A Preliminary Study of School Management Initiative: Responses to Induction and Implementation of Management Reforms*

CHENG Yin-cheong

The Chinese University of Hong Kong

The new policy "School Management Initiative" (SMI) issued by the Education and Manpower Branch and the Education Department (1991, April) is inducing a great reform of management in Hong Kong aided schools. It aims to set a framework for enhancing quality of education in schools. The effectiveness and implementation of this policy will greatly influence school management in 1990s. There fore, it has become a great concern not only for policy-makers, school administrators, and teachers but also for all those interested in education. This study intends to investigate how teachers, principals, and supervisors, as key actors in schools, respond to the management reform. The findings of the study may make a contribution to the ongoing policy discussion among the public as well as the improvement and adaptation of policy implementation.

This is a questionnaire survey involving 241 schools, 127 supervisors, 204 principals, and 1142 teachers.

教育及人力統籌科和教育署頒布「學校管理新措施」政策，目的在改革所有津貼學校的管理體制，以提高學校教育質素。本研究嘗試探討教師、校長、和校監對此項改革在認知、態度及行動上的反應，研究結果應對目前的政策討論、改進，和推行應有參考價值。研究方法為問卷調查，涉及 241 間津貼中學、 127 位校監、 204 位校長及 1,142 位教師。

The new policy "School Management Initiative" (SMI) issued by the Education and Manpower Branch and Education Department (1991, April) is inducing a great reform of management in Hong Kong aided schools. It aims to set a framework for enhancing quality of education in schools. The effectiveness and implementation of this policy will greatly influence school management in 1990s. Therefore, its has become a great concern not only for policy-makers, school administrators, and teachers but also for all those interested in education. This study intends to investigate how teachers, principals, and supervisors, as key actors in schools, respond to the management reform. The findings of the study may make a contribution to the ongoing policy discussion among the public as well as the improvement and adaptation of policy implementation.

In the past decade, from the success in business management, people began to believe that focus of school improvement should be shifted from classfrom level to organizational level, or from teaching level

to management level. Currently, there are several trends of school improvement in some advanced countries: 1) School Improvement Programs with focus on improvement of poor practices or some aspects of school performance; 2) Effective Schools Movement emphasizing on identification of effective school characteristics and their generalization; 3) Self-Budgeting Schools Movement encouraging school autonomy and accountability in resources management; and 4) School-based Management Movement promoting school autonomy, participation, and accountability not only in financial aspects but also in whole school management including school-based policy-making and sharing decision-making (鄭燕祥, 1991a, 1991b; Brown, 1990; David, 1989; Caldwell & Spinks, 1988). Compared with the above international context, the new policy "School Management Initiative" (SMI) issued in Hong Kong seems to be responding to the school reform and improvement movements. There are 18 recommendations in the SMI aiming to define clearly the roles of sponsors, managers, supervisors, and principals and consequently to ensure greater effectiveness and accountability; to provide for greater participation of teachers, parents, and alumni in school decision-making and management; to en-

courage more systematic planning and evaluation of schools' program of activities and reporting their performance; and to give schools more flexibility in the use of resources in meeting their defined individual needs (SMI evaluation group working paper, 1992). Except recommendation 16 that describes the schedule of SMI implementation, all the recommendations are summarized in Table 1.

The changes brought from the SMI will be very large, involving nearly all constituencies in the school systems (such as Education Department, school sponsoring bodies, school management committees, supervisors, principals, teachers, parents, students and alumni), happening at multi-levels of authority (i.e. hierarchy descending from Education Department, sponsoring bodies, school management committees, to site-level working committees or groups), and transforming management styles, organizational structures, administrative and working procedures, communication patterns, and interpersonal relationship. It will change not only some tangible or operational aspects, but also intangible aspects such as beliefs, values, norms, and attitudes of all involved constituencies (鄭燕祥 , 1991a, 1991b; 鄭燕祥 , 伍國雄 1991; Laughlin, 1991). From the literature of organizational change, inevitably a lot of difficulties and resistances will exist in such a large scale reform induced by the SMI (鄭燕祥 , 1991b; 鄭燕祥 , 伍國雄 1991). Particularly, involved actors' psychological resistances are often the main hindrance for any organizational change and different strategies should be developed to overcome them (Bennis, 1969; Schermerhorn et al., 1982; 鄭燕祥 , 伍國雄 1991; Scott & Jaffe, 1989; Nadler, 1987). Therefore implementation of a successful organizational change in school requires understanding how key actors in schools respond to the planned change and what potential difficaulties and resistance are.

Since teachers, principals and supervisors are key actors in school management in Hong Kong, their responses to SMI should be very critical. In this study, three different kinds of their responses have been investigated:

1. *Affective Responses:* What are their attitudes towards the SMI? Specifically, to what extent do they agree with SMI's recommendations and functions?

2. *Cognitive Responses:* To what extent is their understanding of the rationales of the management reforms suggested in the SMI? By what means, do they know about the SMI?

