



educational
transformations



SUBMISSION OF EDUCATIONAL TRANSFORMATIONS

TO THE PRODUCTIVITY COMMISSION

SCHOOLS WORKFORCE STUDY

19 AUGUST 2011

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This submission has been prepared by Professor Brian Caldwell on behalf of Educational Transformations Pty Ltd in his capacity as Managing Director and Principal Consultant. Details about Educational Transformations and Professor Brian Caldwell are set out in the Attachment (page 2).

Educational Transformations has conducted 12 projects in the last five years that provide the evidence base for the following propositions that warrant attention in the study. A synopsis of these projects is contained in the Attachment (pages 2 to 8).

Proposition 1: Programs for initial teacher education in Australia have generally failed to keep pace with requirements for school education in the 21st century when benchmarked against best international practice exemplified by Finland.

Brian Caldwell was co-director of the Review of Teacher Education and School Improvement for the Queensland Government that recommended the adoption of an international benchmark of two years of postgraduate study. The Queensland Government has referred the recommendation to a taskforce for further consideration. Only the University of Melbourne has adopted the benchmark. A copy of the Summary Report to the Queensland Government accompanies this submission.

Proposition 2: The level of school autonomy in the public sector generally falls below what evidence from OECD studies suggests is optimal if the best balance of autonomy, choice and accountability is to be achieved.

Only Victoria (comprehensively) and Western Australia (limited implementation) have achieved such a balance. The report of Educational Transformations to the Australian Government arising from the Principal Autonomy Research Project accompanies this submission along with Brian Caldwell's Keynote Presentation to the NSW Secondary Principals Council on 'Separating the Good and the Bad in Myths about More Autonomy for Schools'

Proposition 3: There is currently a serious lack of alignment between strategies for school reform and strategies that are required to achieve the transformation of schools, defined as significant, systematic and sustained change that secures success for all students in all settings.

The evidence for this proposition lies in the findings of a five-year project undertaken by Educational Transformations that culminated in the International Project to Frame the Transformation of Schools, with findings reported by Caldwell and Harris (2008). Brian Caldwell's Inaugural Neil Baumgart Memorial Lecture to the Pacific Circle Consortium which accompanies this submission summarises the major findings and misalignments in the paper entitled: 'Strategy, Trust and Passion: Essential Alignments in the Transformation of Schools'.

Proposition 4: There is serious disparity between workforce conditions for those who work in government and non-government schools.

Educational Transformations undertakes projects for government and non-government schools in Australia and has noted differences in workforce conditions. Those in the latter have superior conditions in respect to quality of school facilities, opportunities for innovation, degree of autonomy, breadth of curriculum, and reward and remuneration packages that provide incentives and rewards for performance. It is not surprising that the former have difficulty building their intellectual capital.

ATTACHMENT

EDUCATIONAL TRANSFORMATIONS PTY LTD

Educational Transformations Pty Ltd is a registered company under the Corporations Act 2001 and is registered in Victoria. The Australian Securities and Investment Commission issued its Certificate of Registration on 10 June 2004. ACN is 109 477 992. ABN is 37 109477992. The company has current public liability insurance cover of \$10,000,000.

Educational Transformations Pty Ltd was established by Professor Brian Caldwell in June 2004 following his retirement as Dean of Education at the University of Melbourne where he continues as a Professorial Fellow. The company undertakes a range of projects commissioned by state and commonwealth authorities and by non-profit entities. Occasional papers, monographs and books are published. Keynote presentations and workshops are conducted for professional associations in Australia and other countries. Projects are conducted annually for a limited number of schools and some work is carried out on a pro bono basis. Synopses of major projects conducted over the last five years related to the terms of reference for the Productivity Commission study on Schools Workforce are contained in this Attachment (pages 2 to 8).

The personnel of Educational Transformations include Professor Caldwell (Managing Director and Principal Consultant), Dr Tanya Vaughan (Senior Consulting Researcher) and Fiona Longmuir (Consulting Researcher) who are based in Melbourne, supported by Anna Kitney, Executive Assistant and Project Manager. Dr Jessica Harris (Senior Consulting Researcher) is based in Brisbane, currently post-doctoral fellow at the University of Queensland (on maternity leave until November 2011). The team is supported by independent contractors on a project-by-project basis.

PROFESSOR BRIAN CALDWELL

Professor Brian J. Caldwell is Managing Director and Principal Consultant at Educational Transformations Pty Ltd in Melbourne Professorial Fellow at the University of Melbourne. He holds the degrees of Bachelor of Science (1962) and Bachelor of Education (1968) from the University of Melbourne, and Master of Education (1975) and Doctor of Philosophy (1977) from the University of Alberta.

