G 分配制度改革

    H 评估工作　　　　I 素质教育的有效实施　　　J 义务教育均衡化的推进

    K 其他_____。

18、您认为自己比较强的能力是：_____。

    A 规划能力　　　B 协调能力　　　C 控制能力　　　　D 筹资能力

    E 沟通能力　　　F 动员能力　　　G 其他能力

19、您认为自己需要加强的能力是：_____。

    A 规划能力　　　B 协调能力　　　C 控制能力　　　　D 筹资能力

    E 沟通能力　　　F 动员能力　　　G 其他能力

20、您认为目前制约本地教育发展的瓶颈因素是：_____。

    A、经费　　　　　　　B、师资队伍　　　　　C、社会文化教育观念

    D、教育体制政策环境　E、政府教育观念　　　F 其他_____。

21、作为教育局长，您对教育局整体的人员队伍是否满意：_____。

    A 非常满意，　　　B 比较满意　　　　　C 不满意

22、您认为当地政府给予教育工作足够的重视和支持吗？_____。

    A 是的　　　　　　　　　B 没有

23、①您是否当过校长：_____。

    A 是的　　　　　　　　　B 没有

    ②如果做过校长，您认为校长的经历对于作教育局长有何影响：_____。

    A 有很大的促进作用　　　　B 没有什么影响

24、①在任本职位以前，是否有过做其他政府官员的经历：_____。

    A 是的　　　　　　　　B 没有

    ②如果有过，您认为教育局长和其他政府官员有何不同：_____。

    A. 能力要求不同，教育局长更加强调教育专业能力　　　B 没有什么不同

    C 其他_____。

25、作为教育局长，您如果推行过改革，作为改革的始作俑者，您对改革的实际效果：_____。

    A 非常满意，达到了预定的目标

    B 基本满意，但是距预定的目标还有距离

    C 不满意，改革推行情况不理想，改革最后流于形式

    D 其他_____。

二、多项选择题

1、担任此职务前，您的身份为：_____。
　　A 学校教师　　　　　　　　B 学校中层管理人员（含教研组长）　　　C 校长
　　D 教育局工作人员　　　E 教育局中层管理人员　　　　　　　　　　　　F 局长
　　G 无教育系统内部工作经历

2、您认为以下哪些条件是选拔教育局长必须要具备的：_____。
　　A 一定的学历/职称　　　　　　　　　　　B 一定年限的一线教学经历
　　C 一定年限的学校管理经历　　　　　　　D 一定年限的教育局工作经历
　　E 来自教育系统内有丰富管理经验的人员
　　F 来自教育系统外有丰富管理经验的人员

3、作为教育局领导您认为哪方面的领导素质最重要：_____。
　　A 有一套教育思想
　　B 有崇高的威望与人格魅力
　　C 口才好、有感召力
　　D 能创建一种教职工自主而积极工作的机制
　　E 其他：_____。

4、您认为地市（县）教育行政部门由控制型管理转变为服务型管理的关键是：_____。
　　A 上级部门的权力要下放　　　　　　B 上级经费拨付要科学、透明、公正
　　C 要树立服务意识　　　　　　　　　D 要建立民主的决策机制
　　E 要建立信息反馈制度　　　　　　　F 借助媒体和公众舆论行使政务
　　G 要遵守国家法律、政策法规　　　　H 各级要建立完善的问责机制
　　I 其他：_____。

5、您认为提高教职工工作积极性的最有效途径是：_____。
　　A 通过经常性的思想政治教育工作　　　　　B 树立讲奉献、讲贡献的组织文化
　　C 依靠领导经常深入基层了解民情　　D 实行民主化的管理制度，树立员工的主人翁地位
　　E 实行按劳分配制度　　　　　　　　　　　F 进一步完善当前的职称/职务评定及晋升制度
　　G 尽量改善员工福利待遇、多发奖金　　　　H 其他：_____。