3. *Action Responses:* a) What forms of consultations about participation in SMI have been used? b) What preparations for the SMI have been done in those non-participating schools? c) What are difficulties and hindrances in the decision of participation and in implementation, perceived by the actors? d) Have they decided to participate in the coming year? e) What are the experiences and situation of the SMI schools after participation in the SMI pilot scheme?

The relationship between the different responses has been analyzed. Furthermore, the responses to the SMI may be potentially related to preexisting characteristics of the schools. In this study, the relationship between responses and some important school characteristics has also been explored.

Method

This is a questionnaire survey. In February 1992, nearly all the aided and grant secondary schools were invited to participate in this study with the help of the Hong Kong Subsidized Secondary Schools Council. Finally, 241 out of 316 schools (i.e. 76.3%), 127 supervisors, 204 principals, and over 6,300 teachers (in this analysis, only 1142 teachers' data were used) were involved in the survey.

The development of the questionnaires for this survey was based on the reports of school-based management studies in other countries (e.g. Ford, 1991; Collins & Hanson, 1991; Harrison et al., 1989; Morris, 1991), the responses voiced in newspapers and SMI seminars, and the interviews with teachers, principals and supervisors. Most of the items in questionnaires were summarized in the following tables for result presentation and discussion.

Results and Discussion

Affective Responses to SMI

The results of affective responses of teachers, principals, and supervisors to the SMI's 17 recommendations and functions were listed in Tables 1 and 2. The 7-point scale indicates "strongly disagree", "disagree", "slightly disagree", "neither", "slightly agree", "agree", and "strongly agree" with 1 to 7 respectively.

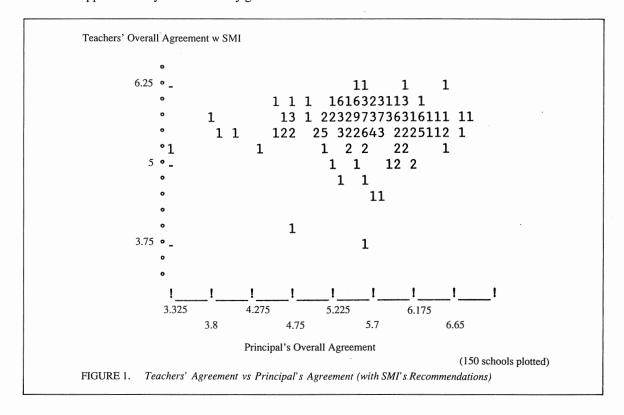*To SMI's Recommendations.* Table 1 shows that teachers, principals, and supervisors tend to have quite positive attitude to all the recommendations except Recommendation 15. For teachers, principals, and supervisors, the overall agreement indices are 5.63, 5.61 and 5.51 in a 7-point scale and the overall percentages of agreement (i.e. 5 or above in a 7-point scale) are 89.8%, 87.5%, and 84.7% re-

TABLE 1
Degree of Agreement with the SMI Recommendations

Qn: The following items are the opinions and suggestions about the "School Management Initiative" (SMI). Pleas respond to them by putting circles on the numbers of your chosen responses.

```
1    2    3    4    5    6    7
!----!----!----!----!----!----!
```

T = 1142 Teachers
P = 204 Principals
S = 127 Supervisors

SMI's Recommendation:	Means			% of Agreement (5 or above)		
	T	P	S	T	P	S
1. The role of Education Department should change from detailed control to support and advice.	5.22	5.85	5.67	80.6	91.1	89.6
2. Education Department should remain as a government department and its function should not be replaced by a nongovernmental Public body.	5.54	5.61	5.60	83.1	82.4	83.2
3. Education Department should define the information needs of the schools education programme and develop appropriate management information systems.	6.07	5.89	5.77	96.6	92.6	89.6
4. The roles of those responsible for delivering education in schools should be defined more clearly.	6.05	6.11	5.91	95.5	98.0	91.3
5. Every School Management Committee should be required to prepare a constitution setting out the aims and objectives of the school and the procedures and practices by which it will be managed.	6.07	5.91	5.87	94.5	90.7	91.3
6. The role and the legal/contractual position of the sponsor in respect of school management should be clarified.	6.02	6.15	6.13	94.9	98.0	96.8
7. The role and duties of the Supervisor in relation to the School Management Committee and Principal should be reviewed.	6.22	5.86	5.64	97.0	92.2	83.3
8. The role and responsibilities of the principal should be set out in a Principal's Manual.	6.20	6.12	6.11	96.6	97.5	96.8
9. Formal staff reporting procedures should be required in all aided schools.	5.88	5.47	5.53	90.4	84.7	87.3
10. School management frameworks should allow for participation in decision making, according to formal procedures, by all concerned parties including: all teaching staff; the principal; The School Management Committee; and (to an appropriate degree) parents and students.	5.64	4.70	4.70	88.7	68.5	67.7
11. Funds for aided schools should be provided as far as possible in the form of a block grant. Each school should have authority to decide its own spending pattern in the light of central education polices and its own defined needs.	5.32	5.93	5.67	81.3	89.2	86.5
12. Schools should have discretion to use savings from up to 5% vacancies for any staff or non-staff purpose.	5.05	5.17	4.98	74.9	62.1	64.8
13. Schools should have more flexibility to tap Sources of non-government funding for above standard items. In particular, they should be permitted to charge Tong Fai to all popils, up to a reasonable amount.	5.51	6.02	5.85	85.5	92.6	90.3
14. The government should ensure that the sponsor's contribution continues to represent a reasonable proportion of the cost of setting up a school.	5.49	4.98	4.45	85.4	69.1	61.9
15. In the longer term, serious consideration should be given to the merging of salary and non-salary grants so that managements could be fully responsible for managing their schools and a link between resources and performance could then be introduced.	4.47	4.30	4.02	58.0	57.1	49.2
16. (about the pilot scheme and implementation schedule)						
17. Each school should produce an annual School Plan to guide its activities during the year.	5.52	5.79	5.72	89.6	93.6	91.3
18. Each school should prepare an Annual School Profile covering its activities in the previous year and detailing school performance in a number of key areas.	5.41	5.58	5.63	86.4	89.1	89.7
Overall Index for Agreement with SMI's Recommendations	5.63	5.61	5.51	89.8	87.5	84.7