From 1998 to 2004 he served as Dean of Education at the University of Melbourne. He was appointed Professorial Fellow and Emeritus Professor in 2004. His previous appointments include Head of Education Policy and Management (1995-1998) at the University of Melbourne; Head of Teacher Education (1988-1989) and Dean of Education (1989-1990) at the University of Tasmania; and Research Assistant Professor (1979-1981) at the University of Alberta, Canada. He has held leadership positions in schools in Australia (1963-68) and Canada (1968-1977). His major interests are leadership, governance, policy, finance and the management of transformational change in schools and school systems.

International work over the last 25 years includes more than 500 presentations, projects and other professional assignments in or for 40 countries or jurisdictions on six continents. In addition to approximately 150 published papers, chapters and

monographs, Brian Caldwell is author or co-author of books that have helped guide educational reform in several countries

Brian Caldwell was Chair of the Advisory Board of the Asia Education Foundation from 1998 to 2004. He is a director and Deputy Chair of the Board of the Australian Council for Educational Research (ACER) and a member of the Board of Patrons of Foundation for Young Australians (FYA). He is a Fellow and Life Member of the Australian Council for Educational Leaders (ACEL) and a Fellow and Life Member of the Australian College of Educators (ACE). He was President of ACEL from 1990 to 1993 and was awarded its Gold Medal in 1994. He is Patron of ACEL (Victoria). In July 2005 he received the College Medal of ACE. In 2004 he was awarded the Sir James Darling Medal of ACE (Victoria) and the Hedley Beare Educator of the Year Award of ACEL (Victoria).

SYNOPSIS OF 12 RELATED PROJECTS IN LAST FIVE YEARS

1. Re-imagining Educational Leadership

A series of projects was conducted from 2004 to 2006 in schools and school systems that were moving toward transformation. The findings were brought together in a series of monographs published by the Specialist Schools and Academies Trust in England, a publicly-funded non-profit organisation that supported the reform agenda of the Blair Government. These monographs were brought together in the book *Re-imagining Educational Leadership* (Caldwell, 2006) published by ACER Press (Melbourne) and Sage (London), with Foreword by Professor Sir Michael Barber, former Head of the Prime Minister's Delivery Unit at 10 Downing Street before becoming Expert Partner, Global Public Sector Practice, McKinsey & Company. This work drew on emerging policy frameworks and data gathered through an innovative research methodology wherein the views of practitioners in structured workshops in Australia and England were gathered with the support of an interactive computer-based technology. The book and associated workshop materials were used in a series of 19 workshops conducted in mid-2006 every state and territory organised by the Australian College of Educators. The same interactive approach to gathering information was used in each of these events, with the outcomes reported in the next series of related seminars and workshops described below. Chief Investigator: Brian Caldwell.

2. The International Project to Frame the Transformation of Schools: Why not the Best Schools

The foundation work described above provided the starting point for an extended project from 2006 to 2008 involving school and school system leaders from 11 countries. The same computer-based interactive technology was used to gather information along with case studies of schools that were making good progress in transformation. Hypotheses on what it takes to achieve transformation were starting to take shape and funding was secured from the Australian Government and the Welsh Assembly Government to conduct focused studies in six countries: Australia, China, England, Finland, United States and Wales, with particular attention to developments in secondary schools. Research teams were assembled in each of these countries. The findings of the project were reported by Caldwell and Harris (2008). Findings have been utilised in workshops in several states and countries. This project was extended in 2010 in the International Educational Leadership Project that is concerned with approaches to leadership, with studies in Australia (ACT) and Malaysia (Selangor). Chief Investigators: Brian Caldwell and Jessica Harris.

3. Raising the Stakes

A project conducted from 2006 to 2008 in parallel with the International Project to Frame the Transformation was concerned with how resources are allocated in efforts to close the gap between high and low-performing students. Information was drawn from many countries but especially Australia in the State of Victoria which has implemented a student needs-based approach to the allocation of funds to schools in its relatively devolved system of public education. The project culminated in the book entitled *Raising the Stakes: From Improvement to Transformation in the Reform of Schools* (Caldwell & Spinks, 2008) published in 2008 for the international market by Routledge. The book was launched by Hon Bronwyn Pike MP, who at the time was Victoria's Minister for Education & Early Childhood Development. While the focus was on school finance, the framework was the same as that in *Why not the Best Schools*, namely, that finance is just one form of 'capital' that schools draw on in their efforts to achieve transformation (intellectual capital, social capital, spiritual capital, financial capital). Caldwell and Spinks were Travelling Scholars of the Australian Council for Educational Leaders (ACEL) in 2008 and conducted workshops based on the book for school and school system leaders in several states. The book has also been used in post-graduate and programs under the leadership of Jim Spinks in China (Shanghai), Finland and South Africa. Chief Investigators: Brian Caldwell and Jim Spinks.