6、作为教育局长，您的主要职责是：_____。
　　A 规划整个地区的教育发展　　　　　B 任命学校的校长
　　C 管理和配置教育经费　　　　　　　D 指导学校教育和教学工作
　　E 与地方上级部门和有关部门建立联系　　F 为学校提供各种教育信息
　　G 与上级教育行政部门建立联系　　　H 与校长研究工作
　　I 与班子成员讨论研究工作　　　　　J 其他_____。

7、作为教育局长，您是否推行过改革，其主要举措是：_____。
　　A 人事制度　　　　　　　B 分配制度　　　　　　　　C 教师队伍建设
　　D 校长队伍建设　　　　　E 评估制度　　　　　　　　F 民主管理
　　G 其他_____。

8、作为教育局长，您如果推行过改革，如果改革成功的话，其原因是：_____。
　　A 上级的正确决策　　　　　　　B 上级部门营造的宽松政策环境
　　C 社会有力的推动　　　　　　　D 学校的积极配合
　　E 团结有力的领导班子　　　　　F 其他_____。

9、作为教育局长，您如果推行过改革，如果效果不满意，您认为主要原因在于：_____。

A 改革者自身能力　　　　　　　　　　　B 改革对象的抵触与不配合

C 教育制度环境不成熟　　　　　　　　　D 其他

10、作为教育局长，您对目前您带领的领导班子，如果不满意，主要在哪些方面：_____。

A 人员素质不高　　　　　　　B 合力不够　　　　　　C 其他：_____。

11、贵地区对教育局长的领导能力评价形式有：_____。

A、　有常规的专门针对教育局长的年终绩效考核评价体系；

B、　与其他政府职能部门一起接受地区政府主管领导述职；

C、　面向本局职工述职；

D、　只有任职结束时的审核，没有常规的考核评价；

E、　每年本地区有各政府职能局的行风群众打分的活动；

F、　必须不定期向当地主管领导汇报；

G、　什么形式评价也没有

12、在以上各种针对教育局长的评价形式中，下列哪些内容**已经**列入评价内容

（1）本地学生学习绩效的目标_____。

A、　小学入学率；　　B、初中升学率；　　　　　C 高中毕业率；

D、大学录取率；　　E、各种统考平均成绩的提高；　　F、辍学率；

G、　超出本地区范围组织的各种学科竞赛的成绩；H、对学习弱势学生群体的关注；

I、此类没有必要项

（2）对本地区教学管理的组织和实施_____。

A、课程改革的实施；　　　　　　　　　B、本地化教学改革的实施；

C、为提高学生学习成绩的一些教学改革措施；

D、每个教师是否都有年度进修计划；　　　E、课程设计中是否有本地化课程

（3）对教育行政管理方面的指标

A、　教育资源分配是否顾及薄弱学校和弱势学生；

B、　是否与家长和社区有良好的沟通和互动渠道；

C、　是否每年都对所有学校进行了实地调研；

D、　是否有正规的年度工作计划；

E、此类没有必要项

13、在以上各种针对教育局长的评价形式中，您认为下列哪些内容**应该**列入评价内容

（1）本地学生学习绩效的目标

A、　小学入学率；　　　　　B、初中升学率；　　　　　C 高中毕业率；

D、大学录取率；　　　　　E、各种统考平均成绩的提高；　　F、辍学率；

G、超出本地区范围组织的各种学科竞赛的成绩；　H、对学习弱势学生群体的关注；

I、其他：_____

（2）对本地区教学管理的组织和实施

A、课程改革的实施；　　　　　　　　　B、本地化教学改革的实施；

B、为提高学生学习成绩的一些教学改革措施；D、每个教师是否都有年度进修计划；

E、课程设计中是否有本地化课程；　　　　F、其他：_____

（3）对教育行政管理方面的指标

A、教育资源分配是否顾及薄弱学校和弱势学生；

B、是否与家长和社区有良好的沟通和互动渠道；

C、是否每年都对所有学校进行了实地调研；

D、是否有正规的年度工作计划；

E、其他_____

14、您对"以人为本"的理解是：_____。

　　A 把人的发展当做教育工作的指导原则　　B 让员工获得民主权利

　　C 领导经常下基层体察民情　　　　　　　D 努力给员工安排学习进修的机会

　　E 关心员工膳食和业余文化生活　　　　　F 其他：_____。

三、填空题

1、近两年来您所在县（市、区）预算内教育经费占当地 GDP 的百分比和当地财政收入的百分比大致分别是多少：

　　（1）预算内教育经费占当地 GDP 的百分比：_____。

　　（2）预算内教育经费占当地财政收入的百分比：_____。

Superintendency Standards Alignment Analysis Survey
Based on *Professional Standards of Superintendency (Actual Survey in Chinese)*
(American Association of School Administrators, 1993)

Superintendency Standards	Please rate how much you are engaged in these tasks at your current position					Please rate the importance of these tasks for your school district (in your opinion)				
	NEVER	A LITTLE	SOME	MUCH	VERY MUCH	NO	A LITTLE	SOME	MUCH	VERY MUCH
	1	2	3	4	5	1	2	3	4	5
I. Leadership and district culture										
1. Formulate a written vision statement of future direction for the district										
2. Demonstrate an awareness of international issues affecting schools and students										