spectively. Comparatively, teachers show the greatest agreement with SMI's recommendations and principals the second. All three constituencies are not clearly positive to recommendation 15 suggesting" In the longer term, serious consideration should be given to the merging of salary and non-salary grants so that managements could be fully responsible for managing their schools and a link between resources and performance could then be introduced". It seems that the actors may worry the potential uncertainty induced into the original school financial support if salary and non-salary grants are merged. Recommendation 10 that encourages more participation for teachers, alumni and parents tends to be attractive more to teachers then to principals and supervisors. Supervisors tend to be neutral to Recommendation 14 that suggests more sponsor's contribution should be made in the cost of setting up a school. From the plots of overall indices of agreement with the SMI's recommendations, we can see that most of the sampled schools are positive to the recommendations as a whole. (see Figures 1 and 2)

FIGURE 1.   *Teachers' Agreement vs Principal's Agreement (with SMI's Recommendations)*

To SMI's Functions. In general, teachers, principals, and supervisors tend to have slight agreement with SMI's functions in different aspects of the education system (see Table 2). Their overall agreement indices are 4.92, 4.77, and 4.80 in a 7-point scale. They slightly agree that the SMI suggestions are practicable (no. 1 in Table 2). But they do not clearly agree that the SMI suggestions would improve the quality of classroom instruction (no. 6). Comparatively, affective responses to SMI's function seems to be not so positive as that to SMI's recommendations. The plots of the overall indices of agreement with the SMI's functions shows that a portion of the sampled schools do not sure the functions of the SMI even though over half of them are positive (the percentage of overall agreement are 54.3, 51.8, and 58.1 for teachers, principals, and supervisors). The findings suggest that further clarification of the SMI's functions should be made if the recommendations have to be promoted in all school.

Agreement with SMI's Implementation in all Aided Schools. Approximately, 50% of teachers, principals and supervisors (52.2%, 52.7%, 48.0%) do not object that SMI should be implemented in all aided secondary schools. (see Table 3).
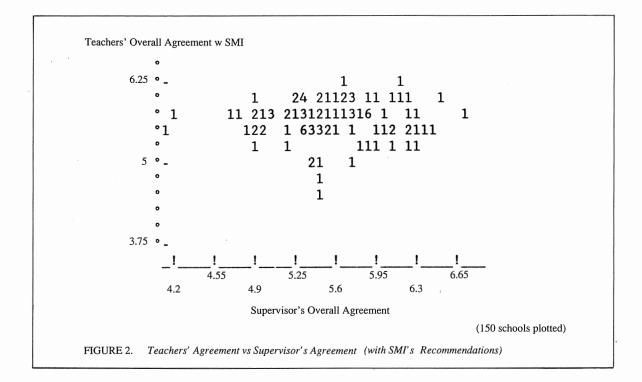
```
Teachers' Overall Agreement w SMI

          o
  6.25  o _                       1        1
          o              1       24 21123 11  111      1
          o  1         11  213  21312111316 1    11          1
          o 1          122   1 63321 1   112  2111
          o              1    1              111 1  11
    5   o _                   21     1
          o                    1
          o                    1
          o
          o
  3.75  o _

        _!_____!_____!____!_____!_____!_____!_____!____
            4.55        5.25        5.95        6.65
        4.2         4.9         5.6         6.3
```

Supervisor's Overall Agreement

(150 schools plotted)

FIGURE 2.   *Teachers' Agreement vs Supervisor's Agreement   (with SMI's Recommendations)*

TABLE 2
Degree of Agreement with SMI's Functions

	1	2	3	4	5	6	7
	!----!----!----!----!----!----!						