4. Principal Autonomy Research Project

A project that further demonstrates the capacity of Educational Transformations to understand linkages between research, policy and practice and related methodologies was the Principal Autonomy Research Project, commissioned by the Australian Government in 2007. This involved mapping approaches to school autonomy in each state and territory as well as in Catholic and independent schools. Document analysis and interviews with leaders in each sector were conducted in every state and territory as well as with leaders of principals' associations around the country. Case studies were conducted in each jurisdiction and in each sector. A comprehensive review of research was undertaken. The report (Educational Transformation, 2007) was submitted to the Department of Education, Science and Training (DEST) on 5 December 2007, being received on taking office with the change of government by Julia Gillard, former Minister for Education. Gillard released the report in 2009. The study supports the nuanced approach to school autonomy approved by the Ministerial Council for Education, Early Childhood Development and Youth Affairs (MCEECDYA) on 8 July 2011. Chief Investigator: Brian Caldwell; Associate Investigators: Jessica Harris and Jim Spinks; Research Assistant: Pam Dettman.

5. Turning around schools: Achieving an Education Revolution through 'New Federalism' in Australia

In 2009 Educational Transformations received a commission from WestEd, a major educational consulting firm in the United States, to report on efforts in Australia to 'turn around' low-performing schools. This was part of the WestEd International Benchmarking of Turnaround Schools Project being undertaken to guide the formation of policy by the Obama Administration. Brian Caldwell undertook to report on developments in Australia. His report (Caldwell, 2011) entitled 'Achieving an Education Revolution through New Federalism in Australia' forms part of the larger WestEd report with publication due in 2011. The report traces efforts to improve schools in Australia over recent decades and current national policy that has led to a

series of national partnership agreements. Exemplary practice in Victoria is reported. Chief Investigator: Brian Caldwell.

6. Bridging the Gap in School Achievement through the Arts

One of the most important projects undertaken by Educational Transformations in recent years was research in several of the most disadvantaged communities in Australia. Commissioned by the non-profit organisation The Song Room in 2010 with funding from the Macquarie Group Foundation, the purpose was to investigate the impact in primary schools of participation in programs in the arts on student achievement for indicators that previous research has found to be associated with engagement in juvenile crime. The Song Room provides such programs free of charge to systems of public education around Australia. A quasi-experimental design was devised, with student achievement in schools that participated in such programs compared with that in a matching set of schools in similar settings that did not participate. The findings show important benefits for participation in the arts. The project was led by Dr Tanya Vaughan with support from Dr Jessica Harris and Professor Caldwell. A report in five parts was submitted in November 2010. The Summary Report entitled *Bridging the Gap in School Achievement through the Arts* (Vaughan, Harris & Caldwell, 2011) was launched at Parliament House Canberra on 22 March 2011 by Hon Peter Garrett, Minister for School Education, Early Childhood and Youth. The research is included in a book to be published in November 2011 for the international market by Routledge (London and New York). It is titled *Transforming Education through the Arts* and is authored by Brian Caldwell and Tanya Vaughan (Caldwell & Vaughan, 2012, forthcoming). Chief Investigator: Tanya Vaughan; Associate Investigators: Brian Caldwell and Jessica Harris.

7. Review of Teacher Education and School Induction in Queensland

In 2010 Professor Brian Caldwell supported by Dr Tanya Vaughan was co-leader of a review of teacher education and school induction for the Queensland Government. David Sutton, former Principal of Brisbane State High School, was the other co-leader. This was a major project that formed part of the government's initiative known as A Flying Start for Queensland Children. The two reports of the review (August and November) were released in early 2011 with the Queensland Government either accepting recommendations for immediate implementation or referring others to an implementation taskforce. Caldwell and Sutton worked closely with a Reference Group of policymakers and practitioners. The methodology included interviews with key stakeholders, meetings of expert panels in each of the six specific areas of the review, and extended reviews of research, policy and practice in other countries. The project drew on the capacity at Educational Transformations to link research, policy and practice. More specifically, it addressed a policy objective of the Queensland Government to raise overall levels of student achievement and close the gap between high and low-performing students. Co-Director: Brian Caldwell; Research Assistant: Tanya Vaughan.