3. Promote academic rigor and excellence for staff and students										
4. Maintain personal, physical and emotional wellness										
5. Empower others to reach high levels of performance										
6. Build self-esteem in staff and students										
7. Exhibit creative problem solving										
8. Promote and model risk taking										
9. Respect and encourage diversity among people and programs										
10. Mange time effectively										
11. Facilitate comparative planning between constituencies										
12. Conduct district school climate assessment										
13. Exhibit multicultural and ethnic understanding										
14. Promote the value of understanding and celebrating school/community cultures										
	1	2	3	4	5	1	2	3	4	5
II. Policy and governance										
1. Describe the system of public school governance in our democracy										
2. Describe procedures for superintendent-board of										

	1	2	3	4	5	1	2	3	4	5
education interpersonal and working relationships										
3. Formulate a district policy for external and internal programs										
4. Relate local policy to state and federal regulations and requirements										
5. Describe procedures to avoid civil and criminal liabilities										
	1	2	3	4	5	1	2	3	4	5
III. Communications and Community Relations										
1. Articulate district vision, mission and priorities to the community and mass media										
2. Demonstrate an understanding of political theory and skills needed to build community support for district priorities										
3. Understand and be able to communicate with all cultural groups in the community										
4. Demonstrate that good judgment and actions communicate as well as words										
5. Develop formal and informal techniques to gain external perception of a district by means of surveys, advisory groups, and personal contact										
6. Communicate and project an articulate position for education										
7. Write and speak clearly and forcefully										
8. Demonstrate group membership and leadership skills										
9. Identify the political forces in a community										
10. Identify the political context of the community environment										
11. Formulate strategies for passing referenda										
12. Persuade the community to adopt an initiative for the welfare of students										
13. Demonstrate conflict mediation										
14. Demonstrate consensus building										
15. Demonstrate school/community relations, school business partnerships, and related public service activities										
16. Identify, track, and deal with issues										
17. Develop and carry out internal and external										