	Means			% of Agreement (5 or above)		
T = 1142 Teachers P = 204 Principals S = 127 Supervisors	T	P	S	T	P	S
1. The above (No. 1 to No. 7) are the suggestions of SMI. Generally speaking, they are practicable.	5.20	5.22	5.02	83.8	81.7	78.4
2. These suggestions provide a better school management framework to the present educational system.	5.35	5.24	4.90	88.0	81.8	71.2
3. Under these suggestions, the school management would be fully responsible for the quality of education provided.	5.00	4.79	4.95	76.6	67.8	69.0
4. Under these suggestions, schools would improve their efficiency and use resources more effectively.	5.12	4.98	4.88	80.2	74.0	75.4
5. Under these suggestions, schools would improve the daily routines and quality of decisions.	5.18	4.87	4.77	82.0	70.6	64.8
6. These suggestions would improve the quality of classroom instruction.	4.30	4.15	4.88	53.1	42.6	50.8
7. Under these suggestions, school would be more adaptable to the present educational environment in H.K.	4.69	4.46	4.58	67.1	53.4	63.2
8. These suggestion would encourage teachers' participation and increase tachers' morale.	4.87	4.50	4.80	71.9	61.6	71.4
9. Under these suggestions, parents are encouraged to give more support to the school.	4.62	4.62	4.92	62.5	64.5	69.0
10. Under these suggestions, students would be more benefited.	4.71	4.66	4.71	65.0	63.7	63.5
Overall Index for Agreement with SMI's Functions	4.92	4.77	4.80	54.3	51.8	58.1

TABLE 3
Affective Responses to SMI's Implementation in All Aided Schools

	Teachers (N=1101)	Principals (N=203)	Supervisors (N=125)
1. Strongly disagree	3.8%	11.3%	12.8%
2. Disagree	23.3%	20.7%	20.0%
3. Slightly	28.9%	26.1%	30.4%
4. Agree	19.3%	22.2%	15.2%
5. Strongly agree	4.0%	4.4%	2.4%
6. No comment	20.6%	15.3%	19.2%
Culminative % of "agree"	52.2%	52.7%	48.0%

In general, teachers, principals, and supervisors may have satisfactory responses to the SMI's recommendations but their affective responses to SMI's functions are only slightly positive. From the normative-reeducative strategy of organizational change (Whiteside, 1978; Schermerhorn et al., 1982; Bennis et al., 1969), greater effort may be made to win the key actors' commitment to the SMI's functions. Only when the key actors really believe the SMI is effective to major aspects of school education, the SMI can be implemented successfully to improve quality of education in schools, as expected by the policy-makers.

Cognitive Responses to the SMI

Understanding of SMI's Rationales. According to self-report, teachers, principals, and supervisors show moderate understanding of the rationales of the management reforms suggested in SMI. The means are 2.91, 3.48, 3.34 respectively in a 5-point scale. Comparatively, teachers' understanding is less than principals and supervisors and also varies greatly across teachers (i.e. mean 2.91 with standard deviation 0.85).

Support to SMI's rationales. All three parties give moderate support to SMI's rationales (i.e. means for teachers, principals, and supervisors are 3.36, 3.17 and 2.98 respectively in a 5-point scale). Among them, teachers may be a little bit more positive. Compared with their understanding of SMI's rationales, teachers tend to be more supportive. Probably, the encouragement of teacher participation in school management in the SMI may win teachers' support to the rationales.

Sources of Information about SMI. To principles and supervisors, the SMI document seems to be the major and most important means to understanding of SMI. But to teachers, the important sources of information are articles in newspapers and journals and discussion among colleagues. Also,

36% of sampled teachers have not responded to this question. They may potentially have no source of information about the SMI. There is a communication gap between policy makers and teachers. Since teachers' involvement and role are very important in this management reform movement, the Education Department as well as school administrators should facilitate teachers' understanding of the SMI through the SMI document and seminars.

Perceived Reasons for SMI to be proposed. To principals, the most important reason of SMI to be proposed by the Government is "to improve quality of education". But, to supervisors and teachers, it may be " to save money". Approximately, 32% of teachers, 24.5% of principals and 16.5% of supervisors have not responded to this item. It seems that a substantial portion of the key actors are not sure whether the goal of the SMI is to improve quality of education or not. In other words, they are not convinced by the formally stated goal of the SMI – "Setting the framework for quality in Hong Kong schools".

From the empirical-rational strategy of organizational change (White side, 1978; Schermerhorn et al., 1982; Bennis et al., 1969), the key actors should be cognitively convinced in order to achieve successful implementation of the SMI reform and internalize the effect of organizational change in schools. Therefore, the cognitive gaps in understanding of the SMI's rationales and goals should not be ignored.

Action Responses to the SMI at the School-level

Consultations about Participation in SMI. Different forms of consultation have been used to collect opinions about participation in SMI. The most popular methods are "consult all teaching staff" and "call senior teachers meetings". Over one hundred schools have used them. Teachers, principals, and supervisors believe that the principal is the most influential in the decision of participation even though all teaching staff may also play a substantial part. We can see that the principal is perceived as the key change facilitator. The finding seems to support the current emphasis of transformational leadership in organizational change (Bass, 1985; Schein, 1985; Tichy & Ulrich, 1984).