8. Evaluation of State Academies in Queensland

Educational Transformations was commissioned in 2009 by the Department of Education and Training (DET) in Queensland to be a partner with the Central Queensland University (CQU) to conduct an independent evaluation of the effectiveness of the three Queensland Academies designed to accelerate learning opportunities for Queensland's high performing students in Years 10, 11 and 12. The report of the project submitted in 2010 provided recommendations to inform future improvement of the Queensland Academy for Creative Industries (QACI),

Queensland Academy for Science, Maths and Technology (QASMT) and the Queensland Academy for Health Sciences (QAHS). An evaluation framework provided by DET established the scope of the evaluation which was to consider a range of quantitative data and artefacts provided by the Department as well as qualitative and quantitative data generated by the evaluators. The evaluation focussed on the academic, career and personal outcomes for academy graduates; stakeholder perceptions of the effectiveness of the academies; and the effectiveness of the academies in adding value to the public education system in Queensland. In addition, the position of the academies as small specialist schools within Queensland's public education system was considered. Co-Chief Investigators were Brian Caldwell and Associate Professor Bobby Harreveld (CQU).

9. Our School Our Future

Educational Transformations has undertaken two related projects that focus on building the capacity of all schools to plan well for the medium to long-term future. These projects reflect the disparity among schools across the country to do this kind of work, leaving many schools 'stranded' in the past and present while others are positioning themselves for sustained success. The first project was commissioned in 2008 by Teaching Australia, now the Australian Institute for Teaching and School Leadership (AITSL), to design and conduct a series of two-day workshop on 'futures-focused schools' in every state and territory in 2009. Co-leaders of the project were Professor Caldwell and David Loader OAM, Principal Fellow in the Graduate School of Education at the University of Melbourne who is a former school principal with a national reputation for outstanding strategic leadership. Caldwell and Loader were supported by an expert panel of consultants including Dr Rufus Black who was at the time Principal and Partner of McKinsey & Company (Australia); Tony Mackay, Deputy Chair of ACARA, Chair of AITSL and Director, The Innovation Unit (UK); and Professor Erica McWilliam, Adjunct Professor, ARC Centre of Excellence for Creative Industries and Innovation, Queensland University of Technology. Case studies of exemplary schools were conducted in three states (government, Catholic, independent). Nineteen workshops were conducted during which information was gathered from more than 500 participants from about 300 schools using the interactive computer-based technology employed in previous work by Educational Transformations. The second project, extending the first, was the writing of a book and accompanying field guide under the title *Our School Our Future* for use in schools around Australia (Caldwell & Loader, 2010). The views of the expert panel, illustrations from case studies, and responses of workshop participants were included. The field guide includes 36 activities for use in schools. These resources were published in September 2010 by Education Services Australia and launched by Tony Mackay, Chair of AITSL, who wrote the Foreword to the book. Chief Investigators: Brian Caldwell and David Loader; Associate Investigator: Jessica Harris; Research Assistants: Fiona Longmuir and Tanya Vaughan.

**10. System Leadership in the Global Education Leaders Program (GELP)*

In 2011 Brian Caldwell was commissioned by the Innovation and Next Practice Division, Department of Education and Early Childhood Development in Victoria to conduct two projects related to Victoria's participation in the Global Education Leaders Program (GELP). The first report of February 2011 provided an assessment of progress in GELP. The second report in June 2011 described the capacities required of and challenges faced by system leaders in the design and implementation of Education 3.0 as characterised by Cisco, the major partner in GELP. The research involved a review of related documents and interviews with key stakeholders and participants. Chief Investigator: Brian Caldwell.

**11. Professional Learning for High Performing Principals.*

The most recent project completed by Educational Transformations was an intensive, short turnaround project for the Australian Institute for Teaching and School Leadership (AITSL) to make recommendations on the need for a national flagship professional learning program for high performing principals and the structure and content of such a program should one be implemented. The project was conducted between 15 June 2011 and 15 July 2011. A total of 54 interviews were conducted with key stakeholders in every state and territory, complemented by national and international desk top research. A report of 70 pages was submitted on time and on budget. Chief Investigator: Professor Brian Caldwell assisted by Consulting Researcher Fiona Longmuir and Project Manager Anna Kitney.

**12. Victoria as a Learning Community: The Role of Locally Driven Innovation*

A current project of Educational Transformations will be completed during the Productivity Commission study. The project was commissioned by the Innovation and Next Practice Division of the Department of Education and Early Childhood Development in Victoria. Its purpose is to prepare a strategy / strategic directions paper on locally driven innovation drawing on developments to date in Victoria, elsewhere and internationally taking account of the emerging policy framework of the Government of Victoria in education. Key themes are the embedding of a capacity for innovation across the system, including the Department and all schools, in the context of the high level of school autonomy in Victoria and plans for more ('default autonomy'). Chief Investigator: Professor Brian Caldwell assisted by Consulting Researcher Fiona Longmuir.

Note: * indicators that project reports are not currently in public domain.

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