	1	2	3	4	5	1	2	3	4	5
communication plans										
IV. Organizational Management										
1. Define processes for gathering, analyzing, and using data for informed decision making										
2. Demonstrate a problem-framing process										
3. Define the major components of quality management										
4. Develop, implement, and monitor change processes to build capacities to serve clients										
5. Discuss legal concepts, regulation, and codes for school operations										
6. Describe the process of delegating responsibility for decision making										
7. Develop a process for maintaining accurate fiscal reporting										
8. Acquire, allocate and manage human, material and financial resources to effectively and accountably ensure successful student learning										
9. Use technological applications to enhance administration of business and support systems										
10. Demonstrate financial forecasting, planning and case flow management										
11. Perform budget planning, management, account auditing and monitoring										
12. Demonstrate a grasp of practices in administering auxiliary program, such as maintenance, facilities, food services, etc.										
13. Demonstrate planning and scheduling of personal time and organization work.										
	1	2	3	4	5	1	2	3	4	5
V. Curriculum Planning and Development										
1. Develop core curriculum design and delivery systems for diverse school communities										
2. Describe curriculum planning /future methods to anticipate occupational trends and their educational implication for lifelong learners										
3. Demonstrate an understanding of instructional taxonomies, goals, objectives, and process										

		1	2	3	4	5	1	2	3	4	5
4.	Describe cognitive development and learning theories and their importance to the sequencing of instruction										
5.	Demonstrate an understanding of child and adolescent growth and development										
6.	Describe a process to create developmentally appropriate curriculum and instructional practices for all children and adolescents										
7.	Demonstrate the use of computers and other technologies in educational programming										
8.	Conduct assessments of present and future student learning needs										
9.	Develop a process for faculty input in continued and systematic renewal of the curriculum to ensure appropriate scope, sequence, and content.										
10.	Demonstrate an understanding of curricular alignment to ensure improved student performance and higher order thinking.										
		1	2	3	4	5	1	2	3	4	5
VI. Instructional Management											
1.	Develop, implement, and monitor change processes to improve student learning, adult development, and climates for learning										
2.	Demonstrate an understanding of motivation in the instructional process										
3.	Describe classroom management theories and techniques										
4.	Demonstrate an understanding of the development of total student, including the physical, social, emotional, cognitive, and linguistic needs										
5.	Formulate a plan to assess appropriate teaching methods and strategies for all learners										
6.	Analyze available instructional resources and assign them in the most cost-effective and equitable manner to enhance student outcomes										
7.	Describe instructional strategies that include the role of multicultural sensitivity and learning styles										
8.	Exhibit applications of computer technology connected to instructional programs										

	1	2	3	4	5	1	2	3	4	5
9. Describe alternative methods of monitoring and evaluating student achievement based on objectives and learning outcomes										
10. Describe how to interpret and use testing/assessment results to improve education										
11. Demonstrate knowledge of research findings on the use of a variety of instructional strategies										
12. Describe a student achievement monitoring ad reporting system										
	1	2	3	4	5	1	2	3	4	5
VII. Human Resource Management										
1. Develop a plan to assess system and staff needs to identify areas for concentrated staff development										
2. Demonstrate knowledge of adult learning theory and motivation										
3. Evaluate the effectiveness of comprehensive staff development programming to determine its effect on professional performance										
4. Demonstrate use of system and staff evaluation data for personnel policy and decision making										
5. Diagnose and improve organizational health/morale										
6. Demonstrate personnel management strategies										
7. Understand alternative benefit packages										
8. Assess individual and institutional sources of stress and develop methods for reducing stress (e.g., counseling, exercise programs, and diet)										
9. Demonstrate knowledge of pupil personnel services and categorical programs										
	1	2	3	4	5	1	2	3	4	5
VIII. Values and Ethics of Leadership										
1. Exhibit multicultural and ethnic understanding and sensitivity										
2. Describe the role of schooling in a democratic society										
3. Demonstrate ethical and personal integrity										
4. Model accepted moral and ethical standards in all interactions										
5. Describe a strategy to promote the value that moral and ethical practices are established and practiced in										

each classroom and school		
6. Describe how education undergirds a free and democratic society		
7. Describe a strategy to ensure that diversity of religion, ethnicity, and way of life in the district are not violated		
8. Formulate a plan to coordinate social, health, and other community agencies to support each child in the district		