Intention to Participate in SMI in 1992-93. Up to February 1992, majority of the sample non-SMI schools (66.7% of 186 schools) have not yet decided to participate. And 31.7% decided not to participate.

Preparations for SMI. Among 186 non-SMI schools, only 24.2% have done nothing special for SMI. All other schools have prepared some activities for SMI. "Do some similar things suggested by SMI" is the most popular activity (53.8% of schools).

Perceived Difficulties and Hindrances. Table 4 shows that no matter whether in decision of participation or in implementation of the SMI, a number of difficulties and hindrances can be observed. Among the 15 listed difficulties, "The staff do not have sufficient time to cope with the extra workload of the SMI", "The staff do not have sufficient training to implement the SMI", "Support from Education Department is not adequate" were perceived as critical

hindrances. In addition to these, "The staff are not psychologically prepared.." and "the pace of implementation of SMI is too fast" are also important to those schools in decision of participation. In general, for those schools decided to participate or have participated, the perceived difficulties and hindrances in implementation are less and mainly related to staff's readiness (i.e. the overall indices for perceived difficulties are 4.47, 4.23, 4.26 for teachers, principals and supervisors in a 7-point scale with 1 for "strongly disagree" and 7 for "strongly agree"). But for those schools not yet decided to participate, the overall difficulties are higher, particularly perceived by principals and supervisors. (see Table 4)

TABLE 4

Difficulties and Hindrances in Participation in SMI

	A type schools Mean			B type schools Mean		
A type = those schools decided to participate or has participated (14 to 19 schools) B type = those schools not yet decided (176 to 178 schools) T = 1142 Teachers P = 204 Principals S = 127 Supervisors	T	P	S	T	P	S
1. The staff do not recognize the importance of SMI.	4.88	4.68	3.87	5.06	4.97	4.36
2. The staff are not psychologically prepared to join the SMI; experienced teachers are not willing to change while novices are afraid they are not capable.	5.19	4.53	4.13	5.19	5.25	5.18
3. The staff are satisfied with the present situations and are not willing to make any change.	4.16	3.84	3.80	4.41	4.95	4.90
4. The staff do not have sufficient time to cope with the extra workload of SMI.	5.01	5.32	4.80	5.24	5.96	5.87
5. The staff do not have sufficient training to implement the SMI.	5.02	5.84	5.00	5.22	5.64	5.35
6. Support from Education Department is not adequate.	5.43	5.05	4.71	5.74	5.50	5.67
7. It is hard to make any change because the present situations of the school are highly different from that proposed in the SMI.	3.96	3.11	3.87	4.49	4.37	4.41
8. The implementation of SMI would alter the power relation within the school.	4.16	4.26	4.07	4.64	4.62	4.74
9. The implementation of SMI would result in conflict of interest among the staff.	4.22	3.95	3.67	4.63	4.32	4.54
10. Members in the new School Management Committee (Supervisor, other SMC members, principal, parent and teacher representatives) could not work together easily.	4.11	3.74	3.47	4.56	4.87	4.94
11. Representatives of teachers and parents in the School Management Committee are highly influencing, so, no effective school management would be achieved.	3.59	2.89	3.40	3.95	4.15	4.14
12. The aims and objectives of the school have to be modified.	4.00	3.67	4.00	4.13	3.87	3.75
13. It is hard to get used to the change since the pace of implementation of SMI is too fast.	4.74	4.68	4.40	4.90	5.50	5.19
14. The staff do not have confidence in the prospects of SMI.	4.49	3.84	4.20	4.76	5.26	4.92
15. Being unhappy with the accusations to the School Management Committee, Supervisor, and Principal in the SMI.	3.81	3.83	3.86	3.76	4.58	3.86
Overall Index for Perceived Difficulties	4.47	4.23	4.26	4.72	4.93	4.80
16. From the above items (No. 1 to No. 15), which are the two most important factors?	4,6	4,5	4,5	4,6	4,13	4,10

Table 4 provides a profile of difficulties and hindrances perceived by the key actors in decision of participation or in implementation of the SMI. From this profile, Education Department as well as those interested in carrying out the SMI may develop some strategies to handle or reduce the potential difficulties.
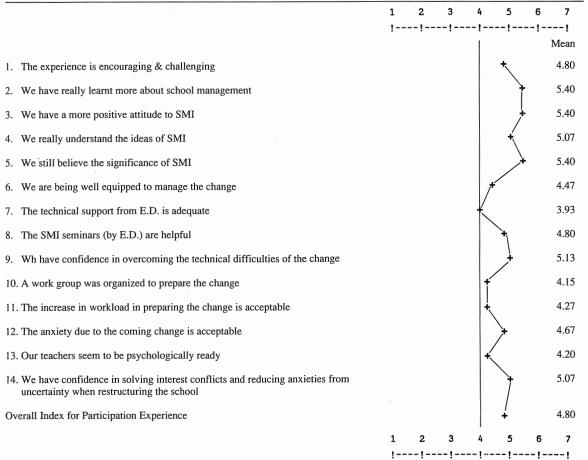
Experiences after Participation in the SMI Pilot Scheme. According to the self-report of principals of SMI schools, the experience of participation in SMI seems to be constructive. Among the 14 positive experiences, 6 items are rated higher than 5 and 2 items at nearly 5 in a 7-point scale with 1 for "strongly disagree" and 7 for "strongly agree". Particularly, they felt that "We have really learnt more about school management" (5.4), "We have a more positive attitude to SMI" (5.4), "We still believe the significance of SMI" (5.4) and "We have confidence in overcoming the technical difficulties of the change" (5.13). But they did not feel that "the technical support from ED is adequate" (3.93). (see Table 5)

School Preexisting Characteristics

Needs for School Improvement. It is assumed that needs for school improvement are critical for successful school's organizational change. The greater the need for school improvement, the greater the agreement with change and the easier the implementation of change (鄭燕祥, 伍國雄, 1991). Table 5 reveals that in general, teachers,

TABLE 5
Experiences after Participation in the SMI Pilot Scheme

	1	2	3	4	5	6	7	Mean
1. The experience is encouraging & challenging								4.80
2. We have really learnt more about school management								5.40
3. We have a more positive attitude to SMI								5.40
4. We really understand the ideas of SMI								5.07
5. We still believe the significance of SMI								5.40
6. We are being well equipped to manage the change								4.47
7. The technical support from E.D. is adequate								3.93
8. The SMI seminars (by E.D.) are helpful								4.80
9. Wh have confidence in overcoming the technical difficulties of the change								5.13
10. A work group was organized to prepare the change								4.15
11. The increase in workload in preparing the change is acceptable								4.27
12. The anxiety due to the coming change is acceptable								4.67
13. Our teachers seem to be psychologically ready								4.20
14. We have confidence in solving interest conflicts and reducing anxieties from uncertainty when restructuring the school								5.07
Overall Index for Participation Experience								4.80

No. Of Schools = 14 to 15 Ranges of Standrad Deviation = 0.19 to 0.53

principals, and supervisors indicate slight to moderate needs for improvement in at least 8 out of 15 aspects of their schools. To teachers, the needs for school improvement tend to be stronger in terms of improvement items (14 out of 15 items). The overall indices for needs for school improvement are 5.34, 5.01, and 4.89 in a 7-point scale for teachers, principals, and supervisors respectively. In the scale, 1 to 7 indicate "strongly disagree", "disagree", "slightly disagree", "neither", "slightly agree", "agree" and "strongly agree". All three parties are concerned with improvement in parental support, quality of student input, instructional resources, physical environment and facilities, staff professional development and morale and student performance. For teachers, decision participation, teacher appraisal, administrative procedures and management are also significant aspects for improvement. (see Table 6)

TABLE 6

Different Aspects that the School May Need to be Improved

	1 2 3 4 5 6 7		
	T	P	S
1. Parental support and participation.	5.20	5.32	5.30
2. Quality of F.1 student input	5.72	5.47	5.55
3. The acquisition, supply, allocation, and use of instructional resources.	5.56	5.27	5.22
4. Physical environment and facilities of the school.	5.48	5.39	5.19
5. The opportunities for teachers participating in decision making.	5.31	4.50	4.34
6. The opportunities for professional development of teachers.	5.53	5.39	5.21
7. Teacher appraisal system.	5.25	4.78	4.77
8. Teacher' morale and professionalism.	5.50	5.41	5.31
9. Expectation and requirement for teachers' jobs and duties	5.12	4.98	4.88
10. General affairs and administrative procedures.	5.17	4.46	5.52
11. Personnel arrangement	5.07	4.40	4.33
12. Daily routines and activities arrangement.	4.79	4.10	4.12
13. Style of school management.	5.08	4.36	4.30
14. Students' learning attitude and performance.	5.82	5.79	5.56
15. School's reputation and image.	5.20	5.06	4.66
Overall Index for Needs for School-based Improvement	5.34	5.01	4.89
(std. dev.)	(.79)	(.87)	(.94)

T: No. of Teachers = 1123 to 1133, Range of Standard Deviation = 1.03 to 1.29
P: No. of Principals = 199 to 202, Range of Standard Deviation = 1.3 to 1.54
S: No. of Supervisors = 124 to 125, Range of Standard Deviation = 1.16 to 1.65

Preexisting SMI-type Activities or Structures. Majority of the 241 sampled schools (70% or above) do not have most of the 18 listed SMI-type activities or structures such as staff reporting system, documents describing roles and responsibilities between management committee and the principal, parental association, teacher as school manager, alumni as school manager, and parent as school manager (see Table 7). The finding indicates that a great change will occur in schools if SMI has to be implemented for all schools.

School-Based Management. From the profile of school-based management characteristics, there is no clear evidence to indicate whether the sampled schools as a whole tend to have school-based management or external control management (鄭燕祥, 1991a).

Teachers' Clarity of School' Management and Accountability. The profile of teachers' clarity suggests that teachers do not know clearly the roles of management at higher levels, staff appraisal system, school's financial situation, resources management, and annual school plan.

Relationship between Responses and School Characteristics

The main results of correlational analyses were summarized as follows:

1. The action responses of teachers, principals, and supervisors are strongly related to their cognitive and affective responses. It seems that they tend to participate in SMI when they un-

TABLE 7
Pre-existing SMI-type Activities in the Sampled Aided Schools

In our school, we have.....	YES		NO	
	No.	%	No.	%
1. Clear and open staff development plan	51	21.4%	187	78.6%
2. Clear and open staff reporting system	59	24.7%	180	75.3%
3. Clear documents specifying staff's responsibilites and duties	166	69.7%	72	30.3%
4. Open and clear written instructions for administrative procedures and operation	182	75.8%	58	24.2%
5. Annual School Plan open to the staff	82	34.6%	155	65.4%
6. Annual School Profile	149	62.1%	91	37.9%
7. Report on school finance and resources open to the staff	24	10.0%	215	90.0%
8. School management committee's constitution open to the staff	26	10.9%	212	89.1%
9. Open documents describing roles and responsibilities between Managment Committee and the principal	19	7.9%	220	92.1%
10. Open documents describing the school's missioins and goals	149	62.1%	91	37.9%
11. Parental Association	43	17.8%	198	82.2%
12. Alumni Association	139	58.2%	100	41.8%
13. Teachers' representatives in Management Committee's meetings (participate or sit-in)	88	36.7%	152	63.3%
14. Teachers' representative as school manager	9	3.7%	232	96.3%
15. Parents' representative in Management Committee's meetings (participate or sit-in)	1	0.4%	239	99.6%
16. Parents' representative as school manager	1	0.4%	239	99.6%
17. Alumni representatives in Management Committee's meetings (participate or sit-in)	10	4.1%	230	95.8%
18. Alumni representative as school manager	13	5.4%	227	94.6%

No. of Schools = 237 to 241; Reponses given by teacher representatives

derstand and support SMI's rationales and they agree with SMI's recommendations and functions.

2. Their affective responses to the SMI's recommendations and functions are positively related to their cognitive responses and needs for school improvement. The greater they understand and support the SMI's rationales and they need to improve their schools, the greater they agree with the SMI's recommendations and functions.

The above findings support the importance of cognitive and affective responses of key actors to the implementation of organizational change in schools. Therefore, if the SMI is really good to education quality in our schools, the empirical-rational strategy and normative-reeducative strategy may be recommended to win key actors' understanding, agreement, and commitment in promoting the SMI in Hong Kong schools (鄭燕祥 , 伍國雄 , 1991; Whiteside, 1978; Schermerhorn et al., 1982; Bennis et al., 1969).

Conclusions and Implications

Teachers, principals, and supervisors are key actors in schools. Any successful implementation of organizational change in schools depends heavily on how they respond to this change. Assuming that the SMI can provide a better management framework for improvement of quality of school education, the policy-makers intend to promote this framework in schools. Understanding of teachers, principals, and supervisors' affective, cognitive, and action responses to the SMI should be very critical not only to the ongoing policy discussion, but also to adaptation of the policy and improvement of the policy implementation, particularly when this policy intends to induce a great change in management in all Hong Kong aided schools.

The sampled teachers, principals, and supervisors tend to have a positive attitude to all the SMI's recommendations except recommendation 15. Probably, the actors may worry that potential uncertainty or risk will be induced into the original school financial support if salary and non-salary grants are merged. To SMI's functions, the actors' affective responses are not so positive as that to the recommendations. Approximately, 50% of the actors do not object implementation of the SMI in all aided schools.

According to self-report, teachers, principals, and supervisors show moderate understanding of the support to the rationales of the management reforms suggested in the SMI. To teachers, the important sources of information about the SMI are articles in newspapers and journals and discussion among

colleagues but not the SMI document. There is a communication gap between teachers and policy-makers. To principals, the important reason for the SMI to be proposed is "to improve quality of education" but to teachers and supervisors, it may be "to save money".

Different forms of consultation have been used to collect opinions about participation in the SMI scheme. Most teachers, principals, and supervisors believe that the principal is the most influential in the decision of participation in the SMI scheme. Up to February 1992, majority of the non-SMI schools have not yet decided to participate. A number of difficulties and hindrances can be observed. Among them, no sufficient "time", "training" and "support from Education Department" are critical. In general, for those schools decided to participate or have participated, the perceived difficulties are less. Furthermore, the principals of SMI schools tend to report constructive experience of participation in the SMI.

In general, teachers, principals, and supervisors indicate slight to moderate need for school improvement. To teachers, the needs for school improvement seem to be stronger. It is interesting to find that the stronger the needs for improvement perceived by the actors, the more positive the key actors' affective responses to the SMI's recommendations and functions.

Majority of the sampled schools do not have most of the SMI-type activities or structures. It indicates a very great change will be induced in schools if the SMI is implemented.

The finding indicates that actors' action responses are positively related to their attitude towards and understanding of the SMI. Also their attitudes are positively related to their understanding of the SMI.

From the findings of this descriptive survey, some important implications may be drawn.

The Education Department should be aware of the existence of different responses of teachers, principals, and supervisors to the SMI and also the potential gaps between affective, cognitive and action responses. If the SMI has to be implemented, appropriate strategies may be developed to manage these different responses and fill the gaps. Teachers, principals, and supervisors are key actors in school management and organizational change. Their understanding, agreement, and commitment to the SMI are necessary conditions for successful implementation of SMI in their schools. How to enhance their understanding, agreement, and commitment should be an important concern in the policy implementa-

tion. The following suggestions may be helpful:

1. Further clarification of SMI's rationales and functions should be done, particularly to teachers.
2. More "formal SMI's information" should be provided to teachers and should facilitate their discussion.
3. More support in terms of staff training, resources, and techniques should be helpful to overcome difficulties in the decision of participation and implementation.
4. Psychological readiness of teachers, principals, and supervisors for change seems quite important. The pace of implementation of the SMI may be adjusted slower in order to help the actors as well as Education Department to learn and adapt themselves to the change.
5. Since majority of the schools lack preexisting SMI-type activities and structures, it will be a great organizational change in schools when SMI is implemented. Principals as well as supervisors should be provided with professional training in management of organizational change and implementation of school-based management.
6. Recommendation 15 may be modified or clarified in order to win the key actors' support.

For the key actors in schools, they may pursue further understanding of and involvement in this management reform, no matter whether they decide to participate or not. Principals and supervisors should encourage teachers' involvement and facilitate their learning in discussion of the SMI. If we believe that continuous improvement is a "necessary" for an effective school (not necessary in terms of the SMI or not), principals as the key facilitator of school change and improvement, should be aware of their roles in facing an impulse of management reforms. Since the SMI may initiate a quite different management style and a great change in school, learning how to manage change and how to carry out school-based management should be important not only for principals and supervisors but also for teachers if they participate in the SMI scheme. The schools in the SMI pilot scheme may provide good lessons.

References

Bass, B.M. (1985). *Leadership and performance beyond expectations.* New York: Free Press.

Bennis, W.G. et al. (1969). *The planning of change.* New York: Hort, Rinehart, & Winston.

Brown, D.J. (1990). *Decentralization and school-based management.* East Sussex: Falmer Press.

Caldwell, B., & Spinks, J.M. (1988). *The self-managing school.* East Sussex: Falmer Press.

Collins, R.A., & Hanson, M.K. (1991). *Summative evaluation report: School-based management/shared decision-making project 1978-88 through 1989-90.* U.S. Office of Educational Accountablility, Dade County Public Schools.

David, J.L. (1989). Synthesis of research on school-based management. *Educational Leadership, 46*(8), 45-52.

Education & Manpower Branch and Education Department (1991). *The school management initiative: Setting the framework for quality of education in Hong Kong schools.* Hong Kong: Government Printer.

Ford, D.J. (1991). *The school principal and Chicago school reform: Principal's early perceptions of reform initiative.* Chicago Panel on Public School Policy and Finance, Chicago.

Harrison, C.R., Killion, J.P., & Mitchell, J.E. (1989). Site-based management: The realities of implementation. *Educational Leadership, 46*(8), 55-58.

Laughlin, R.C. (1991). Environmental disturbances and organizational transitions and transformations: Some alternative models. *Organizational Studies*, 12(2), 209-232.

Mclennan, R. (1989). *Managing organizational change.* Englewood Cliffs, NJ: Prentice-Hall.

Morris, D.R. (1991, April). Initial patterns and subsequent changes in staff charac teristics of the SBM pilot 1 schools, relative to those of nonparticipating schools. Paper presented at the Annual Meeting of the American Educational Research Association, Chicago.

Nadler, D.A. (1987). The effective management of organizational change. In J.W. Lorsch (Ed.), *Handbook of Organizational Behavior.* Englewood Cliff, NJ: Prentice-Hall.

Schein, E.H. (1985). *Organizational culture and leadership.* San Francisco: Jossey-Bass.

Schermerhorn, J.R. Jr., Hunt, J.G., & Osborn, R.N. (1982). *Managing organizational behavior.* New York: John Wiley & Sons.

Scott, C.D., & Jaffe, D.T. (1989). *Managing organizational change.* San Francisco: Crisp Publications.

SMI Evaluation Group (1992). *Methodology of SMI evaluation* (working paper). Hong Kong: Author.

Ticky, N.M., & Ulrich, D. (1984). The leadership challenge — A call for the transformational leasership. *Sloan Management Review, 26*(1), 59-68.

Whiteside, T. (1978). *The sociology of educational innovation.* London: Methuen.

鄭燕祥（1991 a）。校本管理與外控管理的理念。*初等教育*，第一卷、第一期，頁 3-19。

鄭燕祥（1991 b）。校本管理與學校管理新措施。*現代教育通訊*。第十九期，頁 3-9。

鄭燕祥、伍國雄（1991）。學校組織變革：理論、策略、和技術。*教育學報*，第十九卷，第二期，頁 133-144。

Author

CHENG Yin-cheong, Lecturer, Department of Educational Administration and Policy, The Chinese University of Hong Kong, Shatin, New Territories, Hong Kong.